# Communication with Vulnerable Populations: A Transportation and Emergency Management Toolkit

## DETAILS

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## TCRP REPORT 150

# Communication with Vulnerable Populations: A Transportation and Emergency Management Toolkit

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## TRANSPORTATION RESEARCH BOARD

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# TRANSIT COOPERATIVE RESEARCH PROGRAM

The nation's growth and the need to meet mobility, environmental, and energy objectives place demands on public transit systems. Current systems, some of which are old and in need of upgrading, must expand service area, increase service frequency, and improve efficiency to serve these demands. Research is necessary to solve operating problems, to adapt appropriate new technologies from other industries, and to introduce innovations into the transit industry. The Transit Cooperative Research Program (TCRP) serves as one of the principal means by which the transit industry can develop innovative near-term solutions to meet demands placed on it.

The need for TCRP was originally identified in *TRB Special Report 213—Research for Public Transit: New Directions,* published in 1987 and based on a study sponsored by the Urban Mass Transportation Administration—now the Federal Transit Administration (FTA). A report by the American Public Transportation Association (APTA), Transportation 2000, also recognized the need for local, problem-solving research. TCRP, modeled after the longstanding and successful National Cooperative Highway Research Program, undertakes research and other technical activities in response to the needs of transit service providers. The scope of TCRP includes a variety of transit research fields including planning, service configuration, equipment, facilities, operations, human resources, maintenance, policy, and administrative practices.

TCRP was established under FTA sponsorship in July 1992. Proposed by the U.S. Department of Transportation, TCRP was authorized as part of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA). On May 13, 1992, a memorandum agreement outlining TCRP operating procedures was executed by the three cooperating organizations: FTA, the National Academies, acting through the Transportation Research Board (TRB); and the Transit Development Corporation, Inc. (TDC), a nonprofit educational and research organization established by APTA. TDC is responsible for forming the independent governing board, designated as the TCRP Oversight and Project Selection (TOPS) Committee.

Research problem statements for TCRP are solicited periodically but may be submitted to TRB by anyone at any time. It is the responsibility of the TOPS Committee to formulate the research program by identifying the highest priority projects. As part of the evaluation, the TOPS Committee defines funding levels and expected products.

Once selected, each project is assigned to an expert panel, appointed by the Transportation Research Board. The panels prepare project statements (requests for proposals), select contractors, and provide technical guidance and counsel throughout the life of the project. The process for developing research problem statements and selecting research agencies has been used by TRB in managing cooperative research programs since 1962. As in other TRB activities, TCRP project panels serve voluntarily without compensation.

Because research cannot have the desired impact if products fail to reach the intended audience, special emphasis is placed on disseminating TCRP results to the intended end users of the research: transit agencies, service providers, and suppliers. TRB provides a series of research reports, syntheses of transit practice, and other supporting material developed by TCRP research. APTA will arrange for workshops, training aids, field visits, and other activities to ensure that results are implemented by urban and rural transit industry practitioners.

The TCRP provides a forum where transit agencies can cooperatively address common operational problems. The TCRP results support and complement other ongoing transit research and training programs.

# THE NATIONAL ACADEMIES
*Advisers to the Nation on Science, Engineering, and Medicine*

The **National Academy of Sciences** is a private, nonprofit, self-perpetuating society of distinguished scholars engaged in scientific and engineering research, dedicated to the furtherance of science and technology and to their use for the general welfare. On the authority of the charter granted to it by the Congress in 1863, the Academy has a mandate that requires it to advise the federal government on scientific and technical matters. Dr. Ralph J. Cicerone is president of the National Academy of Sciences.

The **National Academy of Engineering** was established in 1964, under the charter of the National Academy of Sciences, as a parallel organization of outstanding engineers. It is autonomous in its administration and in the selection of its members, sharing with the National Academy of Sciences the responsibility for advising the federal government. The National Academy of Engineering also sponsors engineering programs aimed at meeting national needs, encourages education and research, and recognizes the superior achievements of engineers. Dr. Charles M. Vest is president of the National Academy of Engineering.

The **Institute of Medicine** was established in 1970 by the National Academy of Sciences to secure the services of eminent members of appropriate professions in the examination of policy matters pertaining to the health of the public. The Institute acts under the responsibility given to the National Academy of Sciences by its congressional charter to be an adviser to the federal government and, on its own initiative, to identify issues of medical care, research, and education. Dr. Harvey V. Fineberg is president of the Institute of Medicine.

The **National Research Council** was organized by the National Academy of Sciences in 1916 to associate the broad community of science and technology with the Academy's purposes of furthering knowledge and advising the federal government. Functioning in accordance with general policies determined by the Academy, the Council has become the principal operating agency of both the National Academy of Sciences and the National Academy of Engineering in providing services to the government, the public, and the scientific and engineering communities. The Council is administered jointly by both Academies and the Institute of Medicine. Dr. Ralph J. Cicerone and Dr. Charles M. Vest are chair and vice chair, respectively, of the National Research Council.

The **Transportation Research Board** is one of six major divisions of the National Research Council. The mission of the Transportation Research Board is to provide leadership in transportation innovation and progress through research and information exchange, conducted within a setting that is objective, interdisciplinary, and multimodal. The Board's varied activities annually engage about 7,000 engineers, scientists, and other transportation researchers and practitioners from the public and private sectors and academia, all of whom contribute their expertise in the public interest. The program is supported by state transportation departments, federal agencies including the component administrations of the U.S. Department of Transportation, and other organizations and individuals interested in the development of transportation. **www.TRB.org**

**www.national-academies.org**

# COOPERATIVE RESEARCH PROGRAMS

# FOREWORD

By S. A. Parker
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*TCRP Report 150: Communication with Vulnerable Populations: A Transportation and Emergency Management Toolkit* describes how to create a communication process to reach vulnerable populations regarding their transportation options in emergencies. This toolkit provides a guiding framework and tools for constructing a scalable, adaptable communication process built on a network of agencies from public, private, and nonprofit sectors. Together, these partners will form interconnected communication channels with the ability to carry out the function of emergency communication in far-reaching and resourceful ways not possible by working alone. This toolkit will be useful to state DOTs and their regional divisions; transit agencies; metropolitan planning organizations; state and local emergency managers; other public agencies, such as public health and public safety; local and regional elected or appointed officials and tribal leaders; community-based organizations and faith-based organizations; and private businesses and industries.

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The Federal Emergency Management Agency (FEMA) released "Developing and Maintaining Emergency Operations Plans: Comprehensive Preparedness Guide (CPG) 101, Version 2.0" in November 2010. "With this edition, greater emphasis is placed on representing and engaging the whole community—to include those with access and functional needs, children, and those with household pets and service animals." (Foreword letter by Craig Fugate, Administrator.) The first step in the CPG 101 Planning Process is to "Form a Collaborative Planning Team." *TCRP Report 150* provides helpful how-to advice and tools that will help emergency managers and stakeholder partners build and maintain the collaborative networks that are the foundation for CPG 101, Version 2.

The natural disasters encountered by the coastal states in 2005 increased national awareness of the role of public transportation in planning for, responding to, and recovering from weather-related emergencies. Two separate reviews of how transit agencies prepare for emergencies with a focus on vulnerable populations (e.g., people with access and functional needs, whose members may have additional needs before, during and after an incident in functional areas, such as maintaining independence, communication, transportation, supervision, and medical care; examples include the transit-dependent, disabled, poor, low English proficiency, racial and ethnic minorities) were conducted by the Federal Transit Administration (FTA) Office of Civil Rights and the Conference of Minority Transportation Officials (COMTO). FTA's 12-month review culminated in the release of *Transportation Equity in Emergencies: A Review of the Practices of State Departments of Transportation, Metropolitan Planning Organizations, and Transit Agencies in 20 Metropolitan Areas.* COMTO's expedited 2-month review culminated in a white paper, *Emergency Preparedness*

*and Response for Vulnerable Populations.* Both documents summarize existing preparedness and recovery policies and practices regarding vulnerable populations.

What was clear in both reviews is that vulnerable populations—residents who have no other means of transportation during an emergency—must rely on passenger-transportation providers. Poor communications with vulnerable populations can cause a lack of awareness regarding the role of public transit agencies in public emergency response operations. This lack of awareness was evident during the evacuation of New Orleans residents during Hurricane Katrina, as noted in the FTA and COMTO reviews. Research was needed to develop a toolkit of communications strategies for use by public transportation and emergency management professionals to better ensure that vulnerable populations can be successfully communicated with prior to, during, and after natural disasters and other emergencies.

The Louis Berger Group and Jane Mobley Associates prepared *TCRP Report 150* under TCRP Project A-33. They were tasked to develop a toolkit of communications strategies, policies, and practices for transportation agencies and emergency management agencies that focuses on communicating with vulnerable populations prior to, during, and after all-hazards emergencies. The research team accomplished the research objectives by (1) identifying strategies to communicate with vulnerable populations prior to, during, and after emergencies through a focused literature review and review of existing practices; (2) conducting interviews with experts (from diverse organizational perspectives, including representatives of passenger-transportation providers; government agencies; advocacy groups; and trade, community-based, and professional organizations) in communicating with vulnerable populations in conjunction with emergencies; (3) evaluating the lessons observed from recent emergencies regarding communications with vulnerable populations; (4) identifying key issues associated with the involvement of state and local public transportation agencies in communicating with vulnerable populations as part of specific state and local coordinated emergency communications activities; (5) developing and field testing a toolkit of communications strategies, policies, and practices for transportation agencies and emergency management agencies that focuses on communicating with vulnerable populations prior to, during, and after all-hazards emergencies; and (6) providing a final report and PowerPoint presentation to document the research process and the toolkit.

This toolkit helps transportation and emergency managers develop a communication process, so delivery options for reaching vulnerable populations are in place before a crisis occurs. The approach advocated in this toolkit is one of shared responsibility for outreach to vulnerable populations and is predicated on inclusive planning between government agencies, non-government organizations, and the private sector. This approach has been tested and successfully implemented in the field by public agencies, such as area agencies on aging, public health, and voluntary organizations active in disaster (VOADs). Most of the tools in this kit have been directly requested by participants in workshops held as part of the research for this toolkit.

This toolkit is provided in an accessible format on the TRB website at www.TRB.org/SecurityPubs. There one may also find the tools from the toolkit in MS Word format. The contractor's final report on how the research was conducted can be found on the project web page at http://apps.trb.org/cmsfeed/TRBNetProjectDisplay.asp?ProjectID=2611.

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# SUMMARY

From the fearsome paralysis of ice to the ripping power of hurricanes, the last decade's natural and man-made disasters across the United States focused national attention on the increased numbers of people who rely on various types of transportation resources to cope with emergencies. The most vulnerable populations during emergencies are those with few transportation options and substantial communication barriers.

**The call to action is clear.** Gaps in communication with vulnerable populations about transportation during emergencies must be closed. Legislation has been put in place to protect vulnerable populations before, during, and after an emergency. Nationwide, emergency management and transportation professionals in general agree that every aspect of required preparation, response, and recovery efforts demands effective communication.

Studies of how transportation agencies prepare for emergencies, with a focus on populations likely to be marginalized from mainstream emergency response, make clear that **communication is critical** for people to understand their own roles and the role of transportation agencies in public emergency response operations. Such inclusive communication is generally lacking.

## It's the Law

Federal legislation that addresses the needs of vulnerable populations in all phases of emergencies includes:

- The Americans with Disabilities Act of 1990 (ADA)
- The Robert T. Stafford Disaster Relief and Emergency Assistance Act (P.L. 93-288, 1988, as amended after Hurricanes Katrina and Rita)
- Health and Human Services Pandemic and All-Hazards Preparedness Act (PAHPA) (P.L. 109-417, 2006)
- Executive Order 13347: Individuals with Disabilities in Emergency Preparedness (2004)
- The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users 2005 (SAFETEA-LU) (P.L. 109-59)
- Homeland Security Presidential Directive 5 (HSPD-5), Management of Domestic Incidents

## Partnership Is National Policy

In *What's New in the National Response Framework* (January 22, 2008), the Department of Homeland Security communicates integrated key concepts and an expanded focus on partnerships. The *Framework* states:

An effective national response requires layered, mutually supporting capabilities. This approach affirms that local communities, tribes, and States have primary responsibility for the safety and security of their citizens; local leaders build the foundation for response; and resilient communities begin with prepared individuals and families.

To help address this gap, the Transit Cooperative Research Program of the Transportation Research Board of the National Academies funded the development of *Communication with Vulnerable Populations: A Transportation and Emergency Management Toolkit.* This toolkit demonstrates how to create a communication process to reach vulnerable populations regarding their transportation options in emergencies.

This toolkit provides a guiding framework and tools for constructing a scalable, adaptable communication process built on a network of agencies from public, private, and nonprofit sectors. Together, these partners will form interconnected communication channels with the ability to carry out the function of emergency communication in far-reaching and resourceful ways not possible by working alone.

At the 2008 conference for the National Public Health Information Coalition, Lieutenant General Russel L. Honorè (Ret.) reminded participants that, "Trust builds speed." This truth is widely recognized among public sector managers involved in emergency planning and response; it is even more true at the intersection of the public, voluntary, and private sectors. Building the type of communication network described in this toolkit will create trustworthy working relationships that support preparedness planning and swift responses.

Each chapter provides steps in the network-building process. The primary steps in this process are:
1. Gather information
   - Define vulnerable populations that must be reached with emergency information.
   - Assess the community's need and capacity to communicate with vulnerable populations about transportation.

2. Build a network of public sector agencies and organizations from the community, volunteer, and private sectors.
3. Organize and communicate through the network.
4. Sustain the network through agreements and performance measurement.

The approach advocated in this toolkit is one of **shared responsibility for outreach** to vulnerable populations and is based on inclusive planning among:

- government agencies,
- nongovernmental organizations, and
- the private sector.

This approach has been tested and successfully implemented in the field by public agencies, such as the Kentucky Cabinet for Health and Family Services, where it has been recognized as a promising practice for pandemic planning by the Center for Infectious Disease Research and Policy; and the U.S. Centers for Disease Control and Prevention, where it is used as federal guidance and recognized as a model practice by national health organizations.

## Federal Guidance

The Federal Transit Administration's *Disaster Response and Recovery Resource for Transit Agencies* states that transit agencies should work with community human service agencies in planning for emergency transportation for vulnerable populations. The guidance document also states that information for passengers should be available in alternative formats (e.g., Braille, electronic, and large print) for individuals with visual impairments and alternative languages for individuals with limited English proficiency.

## Foundational Studies

- The Federal Transit Administration (FTA) Office of Civil Rights and the Conference of Minority Transportation Officials (COMTO) conducted two separate reviews of how transit agencies prepare for emergencies. The reviews focused on populations likely to be marginalized from mainstream emergency response. Both reports concluded that communication with vulnerable populations is vital to inclusive emergency planning.

- *The National Study on Carless and Special Needs Evacuation Planning: A Literature Review* (University of New Orleans Transportation Center, October 2008) cites source after source supporting greater involvement of private organizations that serve vulnerable population groups in pre-disaster planning and in response to disasters and emergencies. The study identifies the need for facilitation of interaction between Emergency Management Agencies and other government agencies.

# Additional Information

The following sources contributed to the development of the Summary.

***Disaster Response and Recovery Resource for Transit Agencies,* Federal Transit Administration, August 21, 2006**
This resource provides local transit agencies and transportation providers with useful information and best practices in emergency preparedness and disaster response and recovery. It provides information about identifying and communicating with vulnerable populations and emphasizes the importance of working with intermediary agencies to carry out this function.
http://bussafety.fta.dot.gov/uploads/resource/3348_filename

**Executive Order 13347: Individuals with Disabilities in Emergency Preparedness**
Signed by President George W. Bush in 2004, Executive Order 13347 was established to ensure that the safety and security needs of individuals with disabilities are appropriately supported in disaster situations and accounted for in emergency preparedness planning.
http://www.dol.gov/odep/pubs/ep/preparing/execorder.htm

**The Federal Emergency Management Agency and the Department of Homeland Security (DHS) Office for Civil Rights and Civil Liberties, "Comprehensive Preparedness Guide (CPG) 301: Emergency Management Planning Guide for Special Needs Populations," August 2010**
This document contains basic guidance on the subject issued by the DHS.
http://www.fema.gov/emergency/disasterhousing/planning_resources.shtm

**Health and Human Services Pandemic and All-Hazards Preparedness Act (PAHPA) (P.L. 109-417, 2006)**
The PAHPA was passed in 2006 and focuses on public health, medical bioterrorism preparedness, and all-hazard medical surge capacity. It requires the needs of vulnerable populations to be considered in managing preparedness initiatives, such as the Strategic National Stockpile.
http://www.dhhs.state.nc.us/dhsr/EMS/aspr/pdf/papareport.pdf

**Homeland Security Presidential Directive 5 (HSPD-5)**
The purpose of HSPD-5 is to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system.
http://training.fema.gov/EMIWeb/IS/ICSResource/assets/HSPD-5.pdf

*National Study on Carless and Special Needs Evacuation Planning: A Literature Review,* **Federal Transportation Administration (produced by the University of New Orleans Transportation Center), October 2008**
This study reviews how state departments of transportation (DOTs), metropolitan planning organizations (MPOs), transit agencies, and local governments are incorporating the needs of vulnerable populations into emergency planning.
http://planning.uno.edu/docs/CarlessEvacuationPlanning.pdf

**Robert T. Stafford Disaster Relief and Emergency Assistance Act (P.L. 93-288, 1988, as amended after Hurricanes Katrina and Rita)**
The Stafford Act amended the Disaster Relief Act of 1974 and constitutes the statutory authority for most disaster response activities, including federal financial and resource assistance to eligible states and local authorities through the Federal Emergency Management Agency (FEMA). The act requires vulnerable populations to be fully integrated into emergency management.
http://www.fema.gov/about/stafact.shtm

**Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) (P.L. 109-59)**
The SAFETEA-LU Act requires MPOs and state DOTs to address the needs of environmental justice and Title VI populations in their systems' planning processes, including long-range transportation plans and transportation improvement programs.
http://www.fhwa.dot.gov/safetealu/

***Transportation Equity in Emergencies: A Review of the Practices of State Departments of Transportation, Metropolitan Planning Organizations, and Transit Agencies in 20 Metropolitan Areas: Final Report,*** **Federal Transit Administration, 2007**
The FTA commissioned this report to promote nondiscrimination in the emergency preparedness activities administrated by recipients of FTA financial assistance. The report reviewed the extent to which transit providers, MPOs, and state DOTs in selected metropolitan regions were addressing the needs of vulnerable populations in the event of a natural or man-made disaster.
http://www.trb.org/Main/Blurbs/Transportation_Equity_in_ Emergencies_A_Review_of_t_158835.aspx

***What's New in the National Response Framework,*** **Department of Homeland Security, January 22, 2008**
This document describes the changes made to the former *National Response Plan*, now called the *National Response Framework*, a guide to how the nation conducts incident response.
http://www.fema.gov/pdf/emergency/nrf/whatsnew.pdf

***White Paper on Emergency Preparedness and Response for Vulnerable Populations,*** **COMTO**
COMTO partnered with several organizations to develop this white paper, which examines the roles of mass transportation in the context of vulnerable populations that are transit dependent. The analysis seeks to identify how vulnerable populations are directly affected by policy (or the lack thereof) regarding emergency preparedness and recovery.
http://www.comto.org/

**Transportation Research Board (TRB) Special Report 294,** *The Role of Transit in Emergency Evacuation, 2008*
This special report examined transit systems in the 38 largest communities in the United States and looked at roles of transit systems in evacuation and in moving people to and from different locales in an emergency. The study found no evidence of "clear regional emergency management protocol" and http:// www.trb.org/Main/Blurbs/The_Role_of_Transit_in_Emergency_ Evacuation_160047.aspx

# INTRODUCTION

## Building a Collaborative Network Is Critical

Almost universally in communities throughout the United States, emergency managers have the designated lead in emergency efforts. Most transportation agencies do not have — or want — significant leadership roles.

Even so, transportation agencies can and do serve as leaders in emergency planning at the local level, working with emergency managers to define not only transportation tasks, but also the communication tasks that can save lives in emergencies, particularly among the most vulnerable populations.

National policies and planning initiatives, such as the National Response Framework (NRF) and the National Incident Management System (NIMS), call for a coordinated response to incident management through a network approach. The term "network" as used throughout this guide and toolkit refers to the various ways organizations work together to address problems they cannot solve on their own.

## Definitions

**Functional Needs Populations**: Individuals in need of additional response assistance because of additional needs in one or more functional area, including maintaining independence, communication, transportation, supervision, and medical care.

**Network**: Organizations working together to address problems they cannot solve on their own.

**Vulnerable Populations**: People who have existing vulnerabilities (regarding age, income, disability, language, or mobility) that are exacerbated in emergency situations.

*See Glossary for more definitions.*

## Definition

**Champion**: A champion is someone who recognizes the need and an opportunity for mutual problem-solving, recognizes and engages key stakeholders, and may provide strategic direction and vision. Champions are passionate and committed to the idea of collaboration as the best means for reaching vulnerable populations in an emergency. They are advocates, defenders — people who are willing to battle for the rights of others.

A champion can be a mid-level manager, high-level agency staff, or an elected official. Regardless, champions are people in sustainable positions, able to move easily among various arenas, and have multiple professional and community contacts, guaranteeing the capacity for outreach well beyond the boundaries of transportation and emergency management.

Successful transportation and emergency management professionals collaborate with key people and organizations that already have relationships with members of these populations. By building partnerships among themselves and other public sector agencies, they effectively leverage their expertise and outreach capability to reach vulnerable populations.

This toolkit provides guidance and tools for building a scalable, adaptable network. The steps connect transportation and emergency planners to each other and to their colleagues in the public sector, in nongovernmental organizations (NGOs), and in private sector businesses. Together, these relationships form connected communication channels that carry out the functions of emergency communication in far-reaching, resourceful, and effective ways not otherwise possible.

## Key Issues Addressed in the Toolkit

Emergency management and transportation agencies that achieve successful communication with vulnerable populations address a wide variety of concerns, which can be grouped under the following five key issues:

1. Defining roles and relationships between state and local departments of transportation (DOTs) and at the local level among emergency managers, transportation agencies, and other agencies with regard to transportation in emergencies. **Where does transportation fit in?**

2. Understanding the local community sufficiently to decide what information is important and how best to communicate it in fully accessible formats so that people are informed, responsive, and motivated.

3. Building necessary community relationships to enable information exchange in every stage of an emergency.

4. Securing and managing needed information from a transportation perspective.

5. Understanding requirements and desires of other agencies and community-based organizations (CBOs) so that transportation providers can meet or manage expectations.

## Assumptions

The process outlined in this toolkit is based on several assumptions:

- The collaborative process at the local level can start with one person, a champion, who responds to the call to action and begins the work. This toolkit is designed to help that person get started and bring others into the process.

- Emergency management carries primary responsibility for communication in emergencies, but may delegate vulnerable population outreach to various agencies that are expected to be interacting directly with people who have the greatest needs. In some communities, transportation, public health, or other agencies may lead the collaborative communication network to reach vulnerable populations.

- Agencies and organizations that participate in the network will vary by location.

- Different communities will be at different points in the process of collaboration. Even those that have established, active partnerships can evaluate existing practices and look for new opportunities to ensure that vulnerable populations can receive and act on critical messages.

**Before an Event**

According to the Federal Highway Administration (FHWA) publication, ***Evacuating Populations with Special Needs: Routes to Effective Evaluation Planning Primer Series,*** "Transportation agencies can help disseminate information prior to an event and can encourage those at risk to prepare, thus reducing the numbers of people requiring assistance during an evacuation."

## Partnership Focus

The toolkit does not focus on the activities or specific messages of emergency planning, response, and recovery. It lays out a process for building the collaborative partnerships necessary to communicate the messages and implement the activities needed for planning, response, and recovery to take place.

The process of building a communication network is not "one-size-fits-all." The strategies, tools, and templates in this toolkit work best when they are scaled and adapted to local conditions or circumstances and then implemented.

Communities approach collaboration differently. Some communities are well along in interagency collaboration and have established working relationships among entities from the public, voluntary, and private sectors. Often times communities have task forces, steering committees, or other leadership groups in place. These groups can provide a good base for transportation and emergency managers to use in building their communication network with vulnerable populations.

Other communities may not have wide-reaching collaborative efforts under way. In that case, representatives from transportation and emergency management agencies should convene and decide how they will work together to prepare effective emergency communication plans to reach vulnerable populations. These agreements will provide a solid base when the network-building process reaches out to CBOs, faith-based organizations (FBOs), and other agencies.

The network-based communication process laid out in this toolkit can be productive whether its initial leadership comes from a single agency or from two agencies working together. The approach will be different for different communities, but the critical component is having the initiating leaders in agreement about fundamental goals, tactics, and approaches before they begin to create a community-wide process for outreach to vulnerable populations.

The approach advocated in this toolkit is one of shared responsibility for outreach to vulnerable populations and is predicated on inclusive planning between government agencies, NGOs, and the private sector. This approach has been tested and successfully implemented in the field by public agencies, such as area agencies on aging, public health, and voluntary organizations active in disaster (VOADs). Most of the tools in this kit have been directly requested by participants in workshops held as part of the research for this toolkit.

## This Toolkit Is about a Communication Process

**This toolkit helps transportation and emergency managers develop a communication process, so delivery options for reaching vulnerable populations are in place before a crisis occurs.** Communication is central to the success or failure of emergency preparedness and response. Communicating in a crisis is different from day-to-day communication. The urgency of the situation doesn't leave room for exploring options for message content or delivery mechanisms. Those options have to be in place before a crisis.

Encouraging individuals to act during emergencies requires communicating with them through multiple channels.

- These channels depend on **trusted relationships** built over time, so they are well established in times of crisis.

- A pre-crisis network of communication channels can carry messages across barriers and create a safety net that prevents especially vulnerable people from missing access to transportation assistance in emergencies.

## Users of This Toolkit

This toolkit will be useful to state DOTs and their regional divisions, transit agencies, metropolitan planning organizations (MPOs); state and local emergency managers; other public agencies, such as public health and public safety; local and regional elected or appointed officials and tribal leaders; CBOs and FBOs; and private businesses and industries.

The collaborative process needs a champion, or champions, within an agency or organization to take the lead in bringing a network of people together to open communication channels. Although this toolkit was prepared for transportation and emergency managers, it might also be useful to anyone with an interest in improving agencies' outreach to vulnerable populations.

## How This Toolkit Is Organized

The toolkit has been organized into four chapters:

- Chapter 1 — Gather Information
- Chapter 2 — Build or Add to a Network
- Chapter 3 — Communicate through the Network
- Chapter 4 — Sustain the Network

Chapter content is designed to help the champion (transportation personnel, emergency managers, or others) enlist the support of other agencies and influential representatives of vulnerable populations to increase their readiness to act during an emergency.

Each chapter includes steps and strategies that can improve organizations' and individuals' abilities to communicate with vulnerable populations. The chapters also include listings of additional information that contributed to chapter development.

## Chapter 1 — Gather Information

Chapter 1 guides planners through the steps of **securing buy-in** from leadership; **gathering information** about the people who live in the community in terms of demographics and communication needs; **assessing** hazards and community vulnerability; **determining what their organization and others are doing to communicate** with vulnerable populations; and **identifying** potential network **partners**.

## Chapter 2 — Build or Add to a Network

In Chapter 2, the steps focus on **convening** potential network partners for the first time, **presenting the idea and purpose of an emergency communication network** of public and private partnerships, and collaborating for effective communication with vulnerable populations.

## Chapter 3 — Communicate through the Network

Chapter 3 covers the strategies to organize and communicate through the network and helps planners **define basic operating procedures** for the network as well as **members' roles and responsibilities to act as communication conduits** to vulnerable populations.

## Chapter 4 — Sustain the Network

Chapter 4 addresses how to **sustain the network** through **forming agreements, assessing hazards** and community vulnerability, and **measuring performance.** This chapter also discusses ways to equip network partners to perform their roles and responsibilities and to **grow** the network strategically over time.

## Tools and Templates

The four chapters comprise a guide that serves as the primary "tool" in this toolkit. Each chapter provides a suite of **tools and templates** designed to support the planner in implementing the steps outlined in the guide.

## Resources Section

The Resources Section provides additional information that expands on the ideas presented in the toolkit. The resources incorporate key findings from the research and allow for further inquiry into more complex concepts.

# Defining Population Terminology

Conversations with transportation and emergency managers and other professionals responsible for emergency planning and response suggest that questions still arise about how best to define populations considered to be the most vulnerable in emergencies. No single term has been universally accepted, and no term is without controversy. The use of terminology such as *vulnerable populations, access and functional needs populations, special needs populations,* continues to be a subject of national debate and can pose challenges when planning for the diverse needs of people in these groups.

This toolkit adopts the National Response Framework (NRF) definition of **access and functional needs populations**:

> *Populations whose members may have additional needs before, during, and after an incident in functional areas, including but not limited to:*
> - *Maintaining independence*
> - *Communication*
> - *Transportation*
> - *Supervision*
> - *Medical care*

*Individuals in need of additional response assistance may include those who have disabilities; who live in institutionalized settings; who are elderly; who are children; who are from diverse cultures; who have limited English proficiency or are non-English speaking; or who are transportation disadvantaged.*

Descriptors for groups of individuals are difficult. The term *functional needs* may not be meaningful to people who are usually able and independent, but who, after a widespread disaster, are injured, stranded, homeless, or suddenly outside mainstream communication channels — in other words, especially *vulnerable* to adverse outcomes. These populations could include people who would usually not be categorized as especially vulnerable, but who may have functional needs in a particular emergency and require transportation assistance at that time, such as carless populations and visitors.

The toolkit uses the term "vulnerable populations" to describe the many and varied groups that represent individuals for whom emergency situations exacerbate their vulnerabilities or create new ones.

# Additional Information

The following sources contributed to the development of the Introduction.

***Evacuating Populations With Special Needs,*** **U.S. Department of Transportation, Federal Highway Administration, April 2009**
The primary focus of the primer is moving people with special needs. The primer discusses the roles transportation agencies can perform in communicating with vulnerable populations. It also identifies the communication and transportation needs of vulnerable populations among other functional needs.
http://www.ops.fhwa.dot.gov/publications/fhwahop09022/index.htm

***National Incident Management System (NIMS),*** **Department of Homeland Security, FEMA, December 2008**
NIMS provides a consistent nationwide template to enable federal, state, tribal, and local governments; nongovernmental organizations; and the private sector to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents of any size, cause, or location.
http://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf

***National Response Framework (NRF),*** **Department of Homeland Security, Federal Emergency Management Agency (FEMA), January 2008**
The NRF is a guide to how the nation conducts all-hazards response. It is built upon scalable, flexible, and adaptable coordinating structures to align key roles and responsibilities across the Nation, which links all levels of government, nongovernmental organizations, and the private sector.
http://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf

# CHAPTER 1:
# GATHER INFORMATION

**Step 1:** **Get Started**

**Step 2:** **Collect Population Information**

**Step 3:** **Assess Hazards and Community Vulnerability**

**Step 4:** **Assess Agency Resources**

**Step 5:** **Identify Existing Networks**

**Step 6:** **Keep a Contact List**

## Definitions

**Disaster Planning Cycle:** Consists of phases of activity related to emergency management, including mitigation, preparedness, response, and recovery.

**Environmental Justice (EJ):** The fair treatment and meaningful involvement of people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

**Geographic Information System (GIS):** Technology that helps locate and map different population groups.

**Metropolitan Planning Organization (MPO):** An agency designated by law with the lead responsibility for developing transportation plans and programs within an urbanized area. An MPO can also be called a Council of Governments (COG).

The **T** icon indicates tools located at the end of each chapter.

Chapter 1 lays the foundation for a network-based communication process that begins with gathering information that will help to:

- Identify vulnerable populations in communities
- Determine what is being done to communicate with vulnerable populations
- Identify potential partners for a communication network

The steps outlined in this chapter provide a framework for the early stages of building a network-based communication process.

This chapter encourages transportation and emergency management planners to identify key representatives in public, voluntary, and private sector organizations who have established outreach to vulnerable populations. The steps in this chapter emphasize working together to collect population data on vulnerable populations in communities or regions. The data and information collected in Chapter 1 (and in subsequent chapters) will shape and confirm the direction of the network.

# Step 1
# Get Started

Emergencies that involve transporting people will require public information that reaches everyone. Transportation and emergency management agencies share responsibilities for communicating clear messages about emergency transportation to the general public and to vulnerable populations.

Although emergency management agencies have the designated lead role in local emergency response, transportation agencies have leadership responsibilities for some aspects of emergency response and supporting communication. Federal guidance (see sidebar on page iii) recommends a number of starting points for transportation agencies in emergency planning for vulnerable populations:

- Collaborating with existing networks or groups engaged in emergency transportation planning — or starting a network

- Scheduling a meeting with the agencies engaged in emergency management to determine which transportation messages need to be delivered to vulnerable populations

- Preparing public information materials that are accessible and available in various formats

- Assisting emergency management agencies in distributing public information materials

- Participating in and supporting efforts to educate those individuals who are particularly at risk about how they can be prepared for and access transportation in emergencies

## Getting Started

The network-based communication process laid out in this toolkit can be productive whether its initial leadership comes from a single agency or from two or more agencies working together. The approach will be different for different communities. Some will engage public sector agencies before inviting community and private sector groups to the table. Others will not. **The critical component is** having the initiating **leaders in agreement** about fundamental goals, tactics, and approaches before beginning to create a community-wide process for outreach to vulnerable populations.

*Chapter 1 • 3*

## Examples of Transportation Networks

Transportation and emergency managers across the country are using multi-agency networks to build working relationships and improve communication, creating more public value than any single agency can on its own.

Transportation management centers (TMCs), also known as traffic operations centers (TOCs), are examples of regional networks that bring together transportation, emergency management, law enforcement, and other stakeholders from different jurisdictions to improve transportation system efficiency.

### United We Ride

United We Ride (UWR) is a federal interagency initiative aimed at improving the availability, quality, and efficient delivery of transportation services for older adults, people with disabilities, and individuals with lower incomes. UWR Regional Ambassadors provide hands-on technical assistance to states and territories in developing and implementing coordinated human service transportation plans. These ambassadors can be a resource for identifying critical community and private sector partners for a communication network.

Together, transportation and emergency managers can build a communication process to improve outreach to vulnerable populations.

## Leadership Support

Getting multiple agencies and organizations to work together will likely require authorization from leadership. The mid-level manager can advance this process by clearly describing:

- The identified need

- How to address the need by establishing a communication network

- Steps required to form a network

- Perceived benefits to transportation and emergency management agencies

The **Securing Leadership Buy-in** template can be helpful to communicating with leadership. The **Network Fact Sheet** in Chapter 2 Tools also provides useful information for building leadership support.  T

# Step 2
# Collect Population Information

Transportation and emergency managers can work together to gather information about people in their community. Many sources of population statistics are available. These sources include the U.S. Census, state departments of education, county agencies on aging, and local sources such as public works departments and rural electric cooperatives.

## Define

Using this information, it is possible to identify people who have additional transportation needs and/or communication requirements. Planning for vulnerable populations underscores a fundamental link between communication and transportation. People with barriers to accessing emergency transportation also may experience barriers to receiving information. Communication and transportation barriers can be caused by the same factors, such as disability, limited English proficiency, isolation, age vulnerability, or poverty. These factors can be used as search items to determine the number of people who:

- Live below federal poverty levels
- Have limited English proficiency
- Have a disability (mobility, mental, intellectual, sensory, substance abuse disorder)
- Are under the age of 5 or over 65 years old
- Are latchkey children
- Are without a car

The **Tip Sheet on Identifying Vulnerable Populations** provides a basic process for identifying the vulnerable populations with the largest numbers of people, which ensures communication efforts have the broadest reach. This

*Chapter 1 • 5*

## Tools for Locating

Mapping vulnerable populations can be done by using colored pushpins on a paper map or through a digital interpretation of data. Regardless of the method, locating these groups in advance of an emergency builds speed into response capability. MPOs as well as state departments of public health, economic development, education, and transportation may have population data or mapping resources to support rural as well as urban communities.

The RAND Corporation offers a free, online mapping tool for locating vulnerable populations. To access the tool, see the "Special Needs Populations Mapping for Public Health Preparedness" entry in the Additional Information list at the end of this chapter. The Centers for Disease Control and Prevention (CDC) Snap Shots of State Population Data (SNAPS) and the Modern Language Association (MLA) maps are also profiled in the Additional Information list at the end of this chapter. These resources provide easy-to-access population statistics and demographic information.

process will help focus on selected vulnerable populations. The tool also provides an inclusive description of the range of function-based needs to be accommodated in emergency planning and response.  **T**

## Locate

Once the vulnerable populations have been identified, determining where these groups are located can be a mix of technology and dialogue. Broad information such as neighborhoods where most people live below the federal poverty level or most do not speak English can be gained from mapping. Specific information such as households where an individual needs electricity to breathe will come from contact with service providers, public utilities, people in the neighborhoods, or others who know about the circumstances.

A number of tools, such as Geographic Information System (GIS) technology, can help to locate and map various population groups and the organizations serving them; for example, GIS tools can be used to map areas of deep poverty and the proximity of available social service resources. See the **Demographic and Database Research** information in the Resources Section at the end of the toolkit.

Transportation and emergency management agencies may have GIS resources or other data for locating and mapping vulnerable populations. Metropolitan planning organizations (MPOs), councils of government, or regional planning councils are other resources for accessing GIS mapping tools as well as providing a forum for coordinated planning. The **Working with Metropolitan Planning Organizations** and **Working with Rural Planning Organizations** tools suggest additional tactics that may be available to help locate vulnerable populations.  **T**

Other resources for specific information about vulnerable populations include community-based and advocacy organizations, direct service providers, and human service agencies. As the communication network forms, members may provide information that will help to further identify and locate vulnerable populations.

## Step 3
## Assess Hazards and Community Vulnerability

Emergency management and transportation agencies likely have hazard vulnerability assessments in Emergency Operations Plans (EOPs). These will be useful assessments to share with potential network members as a motivator to get involved.

Getting network members involved in all phases of the disaster planning cycle, particularly in the preparedness phase (including planning and exercises), will increase their understanding of emergency management and transportation needs and resources. It will also give transportation and emergency managers insight into strengths and capabilities as well as vulnerabilities of network members.

Vulnerability assessments will be refined over time with input from the network to identify:

- Potential hazards or emergency scenarios in the community

- The communication and transportation needs of vulnerable populations for each emergency scenario.

## Environmental Scan

In many communities, existing committees or networks already convene the agencies and organizations required for a communication network. Approaching these groups can determine whether existing channels are in place for communicating critical information to vulnerable populations.

**Emergency-focused Networks:**
- Voluntary Organizations Active in Disaster (VOAD)
- Community Emergency Response Teams (CERT)

**Nonemergency-focused Networks:**
- UWR (local chapter)
- Mobility/paratransit committee
- MPO standing committee
- Rural Planning Organizations (RPOs)

# Step 4
# Assess Agency Resources

A shared and documented assessment of transportation and emergency management agencies' outreach capabilities and resources is crucial. Basic questions for assessment include:

1. Do emergency plans address communication with vulnerable populations?

2. What is currently being done to reach vulnerable populations?

3. Are there existing committees or networks that already convene agencies and organizations that represent or advocate for vulnerable populations?

4. What agency resources (staff, funding, equipment, lists) can be used for vulnerable populations planning and outreach? For example, can a staff member be appointed to serve as the agency's vulnerable populations liaison? Is there a list of agencies that serve or advocate for vulnerable populations?

5. What resources are missing?

6. How can transportation and emergency management agencies leverage existing networks of contacts with other public sector agencies to fill identified gaps? With voluntary organizations? Within the private sector?

# Step 5
# Identify Existing Networks

The answers to the following questions are the beginning of forming or adding to a contact list of key organizations and personnel already involved in ongoing collaborative efforts.

1. What collaborative efforts exist within other public sector agencies (e.g., public health, public safety, MPOs)?

2. Are there community groups, committees, or networks that address vulnerable populations issues — with an emergency or nonemergency focus (see sidebar)?

3. Can these networks be leveraged for communication with vulnerable populations before, during, and after emergencies?

4. Who participates in these groups?

Existing address books can be a starting point for identifying key contacts. In addition, the **Potential Network Partners** list can help identify other agencies from the public, voluntary, and private sectors that can help improve communication with vulnerable populations. Collecting contact information for these agencies not only shapes a crucial list but also can provide opportunities for direct contact with and introductions to people who will be essential. **T**

## Community Partners

"Many recent disaster response crises illustrate how language barriers, isolation from public agencies, and fear of interacting with public agencies combine to increase the vulnerability of many residents. While not a panacea, drawing on the expertise and resources of community organizations and leaders to help limited-English proficient (LEP) residents and immigrants can enhance emergency response and help bolster the health and safety of the broader community."

*Integrating Immigrant Families in Emergency Response, Relief, and Rebuilding Efforts.* Anne E. Casey Foundation, 2008

## Understand Community Organizations' Mission

It is important for emergency management and transportation professionals to understand the missions and obligations of CBOs, FBOs, NPOs, and other private sector partners. Examples of a CBO mission and its relation to emergencies include:

- In three Florida counties, an Area Agency on Aging (AAA) serves as the focal point for people who are aging or frail elderly. Helping their clients prepare for an emergency, particularly hurricanes, is part of the mission. The AAA has a designated disaster planning coordinator who attends every county emergency planning meeting.

- In Kentucky, a CBO that serves undocumented people provides a range of services and has partnerships with public health. The CBO meets regularly with other Hispanic alliances and organizations to share information about the people they serve and services they provide. During an emergency, this agency can help communicate through existing partnerships as well as provide transportation and translation services.

## Using Mandated Transportation Planning as a Network-Building Process

Transportation planning initiatives provide bridges to knowledgeable agencies and trusted community messengers.

- Federal law (Title VI/Environmental Justice) requires the state and regional Long Range Transportation Planning processes to involve minority and low-income communities.

- The National Environmental Policy Act requires consideration of the environmental, social, and economic impact of governmental actions taken with federal funds and requiring federal permits.

- State departments of transportation (DOTs) and MPOs have expertise and knowledge about minority and low-income communities.

- SAFTEA-LU requires that projects funded under the Job Access Reverse Commute Program (5316), New Freedom (5317), and Elderly and Persons with Disabilities (5310) programs be derived from a locally developed, coordinated plan. (See tool **Working with Metropolitan Planning Organizations** for more detail.)

Network activities can assist state DOTs and MPOs in meeting Title VI/EJ requirements by sharing the contacts obtained through the network. Because the stakeholder groups convened for emergency communication with vulnerable populations overlap so closely with EJ communities, there is opportunity for finding multiple ways to cooperate.

Transportation agencies can explore with emergency managers how network activities can assist in fulfilling legal and regulatory requirements for improving emergency planning, response, and recovery for vulnerable populations.

Many communities with paratransit services in place have Transportation Coordinating Councils or other community advisory panels to work with them on issues of customer service, reliability, timeliness, and other issues. Transit and paratransit services in Florida, New Orleans, and elsewhere publicize for their clientele hurricane preparedness, shelter locations, bus routes and stops, as well as registration for medical needs shelters and associated transportation.

# Step 6
# Keep a Contact List

The contact information gathered in Steps 3 and 4 can be used to begin a vulnerable populations contact list or perhaps add to an existing list used by transportation and/or emergency managers. Maintaining contact lists can range from high- to low-tech approaches, such as the **Network Contact Database** and the **Preliminary Contact Information Form**, for recording key information for people who might be potential members of the network. **T**

To ensure redundancy, important contacts should be kept in a mobile device, on a jump drive, and as a laminated list. One laminated copy of the key contacts list belongs in the Emergency Operations Center (EOC) and one belongs in a place where it can be accessed any time (e.g., a vehicle); lamination keeps the list dry in an emergency involving water.

# CHAPTER 1 TOOLS AND ADDITIONAL INFORMATION

## TOOLS

## ADDITIONAL INFORMATION

# 1.1 Securing Leadership Buy-in

Organizing a communication network requires time and organizational resources. There are legal requirements, and agency leadership needs to be engaged to support the work. Obtaining a formal written commitment can help leverage internal resources and build external support.

Soliciting formal buy-in has another benefit: agency leaders may begin to discuss the network with their peers in partner agencies, thus laying the groundwork for their efforts to engage other agencies and partners.

This tool provides the following:

1. A template of a memo to leadership describing the value of committing resources to forming a network. The memo can be tailored to a specific agency. The bold areas in brackets indicate places to insert specific information, such as the name of the agency.

2. Tip sheet on handling resistance. These tips may be useful in working with potential network partners as well as leaders.

The **Network Fact Sheet** template in Chapter 2 Tools can be adapted and used as an attachment to the memo or a leave-behind document when meeting with potential network partners.

## 1.1a Securing Leadership Buy-in (cont.)

# MEMO TEMPLATE

TO: **XXX**

FROM: **XXX**

DATE: **XXX**

RE: Seeking **[agency]** commitment to reach vulnerable populations in emergencies

Our agency **[name]** is responsible for **[identify service provided, e.g., transportation, emergency management, public health, etc.]** for **[jurisdiction]**. We have a distinct obligation to communicate with and serve vulnerable populations in our community pursuant to the Stafford Act as well as other federal requirements. Under the National Response Framework's definition, my estimate is that the percentage of people who have access and functional needs may be **[X]** in our community. These groups and individuals often have co-existing specialized communication and transportation needs.

I have recently reviewed a guide published by the Transit Cooperative Research Program titled *Communication with Vulnerable Populations: A Transportation and Emergency Management Toolkit.* The guide outlines step-by-step how to organize and work with public agencies, community-based organizations (CBOs), and businesses to develop a network of working relationships. These relationships will make it possible to communicate with vulnerable populations during all phases of an emergency. The action steps in the guide are simple, well researched, and based on community-wide coordination and collaboration. However, someone must step forward to start the process.

I would like to begin this work. I believe it will take approximately **[define]** percent of my time to make contacts by phone and through meetings; organize and facilitate regular meetings; document meetings and commitments; and maintain the contact database. This work will be useful in **[explain how it supports your agency's mission/charge]**.

I am asking for your support to initiate this work in our agency, then to begin reaching out to other public sector agencies and community-based groups. Not only will it ensure that our agency is meeting its obligations, the effort has the potential to:

- Improve communication and working relationship with our community partners
- Increase our agency's **[visibility or credibility]**
- Improve our knowledge of partner and community activities

If appropriate, I also ask that you seek the support of our **[elected or appointed]** leadership so that all are informed about this and understand the agency's high-level of commitment.

In addition, I ask that you promote this work with your peers in other agencies. Your actions can lay important groundwork so that when I contact my peers in these agencies about participating, they are more likely to get the necessary buy-in from their leadership.

I am available to discuss these requests in more detail.

## 1.1b Securing Leadership Buy-in (cont.)

# Tips for Handling Resistance

Doubt. Caution. Resistance. Reluctance. A network organizer is likely to encounter one of these forms of hesitation when seeking buy-in for the emergency communication network. When you experience another's hesitation about joining the network or committing resources, be curious and learn more before making your case.

The following are tips to help you handle the hesitation you observe:

1. Tune in to phrases like "I don't know . . .", "I'm not sure . . .", "We tried that before." Also watch for body language and facial expressions that convey doubt, concern, or questioning.

2. Check out your observation. Describe in behavioral terms what you see, hear, or sense. Say "I noticed you paused before answering . . . " or "It seems like you were searching for words . . . " "What was going through your mind?"

3. Listen carefully to the speaker's response. Be prepared to ask another question like "I'm not sure I understood exactly . . . " or "Can you tell me more about . . ."

4. Categorize the concerns as:

   a. Concern about the **people** involved: Some people have had bad experiences working with others; some are simply strangers; some only know about one another through other people.

   b. Concern about the **process** to be used: Common concerns include who will make decisions about the network; if the network will tell participating agencies what to do; and how disagreements or changes in circumstances will be handled.

   c. Concern about how the **problem** is defined or is being approached: Some individuals and agencies may believe there is no problem; others may think the problem should be addressed differently.

5. Confirm your understanding of what has been said.

6. Be sensitive to timing. Test whether people want to address their concerns immediately or whether they need some time to think.

7. Lay out an action plan to address concerns or arrange for a time to check back in to test how the speaker's thinking may be changing.

8. Stay in touch no matter what. You sought out this person because she/he is important to the network. If the network moves ahead before the individual makes a commitment, be sure to send invitations, agendas, and meeting summaries as a way of keeping the individual informed. Check in with him/her by phone periodically. You will likely learn valuable information and feedback even if the individual does not decide to join the network.

# 1.2 Tip Sheet on Identifying Vulnerable Populations

**Purpose:** This tip sheet provides a step-by-step process for identifying broad categories of vulnerable populations with communication and transportation barriers.

**Directions:** The first four steps require research and documentation. These steps will take time. The last step involves community engagement of agencies and organizations that serve, advocate for, or represent populations identified in the research.

## Research and Fact Finding

**Step 1:**

Collect population information and demographics. Data sources include:

- United States Census Quick Facts (*1*) (data developed specifically for states, counties, cities)
- Centers for Disease Control and Prevention Snap Shots of State Population Data (*2*)
- Modern Language Association Language Map (*3*)
- State, county, and local government agencies (departments of transportation, economic development, commerce, public health, human services, aging)
- Convention and visitors bureaus (visitors, seasonal changes, special events)
- Grassroots organizations (community-based and faith-based organizations, nonprofit organizations)
- Regional entities (metropolitan planning organizations, councils of government, U.S. Census Complete Count Committees)
- Academic institutions
- National advocacy organizations

To identify vulnerable populations with communication and transportation needs, search for information on:

- Poverty
- Languages spoken at home
- Age (under the age of 18 and over the age of 65)
- Disability (mobility, mental, intellectual, sensory)
- Population density
- Vehicle ownership (including zero-vehicle households) in communities without easy access to frequent public transportation
- Country of origin
- Nightime versus daytime populations

## 1.2 Tip Sheet on Identifying Vulnerable Populations (cont.)

**Step 2:**

Define the prevalent vulnerable populations in your community. Identify the population groups with the largest numbers. Group populations into broad categories that describe the communication barriers that make people vulnerable, such as:

- Poverty
- Limited English proficiency
- Disability (mobility, mental, intellectual, sensory)
- Very young or very old
- Cultural/geographic isolation
- Transit dependent/transportation disadvantaged

**Step 3:**

Document research findings. Include estimates of the number of people in vulnerable populations who live in the community or jurisdiction. Record the information on paper or electronically.

**Step 4:**

Select three to five broad population groups that will provide access to the largest number of people. This list can be expanded as time and resources permit. Selecting a few will let planning begin with a manageable body of information.

**Tip: If staff, time, and budget permit you to address only one population group, start with poverty. Using poverty to identify vulnerable populations can help to locate and reach many people with functional needs and those without access to transportation. Poverty is a sweeping category because many vulnerable population groups live at or below the federal poverty level.**

## Community Engagement

**Step 5:**

Network members should include representatives of agencies and organizations that serve or advocate for populations with functional needs. The **Potential Network Partners** tool in Chapter 1 Tools can help identify the public, voluntary, and private sector agencies and organizations that can reach different vulnerable populations, including those with the following functional needs:

**Communication:** People who have limited ability to receive and act on information in order to function in daily activities. This includes people who are blind or have limited vision; are deaf and hard of hearing; cannot speak; have limited cognitive abilities; have limited English proficiency; and have low literacy skills. This functional need also includes people who live in remote rural areas with few electronic communication channels.

## 1.2 Tip Sheet on Identifying Vulnerable Populations (cont.)

**Transportation:** People who do not drive, do not own a vehicle, or do not have access to public transportation or a private vehicle. This includes carless populations (either by choice or economic disadvantage); people who are unable to drive due to age or disability; people who need accessible transportation (lift equipped) or specially equipped vehicles to transport individuals on oxygen or in an iron lung; and people who live in institutional facilities, such as nursing homes, group homes, or prisons. Populations with this need also consist of travelers who may be stranded at hotels or at airplane, train, bus, or ferry terminals.

**Maintaining independence:** People who need supplies, durable medical equipment, attendants, or caregivers in order to function in daily activities. This need includes people who use wheel chairs, walkers, scooters; people who depend on baby or adult formulas, nutrition, diapers, diabetic supplies, sterile bandages, and gloves; and people who need assistance with bathing, dressing, and feeding themselves.

**Supervision:** People who need assistance and support to cope and function in daily activities. This includes people who have psychiatric disorders (schizophrenia) and other mental illnesses (e.g., traumatic stress, depression, anxiety); people with developmental disabilities; people with Alzheimer's disease and other forms of dementia; young children from birth through elementary school, including latchkey children; adults who are frail or elderly; and prisoners.

**Medical care:** People who need assistance and support from trained medical professionals to manage their medical conditions. This includes people who are on dialysis; receive oxygen or intravenous therapy; need help caring for wounds; or depend on electricity to operate life-sustaining equipment. This group is also comprised of hospital patients and nursing home and assisted living residents.

Identify key contacts at organizations and agencies with connections to the population groups you have selected. Collect phone numbers, e-mail and mail addresses, social media sites, and other information, such as:

- Populations they serve
- How key contacts receive emergency information
- Communication methods they use to reach their target population
- Whether they can provide emergency information to the populations they serve
- How many people they can reach in an emergency and in what time frame

Record this information in an existing contact list, on the **Preliminary Contact Form,** or in the sample **Network Contact Database** in the Chapter 1 Tools section.

## Resources

[1] United States Census Quick Facts

[2] CDC Snap Shots of State Population Data

[3] Modern Language Association Language Map

Adapted from the *Public Health Workbook to Define, Locate, and Reach Special, Vulnerable, and At-Risk Populations in an Emergency.* U.S. Centers for Disease Control and Prevention; and Kailes, J. I. and Enders, A. "Moving Beyond Special Needs." *Journal of Disability Policy Studies.* Vol. 17, No. 4. 2007.

# 1.3 Working with Metropolitan Planning Organizations

**Purpose:** This resource briefly describes the role and potential usefulness of local metropolitan planning organizations (MPOs) in fostering communication with vulnerable populations.

**Directions:** Network members can use this resource to understand different ways MPOs can assist in data assimilation and in policy and grant coordination.

There are 385 MPOs in the United States that represent urban areas with populations over 50,000. MPOs carry out transportation planning processes, including long-range planning (Long Range Transportation Plan or LRTP), short range planning (Transportation Improvement Program or TIP), and an annual program of work (Unified Planning Work Program or UPWP). Many MPOs have expanded their mission beyond transportation, sometimes as part of Regional Planning Councils or other organizational frameworks, to include regional coordination for programs, such as emergency planning, housing, health, and other regional services.

Although the MPO is not listed as a lead or support agency under Emergency Support Function #1 (Transportation) and does not have a typical role in the response or recovery aspects of an evacuation, an MPO can assist with or provide a forum for emergency preparedness, particularly as it relates to vulnerable populations.

1. **A Seat at the Table.** An MPO is required by federal law to have a policy board, which is the decision-making body for transportation projects in the region. The board is made up of local elected officials, state officials, and public agencies that administer or operate major modes of transportation. Transit operators fall within the last group and are there to ensure that transportation investments are multi-modal. Under the policy board, there is almost always a technical coordinating committee (TCC) and usually a citizen's advisory committee (CAC). Larger MPOs may have sub-committees that focus on particular topics. Plugging into one of these committees on the topic of integrating vulnerable populations into the planning process will help bring awareness to the subject. The best way to build relationships with the MPO, other transportation entities, and their representatives and public officials is to attend a policy board, TCC, CAC, or subcommittee meeting.

2. **Mapping.** Many MPOs have the capability to produce various types of maps. They utilize census, safety, travel, employment, and other data to demonstrate the flow of traffic throughout a region. They can also produce maps that show evacuation routes or transit routes ending at shelters. Maps can also show which transit stops are accessible and offer sidewalk connectivity or ADA compliant features. Census data can identify pockets of poverty or zero-vehicle households and hard-to-reach populations. For more information on how Geographic Information System (GIS) can be utilized, see the resource entitled Demographics and Database Research. Agencies can request maps for their own internal meetings and data collection efforts.

## 1.3 Working with Metropolitan Planning Organizations (cont.)

3. **Coordinated Planning.** SAFETEA-LU requires that projects funded under the Job Access Reverse Commute Program (5316), New Freedom (5317), and Elderly and Persons with Disabilities (5310) programs be derived from a locally developed, coordinated plan. The purpose of the Coordinated Human Services Plan is to work with all the agencies that operate transit services for older adults, people with disabilities, and lower incomes to coordinate their services better and identify collective needs for the future. This process puts pen to paper in terms of policy and project recommendations and provides a forum for various agencies and operators.

4. **Pedestrian Planning and ADA Compliance.** MPOs are charged with developing pedestrian plans or integrating pedestrian improvements into the LRTP. In an evacuation, there will be people that need public transit as a means to get to a shelter or to a drop-off point. To limit the number of paratransit vehicles deployed to individual homes, continuous sidewalks, ADA compliant curb ramps, and crossing treatments around transit stops will encourage people with disabilities to go to an advertised pick-up-location. Plugging into the MPOs planning cycle and attending public meetings will help bring these issues to light.

5. **Grants.** Many MPOs coordinate Urban Area Security Initiative (UASI) efforts and grants that can support various emergency planning and implementation initiatives. One-time funding can help get an initiative started. In one instance after an evacuation, a need was identified and the MPO found resources to hold a focus group with CBOs, emergency managers, transportation professionals, and others to discuss communication efforts with vulnerable populations.

# 1.4 Working with Rural Transportation Planning Organizations

**Purpose:** This resource briefly describes Rural Planning Organizations (RPOs).

**Directions:** Network members in rural areas may be able to obtain services and support from an RPO or state DOT similar to those provided by MPOs.

1. **Identify appropriate planning entity.** Institutional arrangements and transportation issues can be more difficult in rural areas than in metropolitan areas. In small communities, no one official entity (such as an MPO) is designated as a planning organization. In some states, the state DOT conducts planning for these areas, while in other states, RPOs or local governments do so.

   RPOs are often housed within regional planning commissions, councils of governments, or regional development organizations.

2. **Get involved.** RPOs are voluntary regional transportation planning entities. They often work with state and local officials to:

   • Identify and set priorities on transportation project needs on a regional basis,

   • Provide technical assistance to local officials, and

   • Assist state transportation officials with public outreach and coordination.

# 1.5 Potential Network Partners

**Purpose:** This list includes examples of local, county, regional, and national resources, such as government, quasi-government, nongovernmental, and private sector agencies and organizations, that may represent or serve functional needs populations in your community.

**Directions:** When building your network, start with a few organizations that represent each functional need and expand as your work continues. Choose the organizations with the largest reach first. Refer to online lists of agencies and organizations for names of local chapters.

## Functional Need: Transportation

- Air services, if applicable
- Amtrak
- Commuter rail
- Emergency medical transport services
- Ferries
- Human service providers
- Metropolitan planning organizations or regional planning councils
- Non-emergency medical transportation services (e.g., dialysis)
- Private coach companies
- Public and private transportation providers
- Rural transportation agencies
- Schools
- State departments of transportation
- Transit and paratransit agencies
- Transportation Coordinating Councils
- Transportation planning departments
- Transportation service providers (e.g., cab and taxi services)
- United We Ride initiatives
- University transportation centers

## Functional Need: Communication

- Agencies serving people who are deaf and hard of hearing
- Agencies serving people who are blind or have low vision
- Agencies that work with individuals with disabilities, immigrants and children, and other human service agencies
- Assistive communication technology programs and services
- Business resources (ethnic grocers, translation services)
- Centers for refugees and immigrants
- Colleges and universities
- Culture-specific faith organizations
- English as a second language programs
- Ethnic media
- Literacy programs
- Local affiliations of national advocacy organizations; for example, organizations serving people who are blind and visually impaired, deaf/blind
- Local ham radio operator network (e.g., Radio Amateur Civil Emergency Service)
- Minority Health Offices
- Multicultural community centers and chambers of commerce
- National Council of La Raza and its Affiliate Network

# 1.5 Potential Network Partners (cont.)

## Functional Need: Maintaining Independence

- Agencies that provide home-delivered meals (e.g., Meals on Wheels)
- American Red Cross
- Area Agencies on Aging/aging services
- Catholic Charities
- Disability organizations and agencies that work with individuals with disabilities
- Faith organizations
- Farm bureaus
- Food banks, homeless shelters
- Hotels, tourism, and visitors organizations
- Independent Living Centers
- Nonprofit organizations — state and local
- Retirement communities
- Salvation Army
- Tribal agencies
- Urban and rural ministries
- Utility services (e.g., water, electric)
- Volunteer Organizations Active in Disaster (VOAD)
- Welfare and income assistance programs (e.g., Women, Infants, and Children [WIC] Program)

## Functional Need: Supervision

- After school programs and volunteer programs (e.g., Big Brothers Big Sisters, YMCA)
- American Association of Retired Persons — local chapter
- Area Agencies on Aging/aging services

- Assisted living facilities
- Behavioral and mental health agencies
- Centers for developmental disabilities
- Child and adult day care centers (contact the state agency responsible for licensing child care providers)
- Child and family services
- Early childhood development centers and learning programs
- Pre-schools
- Schools (public and private, charter, and magnet schools)
- Senior centers
- Social service agencies

## Functional Need: Medical Care

- Federally qualified health centers
- First responders
- Health departments
- Hospice and home health services
- Medical clinics and programs
- Hospitals and other health care facilities
- Nursing homes
- Rural health initiatives
- Substance abuse centers and programs
- Suppliers of durable medical equipment
- Veterans' Hospitals
- Veterans' organizations
- Visiting Nurse Associations

# 1.6 Network Contact Database

**Purpose:** This is a template to organize contacts for building a network.

**Directions:** Complete the information for each public, voluntary, and private entity. Distribute to network members. Set a schedule to regularly update information.

| Full Name | Organization | Title | E-mail | Phone | Cell | Fax | Address | City | State | Zip | Facebook | Twitter | Notes |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
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# 1.7 Preliminary Contact Information

**Purpose:** This form can serve as a preliminary contact list when gathering information about potential network partners.

**Directions:** Use or adapt this form to record information on potential network members.

Name: _____

Position/Title: _____

Agency/Company: _____

Address:_____

City: _____ State: _____ ZIP: _____ County: _____

Telephone: _____ (work) _____ (mobile)

E-mail: _____

Role (in Project if applicable): _____

Notes:

# ADDITIONAL INFORMATION

The following sources contributed to the development of Chapter 1.

**Centers for Disease Control and Prevention (CDC) Snap Shots (SNAPs) of State Population Data**

The CDC SNAPS provides local-level community profile information nationwide. The SNAPS can be browsed by county and state and searched by ZIP code to generate key demographic information for consideration in planning and tailoring communication efforts to reach vulnerable populations.

http://www.bt.cdc.gov/snaps/

**Community Emergency Response Teams (CERTs)**

CERTs educate people about disaster preparedness for hazards that may impact their area and train them in basic disaster response skills, such as fire safety, light search and rescue, team organization, and disaster medical operations. CERT members are trained to assist others in their neighborhood or workplace following an event when professional responders are not immediately available to help. They are encouraged to support emergency response agencies.

http://www.citizencorps.gov/cert/

**Environmental Justice (EJ) website, U.S. DOT, Federal Highway Administration**

This website provides general information, case studies, and training resources on EJ requirements and addressing them in transportation planning and decision making.

http://www.fhwa.dot.gov/environment/ej2.htm

**Integrating Immigrant Families in Emergency Response, Relief, and Rebuilding Efforts, Anne E. Casey Foundation, 2008**

This report offers a framework for how local governments can incorporate LEP residents and immigrants into the emergency planning process. It also addresses how agencies can increase their capacity to communicate with residents.

http://www.aecf.org/KnowledgeCenter/Publications.aspx?pubguid=%7B0D475D3F-96D0-4A25-A208-A9ADB1F5D0DD%7D

**Modern Language Association Map**

This map uses census data to display the locations and numbers of speakers of 33 languages spoken in the United States. Users can search by town, city, county, state, or ZIP code to generate maps of numbers and percentages of languages spoken.

http://www.mla.org/census_main

**National Environmental Policy Act of 1969**

This act requires all federal agencies to "assure for all Americans safe, healthful, productive, and aesthetically and culturally pleasing surroundings" and to "maintain, wherever possible, an environment which supports diversity, and variety of individual choice."

http://ceq.hss.doe.gov/nepa/regs/nepa/nepaeqia.htm

**Special Needs Populations Mapping for Public Health Preparedness**

This tool can help emergency response agencies to develop appropriate strategies for identifying and locating vulnerable populations and incorporating these groups into response planning.

http://www.rand.org/health/projects/special-needs-populations-mapping/

**Title VI of the Civil Rights Act of 1964**

Title VI prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance.

http://www.justice.gov/crt/cor/coord/titlevi.php

**United We Ride (UWR)**

UWR is a federal interagency initiative aimed at improving the availability, quality, and efficient delivery of transportation services for older adults, people with disabilities, and individuals with low incomes.

http://www.unitedweride.gov/

**U.S. Census Bureau**

The census offers several tools for identifying population statistics and demographic information for communities of any size. Data tools, such as the American Fact Finder and Quick Facts, can be useful for finding population and demographic statistics. The census has information and maps of areas with hard-to-reach populations, which were used in the 2010 decennial census. Some State Data Centers may be updating the hard-to-reach areas based on the 2010 census experience.

http://www.census.gov/

**Voluntary Organizations Active in Disaster (VOAD)**

The National VOAD, as well as its local chapters, form coalitions of nonprofit organizations that respond to disasters as part of their overall organizational missions. State VOAD chapters can be located by visiting the National VOAD website.

http://www.nvoad.org/

# CHAPTER 2: BUILD OR ADD TO A NETWORK

**Step 1:**     **Begin Outreach to Key Personnel**

**Step 2:**     **Plan the First Meeting**

**Step 3:**     **Manage the Meeting Logistics**

**Step 4:**     **Conduct the Meeting**

**Step 5:**     **Update Contact List**

**Step 6:**     **Plan Next Steps**

**Step 7:**     **Transition to an Organized Network**

**Step 8:**     **Set Parameters**

**Step 9:**     **Choose a Name for the Network**

**Step 10:**     **Document the Work**

## Definitions

**Accessible:** Having the legally required features and/or qualities that ensure easy entrance, participation, and usability of places, programs, services, and activities by individuals with a wide variety of disabilities. (NIMS definition)

**Americans with Disabilities Act (ADA):** Passed in 1990, the ADA is civil rights legislation that protects individuals with disabilities. It guarantees equal opportunity for individuals with disabilities in public accommodations, employment, transportation, state and local government services, and telecommunications.

## Network Purpose

The types of information needed and the populations to be reached are many and varied. This toolkit provides a network-based communication process that will help communicate emergency information to vulnerable populations, but it's a process that works for regular communications (e.g., changes in bus routes) as well. Planning groups should reflect a community's demographics — ethnicities, languages, and age ranges as well as vulnerabilities.

## Staff Appointments

"It is recommended that the local emergency services office appoint someone involved in some aspect of emergency management to be the representative for CBOs. This person's primary duty is to serve as a point of contact for CBOs and to help initiate and participate in CBO disaster planning meetings."

*Meeting the Needs of Vulnerable People in Times of Disaster: A Guide for Emergency Managers,* California Governor's Office of Emergency Services

Chapter 2 outlines a process for building and organizing a communication network through interagency collaboration. This chapter provides resources and tools to help convene potential network partners.

The process outlined in Chapter 2 is based on proven methods for developing emergency communication networks inclusive of agencies from the public, voluntary, and private sectors in communities experienced in emergency situations that involve a transportation response. These practices underscore the value of advance emergency planning and the importance of connecting with agencies that understand the needs of the people living and working in communities.

# Step 1
# Begin Outreach to Key Personnel

It is important to have a core message to deliver when reaching out to agencies and organizations in the contact list. The **Network Fact Sheet** can help agencies develop the core message. **T**

Call or e-mail to arrange a meeting with key personnel:

- Decision makers
- Representatives able to speak for their agency
- Champions who are committed to vulnerable populations outreach

# Step 2
# Plan the First Meeting

The purpose of an initial meeting is to build understanding of and enthusiasm for a communication network and to explain how individuals and their agencies can contribute.

Planning the first meeting should answer these questions:

- **When and where** will the group meet?

- What is the **meeting format** (e.g., conference call, face-to-face)?

- What is the **meeting's purpose**?

- What is the **core message**?

- What are the **desired outcomes**?

- What **information** will be useful to participants (e.g., the population statistics gathered in Chapter 1)?

- What information should be **collected** from meeting participants (e.g., contact information for participants and a backup contact; recommendations for network members)?

- What is the **agenda**? Step 4 provides possible agenda items.

## Meeting Planning

Attending early morning meetings may be a challenge for people with certain disabilities.

# Step 3
# Manage the Meeting Logistics

The following steps are basic planning functions for more formal meetings and are supported by tools that can make planning easier.

1. Use the **Sample Invitation** to create and send meeting invitations to the contacts gathered in Chapter 1. Include the **Meeting Accommodation Form** to identify the accommodations attendees will require. **T**

2. Ensure the meeting facility is accessible and meets participants' needs. See the **Planning Accessible Meetings** tool and the **Accessible Meeting Facility Checklist** for help. **T**

3. Use the **Meeting Agenda** tool to prepare an agenda. The **Making Meetings Work Tip Sheet** provides ideas for planning the agenda. **T**

4. Provide copies of the agenda and the **Network Fact Sheet** to attendees in advance and at the meeting. **T**

5. Identify a meeting facilitator (see **Choosing a Facilitator** on page 35).

6. Send a reminder to participants before the meeting date.

7. Assign someone to record the meeting notes.

## Choosing a Facilitator

A facilitator keeps meetings on track by following the agenda, encouraging participation by all, and noting when decisions and commitments are made. A facilitator is tasked with guiding the discussion and does not participate or contribute ideas. If a group can't afford a professional facilitator, then appoint an informal facilitator. Look for someone who:

- Is comfortable in front of a group;

- Can diplomatically intervene or even interrupt to keep things on track;

- Can put aside strong feelings to be even-handed and fair;

- Has someone else present from his/her agency to contribute the agency's perspective and knowledge; and

- Can keep an eye on the big picture while helping the group navigate the details of discussions and planning.

**If you are chosen to be a facilitator:**

- Be clear about the purpose and goals, which serve as your roadmap for each meeting.

- Be open with your thinking as you guide the group through agendas and discussions. This will encourage better thinking among the participants (e.g., what items are discussed first, identifying whether more information is needed).

- Be focused on process, not content. The facilitator's role is to guide the discussion so that goals are achieved. Like other network participants, you are likely a content expert and will want to share your thinking. Invite another person from your agency to participate so that your agency's expertise is represented.

- Be even-handed to the best of your ability. Even when people are not completely satisfied with actions and outcomes, they will often support the group's direction if they feel the process is fair and balanced.

- Be steady. The communication network's work may inspire strong feelings related to its importance to the community. Participating agencies may have histories and relationships that need to be managed. Making frequent, small shifts in your thinking and behavior to stay on track when discussions become challenging will help network participants do the same.

# Step 4
# Conduct the Meeting

The first meeting provides information that makes the case for a communication network and helps people understand why they were invited and how they can be involved. The **Sample Presentation Outline** provides a framework for such discussion and can be adapted as needed. **T**

Before the meeting:

- Provide copies of the **Meeting Agenda** and the **Network Fact Sheet**. **T**

- Ask participants to complete the **Sign-in Form**. **T**

When conducting the meeting:

- Make introductions. The **Making Meetings Work Tip Sheet** provides different ice breaker activities as a way to gather information about each participant and set the stage for further discussion. **T**

- Explain the meeting purpose and desired outcomes.

- Use the **Network Fact Sheet** to describe the communication network concept. **T**

- Define vulnerable populations as the context for discussion. Share the demographic data gathered in Chapter 1 to support the definition.

- Allow time for discussion and questions, including:

  — What do you need to know more about?

  — How can the communication network help you better serve clients/stakeholders?

  — What types of information would be useful to you in future meetings?

  — What are important next steps in forming the communication network?

- On the **Sign-in Form,** ask attendees to verify interest in participating in future activities and to provide contact information for others to invite. These referral contacts are critical to expanding the network. **T**

- As a group or individually, complete the evaluation section on the **Meeting Agenda**. Collect the **Sign-in Forms** and agendas at the conclusion of the meeting. **T**

# Step 5
# Update Contact List

The information from the **Sign-in Forms** should be added to the master contact list. A notation that the person has participated in planning meetings will help future users of the list as they plan meetings or look for knowledgeable help. Comparing the contacts to vulnerable population demographics can show potential gaps in contacts. Do the recommendations for additional network contacts address identified gaps? **T**

Referral contacts may include people to invite to subsequent meetings. Provide information about the communication network to all referral contacts.

# Step 6
# Plan Next Steps

Initial meetings are always energizing and end with enthusiasm and promises. Keeping that momentum requires diligent follow-up interaction with members of the network. This can include:

- Engage members early and often. Provide participants with the meeting notes (see the **Follow-Up Memo Template** in Chapter 2 Tools). **T**

- Use the information gathered in the first meeting to determine what comes next. What ideas did people share? What do they want to know more about? If ideas for next steps aren't readily apparent, ask network contacts for suggestions.

- Outline what's needed to advance from a list of contacts to a communication network.

## Network Structure

Networks formed for the purpose of communication with vulnerable populations vary in structure. Most emergency communication networks are volunteer-based; they tend to be informal, ad hoc entities with loose organizational structures that allow a high degree of flexibility. The lead agency typically provides the central structure of the network and the resources (e.g., database functions, meeting space and facilitation, and sometimes more complex assistance such as exercises) to sustain it.

# Step 7
# Transition to an Organized Network

Most communication networks begin as informal interagency coalitions that come together to gather information, gauge interests in working together, and build relationships among member agencies. Common characteristics of informal collaborations include:

- Core group of organizers and members

- Decision making by consensus

- Identified roles for advancing the network

The following activities can help organize the communication network to become more formalized than a contact list.

## Adopt the Network Purpose

An enduring communication network will be based on shared purpose. Together, key network members can define the purpose and seek consensus from other participants. See the **Network Fact Sheet** for a sample purpose statement. **T**

## Communicate Network Benefits

What would motivate agencies that are likely understaffed and under-resourced to become members of a voluntary communication network?

The benefits of collaboration and network participation can encourage contacts to become "communication network members." Benefits include opportunities to:

- Improve vulnerable populations planning and outreach

- Increase agency credibility and rapport with the community

- Meet people in the community that share similar interests and/or purpose

- Know faces, not just names

- Leverage partnerships in daily work

- Share resources and communication responsibilities

- Get and provide help with problem solving

- Strengthen community services

- Offer expertise and experience

- Advance organization's mission

## Create an Organizational Framework

Loosely-knit volunteer organizations are a good start, but the operational requirements of agencies and the demands of emergencies are too great for informal relationships. A really functional vulnerable populations outreach effort will come from a formally organized network. See the sidebar for questions to consider when thinking about an organizational framework.  See the sidebar on page 41 for one example of a framework.

## Develop a Plan for Working Together

Many well-intentioned planning efforts falter because the "housekeeping" work is not assigned. Someone who will follow up steadily is key to keeping the effort going. That person should have a plan, agreed upon by the group, that answers key questions, such as:

- Who will convene the meetings?

- How often will the communication network meet and in what format (e.g., conference calls, face-to-face meetings)?

- What responsibilities can be shared among network members (e.g., regular communication, outreach to new members, meeting logistics)?

## Organizational Framework

Some communication networks have started as a core group of public, voluntary, and private sector agencies that advise the lead agency on communication issues pertaining to vulnerable populations. The advisory body then helps to establish a communication network inclusive of a greater number of agencies and organizations that serve vulnerable populations.

## Organizational Questions to Answer

- Who is the lead agency?

- What types of agencies and organizations are needed to advance the purpose of the network?

- Are committees or subgroups needed?

- How will decisions be made?

- What resources can network members contribute (e.g., staff, time, funding)?

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**Tip:**

Consider seeking network members from other parts of the country (e.g., a counterpart CBO to run phone banks). For example, if a large hurricane threatens a state, a CBO that had agreed to operate phone banks for another CBO may be unable, because they are experiencing the same difficulties. CBOs from other states may be able to help.

## Define Network Goals and Objectives

The goals and objectives should support the network purpose and be used to keep discussions on track and measure performance. See Chapter 2 Tools for the **Goals and Objectives Template**. T

A goal of the communication network might be:

- To improve the capability of response agencies and service providers to provide transportation information to vulnerable populations before, during, and after emergencies.

An example of a short-term objective to support this goal:

- Within the next six months, activate the network to reach vulnerable populations with information about their transportation options during a specific emergency (e.g., hurricanes, earthquakes, flooding, etc.).

## Establish Requirements for Participation in the Communication Network

It is tempting to include in a communication network anyone who wants to help, and indeed, there is always enough work to do that roles can be found for many people. But the core communication network must be built around individuals and agencies that can reliably deliver certain kinds of assistance. Membership criteria for the core group may include:

- Availability and capacity to provide information to vulnerable populations
- Outreach capacity (numbers of people a member can reach)
- Kinds of population groups reached
- Resources available to share (funding, translators, sign language interpreters, captioning services)

# Step 8
## Set Parameters

To function effectively as a communication conduit to vulnerable populations, the communication network will have boundaries. These will differ by locale and may be set by:

- Geographic boundaries
- Local government/jurisdictional boundaries
- Target population groups the network will reach
- Number and types of member organizations

# Step 9
## Choose a Name for the Network

To formalize and "brand" the effort, it is important to name it in a way that best represents the purpose of the network. Examples of names of existing communication networks include:

- Special Needs Advisory Panel
- Community Outreach and Information Network
- Vulnerable Populations Action Team
- Community Communication Network
- At-Risk Planning Coalition

# Step 10
## Document the Work

Documenting all network activities streamlines the effort and ensures that all participants are informed, that valuable insights are captured, and that good work can be carried forward when the network members change, as they will over time. Every meeting should yield a record of who participated, meeting outcomes, and critical next steps.

## Example/Framework

Lynx is the transit agency in Orlando, Florida. Access Lynx is the paratransit service. The Department of Health (DOH) is the lead for identifying vulnerable populations and provides information to Lynx that allows the agency to run all evacuation routes directly to shelters. Lynx has good relationships and role definitions with Emergency Management (EM).

- EM tells Lynx what to do, where to go, how to get to populations (such as people who are homeless).
- EM is the main contact for media about how to access transit and other information.
- Transit personnel go to the Emergency Operations Center in emergencies for coordination purposes and to give briefings.
- DOH provides literature to Access Lynx. When people register for health services, they also get information on personal preparedness.
- Access Lynx and Lynx have a good working relationship and are the same radio frequency as EM.
- Lynx and Access Lynx have mutual aid agreements with other providers in case assets become overwhelmed. They also have quarterly meetings with EM.

Meeting notes and other documentation must be available to participating individuals and agencies.

A description of the communication network belongs in the Emergency Operations Plans (EOPs) of participating agencies. This description could include:

- Demographic information collected and a definition of vulnerable populations

- Details of the first meeting and important outcomes summarized

- A description of the network purpose, organizations involved, organizational framework, and membership criteria

- The **Network Fact Sheet** T

- Sites where contact lists and other information can be accessed

---

**Sample Network Description**

In **[year]**, the **[name of lead agency]** formed a communication network of **[public, voluntary, and private sector organizations]** to strengthen community resilience and outreach to vulnerable populations before, during, and after emergencies. This network promotes communication of critical information to vulnerable populations through trusted messengers.

On **[date]**, an initial meeting was held to target **[examples of agencies]** that are responsible for emergency response or are already serving vulnerable populations in **[define region]**. The purpose of the meeting was to build relationships with potential network partners and provide information about the network concept. The meeting attracted **[number]** attendees.

Attendees received information about the network and were asked to recommend other individuals for inclusion in the network, resulting in **[number]** recommendations. A total of **[number]** verified their interest in network participation. A database of network members is available at **[specify where the database can be accessed]**.

Subsequent meetings determined the network purpose, organizational framework, membership criteria, and roles and responsibilities of member agencies. These include: **[meeting outcomes]**.

---

# CHAPTER 2 TOOLS AND ADDITIONAL INFORMATION

## TOOLS

## ADDITIONAL INFORMATION

# 2.1 Network Fact Sheet

**Purpose:** The Network Fact Sheet provides useful information for building leadership support, developing a core message to use when reaching out to agencies and organizations, and defining the network's purpose.

**Directions:** Fill in bold, bracketed areas with specific information.

## Purpose of the Network

The purpose of this network is to create a mechanism for communicating critical information to vulnerable populations before, during, and after emergencies. The network will be used in times of emergency and nonemergency to deliver messages and collect information that can best serve citizens' health, safety, and welfare needs.

## Target Organizations and Agencies for the Network

**[Name of lead agency]** is targeting the following` mix of government agencies and nongovernmental and private sector organizations to participate in the network:

- Transportation
- Emergency management, public information
- Public safety, public communications
- Emergency response agencies
- Public health and medical services
- Mass care
- Human service providers
- External affairs, public information, public communication
- Mainstream and ethnic media
- Nongovernmental organizations (NGOs) and community-based organizations (CBOs)
- Faith-based organizations (FBOs)

## How the Network Works

The network is intended to function as a two-way communication channel. Emergency information will originate from the **[lead agency]** and will be disseminated to network partners who will then deliver the information to vulnerable populations or the people who can reach them. Network partners are asked to keep **[lead agency]** informed about matters pertaining to the people they serve before, during, and after emergencies.

Members of this network are asked to:

- Be available to receive emergency messages from **[lead agency]**
- Adapt the message for the target audience so they can understand it
- Deliver the message through the most appropriate medium or channel
- Communicate the needs and concerns of the target audience back to the network

## 2.1 Network Fact Sheet (cont.)

Members may be asked to perform other roles depending on whether the network is in the preparedness/planning phase, response phase, or recovery phase. For example:

### *Preparedness/Planning Phase (network is not activated)*

Network members may be asked to:

- Disseminate public education preparedness materials
- Participate in periodic meetings or exercises
- Recommend other people or agencies to participate in the network
- Advise on communication and outreach strategies as well as ways to identify and locate populations with functional needs

### *Response Phase (network is activated)*

Network members may be asked to:

- Be accessible and available to receive information from **[lead agency]** in emergencies
- Communicate critical messages to functional needs populations
- Communicate needs of functional needs populations to **[lead agency]**

### *Recovery Phase (network is activated)*

Network members may be asked to:

- Keep **[lead agency]** informed about the needs of your target populations
- Keep your population groups informed about recovery and re-entry (if necessary) through regular contact with **[lead agency]**
- Participate in after-action reviews

## 2.2 Sample Invitation

**Purpose:** The Sample Invitation template can be used to create postcard or e-mail invitations.

**Directions:** Complete the form by filling in specific information about the meeting. Use with the **Meeting Accommodation Form**.

---

You are invited to help us establish a community network to communicate important transportation and emergency information to vulnerable populations. Let's increase our responsiveness to the diverse communication needs of people in our area. We can't do it alone. We need your support and presence in this process to ensure that our plan is on target and to help us spread the word. Please attend the upcoming meeting at:


Time:

Date:

Place:

Street Address:

City, State ZIP:



Please respond to **[name]** at **[phone or e-mail]** by **[date]**. If you plan to attend, please complete and return the **[enclosed/ attached]** Meeting Accommodation Form to **[name]** by **[date]**.

> Logo of sponsoring organization

---

# 2.3 Meeting Accommodation Form

**Purpose:** This form will help meeting organizers arrange special accommodations required by attendees.

**Directions:** Distribute this form with meeting invitations.

Name:_____

Agency/Organization: _____

Contact information (phone, e-mail, other): _____

I am bringing:
- a personal assistant: ☐ yes ☐ no
- a language translator: ☐ yes ☐ no
- a service animal: ☐ yes ☐ no

Please check materials and services needed.
(To ensure your request is fulfilled, registration must be received by **[date]**).

☐ Sign language interpreter, please specify: ☐ ASL ☐ other _____

☐ Assistive listening device, please specify: _____

☐ Language translator, please specify: _____

☐ Other assistance (transportation): _____

☐ I will be using a wheelchair at the meeting
(This information is needed to plan for space accommodations.)

☐ Special dietary requirements, please specify: _____

☐ Chemical sensitivity

☐ Childcare (number, ages) _____

**Please return this form by [date] to:**

**[Name], [Address], [City], [State], [ZIP], [Fax], [E-mail]**

Adapted from: Kailes, J. I. and Jones, D. *A Guide to Planning Accessible Meetings.* Houston, Texas: Independent Living Research Utilization (ILRU), Research and Training Center on Independent Living. 1993.

# 2.4 Planning Accessible Meetings

**Purpose:** The tip sheet provides tactics to consider when preparing for a meeting.

**Directions:** Use this tip sheet, the **Accessible Meeting Facility Checklist**, and the **Meeting Accommodation Form** to ensure the meeting space and communication options are accessible to all participants.

## Tip Sheet on Planning Accessible Meetings

- Ask all invitees if they have specific needs through a phone call or through questions on a registration form that can be sent in advance to all participants. (See **Meeting Accommodation Form**).

- Turn to local community organizations that provide direct services to people who are blind or visually impaired, deaf or hard of hearing, or have limited mobility to help you meet some of the identified needs.

- Visit the meeting site to find out if the facility is accessible to people who are in wheelchairs or have other disabilities. For example, if the site does not have accessible parking or a drop-off/loading area near an accessible entrance, consider another meeting venue. (See the **Accessible Meeting Facility Checklist** for specific details.

- Ask local Independent Living Centers or other community-based organizations that provide services to people with limited mobility or other types of physical disabilities to help evaluate a meeting site.

- Make arrangements with the food service provider to accommodate the dietary needs of your guests if the meeting is scheduled around a meal. Otherwise, offer simple refreshments that might not compromise the invitee's health, such as fruit and bottled water.

- Design nametags printed in at least a 20-point font to be worn around the neck rather than with a clip or pin.

- Provide maps to indicate accessible parking spaces, drop-off and loading areas, accessible entrances, restrooms, water fountains, and accessible emergency exits.

- Ask people who do not read or understand English well if they will need a translator for the meeting.

- Be prepared to provide appropriate sign language interpreter, auxiliary aid, or other service per ADA, Title II, Section 7 (Communications) and FEMA Functional Needs Support Services requirements for people who are deaf, hard of hearing, blind, or have low vision.

- Ask participants to avoid wearing cologne, perfume, or other scents in consideration of people with chemical sensitivity.

- A service animal is always allowed. Staff training may be required to reinforce this.

The Americans with Disabilities Act states that "reasonable solutions be found to address the needs of the disabled, whether it be through 'readily achievable' architectural modifications or through auxiliary aids that do not put an 'undue burden' on the meeting sponsor or public accommodation."

For example, if someone is present to read a form to an attendee who is blind, a Braille form will not be necessary.

**An accessible route of travel means a path**

- 36" wide (interior corridor)

- 44" wide (exterior walkway or ramp) without abrupt changes greater than 1/4"

- Accessible by everyone

- With a smooth, hard surface with access from parking to primary building entrance(s), through the interior of the building to meeting rooms, restrooms, or lobbies

http://www.ada.gov/business/accessiblemtg.htm provides more detailed guidance.

# 2.5 Accessible Meeting Facility Checklist

**Purpose:** This checklist is a guide that presents minimum standards for an accessible meeting site. It does not replace the Americans with Disabilities Act requirements or state or local building codes. Buildings constructed after 2002 generally should meet or exceed these standards.

**Directions:** Many of these standards are technical. Consult with an architect, building codes department, or public and community organizations who serve people with disabilities if in doubt.

## Signage

☐ International Symbol of Accessibility used to designate reserved parking, accessible entrances, routes, and restrooms

## Exterior Surfaces, Interior Floors, and Landings

☐ Level

☐ Firm, non-slip surface

☐ Free of obstructions

☐ No recent carpet cleaning

## Parking

☐ Parking spaces designated for individuals with disabilities in close proximity to site

☐ At least one van space

☐ If unpaved, size of gravel less than 1/3"

☐ Curb cut, ramp, or level area to walkway or to entrance of facility

## Meeting Rooms and Common Use Areas

☐ Ramps for raised platforms, speaking areas

☐ Audible and visible alarm system

☐ Unobstructed viewing position from wheelchair seating

☐ Assisted listening devices or audio aids

☐ Multiple outlets for laptops or other electronic devices

☐ No painting under way in facility

## Entrances, Interior Doors

☐ Passenger drop-off and loading zone near accessible entrance with an unobstructed access aisle adjacent and parallel to the vehicle pull-up space

☐ Doors have a clear opening width of 32"; elevator door has 36" minimum clear opening

☐ At least one primary entrance accessible door

☐ Alternate accessible entrance for a revolving door

☐ Thresholds level, no higher than 1/4"

☐ Lever or loop-type handles on doors

☐ Door pressure 5 pounds maximum or automatic door

## Ramps, Walkways, Interior Stairways, and Corridors

☐ 36" minimum interior width

☐ Ramps have maximum slope of 1': 12' and no more than 30" of rise between level landings

☐ 5' x 5' level landings on top and bottom

☐ An 18" clear maneuvering space at the pull side of the door

☐ Graspable handrails on both sides, 34"- 38" high, properly secured

☐ No open risers (steps)

## 2.5 Accessible Meeting Facility Checklist (cont.)

### Elevators

- ☐ Serves all floors and public meeting areas
- ☐ Audible and visible signals in hallway and elevator interior that indicate both UP and DOWN directions of elevator
- ☐ Reopening device that will reopen a door automatically if the door becomes obstructed
- ☐ Visible and audible signals provided at each entrance to indicate which car is answering a call

### Public Restrooms (Men and Women)

- ☐ On an accessible route of travel to and from meeting room
- ☐ At least one accessible stall
- ☐ High contrast, non-glare sign, raised print and Braille between 48"- 60" from floor located on latch side of door
- ☐ Stall width 60" x 56" with floor mounted toilet or 60" x 59" with wall mounted toilet
- ☐ Grab bars side and back, above and parallel to floor
- ☐ Toilet seat 17"- 19" high
- ☐ Lever-type faucets (or automatic)

### General

- ☐ Service animal accommodations

Note:   The symbol ' stands for foot or feet.
        The symbol " stands for inch or inches.

# 2.6 Meeting Agenda

**Purpose:** The Meeting Agenda template can help organize the first and subsequent meetings.

**Directions:** Fill in the top part of the agenda and distribute to all participants. Complete the

last third as a group at the end of the meeting.

[Agency Logo Here]                                                    [Partner Logo Here if needed]

# Agenda

| Organizing Agency: | | |
|---|---|---|
| Date: | Time: | |
| Facilitator: | Phone Number: | |
| Location: | | |

| Meeting Attendees — Name | Agency/Organization Represented | |
|---|---|---|
| | | |

| Agenda Items | Time & Lead | Notes/Decisions/Next Steps |
|---|---|---|
| Review purpose of the meeting and introductions | | |
| Discussion questions | | |
| Discuss and approve action items | | |
| Wrap-up/Next Steps | | |

| Evaluate this meeting: | One action to be improved for the next meeting: | Plan the next meeting: |
|---|---|---|
| Y/N  We stayed on track.<br>Y/N  Everyone participated.<br>Y/N  We achieved the meeting purpose.<br>Y/N  We clarified our next steps.<br>Y/N  Meeting time was time well spent. | | Purpose:<br>Date:<br>Facilitator:<br>Notetaker:<br>Timekeeper: |

# 2.7 Making Meetings Work Tip Sheet

This tip sheet can help planners maximize use of the participants' time by anticipating potential concerns in the invitation stage and during the actual meeting.

The tip sheet is divided into two parts: **Before the Meeting** can be used to create actionable agendas. **Openings that Create Meaning** can be used to plan introductory activities to accelerate the development of working relationships.

## Before the Meeting

Invitees usually have predictable questions about a meeting. Customize the list below to meet specific needs. Use prompts that follow the questions to guide the development of your invitations, agenda, and background materials.

1. **What's the purpose of this meeting?** State succinctly in the invitation and at the beginning of the meeting why the group has been convened and what will be accomplished.
2. **Who's in charge?** Distinguish who's in charge of organizing and facilitating meetings and who is responsible for decisions.
3. **Who else will participate?** Share the list of invitees prior to the meeting.
4. **Will this be a good use of my time?** Stick to a specific start and finish time. Plan to serve as a facilitator or ask someone skilled in facilitation to guide the meeting so that the discussion moves forward and the group doesn't get sidetracked. (See Choosing a Facilitator on page 35.)
5. **What's the agenda?** Participants appreciate when the agenda is distributed in advance and at the meeting. Clarify which agenda items are for information only, for discussion, and/or for action or decision. Provide background information before the meeting.
6. **How do I know that what we do will make us move forward?** Inform invitees that notes will be taken and meeting summaries will be available to all on a timely basis; consider hosting a shared space for documents online. Documentation reduces time spent covering old ground or revisiting decisions.
7. **Will there be refreshments?** Creature comforts matter! Plan to offer water or simple refreshments, such as soft drinks. Acts of hospitality mirror openness and receptivity. Do mention breaks, even if it's only to tell people that they can excuse themselves as needed. Use the Meeting Accommodation Form to plan refreshments that all can enjoy.

## Openings that Create Meaning

Opening exercises can help participants quickly understand who each member is and the organizations represented. Exercises can also create common language and experience.

When you plan for openings, keep in mind:

1. **Relevance.** Make sure the exercise is closely related to the group's purpose and will move the group forward in accomplishing its tasks.

## 2.7 Making Meetings Work Tip Sheet (cont.)

2. **Time needed.** Estimate how much time an activity will require and account for that time in the agenda. Simple self-introductions (name, organization, position, and the transition to the next individual) can take 60-90 seconds per person. For additional open-ended questions, such as, "What do you hope to learn today?" count on another 60-90 seconds per person.

3. **Sensitivity.** Avoid exercises that require self-disclosure that might be uncomfortable or inappropriate for the setting. Give thought about how to facilitate the activity from a non-judgmental stance. As an issue comes to the surface of people's minds, leave it to them individually to assign importance or meaning.

4. **Focus.** Consider whether the activity may raise different questions or issues that will pull the group away from its primary purpose. Plan for how to capture the issues for later discussion or redirect the group back to the intended purpose.

### Opening A: Who has special needs?

**Purpose:** This exercise can expand participants' thinking about vulnerable populations beyond those with mobility needs, sensory deficit, and medical special needs. These questions can also be used to introduce the National Response Framework's definition of vulnerable populations.

**Process:** Allow for thought between each question. Ask participants to reflect silently or raise their hands; be mindful that some of these questions require people to consider their personal circumstances. Some participants may be reluctant to reveal their answers in an open forum.

### Questions:

1. Have you ever had a broken leg or needed crutches and/or a cast for more than two weeks?
2. Do you have a family member under the age of 5? Someone over the age of 80? 90?
3. Do you know of any children between 5 and 12 years old who are frequently unsupervised even for short periods of time?
4. Have you or someone you know ever been without a car or easy access to public transportation for one or more weeks?
5. Have you or someone you know been unemployed or otherwise without steady income for a prolonged time?
6. Do you know anyone who speaks very limited English or is learning English as a second language?
7. Do you know anyone who is hard of hearing? Wears a hearing aid?
8. Do you know or have someone in your family who is reliant on medication? Medical devices?

### Wrap-up

*Option A:* Share the National Response Framework definition of vulnerable populations (hand out and/or project the definition on a screen). The definition is provided in the Introduction of this report.

## 2.7 Making Meetings Work Tip Sheet (cont.)

*Option B:* Read a quote, such as the following from Alan Frazier, National Fire Protection Association:

> *Disability is not about a specific group of people. Disability is about a specific time in the life of each and every one of us. For some, it may be temporary, for others, it may last much longer. As a society, we have mistakenly adopted a mindset that divides us into two groups, "able-bodied" and "disabled." The fact is that we all will have special communication needs and/or be part of the disabled community for some time in our lives. If we act from the perspective of what we would want when, rather than if, we become disabled, we truly will be able to make great progress for all people.*

*Final observation:* We all spend time as a member of a vulnerable population at some point in our lives.

**Transition**

Plan how to use the above exercise to transition to the next item on the agenda.

### Opening B: Getting to know each other and our organizations

**Purpose:** Many networks may be composed of people and agencies that have previously worked together, currently work together, or have other interconnected working relationships. The following questions can be used to open several meetings to increase firsthand information and to encourage dialogue among participants about issues that affect their mutual tasks. This exercise is designed for the opening phases of organizing a network.

**Process:** Use one question per meeting. Pose the question then give participants 10 seconds to think about their response before opening up the floor. Indicate whether participants may take a "pass." The chair or facilitator may opt to go around the room from one side to the other ("rolling thunder") or allow people to volunteer ("popcorn"); if using the popcorn method, be prepared to keep track of who has spoken, providing opportunity for those who have not and respecting those who wish to pass. Listen carefully for issues that may merit discussion under another agenda item or at a later time. Also listen for areas of curiosity or inquiry that may yield a future opening question.

Prepare participants for the likelihood of hearing information or perspectives that do not match their individual experiences. Describe the gap between what they hear and what they have experienced as an opportunity to seek more information and a broader understanding of how their respective agencies work and think. Offer assistance in framing questions neutrally if individuals struggle with how to ask a clarifying question without it sounding like an attack or criticism.

**Example questions:**

- *Meeting One: Describe your agency's role.*
  Participants are invited to describe the role their agency plays in communicating with vulnerable populations before, during, and after an emergency.

- *Meeting Two: Say what you wish others understood.*
  What do you wish other organizations understood more clearly about your agency's communication responsibilities to vulnerable populations at any phase of an emergency?

- *Meeting Three: Share what you learned about another agency.*
  What did you hear about another agency's role that surprised you?

    Follow-up Option #1: What does that mean for how your agency operates in a joint activity with that agency?

    Follow-up Option #2: What new questions does that information prompt?

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## 2.7 Making Meetings Work Tip Sheet (cont.)

- ***Meeting Four: Describe any gaps.***
  As you think about the information you've heard and learned through the first three meetings, where do you see gaps in meeting the purpose(s) of the network?

For future meetings, develop appropriate questions and/or schedule a "check-in" for people to share successes or concerns.

### Transition
For each meeting and question, listen for points of information or thoughts that link to the planned agenda. While the chair or facilitator cannot plan precisely for what is heard, experienced listeners are almost guaranteed to hear something upon which to build a bridge to the remaining agenda.

### Opening C: WIIFM exercise — "What's in it for me?"
**Purpose:** Participants may have to explain repeatedly to their agency or co-workers the value of the time they are committing to the network. The following questions will encourage participants to reflect on the value they are obtaining through network participation as well as introduce them to different language and perspectives related to organizational value.

**Process:** Use the questions over a series of meetings. When posing a question, give the participants 10 seconds to think before soliciting responses. Indicate whether participants may take a "pass." The chair or facilitator may opt to go around the room from one side to the other or allow people to volunteer. Be prepared to keep track of who has spoken; provide opportunity for those who have not and respect those who wish to pass. Listen carefully for issues that may merit discussion under other agenda items or at a later time.

### Example questions:
- ***Meeting One: What you've learned.*** Name one thing you have learned so far while participating in this network.
- ***Meeting Two: An idea you've used.*** Describe an idea from the network that you took back to your agency and implemented.
- ***Meeting Three: Questions you've encountered.*** What's the most common question you get from co-workers about this network and how do you answer?
- ***Meeting Four: Valuable connections you've made.*** What connections have you made through the network that are helping you accomplish other agency/organization goals?

For future meetings, plan similar questions based on themes that arise during discussions.

### Transition
For each meeting and question, listen for points of information or thoughts that link to the planned agenda. While the chair or facilitator cannot plan precisely for what will be heard, listen for ideas that tie to the remaining agenda.

# 2.8 Sample Presentation Outline

The following presentation outline provides a framework for introducing the communication network concept to potential partners. Adapt the content to meet local needs. Fill in bold, bracketed areas with specific information.

**[Title Slide/Opening Slide]**

Emergency Communication with Vulnerable Populations
How Your Agency Can be Involved

**Date**

**Slide 2**
Why is planning for vulnerable populations important to **[lead agency]**?

**Slide 3**
How does **[lead agency]** define "vulnerable populations?"

**Slide 4**
Where are vulnerable populations located?

**Slide 5**
What are typical hazards that threaten our community?

**Slide 6**
What populations will be difficult to reach in emergencies?

**Slide 7**
What is a communication network?

**Slide 8**
Why form a communication network?

**Slide 9**
Why is your organization critical to forming a communication network?

**Slide 10**
Why get involved? What are the benefits?

**Slide 11**
What would you be asked to do?

**Slide 12**
How would the communication network operate?

**Slide 13**
What are important next steps?

**Slide 14**
Who is the point of contact for the communication network?

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# 2.9 Sign-in Form

This form can be used at the first meeting to capture information about attendees who may become network partners. The form can also be used at subsequent meetings when new members attend. This form can be used as a simple contact list and filed with the lead agency's EOP.

Name: _____

Position/Title: _____

Agency/Company: _____

Address: _____

City: _____ State: _____ ZIP: _____

County: _____

Telephone: _____ Fax: _____

E-mail: _____

Role (in project if applicable) _____

☐ Do you or your agency work with or represent any individuals or groups that may be considered vulnerable* ?

Briefly describe your relationship and the population group(s) you represent:

_____

_____

_____

☐ Do you know others who might be interested in this work?

_____

_____

_____

☐ Would you like to be notified about future meetings and activities?

*Populations whose members may have additional needs before, during, and after an incident in functional areas, including but not limited to: maintaining independence, communication, transportation, supervision, and medical care. (From the National Response Framework)

# 2.10 Follow-up Memo Template

**Purpose:** This template provides a framework for documenting meetings, exercises, and other activities. It can be used to keep attendees (and those who could not attend) informed.

**Directions:** Complete the follow-up memo after network activities and send to network partners.

---

MEMO: **[Subject]**

DATE:

TO: **[Names of all meeting participants or members of communication network]**

FROM: **[Communication Network Name]**

**[CONTENTS:**
- **Thank you for participating**
- **General report on meeting, exercise, or other activities**
- **Follow-up assignments**
- Actions/recommendations
- Assigned to:
- Expected completion date
- Report progress to whom, when]

ATTACHMENTS
**[Meeting minutes, After Action Report, exercise evaluation, etc.]**

---

# 2.11 Goals and Objectives Template

**Purpose:** This tool can help planners think through the communication goals and objectives that will help direct resources to the areas that matter most to transportation and emergency managers and their network partners.

**Directions:** The communication goals and objectives tie into and support the purpose for the network and align with organizational and emergency plans of network partners. A small group or committee can start this process, then present recommendations to the network members for discussion and adoption. Setting goals and objectives can be done over a period of time and be reviewed annually to measure accomplishments.

## Setting Communication Goals

A goal is a broad statement of purpose that will guide planning. Your goals will address critical issues. Have no more than three goals for the entire plan. When planning goals ask: What do you want to happen?

Goal 1: _____

Goal 2: _____

Goal 3: _____

## Setting Communication Objectives

Each goal will have measurable objectives that are specific and measurable. What is to be achieved? What is the desired future result toward which your present efforts are directed? Set short-term and long-term objectives. Make sure all objectives relate directly to the purpose and communication function of the network.

**Goal 1**: _____

    Objective 1.1: _____

    Objective 1.2: _____

    Objective 1.3: _____

    Objective 1.4: _____

**Goal 2:** _____

    Objective 2.1: _____

    Objective 2.2: _____

    Objective 2.3: _____

    Objective 2.4: _____

**Goal 3:** _____

    Objective 3.1: _____

    Objective 3.2: _____

    Objective 3.3: _____

    Objective 3.4: _____

# ADDITIONAL INFORMATION

The following sources contributed to the development of Chapter 2.

**Accessible Meeting Facilities Checklist/Governor's Committee on Disability Issues and Employment**
This checklist from the state of Washington was developed to determine if a meeting space is accessible per Americans with Disabilities Act (ADA) Accessibility Guidelines.
http://www.ga.wa.gov/ada/instlist.htm

*Accessibility Checklist,* **Kentucky Cabinet for Workforce Development, Kentucky Department of Vocational Rehabilitation, 2001 Edition**
This checklist is a resource for identifying architectural and communication barriers encountered by people with disabilities in public and private facilities.
http://ada.ky.gov/documents/Checklist_2000.pdf

**ADA Best Practices Toolkit for State and Local Governments, Chapter 7, Emergency Management Under Title II of the ADA.** This guide from the Department of Justice includes guidance and a comprehensive Title II 49 question checklist (Addendum 1) with action recommendations.
http://www.ada.gov/pcatoolkit/chap7emergencymgmt.htm

**Emergency Planning for At-Risk Groups: A Toolkit for Local Health Departments**
This toolkit provides case studies, tips, and resources that can be useful to emergency response agencies, such as transportation and emergency management, interested in improving outreach to vulnerable populations. Tools for collaboration and identifying and providing services to vulnerable populations are included.
http://nccphp.sph.unc.edu/at-riskplanning/

*How to Engage Low-Literacy and Limited English-Proficiency Populations in Transportation Planning,* **Federal Highway Administration (FHWA), 2006**
This report for FHWA documents best practices in 30 states in providing meaningful access to transportation decision making to all people.
http://www.fhwa.dot.gov/hep/lowlim/webbook.pdf

***Making Accessibility Real: A Guide for Planning, Meetings, Conferences and Gatherings,*** **The Home and Community Based Services Resources Network**
This resource provides strategies and suggestions for making meetings and conferences accessible to all participants.
http://tcsip.tarjancenter.ucla.edu/docs/HCBSAccessibleMeetings.pdf

***Meeting the Needs of Vulnerable People in Times of Disaster: A Guide for Emergency Managers,*** **California Governor's Office of Emergency Services, May 2000**
This guide provides practical resources and tools to assist emergency management professionals and volunteers to meet the needs of vulnerable people in times of disaster. It provides a basis for improved coordination and emergency management planning in supporting people with special needs.
http://cms.calema.ca.gov/preparednesshome.aspx

***Public Health Workbook To Define, Locate, and Reach Special, Vulnerable, and At-risk Populations in an Emergency,*** **Centers for Disease Control and Prevention (CDC)**
This resource provides a process and tools that will help planners to define, locate, and reach vulnerable populations in an emergency. The workbook has been submitted for CDC clearance. A draft version is available online.
http://www.bt.cdc.gov/workbook/

# CHAPTER 3: COMMUNICATE THROUGH THE NETWORK

Step 1:     **Define Communication Procedures**

Step 2:     **Establish Communication Roles and Responsibilities**

Step 3:     **Assess Communication Resources**

Step 4:     **Reassess Hazards and Community Vulnerability**

Step 5:     **Plan for Communicating about Transportation**

Step 6:     **Test the Network**

Step 7:     **Communicate through the Network**

Step 8:     **Document the Work**

## Definitions

### Emergency Alert System (EAS)

The EAS is designed to provide the President with a means to address the American people in the event of a national emergency. Beginning in 1963, the President permitted state and local emergency information to be transmitted using the system. Since then, local emergency management personnel have used the EAS to relay local emergency messages via broadcast stations, cable, and wireless cable systems. In October 2005, the Federal Communications Commission expanded the EAS rules to require EAS participation by digital television broadcasters, digital cable television providers, digital broadcast radio, digital audio radio service, and direct broadcast satellite systems.

### American Sign Language (ASL)

ASL is a complete, complex language that employs signs made with the hands and other movements, including facial expressions and postures of the body. It is the first language of many deaf North Americans, and one of several communication options available to deaf people. ASL is said to be the fourth most commonly used language in the United States.

## Interagency Network

The Seattle Emergency Support Function (ESF)-6 Group is a team of public sector and nongovernmental agencies — and subsets of it combined with other community partners — that can be called at any time to address ESF-6 issues (e.g., Mass Care, Housing and Human Services, and other ESFs). This group is also part of the Health and Human Services Branch in the Seattle Emergency Operations Center.

The ESF-6 Group organizes and operates public sheltering and food, and it coordinates human services support during all five phases of emergency management activities: prevention, preparedness, response, recovery, and mitigation. It also reaches into local communities and vulnerable populations. The group distributes e-mail alerts to more than 100 people on a distribution list, conducts after action surveys and reports, conducts exercises, and maintains a contact list of ESF-6 partners.

At this stage of the collaborative process, a communication network has a basic structure and core group of members. Chapter 3 focuses on using the network as a communication tool for information delivery to vulnerable populations. Chapter 3 activities can be implemented in any order. The activities in this chapter address planning and operational aspects of the communication network, such as:

- Creating basic procedures for how the network will operate
- Establishing communication roles and responsibilities
- Identifying available communication resources
- Assessing hazards and community vulnerability
- Planning for communication about transportation
- Testing the network

Chapter 3 helps to refine and institutionalize the organizational and operational framework of the network. The activities outlined in Chapter 3 create standards for communication procedures, roles, and responsibilities. These provide methods for message delivery and for evaluating the network's ability to function as a communication conduit to vulnerable populations.

# Step 1
# Define Communication Procedures

To be effective, the communication network should have agreed-upon operations procedures. This protocol answers fundamental questions in advance of emergencies so that no time is lost when the network is activated for a crisis. Questions to be answered include:

- What does it mean to activate the network?

- What agency is responsible for activating the communication network?

- Under what circumstances will the network be activated?

- What methods of communication (e.g., e-mail, telephone) will be used to send notifications to network members?

- How can network partners communicate information back to the lead agency?

Figures 3.1 and 3.2 illustrate how the communication network would operate and engage network members to deliver information to vulnerable populations.
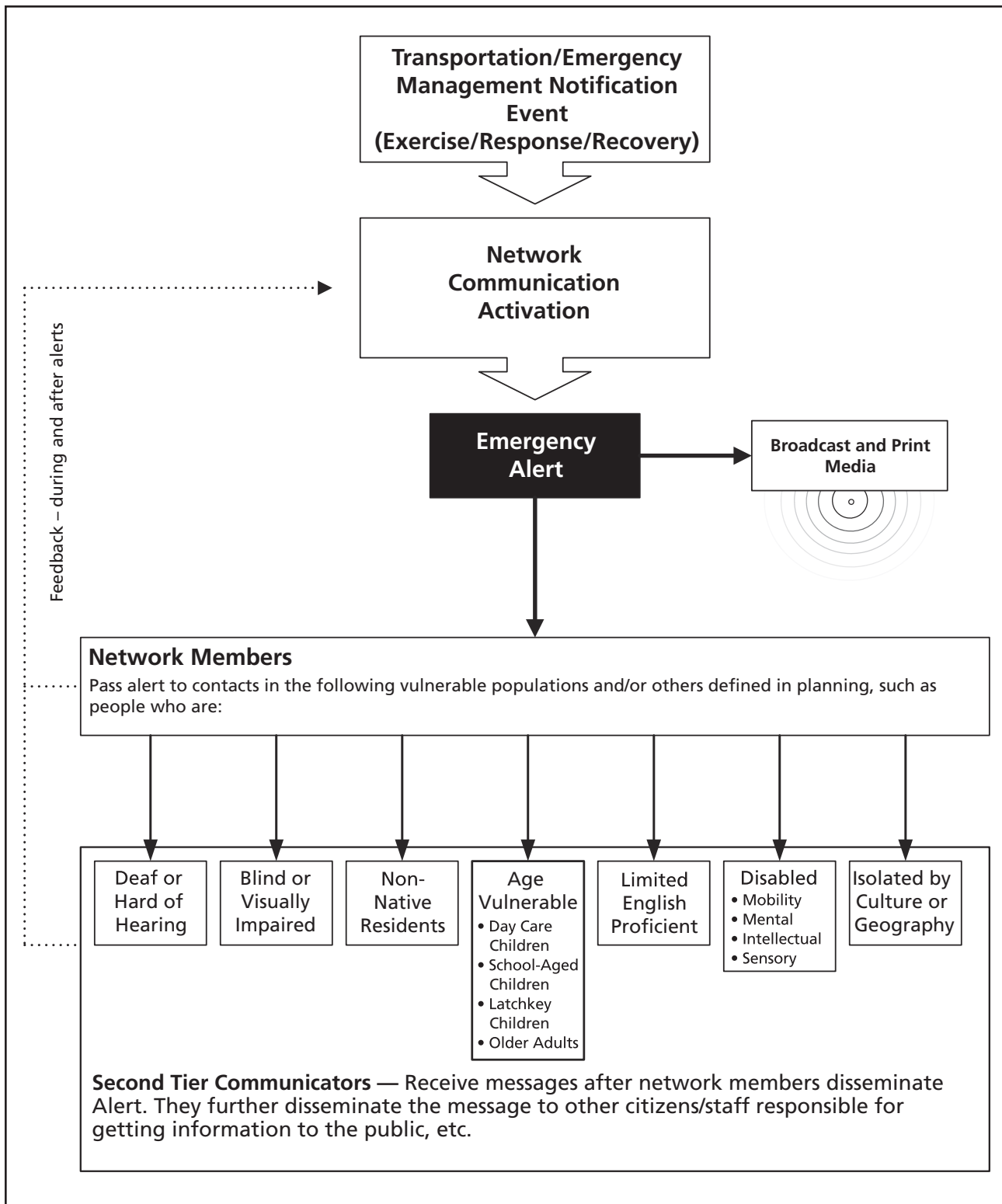
*Figure 3.1: Network Communication Process Example*

Adapted from Kentucky Cabinet for Health and Family Services/Department for Public Health. *User's Guide to the KOIN Training Video: A Network to Foster Community Preparedness.*

**Transportation/Emergency Management Notification Event (Exercise/Response/Recovery)**

**Network Communication Activation**

Feedback – during and after alerts

**Preparedness/Exercise Alert or Response Alert or Recovery Alert**

**Emergency Alert**

**Broadcast and Print Media**

**First Tier Communicator –** Example Position: Principal

Example Organization: School for the Deaf/Hard of Hearing

**Second Tier Communicators**

*Message Modes: E-mail, Text Message, Phone Tree, Door-to-Door (classrooms), Video Phone*

*Message Modes: E-mail, Text Message, Phone Tree, Video Phone*

*Message Modes: Door-to-Door (classrooms)*

**1st Contact:**

School faculty and staff (teachers, counselors, etc.)

**2nd Contact:**

Parents

**3rd Contact:**

Students

*Message Modes: E-mail, Text Message, Phone Tree, Video Phone*

*Message Modes: Text Message, Video Phone, E-mail*

**Contact:** Families of school faculty and staff

**Contact:** Other area deaf/hard of hearing schools

**Contact:** Other area deaf/hard of hearing educators

**Contact:** Other youth in the community who are deaf/hard of hearing

*Figure 3.2: Network Activation for Message Delivery*

Adapted from Kentucky Cabinet for Health and Family Services/Department for Public Health. *User's Guide to the KOIN Training Video: A Network to Foster Community Preparedness.*

## Questions about Communication Roles and Responsibilities

Discuss communication roles and responsibilities with network members:

- What will network members be asked to do when they receive an alert or notification from the lead agency?

- How do communication roles and responsibilities change in different phases of an emergency — planning, response, and recovery?

- Are network members available to perform communication roles outside of work hours?

- Will network members require approval from their leadership to fulfill these communication roles?

- How do the public information/ communication roles of public sector partners differ from the roles assumed by partners from the voluntary and private sectors?

# Step 2
# Establish Communication Roles and Responsibilities

Network members will carry out different communication roles and responsibilities. Examples of roles and responsibilities include:

- Be available to receive a message from the lead agency before, during, and after emergencies.

- Adapt the message so that people with varied needs can understand and receive the information (e.g., translate the information into a different language, simplify the content of the message).

- Deliver the message through the appropriate channels.

The **Network Member Roles and Responsibilities** template can be used as a discussion tool and adapted to fit local networks. **T**

Network members will need guidance on how to perform their roles and responsibilities in different phases of an emergency (planning, response, recovery). For example, in the planning phase, network members may be asked to:

- Prepare a list of people they will contact after receiving an alert from the lead agency

- Keep copies of a contact list in multiple places — at work, on a mobile device or flash drive, and at home

The **Network Member Planning Checklist** in Chapter 3 Tools lists actions network members can perform in different phases of an emergency. **T**

# Step 3
# Assess Communication Resources

The two most important aspects of communicating a message are the source and the means of delivery. In most situations, these matter more than content. Content is lost if the source is not trusted or the message delivery doesn't connect the information and the intended recipient. The **Communication Channels by Sector** tool helps to identify delivery channels and methods used by agencies in the public, voluntary, and private sectors. **T**

## Identify Agency Communication Resources

- What do transportation and emergency management agencies use for message delivery?

  — **Transportation Examples:** Fliers on buses, e-mail or text messages to patrons, website/web-based alerts, highway dynamic message signs or portable message boards, driver or station alerts, paratransit committees or other organized groups, regular public meetings

  — **Emergency Management Examples:** weather alerts, Emergency Alert System, websites, public service announcements, automated outbound calls, cell phone alerts, 2-1-1 or 3-1-1, registries, National Oceanic and Atmospheric Administration Weather Radio All Hazards

- What are the limitations of these methods in reaching vulnerable populations, such as people who cannot read, speak English, see, or hear?

- What gaps need to be filled?

## Social Service Providers Can Help

Although urban and rural areas have different availability to public transportation, social service agencies usually provide at least some communication, outreach, and transportation resources for special groups in both areas. The people who provide and support multiple transportation and related services include paratransit drivers and dispatchers, Meals on Wheels volunteers, home health care service providers, drivers for day care for all ages, school bus drivers, dispatchers, and others. Collectively, they have a large body of knowledge that can be tapped to locate and communicate with many of the most vulnerable in urban, suburban, and rural communities. In many cases, these people are already trusted messengers.

## Identify Communication Resources within the Network

What communication methods do network members who represent vulnerable populations use to reach into those groups?

- Call centers/hotlines
- Social media (e.g., Facebook, Twitter)
- Door-to-door warning system
- E-mail notification
- News media
- Phone tree
- Text messaging
- Websites

What types of communication services and resources can help the network reach individuals in vulnerable population groups?

- Braille resources
- Contact lists
- Established outreach networks
- Language translators
- Partnerships with media, community groups, faith-based organizations (FBOs), businesses
- Sign language interpretation
- Voluntary registries

## Voluntary Registries

Voluntary registries are a tool for communicating with vulnerable populations. Opinions on using registries vary. Perceived benefits to using registries include:

- Registries help to identify individuals who require specialized assistance in emergencies and provide immediate information to responders.

- They enable advance communication and education with vulnerable populations and may facilitate interagency collaboration.

Registries also have disadvantages.
- Privacy and security are issues with registries. Individuals may refuse to provide contact information or identify themselves as vulnerable. An indeterminate number of people who will require assistance may not be included in registries because they were unaware of them, they chose not to register, their circumstances have changed since the registration period, or they have other reasons.

- Anecdotal evidence from interviews and conversations suggests that in some instances registries can create an unrealistic expectation of care or false sense of security, lessening resilience or the incentive to develop personal emergency preparations.

- If not maintained regularly, registries are ineffective in crises.

- Significant resources may be required to create and maintain a registry database.

Refer to the **Registries Fact Sheet** for more information about the types of registries and the pros and cons of each.  **T**

What gaps exist in communication resources? How can the network address these gaps in future planning and outreach to new members?

A survey can be used to track the communication network's resources. Chapter 4 discusses the use of surveys as a tool for evaluating network resources.

## Five Questions

Review the assessments and responses developed for Chapter 1, Step 3. Then consider these questions:

1. Has the assessment of what could go wrong evolved and changed?

2. Has the involvement of vulnerable populations in the planning process improved the understanding of how different groups can be affected in an emergency?

3. Have additional transportation needs, resources, and coordination efforts been defined (e.g., how to keep a mobility device with its owner during transport and reunited immediately upon arriving at a destination)?

4. Have communication resources been identified to match communication requirements?

5. Have additional population groups and resources been identified to better locate and reach vulnerable population groups?

# Step 4
# Reassess Hazards and Community Vulnerability

Emergency management and transportation agencies will likely have hazard vulnerability assessments in Emergency Operations Plans (EOPs). (See Chapter 1, Step 3). These are useful assessments to share with all network members.

Vulnerability assessments can be expanded upon by the network to identify:

- Additional potential hazards or emergency scenarios in the community

- The communication and transportation needs of vulnerable populations for each emergency scenario

The **Functional Needs Additional Help Matrix,** located in the Resources Section at the end of the toolkit, organizes the array of risks and functional needs into a matrix. The matrix will provide a foundation for communication planning for vulnerable populations.

# Step 5
# Plan for Communicating about Transportation

Completing the **Functional Needs Additional Help Matrix** for the most likely risks (identified in Step 4) can form the basis for preparing transportation information that vulnerable populations will need.

Questions to be answered include:

1. What messages will need to be conveyed about transportation? How will the messages vary for different population groups? In different emergencies?

2. What information can be prepared and delivered to vulnerable populations in advance of an emergency?

3. What is the process for authorizing activation of the network during emergencies (including identifying those empowered to activate it)?

4. How will messages be delivered to network members and in what format (e.g., written materials)?

5. Can network members adapt the messages so that individuals in those vulnerable populations can understand the information?

6. Are additional communication resources required in the network?

The **Communicating with Vulnerable Populations Tip Sheet** offers guidelines for message development.  T

## Effective Communication

"The effect of being overwhelmed (by emergencies) is greatly reduced when preparation of information is presented in incremental, or bite-sized segments."

*Together Against the Weather: Communications Plan (Populations with Special Needs Hurricane Readiness Outreach Project)*, Houston-Galveston (Texas) Area Council.

## Step 6
## Test the Network

Even simple tests can evaluate how the communication network operates and verify contact information for network members. For example, a test e-mail to network members that asks them to confirm receipt of the message and the time they received it will verify addresses and help estimate how long a message takes in delivery. Chapter 4 discusses other options and tools for evaluating the network.

The contact list or database should be updated after a test. Refer to the tool, **How to Conduct a Network Test**, for more information. **T**

## Step 7
## Communicate through the Network

Carefully crafted messages help network members fulfill their roles as trusted messengers. The **Alert Template** in Chapter 3 Tools will help standardize communication with network members. Messages that are simply stated and formatted help network members process the information rapidly and understand the actions required of them. **T**

- Include the time, date, and purpose of the message.

- Indicate the urgency of the message (e.g., Emergency Alert, Non-Emergency Alert).

- Explain what network members are being asked to do with the message (e.g., deliver the message to their constituents within 24 hours).

- Use bullet points to call out the most important information.

- Direct network members to other information sites, if available, for more details.

- Indicate when additional information will be provided.

# Step 8
# Document the Work

As the activities of the network get well under way, it is important to continue to keep a record, including a description of the network's internal communication procedures. Provide all network agencies, organizations, and affiliated groups information about:

- How the network will be activated

- Methods of communication used to communicate with network members

- Parameters of network members' roles and responsibilities

- Outcomes from the hazard and community vulnerability assessment and other planning initiatives

- Testing the network (when and how often it will be tested)

Keep copies of relevant materials developed, such as a summary document that outlines network members' roles and responsibilities. Use the **Follow-up Memo Template** in Chapter 2 Tools to provide documentation of network activities to members. Suggest they include the information in agency plans and share it with other staff members to ensure organizational memory. **T**

# CHAPTER 3 TOOLS AND ADDITIONAL INFORMATION

## TOOLS

3.1    **Network Member Roles and Responsibilities**

3.2    **Network Member Planning Checklist**

3.3    **Communication Channels by Sector**

3.4    **Registries Fact Sheet**

3.5    **Communicating with Vulnerable Populations Tip Sheet**

3.6    **How to Conduct a Network Test**

3.7    **Alert Template**

## ADDITIONAL INFORMATION

# 3.1 Network Member Roles and Responsibilities[1]

**Purpose:** This tool provides a sample framework of responsibilities for major phases of emergency planning and response.

**Directions:** Network members have different roles and responsibilities as listed below. Adapt the roles and responsibilities provided to fit local needs. Bold, bracketed spaces indicate where specific information should be inserted before distributing to network members.

**Network Member Role:**

Your role is to be a communication conduit between the **[name of network]** and the population you serve so that information about transportation in an emergency is available in an understandable format and delivered by a trusted source.

**Network Member Responsibilities:**

The **[name of network]** appreciates your commitment as a volunteer member and aims to limit the amount of time you are asked to perform activities outside of your everyday responsibilities. The responsibilities that are typically associated with the **[name of network]** membership can change depending on whether the network is in a non-activated or activated state or in the recovery phase.

### *Non-Activated Phase*

The non-activated state of the network means an emergency has not occurred. You may be asked to perform periodic tasks or activities that will help you prepare for a Network Alert, disseminate transportation information to your constituents, and assist the **[name of network]** with network maintenance and related functions.

In a non-activated state, your network member responsibilities may be to:

- Perform the activities listed in the **Network Member Planning Checklist** (in Chapter 3 Tools) in advance of a Network Alert.

- Participate in Network Alert exercises or other broader tabletop drills that focus on communication and transportation.

- Respond to Network Alert tests conducted by the **[name of network]** (usually twice a year).

- Recommend others who may be appropriate for the **[name of network]**. Characteristics the **[name of network]** typically looks for in its members include broad outreach capacity, existing communication networks, and dedication to service.

- Advise **[name of network]** on how to best communicate with your population and recommend new outreach techniques, as well as new ways to identify and locate vulnerable populations in your locale.

## 3.1 Network Member Roles and Responsibilities (cont.)

*Activated Phase*

In an emergency, the **[lead agency]** will activate the network by sending you an alert and other critical transportation information by phone, e-mail, or other appropriate channels. Upon receipt of the information, network members will be responsible for delivering information to your population group and/or networks of people who can further deliver the information in a format that is easy for people to understand.

When the **[name of network]** is activated, your responsibilities may be to:

- Make yourself available and accessible to receive a Network Alert from the **[name of network]** (even in a power outage or other circumstance that may make communication difficult).

- Perform the actions identified in the **Network Member Planning Checklist** (in Chapter 3 Tools) immediately after a Network Alert is issued.

*Recovery Phase*

As a member of the **[name of network]**, you can help people after the event by staying informed and delivering new information to your community, local partners, and the **[name of network]**.

After the event:

- Perform communication activities during the recovery phase.
- Share your successes, challenges, and lessons learned with others.

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[1] Adapted from Kentucky Cabinet for Health and Family Services/Department for Public Health. Kentucky Outreach and Information Network.

# 3.2 Network Member Planning Checklist[1]

**Purpose:** This checklist tool summarizes the roles and responsibilities that network members may be asked to carry out before, during, and after emergencies.

**Directions:** Adapt the checklist to meet local needs.

## Before an Event or Emergency

☐ **Plan before the alert.** Be sure to:

- Know your agency's emergency response policies
- Connect with local emergency and community contacts
- Translate and format pre-existing messages and plan how you can adapt Network Alert messages for your population group

☐ **Prepare a list of key people you will contact after you receive a Network Alert.** Include:

- Key staff within your agency or organization
- Local emergency management professionals, such as first responders, fire and rescue personnel
- Emergency personnel for water, power, and gas utilities
- Members of the vulnerable population group you must reach

☐ **Keep two hard copies of your list of key contacts, and save a digital copy on a disk or flash drive.** Include these details:

- Names
- Addresses
- Phone numbers (landline and cell)
- E-mail addresses

☐ **Know how to reach people quickly in the event of a power outage.** Consider these options for outreach:

- Call via landline telephone
- Go door-to-door by car, on a bicycle, on foot
- Meet at a community gathering place

☐ **Make sure the network manager has your most up-to-date contact information.** Include the following details:

- All landline and cell phone numbers
- Street addresses with ZIP codes
- E-mail addresses at home and work, including at least one e-mail account through a public portal (e.g., Yahoo, Hotmail, Gmail) so that you can be reached outside of work hours
- Name and contact information of a backup person in the event that you are traveling or not available for personal reasons

## 3.2 Network Member Planning Checklist (cont.)

### During an Event or Emergency

☐ **Step 1: Assess the Network Alert message.**

- Look at the message from the perspective of the population you must reach.
- Identify the population group(s) that are most vulnerable.

☐ **Step 2: Determine how the message affects your group.**

- Assess the message's immediacy and urgency.
- Determine if the needs of your population group affect the urgency or immediacy of the situation.
- If the risk does not pose an immediate threat to the people in your group, take more time to reach them.

☐ **Step 3: Determine how you will deliver the information.**

- Follow your agency's or organization's emergency plan.
- Adapt and frame the message to make it meaningful to your population.
- Determine how the situation (such as a power outage) affects the best way to deliver the message to your group.

☐ **Step 4: Activate your network.**

- Begin delivering the message through phone calls, e-mails, text messages, or other pre-determined methods.
- Keep your agency's or organization's staff informed about the alert.
- Contact others who can provide extra help to your population, such as fire and rescue personnel.

☐ **Step 5: Use your expertise.**

- The network relies on you as an expert to reach and inform your community.
- Plan for the possibility of new or spreading risks.
- Alert your emergency management agency if you have information to share or if you need additional help.

## 3.2 Network Member Planning Checklist (cont.)

## After an Event or Emergency

**Keep communication channels open.**

- [ ] Look for new messages about recovery activities, such as immunization clinics and food and water distribution.

- [ ] Adapt the new messages and deliver them.

- [ ] Determine if the needs of your population group warrant additional contact with local agencies or organizations.

- [ ] Stay in touch with your community partners.

- [ ] Contact your emergency management agency if you have new information to share about the recovery in your geographic area.

**Take time to evaluate.**

- [ ] Update information about people on your contact list:

  - Members of your population group

  - Local emergency management professionals

  - Emergency personnel for local utilities

  - Community partners

- [ ] Ask members of your population group if they received the Network Alert message and how they responded to it. For example, if the message was about an evacuation, were they able to evacuate to a safe place?

- [ ] Ask yourself what went well in the communication process and what could have been handled differently.

  - Was adapting the message easier or more difficult than you expected?

  - How long did it take to deliver the message to members of your population group?

  - Were there people you could not reach? Why?

  - What will you do to prepare for a future event?

[1] Adapted from the Kentucky Cabinet for Health and Family Services/Department for Public Health. Kentucky Outreach and Information Network.

# 3.3 Communication Channels by Sector

**Purpose:** The Communication Channels by Sector tip sheet lists various methods for distributing messages through network partners.

**Directions:** Identify the channels available in the community. Learn how to work with those selected.

### Emergency Management Communication Channels

- Weather alerts (identify source)
- Emergency Alert System
- Public education on emergency preparedness distributed at community events, schools, on websites, etc.
- Hotlines
- Traditional television, radio, and newspapers
- Websites

### Transportation Sector Communication Channels

- Dynamic message sign boards
- Fliers, posters on buses, trains
- E-mail or text messages to patrons
- Website alerts
- Driver or station alerts
- Paratransit mobility committee meetings
- Public meetings
- Social media (Twitter, Facebook)

### Public Health Sector Communication Channels

- Caregivers and/or guardians
- Day care facilities
- Home health care providers
- Hospice
- Human service providers
- Local pharmacies
- Medical clinics, hospitals, emergency rooms, doctors' offices
- Nursing homes, assisted living facilities, and retirement communities
- Restaurants and other food service providers
- Schools

### Nongovernmental Organizations Communication Channels

- Calling trees or telephone calling lists
- Clothing closets, Goodwill stores
- Community centers
- Day centers
- Door-to-door outreach
- English as a second language (ESL) classes
- Ethnic, racial, or cultural advocacy/support groups
- Faith-based organizations' disaster relief programs
- Food pantries
- General Education Development (GED) classes
- Health clinics
- Job training/workforce development programs
- Migrant worker networks
- Senior centers
- Shelters
- Trusted neighborhood leaders

## 3.3 Communication Channels by Sector (cont.)

**Other Government Agency Communication Channels**

- Area Agency on Aging
- Developmental disability services
- ESL classes at schools and colleges
- Mental health centers
- Human service providers (family services, energy and housing programs, legal aid, home delivered meals)
- Independent Living Centers
- Libraries
- Mail carriers
- Public safety (first responders, such as fire, law enforcement, emergency medical services)
- Public works (public meetings, road crews in rural areas, signage)
- Schools, colleges, and universities
- Social media (Twitter, Facebook)
- Utilities (bill inserts, automated messages, websites)

# 3.4 Registries Fact Sheet

**Purpose:** The fact sheet provides an overview of research findings and pros and cons on registries as they relate to the roles and relationships between emergency managers, transportation, and vulnerable populations. This tool is not a policy recommendation on registries. Opinions on registries vary from ardent advocates to vocal opponents; descriptions and understanding of registries also vary.

**Directions:** Following a review of registry types (below) and local threats, conditions, and resources, network members may decide that one or more of the following options may enhance local readiness. The letters H, M, and L indicate if the tool is high, medium, or low in a specific area. This is a good discussion tool and meeting agenda item.

| Inclusive | Planning Utility | Title | Description | Pro | Con |
|---|---|---|---|---|---|
| H | L | Universal Registries/ Emergency Alert Notification Systems | Anyone can sign up to get an emergency alert notification, on whatever device, and in whatever format that is available. Universal emergency alert systems include Reverse 911 calling and similar automated systems. Many locations have worked with people who are deaf, hard of hearing, and blind to develop and deploy alternative emergency alert systems, including lights, text messages, Braille message pads, bed shakers, and similar technologies. | Provides inclusive distribution of information regardless of location. Many communities are working to make technology fully accessible. | Does not provide information to the transportation and emergency managers as to vulnerabilities or additional assistance that may be needed. Assumes power and communication networks are intact. |
| M-H | M-H | Transportation to transportation "hubs" or shelters (with or without registry — usually without) | Many transit-based evacuation plans, including those in Florida, New Orleans, and Houston do not require "advance registration" to assemble at common publicized pick up points to be transported to safe havens. Once there, clients may be required to register, either to gain access to a shelter or to be transported farther away to a safer haven. | Inclusive for participation, large movements of people; requires planning, coordination, and public awareness. | Numbers are not known in advance; have to arrange for those who can't get to pick up points. |
| M-H | H-M | Automated Registries/ Databases | Most states and many counties have extensive databases of clients for Meals on Wheels, home help, durable medical equipment, etc. Nevada, for example, requests clients to sign a waiver that the information can be used for emergency contact, though still within the confines of HIPAA regulations. | Can provide reasonable advance estimates for needed transportation and emergency management resources (within HIPAA). Great asset for network planning. | Many individuals are likely to require case management; advance emergency planning per network planning. |

## 3.4 Registries Fact Sheet (cont.)

| Inclusive | Planning Utility | Title | Description | Pro | Con |
|---|---|---|---|---|---|
| L | M | Voluntary Registries | Texas and Florida (and others) have established 3-1-1 and 2-1-1 programs to ask people who may need additional assistance in emergencies to register. The number of people registering in advance is typically very small, though it is advertised through mobility programs, home health care programs, and other venues. Once an event is imminent, on-the-fly registrations typically soar; for example, in Houston, only hundreds were registered prior to Hurricane Ike, but more than 15,000 people with special needs or medical needs were assisted through Southeast Texas Trauma Regional Advisory Council (SETTRAC).<br><br>A comprehensive registry for people with functional needs that may need to be evacuated should address:<br>• Medical equipment needs<br>• Companion caregiver/attendant<br>• Service animal<br>• Household pet<br>• Communication needs | Provides a "soft" foundation for transportation and emergency management planning. In the cases of people who are isolated, homebound, elderly, or others with severe limitations on mobility, this may be the only viable alternative until an effective, comprehensive, and cohesive community-based support network is established and tested. | Labor-intensive to update and keep updated. People go to work, move, die, or the situation for which they originally registered may change, requiring a different level of assistance. The process of calling or making other contacts to verify the situation is painstaking and expensive. Also, people are not always at home.<br><br>Advocates and critics of registries cite the reluctance of people to sign up for fear of being marked as vulnerable, legal status (for themselves or family members), authority, or losing independence. Others have a sense of invulnerability. Some are also afraid if they register and leave that they will not be able to return. |
| L | M-H | "Exceptional Circumstance" Special Medical Needs Registries | Houston (as part of its "Health, Mental Health and Medical Services" Function) has established a registry with 800 call-in numbers and individual registration numbers to track medical records and establish seamless connections for dialysis patients who must relocate across the state. They have also established safe havens for people in iron lungs (15 in Houston) at facilities in other locations where they can be transported with auxiliary equipment. | For its limited purpose, pertaining to a very small portion of the population, it is essential to managing care and saving lives. | It is very specialized and intense; its needs and successes may be seen as an example to be generalized to broader population groups. |

## 3.4 Registries Fact Sheet (cont.)

### Summary Lessons Learned about Registries:

Universal alert systems are valuable in areas with recurring notice and no-notice events. Other forms of registries MAY be appropriate in areas where the greatest threat is likely known well in advance (as in the case of hurricanes), and MAY be appropriate in areas prone to no-notice events, especially for those people who are homebound and likely under some level of medical care. Registries may be particularly useful for those with medical conditions requiring complex medical coordination across local and possibly state boundaries, such as people requiring dialysis or people in iron lungs.

Until an effective community network is established and tested, a registry MAY be appropriate for people with medical needs who are likely to require assistance to leave their home (including people needing supervision, such as people with cognitive disabilities or with multiple compounding disabilities). Registries may not be as useful and may be counterproductive for those who simply need transportation, whether lift-equipped or regular.

Decisions about registries should be made collaboratively with people who have functional needs or their representatives to ensure the best use of resources and the most complete, thorough, and culturally sensitive outreach, response, and recovery effort possible.

# 3.5 Communicating with Vulnerable Populations Tip Sheet

**Purpose:** This tool provides help in planning and implementing communication about transportation options in an emergency.

**Directions:** This tool is for network members who will directly communicate with the populations they serve or represent. The steps describe how to plan outreach, use appropriate communication channels, develop messages, and manage rumors. Specific message content is not provided.

1.  When planning:
    *   Identify communication channels appropriate for likely emergencies or disasters in your area, both those with notice and no notice.
    *   Determine how to broadcast messages, conduct door-to-door outreach, or reach people at venues where they might gather.
    *   Provide preparedness information about transportation options to your vulnerable populations.
    *   Prepare response materials in advance if your area is prone to natural disasters.
    *   Consider how to deliver information if traditional communication channels are not available (for example, television, radio, landline telephones, cell phones, and Internet).
    *   Identify and build partnerships with foreign and sign language interpreters before the incident. Ask for assistance with translating materials and providing on-site interpreters.
    *   Build trust by partnering with key leadership figures perceived as credible by the groups you serve or represent.

2.  When choosing communication channels in an emergency:
    *   Assess the situation. Is evacuation voluntary or mandatory? Are people instructed to shelter-in-place? Is there power?
    *   Consider how to communicate without power.
    *   Determine if the incident requires immediate and urgent communication. How quickly does information need to reach vulnerable populations?
    *   Use trusted messengers to deliver information.

3.  Messages will be developed according to the localized nature of the emergency or disaster. When creating message content:
    *   Define the emergency for vulnerable populations. What is happening?
    *   Describe which areas of the community are affected. Are there road closings or other travel-related hazards?
    *   Provide evacuation information and instructions. Are special instructions required for schools, nursing homes, and adult and child day care facilities? For parents, guardians, and caregivers?
    *   Explain how people can stay safe or take protective action.
    *   Explain what is being done to mitigate the incident.
    *   Keep people informed.

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# 3.5 Communicating with Vulnerable Populations Tip Sheet (cont.)

4. When developing messages:
   - Keep message content simple. Provide only the most critical information.
   - Write or speak in short sentences and plain language.
   - Use pictures to convey complex information.
   - Provide walking routes (maps with pictures of landmarks and arrows) to transit pick-up points.
   - Use maps with pictures of landmarks and arrows to indicate evacuation routes.
   - Make messages easy to read by using:
     — Serif fonts (such as Times New Roman or Garamond)
     — 16- or 18-point type
     — Lots of white space on written materials

5. Adapt messages to specific audiences:
   - For people in the deaf or hard of hearing community, use a combination of captioning and sign language interpreting for the broadest reach. Also use text or Video Relay Services (video phone) messages.
   - For limited English proficient populations, translate messages.
   - For people who are blind or vision impaired, make written materials available in Braille, large print, and audio.
   - For low literacy populations, write at a fifth grade level or below. Use words with no more than two syllables.
   - For people living in rural and remote areas, use information that is relevant to their needs and experiences. For example, do not talk about public transportation when there is none.
   - To reach latchkey children, it will be helpful to include radio stations geared to all ages and social networking sites as well as text alerts, with messages geared to those who may be young and home alone.

6. Rumors around emergencies can cause people to panic or become afraid. To manage rumors:
   - Provide frequent updates with accurate information at a set time each day.
   - Provide a system and contact information for feedback; for example, if a message has gone out and is being misunderstood, how can it be corrected?
   - Actively correct misinformation that may be circulating in the media or among the public.
   - Build and maintain trust by giving honest information. If you don't know the answer to a question say, "I don't know, but I can find out."
   - Provide information about how to access transportation, medical care, and shelters.
   - Explain the importance of self-care.
   - Provide information about re-entry and recovery.

# 3.6 How to Conduct a Network Test

**Purpose:** This tool provides basic instructions for conducting a network test.

**Directions:** Follow the steps in the checklist below. A **Sample Test Message** follows the checklist.

☐ Alert network members that you will be conducting a test. Provide the date and time the test will take place. Explain what they will be asked to do.

☐ Request a backup contact if members anticipate being away during the time of the test.

☐ Alert other agencies about the upcoming test in case other tests or drills are occurring at the same time.

☐ Create a test message that is brief and explains the purpose of the test.

☐ For an e-mail test, indicate the message is a TEST in the subject line. Place e-mail addresses in the "Bcc" line to reduce the size of the message and ensure privacy.

☐ Give instructions for members' response in **bold** font. For an e-mail test, instruct network members to hit the "reply" button, rather than "reply all."

☐ Ask members to include the number of people they can reach during an emergency and within a particular timeframe (e.g., 24 hours), bearing in mind the message may need to be translated, reformatted, or adapted to be culturally relevant.

☐ Send the message through the channel(s) used to communicate with your network (e.g., e-mail, automated calling system, social media, text message).

☐ Contact members who don't respond to determine where communication issues exist.

☐ Record results, such as the number of network members who responded, their outreach capacity, and the timeframe in which their replies were received (e.g., within 24 hours of initial receipt of the test message).

## 3.6 How to Conduct a Network Test (cont.)

<div style="border:1px solid black; padding:1em;">

**Sample Test Message**

From:
Subject: **\*TEST\* Network Alert — Non-Emergency Test**
Date:
To:

Dear Network Member,

You are being contacted as part of the **[lead agency's]** emergency notification message testing of the **[name of network]**. The purpose of this test is to estimate the effectiveness and efficiency of the network for communicating emergency messages to vulnerable populations.

**At this time, we are asking you to please respond by e-mail, telephone, or fax to confirm you have received this message**. **If you respond by e-mail, please hit the "reply" button. Do not hit "reply all."**

**We also ask that you include in your response an estimate of the approximate number of citizens that you (or your organization) can reach with an emergency message and the time it would take to reach them. Please do not try to contact these individuals at this time.**

**[Please keep in mind that during an emergency the message may need to be translated, reformatted, or adapted to be culturally relevant.]**

If you are not a member of **[name of network]**, but are serving as a backup contact, please respond to the best of your ability. Information should be sent to **[name, phone number, fax number, e-mail address]**.

Thank you for your participation.
**[Signature]**
**[Contact information]**

</div>

# 3.7 Alert Template

**Purpose:** The Alert Template can be used to draft messages to network members. These steps can also be used to develop information for distribution through phone trees, door-to-door outreach, and other communication channels.

**Directions:**

1. Describe the event or situation in the subject line of the e-mail. Indicate the urgency of the message (e.g., Emergency Alert or a Non-Emergency Alert). Confirm the appropriate terms with the local emergency manager.

2. Describe the purpose of the message.

3. Explain what network members are being asked to do with the message and the desired immediacy of their response. For example, ask members to pass the information to their constituents immediately.

4. Call out the most important information in bullet points. Keep the message brief and concise.

5. Direct people to a website or other channel for additional information.

6. Provide contact information so that members can relay messages back to the lead agency.

---

**[Network Name] Alert**

**From:**
**Date:**
**Subject:**
**To:**

**Purpose of the message**:

**Desired response from network members:**

**Key information:**
- What **[event/incident]**:

- Who **[population]**:

- Where **[geographic area]**:

- When:

**Additional information:**


**Contact information:**

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# ADDITIONAL INFORMATION

The following sources contributed to the development of Chapter 3.

**"Creating a Collaborative and Adaptable Non-profit/Governmental Team," Conference Presentation, Seattle Human Services Department**
This presentation discusses the composition, purpose, and activities of an ESF-6 Group, a collaborative network of nonprofit and government agencies to address mass care, housing, and human services issues.
http://www.humanservicesepr.org/Watson__Jill__2.pdf

**Kentucky Outreach and Information Network, Kentucky Cabinet for Health and Family Services/Department for Public Health.**
The Kentucky Outreach and Information Network (KOIN) is a statewide grassroots network of volunteers who serve as conduits of public health information to vulnerable populations.
http://healthalerts.ky.gov/koin/Pages/default.aspx

**Together Against the Weather**
This hurricane communication initiative, targeting populations with special needs, was developed through a partnership between the Houston-Galveston Area Council, TranStar, and a consultant team. It was based on recommendations from an evacuation task force formed after Hurricane Rita.
http://www.h-gac.com/taq/hurricane/special_needs/default.aspx

***User's Guide to the KOIN Training Video: A Network to Foster Community Preparedness,* Kentucky Cabinet for Health and Family Services/Department for Public Health**
The User's Guide serves as a companion resource to the Kentucky Outreach and Information Network (KOIN) Training Video. It includes a stepwise process for using the video to introduce the KOIN concept to people in local communities.
http://healthalerts.ky.gov/koin/Pages/Resources.aspx

# CHAPTER 4: SUSTAIN THE NETWORK

**Step 1:**     **Engage Network Members Regularly**

**Step 2:**     **Update Network Contacts**

**Step 3:**     **Look for Opportunities to Expand the Network Structure**

**Step 4:**     **Strategically Grow the Network**

**Step 5:**     **Form Agreements**

**Step 6:**     **Equip Network Members to Perform Their Roles**

**Step 7:**     **Evaluate Policy Implications**

**Step 8:**     **Establish Common Terminology**

**Step 9:**     **Evaluate and Improve the Network**

**Step 10:**    **Document the Work**

## Definitions

**Emergency Support Function (ESF)**
The federal government groups most of its resources and capabilities and those of certain private sector and nongovernmental organizations under ESFs. ESFs align categories of resources and provide strategic objectives for their use. They use standardized resource management concepts, such as typing, inventory, and tracking, to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident. Support agencies are assigned based on the availability of resources in a given functional area. ESFs provide the greatest possible access to federal department and agency resources regardless of which agency has those resources.

## Electronic Engagement Tools

A group website or e-mail list can be created by using sites, such as Blastgroups, Webs.com, and Google sites. These sites provide free website templates, online calendars, blogs, and other tools for collaboration and information sharing. Electronic engagement tools can be used to share lessons learned and model practices, schedule meetings, and have online conversations.

The strategies outlined in Chapter 4 present options that can be implemented at a pace suitable to networks of any size in any locale. These activities can be done in any order and, therefore, are presented as strategies rather than steps. These strategies address how to:

- Maintain a contact list or database
- Strategically grow the network
- Engage network members regularly
- Form agreements with members
- Equip members to perform their roles
- Evaluate and improve the network

Chapter 4 offers ideas about other roles network members might assume and ways to develop a common language if partnerships expand beyond communication activities.

The strategies included in this chapter are based on case examples of communication networks that have been successfully organized and sustained over several years. In all of the case examples, the fundamental components to sustaining a network were strategic growth of the network, maintaining up-to-date contact lists, and keeping members engaged on a regular basis.

## Engage Network Members Regularly

Members need to be engaged regularly and personally while they are advancing the network's mission and purpose. Continuous engagement builds trust and cooperation among members, a sense of purpose and direction, and strong relationships in advance of an emergency. Activities that can engage network members regularly include:

- Convening periodic meetings, including at least one face-to-face meeting a year.

- Planning conference calls on a monthly, quarterly, or semi-annual basis.

- Using technology to keep members engaged between meetings, such as a group website or listserv, to share documents, lessons learned, promising practices, and other useful information.

- Using social networking sites to stay connected with network members. Social networking sites are interactive, web-based resources that allow easy online publishing, social interaction, and information sharing. Examples of social media sites are Facebook, LinkedIn, Twitter, Yammer, and Ning. See the **Social Media Tip Sheet** in Chapter 4 Tools for more information about using these tools. **T**

## Social Media Defined

Social media are activities, practices, and behaviors among communities of people who gather online to share information, knowledge, and opinions using web-based applications that make it possible to create and easily transmit content in the form of words, pictures, videos, and audio clips.[4]

## Update Network Contacts

The network contact list/database requires regular attention and maintenance. Contacts must be updated at least annually (preferably quarterly) to ensure an active network. The **Contact Information Update** tool offers guidance and a template for requesting up-to-date contact information for network members and backup contacts. **T**

## Look for Opportunities to Expand the Network Structure

As the network is sustained over time, opportunities will emerge to expand the network structure. Committees, advisory panels, or subgroups can be formed to provide guidance to network leadership, take on new projects, or form new partnerships to advance other goals.

If the communication network structure expands, it will be important to document the purpose and function of new groups. These new sub-groups should reach agreements

## Growing a Network

The Kentucky Outreach and Information Network (KOIN) is a statewide network of hundreds of individuals representing public sector agencies, community-based, and faith-based organizations (CBOs and FBOs) who serve as conduits of public health information to vulnerable populations. Since 2004, the Kentucky Cabinet for Health and Family Services has used a strategic "each one, reach one" recruitment process to grow the network. The Cabinet identifies potential members for the network through recommendations from current members at annual workshops. Phone calls with potential members almost always lead to identifying others for participation in the KOIN. In addition, the Cabinet utilizes an annual survey to identify potential gaps in the network. Survey findings are used to conduct targeted outreach and recruitment efforts.

about selection criteria (if applicable), length of commitment, and benefits to the communication network.

## Strategically Grow the Network

The network composition can and should grow over time. An ongoing task is to identify what regions and vulnerable populations are underrepresented in the network.

- Evaluate the contact list or database for gaps in geographic and vulnerable population coverage.

- At least once a year, ask network members to recommend new people for the network.

- Reach out to new partners.

## Form Agreements

Some networks form agreements with members to solidify relationships, roles, and responsibilities; others rely on members' "good faith" to perform their roles and responsibilities in emergencies. Legal advisors should be consulted before drafting or entering into any type of agreement.

The type of agreement will reflect the level of formality and commitment desired. Examples of agreements include:

1. **Memorandum of Understanding**
   A memorandum of understanding (MOU) is a document describing an agreement between parties on an intended course of action. An MOU is often used in cases where parties either do not require a legal commitment or cannot create a legally enforceable agreement. It is a more formal alternative to a "handshake agreement," but an MOU is not legally binding unless explicitly stated. An MOU may be an effective option for memorializing consent to participate in the network, share information, and other collaborative commitments. (1)

2. **Memorandum of Agreement**

   Another type of agreement, the memorandum of agreement (MOA), is sometimes viewed as interchangeable with an MOU. In some arenas, an MOA is more legally binding than an MOU. In other arenas, an MOA documents a "good faith" intent to participate in a network or provide assistance in emergencies. (*2*)

3. **Mutual Aid Agreement**

   A mutual aid agreement (MAA) documents the process for providing mutual aid and sharing resources between agencies. These instruments typically address reimbursement for the costs of assistance. Network members should consult their legal advisors and consider how state and local governments address mutual aid issues. (*3*)

Agreements describe expectations for what the network will accomplish, members' roles and responsibilities, and the level and timeframe of commitment. The **Forming Agreements Tip Sheet** in Chapter 4 Tools provides additional guidance. **T**

Copies of network agreements belong in agency EOPs. Ask network partners to do the same.

## Equip Network Members to Perform Their Roles

The voluntary structure of the network can make it vulnerable in its capacity to function at all times. When adverse circumstances require communication, network members' ability and willingness to carry out their roles as communication conduits will be contingent on other priorities, for example, the needs of their own families or job responsibilities.

### Information and Collaboration Resource

Lessons Learned and Information Sharing (LLIS) is a national online network of lessons learned, promising practices, and innovative ideas for the emergency response and homeland security communities. The website is managed by DHS/FEMA and serves as a repository of information on effective planning, training, and operational practices. Members of LLIS have exclusive access to information and collaboration resources, a document library, exercise planning support, subject-matter expert interviews, after action reports, and other tools.

Note: LLIS is a password protected site, open to those with a government e-mail address or those who can show they are doing work for a government agency. All requests for access are reviewed and some have been denied.

## Equip Members

Discussing the following topics with network members can help to strengthen network operations and build resiliency and redundancy into the network:

- Individual preparedness
- Business continuity of operations
- Backup communication devices and alternate power sources
- In-house or community-based message language translation services, sign language interpretation resources, and message adaptation capability
- Viable and active working relationships with other community or local emergency responders and service providers
- Engagement of network members in ongoing interactions with lead agency staff, other network members, and local communities

Discuss with network members the potential communication vulnerabilities (see sidebar). For example, if the network relies on e-mail communication and an extended power outage occurs, a breakdown in communication is inevitable if network members have no backup power sources.

## Evaluate Policy Implications

Policy can be defined as actions taken by public and quasi-public officials or bodies that direct action about a particular issue. Public policy can be a tool for improving outreach to special and vulnerable populations.

The California Legislature created the Office for Access and Functional Needs within the California Emergency Management Agency (CalEMA). Charged with strengthening CalEMA's planning for people with disabilities, this office — made permanent by law — underscores the importance of the work. This is an example of how a public agency's decision about organizing its work can raise the profile of a need and affect the allocation of resources.

If no policy exists to support forming a communication network to reach vulnerable populations, the network could initiate conversations to put such a policy in place.

## Establish Common Terminology

Transportation and emergency management agencies may use terminology that is unfamiliar to other network members. For example, if the Incident Command System (ICS) structure and principles will be applied to the communication network in emergency scenarios, then establishing a common language will help everyone to understand their roles.

The **Introduction to Emergency Management: Terms and Organization** in the Resources Section can be helpful to establishing common terminology among network members.

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## Policy Decisions Matter

Decisions by the City of Seattle and King County Council to provide funds for enhancing CBOs' preparedness provided a boost for the local vulnerable populations communication network. Public Health — Seattle & King County works with the Vulnerable Populations Action Team and the Vulnerable Populations System Coordination Steering Committee to support planning.

After a severe windstorm, public sector agencies realized CBOs were critical to disseminating health and safety messages to vulnerable residents they serve. County and city government and the United Way provided funds for CBOs to engage in more structured preparedness planning. In return, the agencies worked together to develop basic standards for what functions they would provide during an emergency so that their clients continued to receive services, *and* important public health emergency information was routed to clients.

Decisions to take action and commit local resources, as well as to coordinate across disciplines (e.g., human services agencies, CBOs, emergency management) triggered a series of events. These culminated in the development of training for CBOs; the development of standards; and improved capability to communicate with and provide for vulnerable populations during an emergency.

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## ICS Training Courses

FEMA's Emergency Management Institute (EMI) offers an Introduction to ICS training course (IS-100.a) through its Independent Study Program. Courses offered include a general introduction to ICS and specialized courses for various types of agencies (e.g., for health care and hospitals, higher education, etc.).

The Federal Highway Administration developed the *Simplified Guide to the Incident Command System for Transportation Professionals.* This document covers the ICS essentials in fewer than 60 pages and is available online (see Additional Information).

## Survey Example

The Emergency Network of Los Angeles (ENLA) is a collaborative coalition of public and voluntary sector organizations and is the recognized VOAD for Los Angeles County. In 2009, the ENLA conducted an assessment of the needs of vulnerable populations in L.A. County and the service capacity of FBOs and CBOs in emergencies. ENLA collaborated with the L.A. County Department of Public Health to create three survey questionnaires, including a membership survey. The full report from this assessment and the survey tool is available online (see Additional Information).

# Evaluate and Improve the Network

Another step in the Prepare, Respond, Recover process might well be Remember. When a crisis ends, the energy for preparing for the next emergency dwindles. A way to continue improving readiness to communicate with vulnerable populations is to evaluate and exercise the network regularly. Use the **Network-Building Checklist** tool to evaluate the network's progress. **T**

Other methods of evaluation include:

- Develop performance measures for different functions. Performance measures can be used to evaluate the organizational components of the network and the network's operation as a communication process. (See the **Performance Measures for Communicating with Vulnerable Populations** tool on developing and using communication performance measures.) **T**

- Conduct an annual survey to assess the composition and communication capability of the network (see the **Designing and Implementing Baseline and Post-Activation Surveys Tip Sheet** tool). Use the findings to conduct targeted outreach to new members and to identify key discussion topics for future meetings. **T**

- Evaluate network performance after events that require activation. Use surveys, After Action Reports (AARs), and qualitative methods, such as informal discussions with network members. The **Post-Event Evaluation Tool** can be used to document network members' experiences during an exercise or incident that requires activation. The findings can be used to improve communication protocol and procedures. **T**

- Invite network members to participate in exercises and drills to ensure the needs of vulnerable populations are represented in planning and met in response operations.

- Conduct communication-based exercises to reinforce the purpose of the network and members' roles and responsibilities as communication conduits. Refer to the **Emergency Planning Exercise Design Fact Sheet** in the Resources Section.

- Test the operational performance of the communication network annually to ensure messages are reaching network members in every tier of outreach.

- Use the evaluation findings to identify opportunities to improve the network and update contacts and procedures.

## Document the Work

Having a record of all network activities will help to build on the network's accomplishments from year to year. Consistent documentation also ensures organizational memory and continuity in times of transition, such as staff turnover or changes in leadership.

Annual reports are a good tool for documenting the work performed. At the very least, meetings should be well documented and meeting notes should be accessible to network members.

Continuously update emergency plans to reflect the work accomplished through the communication network. Include important documents.

## Network Evaluation Tools

Evaluation tools can be used to improve readiness to communicate with vulnerable populations.

- **How to Conduct a Network Test** (See Chapter 3 Tools) **T**

- **Network-Building Checklist** **T**

- **Designing and Implementing Baseline and Post-Activation Surveys Tip Sheet** **T**

- **Performance Measures for Communicating with Vulnerable Populations** **T**

- **Post-Event Evaluation Tool** **T**

# CHAPTER 4 TOOLS AND ADDITIONAL INFORMATION

## TOOLS

4.1    **Social Media Tip Sheet**

4.2    **Contact Information Update**

4.3    **Forming Agreements Tip Sheet**

4.4    **Network-Building Checklist**

4.5    **Performance Measures for Communicating with Vulnerable Populations**

4.6    **Designing and Implementing Baseline and Post-Activation Surveys Tip Sheet**

4.7    **Post-Event Evaluation Tool**

## ADDITIONAL INFORMATION

# 4.1 Social Media Tip Sheet

**Purpose:** This tool addresses frequently asked questions (FAQs) about social media, specifically about using social media as a "point-to-all" communication tool for emergencies.

**Directions:** Different age groups and cultures will have different understandings and experiences with social media. Use the FAQs below to facilitate discussions among network members on the use of social media for the network.

### What is social media?
Social media are media that allow easy online publishing (or posting) and social interaction (sharing text, photos, and videos). Social media are interactive and web-based. Examples: Facebook, LinkedIn, Twitter, Yammer.

### Why use social media to pass along important information about transportation options in an emergency?
Emergency circumstances (loss of power, lack of available staff or resources) may make it difficult to execute a typical point-to-point communication plan. Social media provide an alternate way to reach network members and vulnerable populations in an emergency. Social media have the potential to reach many people quickly through devices, such as mobile phones, which, *for a period of time,* can function without power.

### How is social media like or unlike a mass notification system?
Social media outreach is like mass notification in that one individual or organization can reach multiple individuals at once through a single communication method. Yet social media outreach is different than other mass notification systems in that:

- Social media messages will only reach those individuals who have subscribed in advance of the emergency and who have access to the necessary technology and applications.

- Recipients of the notification can "talk back" to the leader and often the whole group.

### What equipment and skills are needed to use social media?
The equipment needed could be any mobile phone or device with an Internet connection. Examples include: mobile phones/hand-held devices (smartphones like iPhone, BlackBerry or Droid), portable gaming devices (PlayStation, Game Boy), game consoles (Xbox, Wii) and/or desktop and laptop computers.

No special skills are needed beyond basic computer skills (typing and clicking to navigate the screen), but network members will need to invest a bit of time experimenting with and learning how to use the applications.

### What are the advantages of using social media?
Social media reach multiple people through one communication — all at once. Social media reach parts of the community directly rather than relying on other people or systems to do so. Social

### Does the public sector use social media in emergencies?

Yes. Some examples:

**American Association of State Highway and Transportation Officials** reports that 82% of responding state DOTs use Twitter.

**The American Red Cross** has a blog and uses Flickr, Twitter, Facebook, YouTube, LinkedIn, and other platforms. Learn more at http://www.redcross.org/connect/.

Numerous local and state emergency management agencies are now using Twitter, Facebook, and YouTube.

### Who uses wireless Internet technology?

Internet use continues to increase annually among all demographics regardless of age, gender, income, or racial or ethnic group according to studies conducted by the Pew Internet & American Life Project.

# 4.1 Social Media Tip Sheet (cont.)

**What's the best way to...**

**... Practice?**
Sign up for personal accounts on Twitter, Facebook, LinkedIn, etc., to see how these tools are being used. Listen to ongoing conversations before contributing. Then just do it.

**... Promote?**
Many methods exist to let community members know a communication network is using social media. Here are a few easy ways to get started:

- **Add logos** of social media that you use to all of your communication network materials, communications, website, and signs. When doing so, invite people to join the group or follow the network.

- **Use the tool** to directly reach out to people who are already on social media.

- **Tell network members** during ongoing face-to-face meetings and conversations.

**...Get feedback?**
To get feedback about the value of a social media presence, follow these tips:

- **Ask for** feedback in face-to-face conversations and online. Be prepared to follow up.

- **Use polls and surveys** to gain answers to specific questions.

- **Monitor** how often network social media participation generates action. Are people responding? Is interaction participatory?

- **Review statistics** associated with the social media tool. Any social media tool will have its own metrics for success.

media offer an opportunity for two-way communication because recipients can respond easily. Two-way communication can generate real-time intelligence for network members.

**What are the potential challenges?**
A few of the challenges may include:

- **Reach.** Access to social media depends on the use of Internet-enabled equipment. Some people may not have technologies, such as Internet-enabled mobile phones, although a majority do. Make certain that alternate methods of outreach are available for people who cannot use or choose not to use the selected social media.

- **Weather.** If weather damages cell phone towers, mobile devices and smartphones will not work. In some cases, cell phones may work while other channels do not. Redundancy is important in emergency planning. In some cases, text messages can send when voice messages and other options cannot.

- **Sensitivity.** Content posted on social media is available to anyone (any user could easily share the content with anyone). Social media is permanently recorded; extra care must be taken in developing the content or message.

- **Feedback.** Users of a group will have the ability to "talk back." Emergency leaders need to be prepared to answer questions or respond to critiques without getting overwhelmed. The feedback loop on social media may help clarify messages and direction and allow leaders to respond directly.

**What should the communication network consider when deciding whether to use social media?**
Consider opportunities, limitations, risks, and how to issue clear usage guidelines and expectations within the user community. Consider staff time needed to support the effort.

**How can the network create guidelines or policies to guide use of social media?**
Discuss as a network what the group wants to achieve through social media. Set a timeframe and benchmarks for success.

Define social media goal(s). Examples of possible social media goals include the following:

- Become better recognized
- Improve quality assurance
- Become a trusted source of information within a community
- Provide better education to community members
- Improve engagement with personnel
- Increase personal involvement in the organization
- Raise money for capital equipment purchases
- Educate policy makers
- Create policies to keep messaging aligned with the goals

# 4.2 Contact Information Update

**Purpose:** The purpose of this tool is to establish a routine, disciplined approach to keeping network contact information current.

**Directions:** These steps can be followed when updating a contact list or database. See the template below for an example of an update request.

1. Request contact information for each network member and for a backup contact. For e-mail requests, put members' e-mail addresses in the "Bcc" line to protect confidentiality.

2. Send follow-up requests as needed. Remove members who are unresponsive from the contact list/database.

3. Track responses by recording the date of the last update.

4. Make note of people who ask to be replaced. If they do not provide a replacement contact, ask for one. Contact the replacement to confirm participation in the communication network.

5. Include backup contacts for as many people as possible. Make sure the backup contact knows he/she will be included in the contact list/database.

## Update Request Template

Dear Network Member,

Thank you for your participation in **[name of network]**. To ensure accurate and effective network communication, the **[lead agency]** is updating contact information for all network members. Please respond to the following statements and provide updated contact information for yourself and a backup contact by **[date]**. Responses can be received by e-mail, phone, or fax (see the contact information below).

1. I am willing to continue serving as a **[name of network]** member. (Please mark your answer with an "X")

    ☐ Yes (Move to #3)

    ☐ No (Move to #2)

2. I am not the appropriate person from my organization. Instead, contact:

    Name: _____

    Title: _____

    Phone:_____

    E-mail:_____

## 4.2 Contact Information Update (cont.)

3.  I am willing to continue serving as a **[name of network]** member. My current contact information is (please complete all fields):

    Name: _____

    Organization: _____

    Title: _____

    Address: _____

    City: _____

    State:_____

    ZIP:_____

    Phone:_____

    Fax: _____

    E-mail:_____

    Cell phone: _____

    Alternate e-mail address:_____


    Backup contact for your organization in the event that you are unavailable/unreachable during an emergency:

    Name: _____

    E-mail:_____

    Phone:_____

    Other: _____

4.  Vulnerable populations my organization serves:_____

    Thank you again for your participation in the **[name of network]**. You are a vital link between **[lead agency]** and the vulnerable populations in **[name of community, region, or state]**.

    Sincerely,

    **[Name]**

    **[Title]**

    **[Organization]**

    **[Phone]**

    **[Fax]**

    **[E-mail]**

# 4.3 Forming Agreements Tip Sheet

**Purpose:** This tip sheet provides information on the pros and cons and practices of network agreements. Written agreements spell out why members of a network are working together and what they can expect of one another. Agreements are referred to by many names and each has a specific purpose: Memorandum of Agreement; Memorandum of Understanding; Letter of Understanding; Statement of Understanding; Working Agreement; Partnering Agreement; and Service Level Agreements.

**Directions:** The need for agreements emerges after the initial organizing period for the network when working relationships are established and after participants refine their mutual understanding of the network purpose. Use the frequently asked questions (FAQs) below to respond to questions among network members about the value of agreements.

Agreements work best when agencies have obtained formal commitments of support from leadership. Then, agency policy provides a framework for legal counsel to conduct a legal review if the agreement requires it.

## FAQs about Agreements

**How might the network benefit from agreements?**
- Agreements prompt members of a group to think out loud together about their mutual challenges, working relationships, and purpose.

- Writing an agreement encourages network participants to clarify their level of commitment and identify areas of misunderstanding and disagreement. Agreements provide a venue for finding common ground.

**What are the downsides to written agreements?**
- Some participants, particularly community-based organizations (CBOs) and faith-based organizations (FBOs), may be uneasy with making any type of written commitment.

- Poorly written agreements can create problems where none existed. The network will use its internal expertise to assure that the written document clearly reflects participants' intent and will be a useful working document.

- Individual partners need time for internal review.

**What do agreements usually cover?**
Networks can choose to cover either or both of the following broad categories:
- How the network partners will work with one another. This can include frequency of meetings, who will handle meeting notices and documentation, defining participation (e.g., individual or representative membership), the use of alternates, decision rules, etc.

- What the network will do to achieve its purpose (e.g., communicate through one another to reach special and vulnerable populations).

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## 4.3 Forming Agreements Tip Sheet (cont.)

### Who is able to make the commitment in the agreement?

- Participants may be able to make agreements without additional input from their organizations if the agreement is focused simply on how the network will operate (e.g., frequency of meetings).

- The network can build in time for internal agency reviews if the agreement focuses on more complex issues and commitments.

- Participants will have different approval processes and timeframes.

- Public sector agencies, such as transportation and emergency management, will have much more experience with various types of cooperative agreements; other community-based partners may not have the same familiarity and may have more concerns.

### What are specialized provisions for mixed groups of public and private sector organizations, including nonprofits?

Depending on the network's stated purpose and goals, the following information may be useful:

- "Out clauses" describe circumstances when one partner might not be able to meet a commitment. This can be particularly important to CBOs and other voluntary and private sector partners who may have thin margins of staff and resources. These clauses can be an opportunity for the network to have candid conversations about capabilities and alternate plans. This can also be an entree to discuss the importance of Continuity of Operations Planning for network participants.

- Financial considerations will vary from network to network. This can foster discussion about resources, documentation for reimbursement for services, in-kind services, and many other related topics.

- Termination clauses allow a party unilaterally to terminate participation in the agreement without penalty. If a signatory organization decides to terminate its commitment to the agreement, encourage the organization to remain a part of the network to continue to receive information and contribute their knowledge. A termination is not a repudiation of the network's purpose; organizational circumstances and leadership can change.

# 4.4 Network-Building Checklist

**Purpose:** This tool provides a summary checklist for evaluating the progress in establishing, communicating through, and sustaining a local network.

**Directions:** Tasks are organized by chapters. Network members can use this checklist as a self-test to assess progress in creating and sustaining the network through its different phases.

| Chapter 1: Gather Information | | |
|---|---|---|
| **Task** | **Date Completed** | **Notes** |
| Secure leadership support. | | |
| Gather and share data:<br>• GIS maps<br>• Demographic information | | |
| Identify and locate vulnerable populations and develop clear definitions for the full range of functional needs of the populations:<br>• People with communication barriers<br>• People who are transportation disadvantaged or carless<br>• People with medical needs<br>• People who need assistance to maintain independence<br>• Caregivers (including parents and guardians) and people who need supervision | | |
| Identify other government agencies such as health, transit, and social services, already involved with vulnerable populations, including in nonemergency planning roles. | | |
| Identify local groups or organizations (community-based organizations, faith-based organizations, residential care facilities, etc.) to invite to the planning forum to address communication with vulnerable populations. | | |
| Assess resources and assets for outreach to functional needs populations. Identify gaps. | | |
| Identify existing networks and key contacts. | | |
| Create a master list of CBOs/FBOs, the groups they serve, and services they provide. | | |

## 4.4 Network-Building Checklist (cont.)

| Chapter 2: Build or Add To the Network | | |
|---|---|---|
| **Task** | **Date Completed** | **Notes** |
| Plan the first meeting. | | |
| Manage the meeting logistics:<br>• Create invitations.<br>• Plan the agenda.<br>• Ensure accessibility of meeting facility.<br>• Send invitations, agenda, meeting accommodation form, and other background materials to key personnel.<br>• Identify a facilitator.<br>• Send a reminder note.<br>• Record meeting notes. | | |
| Convene and conduct the meeting. | | |
| Update the contact list. Identify gaps in contacts for vulnerable populations. | | |
| Send follow-up memos and meeting notes. | | |
| Determine additional network organization efforts that are needed at this stage in the process.<br>• Adopt network purpose.<br>• Identify and communicate benefits of network collaboration.<br>• Create organizational framework.<br>• Plan for working together.<br>• Define network goals and objectives.<br>• Establish criteria for network participation.<br>• Set network parameters.<br>• Choose a name for the network. | | |

## 4.4 Network-Building Checklist (cont.)

| Chapter 3: Communicate through the Network | | |
|---|---|---|
| **Task** | **Date Completed** | **Notes** |
| Define communication procedures for the network. Determine how to share information about the locations and needs of vulnerable populations. | | |
| Establish communication roles and responsibilities among network members. | | |
| Assess communication resources and assets in the network. When working with government agencies and community partners:<br>• Identify the types of communication resources they have available prior to an event.<br>• Develop a phone tree of key people.<br>• Develop (and test) alternative communication methods in case of Internet, phone, and/or extended power failure. | | |
| Assess hazards and community vulnerability. | | |
| Address in emergency planning the tools, methods, and channels that will be needed to communicate transportation information to vulnerable populations. | | |
| Test the network. | | |
| Use the network to communicate emergency alerts and nonemergency alerts. State clearly what network partners need to do with the message. | | |

## 4.4 Network-Building Checklist (cont.)

| Chapter 4: Sustain the Network | | |
|---|---|---|
| Task | Date Completed | Notes |
| Engage network members regularly.<br>• Convene meetings.<br>• Plan conference calls.<br>• Use social media. | | |
| Update the master list of network members at least yearly, if not quarterly. | | |
| Identify gaps in vulnerable populations represented in or reached through the network.<br>• Reach out to new partners.<br>• Discuss the pros and cons of registries within your network and implement a decision. | | |
| Form agreements. | | |
| Equip network members to perform their roles. | | |
| Evaluate policies of network partners. Consider new policies or reframe existing ones to include the network activities. | | |
| Establish common terminology. | | |
| Exercise and improve the network.<br>• Use evaluations to identify opportunities to improve the network.<br>• Incorporate the outcome of meetings and collaborative work into the emergency plan.<br>• Use performance measures and tracking within the network. | | |
| **After an Event with Network Activation:** | | |
| Conduct an after-action review and debriefing soon after the event (within a week).<br>• Develop an After Action Report to capture lessons learned and actions that worked.<br>• Include everyone in the operation (as well as the individuals affected by evacuation with a focus on vulnerable populations). | | |
| Use a facilitator in the debriefing who can:<br>• Ensure all issues are addressed fully and thoughtfully.<br>• Focus on both positive and negative actions and outcomes, as well as suggested corrections.<br>• Ensure that participants do not feel intimidated or pressured to say something or to silence themselves about events that happened. | | |
| Revise the emergency plan based on the debriefing and AAR (relating to vulnerable populations). Disseminate the revisions. | | |
| Identify and complete revised or new training needs (relating to vulnerable populations). | | |
| Identify and execute revised or new contacts or agreements (relating to vulnerable populations). | | |
| Measure how community groups are used more as a resource for outreach and evacuation of vulnerable populations. | | |

The checklist concept was adapted with extensive modification from "Routes to Effective Evacuation Planning Primer Series: Evacuating Populations with Special Needs. Report No. FHWA-HOP-09-022."

# 4.5 Performance Measures for Communicating with Vulnerable Populations

**Purpose:** This tool addresses tracking and measuring how well an agency communicates with vulnerable populations. It can help local communities develop their own emergency response communication performance measures for pre-incident preparation, emergency response plans, and After Action Report (AAR) guidance.

**Directions:** Performance measures may be the topic of one meeting. Appointing a subcommittee or a smaller working group can be one way to develop a set of relevant measures for the full network to discuss and adopt. Agreeing on the measures, collecting the data, and reporting on the measures can maintain ongoing group cohesion. Understanding that the network makes a difference and is making measurable progress can bolster the long-term health of the network. The **Follow-up Memo Template** in Chapter 2 Tools and the **Designing and Implementing Baseline and Post-Activation Surveys Tip Sheet** in Chapter 4 Tools can be modified and used to gather supporting data to develop performance measures.

## Definitions

Performance measures are the basic tools that agencies use to identify gaps and track improvements. Performance measurement is designed to improve overall performance.

Communication performance measurement is defined as a process of using formal, scientifically grounded tools and methods to measure how the network communicates emergency response to vulnerable populations. Communication performance measures are needed to inform decisions and guide actions. It is a key element for creating network accountability for emergency response. Performance measures are used first to baseline (identify the starting point) and then benchmark (measure progress) the capabilities of a network to communicate effectively with vulnerable populations.

## Developing and Using Communication Performance Measures

Tracking progress can help demonstrate compliance with legal and regulatory requirements as well as help network partners know how they are doing. A critical first step for the network is to identify desirable outcomes and strategies for the network. Establishing and tracking achievement of goals and objectives can be an intermittent agenda item to sustain the network. The following framework is suggested for developing performance measures.

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**Performance Measure Framework**
- Establish consensus in network on goal and objectives (see **Goals and Objectives Template** in Chapter 2). Identify and analyze communication issues and determine a mix of solutions to achieve desired outcomes.
- Collect supporting information.
- Execute, test, and refine desired solution.

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## 4.5 Performance Measures for Communicating (cont.)

## Criteria for Selecting Performance Measures

To build a performance measurement system, select a limited number of quantifiable measures that provide coherent guidance to enhance emergency response communication within and through a network of responders. The measures should be systemic in scope (encompassing the most important functions and objectives of the network), address observable events, and produce actionable intelligence.

## Communication Performance Measurement

The following tables provide suggestions for state, regional, and local network conveners (public, private, and nonprofit) to use in measuring the effectiveness of the network in communicating with vulnerable populations.

> **Begin by asking the following questions. (Present tense indicates expectations/planning; past tense indicates a recent activation of the network).**
>
> - How is/was the network expected to perform in an emergency?
> - How does/did the network function in an emergency (small or large)?
> - How does/did collaboration assist in communicating with vulnerable populations?
> - How does/did collaboration help accomplish communication goals?
> - How does/did collaboration improve management and deployment of transportation resources?

## Overall Performance Measures

Building a performance measurement system requires the development of a limited set of measures that are scientifically well-grounded, relevant to the concerns of stakeholders, and feasible to implement given the current state of available data collection and information systems.

The communication network around transportation options in an emergency can adopt goal-oriented performance measures and object-oriented performance metrics to address the needs of vulnerable communities and to assess how the network is doing relative to the known concerns, such as the fear they would be left behind in a major calamity. To help mitigate this fear, performance measure planning should be inclusive and include members of vulnerable populations and their representative organizations. This will help identify, fine tune, and update effective performance measures. It will also help identify, address, and mend basic structural barriers that can fracture network communication.

## 4.5 Performance Measures for Communicating (cont.)

### Table A: Overall Example Performance Measures

| Goals | Objective | Baseline Measures | Temporal Measures | 6 month | 1 year |
|-------|-----------|-------------------|-------------------|---------|--------|
| Enhance Interagency Response Capability | Reduce Impact | Regional demographics # of identified vulnerable population groups in region # of special needs | % of vulnerable population with identified contacts compared to total vulnerable population groups (# of groups and est. population per group) | x | x |
| Strengthen Interagency Preparedness | Enhance Capability | # reduction in response time | % reduction in response time | x | x |
| Advance Interagency Communication Ability | Integrate Communication Channels | # usage of media types (print, social networks, radio, cell phones, and TV) | % usage of media types (print, social networks, radio, cell phones, and TV) | x | x |
| Improve Network Outreach Functionality | Strengthen Community Relationships | # of outreach training activities that are community based | % of outreach training activities that are community based | x | x |
| Improve Network Outreach Functionality | Broaden Community Relationships | # of translators/# of language groups represented/# of language groups not represented (including ASL) | % of community language groups represented by translators compared to total language groups (# of groups and est. populations of groups if feasible) | x | x |
| Develop Network Personnel Competency | Provide Outreach and Communication Training | # of workers trained by key employment or service categories | % of workers trained by key employment or service categories | x | x |
| Strengthen Network Relationships | Maintain Network Database | Approx. time spent on planning activities with network partners (including planning meetings, exercises, network tests, joint efforts, such as community meetings) | % of time spent on planning activities with network partners; # meetings, conference calls, etc., # of participants | x | x |
| Develop Communication Database | Develop, Maintain, and Share Community Outreach Database | # of community-based and faith-based organizations, direct service providers, community leaders, neighborhood captains by network partners | % of faith-based and community-based organizations, direct service providers, community leaders, neighborhood captains by network partners | x | x |
| Updated Communication Plan and Database | Keep Contacts Up to Date | # of contacts; # agreeing to continue involvement | Contact database update frequency: Quarterly? Annually? Update completed on time? % of contacts agreeing to remain on list. % providing substitute. | x | x |

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## 4.5 Performance Measures for Communicating (cont.)

The development of performance measurement systems requires an investment of resources. Acquiring and maintaining those resources also means that the benefits of performance measurement will be made clear to those with influence over resource allocation within the network's participating agencies. Ultimately, the development of an effective performance measurement system will require that senior officials in federal, state, regional, and local agencies make a commitment to work closely with vulnerable populations when developing objective information to assess and improve communication systems.

### Table B: Communication Readiness Example Baselines and Benchmarks

| Action | Base Line | Benchmark |
|---|---|---|
| Strategic Campaigns to Increase Volunteerism | Annual or seasonal (e.g., paired with threat readiness planning — hurricane season, wildfires, tornado, etc.) | 1 per year (minimum) |
| Updated Communication Readiness Plan | Annual | 1 per year (example) |

## Enhancing Communication

Effective communication is seldom one-way. It needs to be two-way. As such, an effective communication process requires a feedback loop. Several tools in the Chapter 4 Tools section are intended to support that need: **Designing and Implementing Baseline and Post-Activation Surveys Tip Sheet, Post-Event Evaluation Form**, and the **Contact Information Update Template**. In addition, regular meetings of network members — either virtual or face-to-face — with performance measurement on the agenda will help ensure that the right actions and responses are being measured and that the network is measurably improving in meeting the communication needs of vulnerable populations.

# 4.6 Designing and Implementing Baseline and Post-Activation Surveys Tip Sheet

**Purpose:** Surveys can help network organizers improve network performance management by identifying successes, gaps, and challenges in performance over time and following specific events.

**Directions:** Survey analysis is most useful when combined with other forms of research (e.g., interviews, focus groups) and informal conversations (e.g., talking with network members and individuals from vulnerable populations on an ongoing basis).

## Overview of the Survey Process

A.  Decide what information is being sought.
B.  Determine the best way to collect the data.
C.  Draft the survey.
D.  Test the survey.
E.  Distribute the survey.
F.  Tabulate and analyze.
G.  Present findings.
H.  Create accountability.

### A. Decide what information is being sought.

Before drafting a survey, answer the following questions:

- What is the main, underlying question this survey seeks to answer?
- What data needs to be collected to answer the question?
- Who will receive the survey?
- How will the information be used by the network and individual organizations to:
  — Identify gaps?
  — Identify successful practices?
  — Make decisions?

**Hint:** Avoid asking questions because the answers would be "nice to know" rather than "need to know." Use survey responses to guide decisions and generate action. Focusing the survey on critical data will reduce the costs associated with analyzing and warehousing nonessential data.

### B. Determine the best way to collect the data.

Think beyond collection. Design the survey for ease in tabulating data and analyzing survey results. Consider these questions:

- Do all targeted respondents have access to a computer with an Internet connection so that an Internet survey may work?
- Are there respondents who will be more comfortable with a traditional pen and paper survey? If so, how can that data be compiled for analysis?
- Are there additional language, literacy, and sensory processing needs among potential respondents to be considered in the formatting, distribution, and collection of the survey?

# 4.6 Baseline and Post-Activation Surveys Tip Sheet (cont.)

## C. Draft the survey.

The answers to questions below will provide guidance about the specific content and format of survey questions. Consider the following:

- Why is this question being asked?
- What network decisions will be influenced by the answer?
- Will respondents be able to answer the question without needing to stop and find data? Return rates will likely be higher if requested information is at the respondent's fingertips.

Refine questions:
- Avoid compound or double-barreled questions.
- Use simple, direct language.
- Use neutral language; avoid hot-button or emotion-inducing words.
- Avoid leading questions.
- Keep the overall survey brief.

## D. Test the survey.

Ask someone not involved in developing the survey but familiar with the content to take the draft survey. Afterward, ask:

- How long did it take to complete the survey?
- Were the questions clear?
- Were questions answered without needing additional research?

Make revisions as needed.

## E. Distribute the survey.

Develop a brief cover memo that describes:

- Purpose of the survey.
- Length of time to complete.
- Closing date for returning surveys.
- Plan for analysis.
- Plan for reporting.

Be sure instructions are clear for returning the survey.

## F. Tabulate and analyze.

- Check all calculations twice.
- Consider the use of visual tools to present information in addition to narrative that will be provided (e.g., graphs or charts).
- Describe how questions were answered and whether responses prompted additional questions.
- Develop an executive summary that succinctly outlines major findings to accompany more detailed descriptions of responses and visual representations.

## 4.6 Baseline and Post-Activation Surveys Tip Sheet (cont.)

### G. Present findings.

Well-developed surveys will provide valuable feedback for the network and individual members. Present survey results at a meeting so that network members can discuss what is learned and how to use the findings.

### H. Create accountability.

Assign either an agency or individual to take charge of re-administering the baseline survey on an agreed upon interval. Link the post-activation survey to the After Action Report (AAR) function of the network to maximize the extraction of lessons learned from an event or exercise.

## Baseline Surveys

Baseline surveys collect basic information about the characteristics and potential capabilities of a network. Categories of information collected over time will make it possible to analyze growth in capacity and capability to reach vulnerable populations in an emergency. Be sure to repeat this type of survey on a regular basis (e.g., annually) and compare from year to year how the information changes.

### Information to be collected

Include the following categories of information in the survey; adapt as needed.

1. Agency information
   - Contact information: name, address, phone and fax, e-mail, web address
   - Organizational information: executive director, mission

2. Specific contact information for the *primary* and *alternate* individuals who will act as points of contact (POCs). Be sure to get both business contact information as well as after-hours contact information if the POC has agreed to be available evenings, weekends, and holidays. Include a question about how to notify the network when the primary contact is on vacation or unavailable.
   - Name
   - Phone (landline and mobile)
   - E-mail
   - Texting capability/preferences
   - Use of or participation in social media
   - Availability of smartphone

3. Technology use and preferences for *receiving* and *sending* for agency and individual POCs. Include questions about social media, reverse notifications systems, and any other specialized technology.
   - Routine communication
   - Emergency situations
   - Loss of power/electricity
   - Any other special considerations

## 4.6 Baseline and Post-Activation Surveys Tip Sheet (cont.)

4.  Populations the POC can reach:
    - Catchment or jurisdictional area
    - Number of people in the target population(s) served
    - Number of people that agency can reach with a message
    - Routine communication with electricity
    - Emergency communication
    - With electricity
    - Without electricity

5.  Other conduits of information that create redundancy:
    - For the agency/POC
      — Other sources of emergency information
      — Other sources of information about the target population (this includes other agencies or organizations)
    - For target populations
      — Other sources of information that are considered reliable within the community

## Post-Activation Surveys

A post-activation survey provides an opportunity to assess how well the network actually functioned during an event or an exercise. It can provide a snapshot of the network in action that supplements an AAR process.

### Information to be collected

Two broad questions to be answered:

- How did the network work?
- What needs improvement?

More specifically, consider the following categories of information to be explored:

- How accurate was contact information? Bounced e-mails are one indication of inaccurate contact information.
- How well did the preferred technologies work?
  — Receiving?
  — Sending?
- Were there any circumstances that triggered the use of back-up:
  — Contact information?
  — Power sources?
  — Technologies?
- What, if any, delays occurred in transmission of information?
  — From network to POC?
  — From POC to target populations?
- Is there any information or data about:
  — How many of the intended vulnerable populations actually received information?
  — Whether intended vulnerable populations took action as requested?
  — Complaints or kudos about the information/message?
  — Readability and understandability of content?
- Value of content
- Timeliness

# 4.7 Post-Event Evaluation Tool

**Purpose:** This tool can help document each member's experiences during an exercise or incident that required activation of the network.

**Directions:** Distribute this form to network members and ask them to complete and return by a specific date. Use the information to improve communication protocol and procedures.

**[Name of Exercise/Incident]** _____

Date: _____

Name: _____

Title: _____

Agency/Organization: _____

Telephone (work):_____ (cell): _____

E-mail: _____

Role in meeting/exercise/incident: _____

_____

_____

_____

In order of importance:

What went right?

1. _____

2. _____

3. _____

What could be improved?

1. _____

2. _____

3. _____

What steps can be taken to implement these improvements?

_____

Identify organizational and operational planning or procedures that need improvement.

_____

Additional comments:

_____

# ADDITIONAL INFORMATION

The following sources contributed to the development of Chapter 4.

**Emergency Management Institute (EMI)**

EMI is the lead national emergency management training, exercising, and education institution. EMI offers a full spectrum emergency management curriculum with more than 400 courses available to the integrated emergency management community.
http://training.fema.gov/

**Emergency Network Los Angeles (ENLA)**

ENLA is the recognized VOAD for Los Angeles County. Members form a collaborative network of nonprofit organizations that respond to disasters as part of their overall mission. ENLA conducted a membership assessment survey in 2009 to evaluate the network's capacity to meet the needs of vulnerable populations during emergencies.
http://www.enla.org/ENLA%20Survey%20Final%20Report.pdf

**Kentucky Outreach and Information Network (KOIN)**

The KOIN is a statewide communication network of volunteers who have agreed to deliver public health information to vulnerable populations.
http://healthalerts.ky.gov/koin/

**Lessons Learned Information Sharing (LLIS)**

LLIS is a national online network of lessons learned, promising practices, and innovative ideas for the emergency response and homeland security communities. It is managed by FEMA.
https://www.llis.dhs.gov/

**Pew Research Center**

The Pew Internet & American Life Project studies the social impact of the Internet.
http://pewinternet.org

***Simplified Guide to the Incident Command System for Transportation Professionals,* Federal Highway Administration (FHWA), February 2006**

This guide was developed by the Federal Highway Administration and covers ICS essentials.
http://www.ops.fhwa.dot.gov/publications/ics_guide/

**Vulnerable Populations Action Team (VPAT)**

Public Health — Seattle & King County formed a VPAT to coordinate county-wide preparedness efforts with a wide variety of community partners, including public sector agencies and CBOs. Public health and emergency management work collaboratively on a county-wide steering committee and conduct joint planning through an Operations Workgroup. Emergency management partners also participate in the Community Communication Network.

http://www.kingcounty.gov/healthservices/health/preparedness/VPAT.aspx

# References

[1,2,3] *Medical Surge Capacity and Capability: The Healthcare Coalition in Emergency Response and Recovery.* United States Department of Health and Human Services. May 2009.

[4] Safko, Lon, and Brake, D. *The Social Media Bible/Tactics Tools & Strategies for Business Success.* 2009. John Wiley & Sons, Inc., Hoboken, N.J.

# CONCLUSION

Emergencies are often the reason communication networks to reach vulnerable populations are created, but such communication networks can benefit transportation and emergency management agencies for reasons beyond emergency communication. Network partnerships can:

- Help agencies meet legal mandates

- Be leveraged in daily work

- Give agencies traction and credibility in the community

- Provide a forum for information sharing and mutual problem solving

- Serve as a baseline for a marketing program

- Be used to increase ridership, advance other programs and initiatives, and deliver public services

- Improve operations through collaboration and resource sharing

- Strengthen communication and response capability in events that require Emergency Operations Center activations, including non-declared emergencies

Communication is a critical function for public sector agencies responsible for public safety and mobility. Response and recovery demands will require a broad spectrum of communication expertise and resources beyond what one agency can provide alone. No single organization has the resources required to communicate effectively with vulnerable populations in emergencies. The communication network is one solution to building resilient communities and developing communication redundancy on critical issues or for crisis events. For transportation managers, such a network can help address the communication requirements of vulnerable populations in all phases of emergencies and in many aspects of providing regular transportation services.

# GLOSSARY OF TERMS

## A

### AAA (Area Agency on Aging)
AAAs are regional agencies (more than 600 nationwide) responsible for the Older Americans Act programs at the local level. The AAAs contract for transportation, nutrition, and other services. Each has an advisory council. AAAs are a national network supported by The National Association of Area Agencies on Aging (N4A).

### Accessible
Having the legally required features and/or qualities that ensure easy entrance, participation, and usability of places, programs, services, and activities by individuals with a wide variety of disabilities. (NIMS definition)

### ADA (Americans with Disabilities Act)
Passed in 1990, the ADA is civil rights legislation that protects individuals with disabilities. It guarantees equal opportunity for individuals with disabilities in public accommodations, employment, transportation, state and local government services, and telecommunications.

### ADA Definition of Persons with Disabilities
According to the ADA, people with disabilities are a protected class. An individual is defined as someone with a disability if they: (1) have a physical or mental impairment that substantially limits a major life activity; (2) have a record of such an impairment; and/or (3) are regarded as having such an impairment.

### All-Hazards Approach
An all-hazards approach is a conceptual and management approach that uses the same set of management arrangements to deal with all types of hazards (e.g., natural, man-made, complex).

### ASL (American Sign Language)
ASL is a complete, complex language that employs signs made with the hands and other movements, including facial expressions and postures of the body. It is the first language of many deaf North Americans, and one of several communication options available to deaf people. ASL is said to be the fourth most commonly used language in the United States.

### Assistive Device
Assistive devices are tools, equipment, or products that can help people perform tasks associated with daily living and/or manage specific medical conditions or disabilities. Assistive devices can include hearing aids, computer programs, and simpler devices, such as a "reacher."

# C

**CBO (Community-based Organization)**
CBOs are nonprofit organizations that operate within a local community, are often run on a voluntary basis, and are self funding. CBOs vary in terms of size and organizational structure. Some are formally incorporated with a written constitution and a board of directors, while others are much smaller and more informal. See also FBO and NGO.

**Champion:** A champion is someone who recognizes the need and an opportunity for mutual problem solving, engages key stakeholders, and may provide strategic direction and vision. Champions are passionate and committed to the idea of collaboration as the best means for reaching vulnerable populations in an emergency. They are advocates, defenders — people who are willing to battle for the rights of others.

**COG (Council of Governments)**
The COG is a voluntary association of local governments that operates as a planning body. The COG collects and disseminates information, reviews applications for funding, and provides services for its member governments.

**Cognitive Disabilities**
Cognitive and developmental disabilities include disorders that may affect a person's ability to listen, think, speak, read, write, do math, or follow instructions. It includes people with dyslexia, an extreme difficulty in reading, and attention deficit hyperactivity disorder (ADHD), which is an inability to focus on necessary tasks.

Many cognitive disabilities are based in physiological or biological processes within the individual, such as a genetic disorder or a traumatic brain injury. Other cognitive disabilities may be based in the chemistry or structure of a person's brain and may require assistance with aspects of daily life.

**COMTO (Conference of Minority Transportation Officials)**
COMTO is an organization for the training, education, and development of minority transportation professionals. The mission of COMTO is to ensure a level playing field and maximum participation in the transportation industry for minority individuals, businesses, and communities of color through advocacy, information sharing, training, education, and professional development. COMTO has 39 chapters throughout the United States. Members include individuals, transportation agencies, academic institutions, industry nonprofits, and Historically Underutilized Businesses (HUBs).

# D

**DHS (Department of Homeland Security)**
The Department of Homeland Security's mission is to lead the unified national effort to secure the country, preserve citizens' freedoms, and prepare for and respond to all hazards and disasters. Homeland Security leverages resources within federal, state, and local governments and

coordinates the transition of multiple agencies and programs into a single, integrated agency focused on protecting the American people and their homeland. More than 87,000 different governmental jurisdictions at the federal, state, and local level have homeland security responsibilities. The comprehensive national strategy seeks to develop a complementary system connecting all levels of government without duplicating effort.

**Disability**

A disability is a physical or mental impairment that substantially limits one or more of a person's major life activities. There are many definitions for "disability," some of which are narrow, others of which are broad. For example, a person with a visual impairment correctable by contact lenses could be considered disabled in some circumstances but not in others.

**Disaster Planning Cycle**

A disaster planning cycle consists of phases of activity related to emergency management, including mitigation, preparedness, response, and recovery.

**DME (Durable Medical Equipment)**

DME is medical equipment that a person needs to function on a daily basis, such as oxygen tanks, wheelchairs, orthotics, and prosthetics.

**DMS (Dynamic Message Sign)**

A DMS is a traffic control device used in conjunction with traffic management systems to communicate real-time traffic information about roadway or adverse weather conditions and special events. It is also referred to as a variable message sign (VMS), a changeable message sign (CMS), or an electronic message sign.

**DOT (Department of Transportation)**

The United States Department of Transportation (DOT) was established by an act of Congress on October 15, 1966. The top priorities of the DOT are to keep the traveling public safe and secure, increase their mobility, and have the U.S. transportation system contribute to the nation's economic growth. The DOT comprises 12 operating administrations and bureaus.

# E

**EAS (Emergency Alert System)**

The EAS is designed to provide the President with a means to address the American people in the event of a national emergency. Beginning in 1963, the President permitted state and local emergency information to be transmitted using the system. Since then, local emergency management personnel have used the EAS to relay local emergency messages via broadcast stations, cable, and wireless cable systems. In October 2005, the Federal Communications Commission expanded the EAS rules to require EAS participation by digital television broadcasters, digital cable television providers, digital broadcast radio, digital audio radio service, and direct broadcast satellite systems.

### EJ (Environmental Justice)

Environmental Justice is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. The Environmental Protection Agency (EPA) has this goal for all communities and people across this nation. It will be achieved when everyone enjoys the same degree of protection from environmental and health hazards and equal access to the decision-making process to have a healthy environment in which to live, learn, and work.

### EMA (Emergency Management Agency)

An EMA may also be known as an Office of Emergency Management (OEM), as an Office of Emergency Services (OES), or by a similar name. It is generally described as a state or local government agency that provides support to the local community in response to an emergency situation.

### Emergency

An emergency is a sudden, urgent, often unexpected occurrence or occasion requiring immediate action or an urgent need for assistance or relief. Also see "Incident."

### EMS (Emergency Medical Services)

EMS are types of emergency services dedicated to providing out-of-hospital acute medical care and/or transport to definitive care for patients with illnesses and injuries, which the patient or the medical practitioner believes constitutes a medical emergency.

### EOC (Emergency Operations Center)

The EOC provides needed centralized management when a major emergency or disaster strikes. The EOC is an established location/facility in which local and state staff and officials can receive information pertaining to an incident and from which they can provide direction, coordination, and support to emergency operations. This is also where the decision makers and support agencies will report to manage the evacuation.

National Incident Management System (NIMS) defines the EOC as, "The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, medical services), by jurisdiction (e.g., federal, state, regional, tribal, city, county), or by some combination thereof."

### ESF (Emergency Support Function)

The federal government groups most of its resources and capabilities, and those of certain private-sector and nongovernmental organizations, under ESFs. ESFs align categories of resources and provide strategic objectives for their use. They use standardized resource management concepts such as typing, inventory, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident. Support agencies are assigned based on the availability of resources in a given functional area. ESFs provide the greatest possible access to federal department and agency resources regardless of which agency has those resources.

**ESF-1**

Emergency Support Function-1 (also referred to as "Transportation Support Function). Under the National Response Framework (NRF), the designated ESF-1 coordinator is the U.S. Department of Transportation (DOT). The scope of ESF-1 includes aviation/airspace management and control, transportation safety, restoration and recovery of transportation infrastructure, movement restrictions, and damage and impact assessment.

**ESF-6**

Emergency Support Function-6 (also referred to as "Mass Care Support Function"). Under the National Response Framework (NRF), the designated ESF-6 coordinator is the Federal Emergency Management Agency (FEMA). The scope of ESF-6 includes mass care, emergency assistance, disaster housing, and human services.

**ESF-7**

Emergency Support Function-7 (also referred to as "Logistics Management and Resource Support Function"). Under the National Response Framework (NRF), the designated ESF-7 coordinators are the U.S. General Services Administration (GSA) and the Federal Emergency Management Agency (FEMA). The scope of ESF-7 includes comprehensive, national incident logistics planning, management, and sustainment capability, as well as resource support (e.g., facility space, office equipment and supplies, contracting services, etc.).

**ESF-8**

Emergency Support Function-8 (also referred to as "Health and Medical Services Support Function"). Under the National Response Framework (NRF), the designated ESF-8 coordinator is the U.S. Department of Health and Human Services (HHS). The scope of ESF-8 includes public health, medical, mental health services, and mass fatality management.

**ESF-15**

Emergency Support Function-15 (also referred to as "External Affairs Support Function"). Under the National Response Framework (NRF), the designated ESF-15 coordinator is the U.S. Department of Homeland Security (DHS). The scope of ESF-15 includes emergency public information and protective action guidance, media and community relations, congressional and international affairs, and tribal and insular affairs.

**Executive Order 13347**

On July 22, 2004, President George W. Bush signed Executive Order 13347 to strengthen emergency preparedness with respect to individuals with disabilities. This Executive Order directs the federal government to address the safety and security needs of people with disabilities in emergency situations, including natural and man-made disasters.

# F

**FBO (Faith-based Organization)**

FBOs are organizations based on religious beliefs or connected with an organized faith community.

These organizations typically deliver a variety of human services, such as caring for the infirm and elderly, advocating justice for people who are oppressed, humanitarian aid, and international development efforts.

## Federal Poverty Level

The federal poverty level represents income thresholds determined by the U.S. Department of Health and Human Services (HHS). It is used as a measure to determine if a person or family is eligible for assistance through various federal programs.

## FEMA (Federal Emergency Management Agency)

FEMA is the federal agency charged with building and supporting the nation's emergency management system. On March 1, 2003, FEMA became part of the U.S. Department of Homeland Security (DHS). FEMA's mission is to support American citizens and first responders to ensure that the U.S. works together to build, sustain, and improve capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.

## FHWA (Federal Highway Administration)

FHWA is a major agency of the U.S. Department of Transportation (DOT). FHWA is charged with the broad responsibility of ensuring that America's roads and highways continue to be the safest and most technologically up-to-date. This federal agency provides technical and financial support to state, local, and tribal governments to support construction, improvement, and preservation of America's highway system. FHWA is headquartered in Washington, D.C., with division offices in every state, the District of Columbia, and Puerto Rico.

## First Responder

A first responder is the first responding unit to arrive at an incident scene. This term has traditionally been used to describe public safety emergency responders who have duties related to preservation of life and property. As transportation agencies become more actively involved in traffic incident response and take active roles in Incident Command (as partners in Unified Command), they are becoming accepted as first responders for traffic incidents. For example, service patrols may be first on the scene of an incident and many are trained to provide traffic control to stabilize the scene and to provide emergency first aid. Some service patrols are also permitted limited use of emergency lights and sirens to get to an incident.

## Fixed Route

A fixed route refers to where transit service vehicles run on regular, pre-designated, pre-scheduled routes with little or no deviation.

## FTA (Federal Transit Administration)

FTA is one of 11 operating administrations within the U.S. Department of Transportation (DOT), located in Washington, D.C., with 10 regional offices across the nation. As authorized by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users of 2005 (SAFETEA-LU), the FTA provides stewardship of combined formula and discretionary programs to support a variety of locally planned, constructed, and operated public transportation systems throughout the United States. Transportation systems typically include buses, subways, light rail, commuter rail, streetcars, monorail, passenger ferryboats, inclined railways, or people movers.

**Function**

In emergency management, function has a different meaning than it does when applied to vulnerable populations. In emergency management, function means the purpose for which something is designed or exists (i.e., its role).

**Functional Needs**

Functional needs include communication, transportation, medical, independence, and supervision needs. Communication needs are experienced by people who have low literacy, speak English as a second language, have limited or no eyesight, or who are deaf or heard of hearing. Transportation needs include people who are elderly, disabled, or carless. See also "vulnerable populations" and "function."

# H

**Health Insurance Portability and Accountability Act (HIPAA) of 1996 Privacy and Security Rules**

The Office for Civil Rights enforces the HIPAA Privacy Rule, which protects the privacy of individually identifiable health information; the HIPAA Security Rule, which sets national standards for the security of electronic protected health information; and the confidentiality provisions of the Patient Safety Rule, which protect identifiable information being used to analyze patient safety events and improve patient safety.

**HSPD-5 (Homeland Security Presidential Directive 5)**

HSPD-5 is the "Management of Domestic Incidents." HSPD-5 requires all Federal departments and agencies to make adoption of the National Incident Management System (NIMS) by state, tribal, and local organizations as a condition for federal preparedness assistance.

**HSPD-8 (Homeland Security Presidential Directive 8)**

HSPD-8 is a companion to HSPD-5. This directive issued in 2003 covered the way the federal government would prepare to respond to an incident.

# I

**ICC (Interagency Coordinating Council on Emergency Preparedness and Individuals with Disabilities)**

The ICC was established by the U.S. Department of Homeland Security (DHS) to ensure that the federal government appropriately supports safety and security for individuals with disabilities in disaster situations.

**ICS (Incident Command System)**

ICS is a standardized, on-scene, all-hazards incident management approach used by all levels of government, many nongovernmental organizations, and the private sector. ICS is the command and control protocol at a highway incident scene. It is the operational component of NIMS.

**Incident**

In emergency management vocabulary, this is an event that has the potential to result in unintended harm or damage.

## Inclusive Communication

Inclusive communication consists of exchanges that reach all affected people and groups in a respectful manner. Inclusive communication allows everyone the opportunity to receive communication, engage with information, and act upon it. Recognizing that people communicate in a variety of ways, inclusive communication encourages the use of a variety of techniques.

## Interagency Collaboration

There is no standard definition of collaboration, and agencies and individuals engaged in addressing emergency transportation options with vulnerable populations may have their own unique definitions. Common to most definitions are shared labor, a shared purpose or goal, and joint ownership of the work, risks, results, and rewards.

# L

**Latchkey Children:** Children (usually 5-12 years old) who must spend part of the day unsupervised at home while their parents are at work. The Census estimates in 2000 indicated about 14 percent of children or about 10 million children were unsupervised on average for an hour a day, but the time and frequency vary widely, including varying with the age of the child.

## Limited English Proficiency (LEP)

Individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English can be limited English proficient, or "LEP." These individuals may be entitled to language assistance with respect to a particular type or service, benefit, or encounter.

# M

## Medical Needs Shelters

All shelters must be accessible to people with access and functional needs. A medical needs shelter (MNS) is a location that offers greater medical assistance than basic first aid, but not to the level of acute care. This type of shelter may be reserved for a relocation of a nursing home in the event of a disaster. It will be assumed that the staff of the facility will accompany the patients and be the primary caregivers of medical care to them. Supplies and equipment will also be the responsibility of the evacuated facility. Due to the nature of the MNS, limiting occupants to just those of the evacuated facility should be given consideration.

## MPO (Metropolitan Planning Organization)

An MPO is an agency designated by law with the lead responsibility for developing transportation plans and programs within an urbanized area. MPOs are established by agreement of the Governor and units of local government representing at least 75 percent of the population in the urbanized area. An MPO can also be a Council of Governments (see also "Council of Governments").

# N

## N4A (National Association of Area Agencies on Aging)

N4A is the acronym for the National Association of Area Agencies on Aging. N4A is an umbrella

organization advocating to ensure that needed resources and support services are available to older Americans. Through advocacy, training, and technical assistance, N4A supports a national network of more than 600 area agencies on aging and 246 **Title VI** programs.

### NGO (Nongovernmental Organization)

NGOs are non-profit entities formed as an association that are based on the interests of their members, individuals, or institutions, and that are not created by government but may work cooperatively with government. Such organizations serve a public purpose, not a private benefit.

### NIMS (National Incident Management System)

NIMS is a system used in the United States, and established by the Department of Homeland Security (DHS), to coordinate emergency preparedness and incident management among various federal, state, tribal, territorial, and local agencies. NIMS provides the template for the management of incidents. See ICS.

### NRF (National Response Framework)

NRF is part of the National Strategy for Homeland Security that presents the guiding principles enabling all levels of domestic response partners to prepare for and provide a unified national response to disasters and emergencies. NRF provides the structure and mechanisms for national-level policy for incident management. The NRF can be accessed on the U.S. Department of Homeland Security (DHS) website.

# O

### OEM (Office of Emergency Management)

OEM can be state or local. It is also known as EMA.

# P

### Paratransit

Paratransit is the family of transportation services that falls between the single-occupant automobile and fixed-route transit. Examples of paratransit include taxis, carpools, vanpools, minibuses, jitneys, demand responsive bus services, and specialized bus services for the mobility impaired or transportation disadvantaged.

### People with Medical Conditions

Many people throughout the United States may have one or more existing medical conditions, some more severe than others. People with medical conditions are individuals who have one or more medical diagnoses that may or may not interfere with activities of daily living. They may need assistance during an emergency evacuation. If a person with a medical condition becomes debilitated, limited, or otherwise impaired, that person may be protected under the Americans with Disabilities Act (ADA).

### People with Mobility Disabilities

Mobility disabilities are the physical challenges that can range from difficulty moving to the need

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to use assistive devices such as canes, walkers, wheelchairs, or scooters. A person with mobility disabilities may have a condition that requires him/her to remain in bed or need similar conveyances.

## People with No Access to a Vehicle

People with no access to a vehicle are individuals and families that do not have a car and generally rely on public transportation on a daily basis. Individuals and families may not have a car for several reasons, including economic factors, geographic location (i.e., people who live in urban environments may not own a vehicle), health conditions (e.g., those with physical disabilities, some of the very elderly), environmental conscientiousness, and lack of a license.

## People with Sensory Disabilities

People with sensory disabilities may experience varying levels of vision impairment or may be deaf or hard-of-hearing. Levels of functioning may not reflect the actual physical disability. For example, some blind people travel easily through urban areas. Some seniors with low vision may have more difficulty traveling than a person who is blind, depending on their training and/or type of vision loss.

## Poverty Line

The poverty line is the minimum level of income deemed necessary to achieve an adequate standard of living in a given country.

## PPD-8 (Presidential Policy Directive)

Presidential Policy Directive/PPD-8 replaced HSPD-8 in 2011. PPD-8 calls for the development of a national preparedness goal and a national preparedness system to achieve that goal.

## Private Sector

The private sector is the part of the economy that is both run for private profit and is not controlled by the state. Also see "Public Sector" and "Voluntary Sector."

## PSA (Public Service Announcement)

A PSA is a type of advertisement featured on television, radio, print, or other media. A PSA is intended to benefit the public interest by raising awareness of an issue, affecting public attitudes, and potentially stimulating action.

## Public Sector

The public sector is the part of the economy or society controlled by national, state, tribal, territorial, or local governments. The public sector provides basic government services, such as national defense, homeland security, public safety, public health, corrections, taxation, and various social services and programs.

# R

## Registry

In emergency services vocabulary, a registry is a voluntary listing of disabled or vulnerable special needs populations. Registries are often controversial.

# S

## Service Animal

A service animal is defined under the Americans with Disabilities Act (ADA) as "a guide dog, signal dog, or other animal individually trained to provide assistance to an individual with a disability." Service animals assist people with disabilities in various activities, such as sight (dog guides) and hearing (hearing dogs). Often, a service animal enables a person with a disability to live independently.

## Shelter

See "Medical Needs Shelters"

## Sign Language Interpreter

A sign language interpreter is a person who has been trained to use a system of conventional symbols or gestures made with the hands and body to help people communicate who are deaf or hard of hearing, or have speech impairments. There are different types of sign language interpreters: Tactile, Oral, Signed English, and others, as well as American Sign Language (ASL).

## Special Needs Populations

No singular definition of the term "special needs" exists, although the term is widely used within the disaster services and emergency management fields and is often primarily focused on people with disabilities. In fact, the term "special needs" is currently under debate in the disability, healthcare, and emergency management communities. "Special needs" can be narrowly defined or seen as a broad and overarching concept.

## Special and Vulnerable Populations

See "Special Needs Populations" and "Vulnerable Populations."

# T

## TCRP (Transit Cooperative Research Program)

TCRP is a program for carrying out practical research that yields near-term results for expanding public transportation system services and improving their efficiency. Through research, TCRP seeks to solve operational transportation problems, adopt useful technologies from related industries, and find ways for the transportation industry to be innovative. TCRP is funded by the public through the Federal Transit Administration (FTA) and is governed by an independent board — the TCRP Oversight and Project Selection (TOPS) Committee.

## TMC (Traffic Management Center)

The TMC or Traffic Operations Center (TOC) is the hub of a transportation management system where information about the transportation network is collected and combined with other operational and control data to manage the transportation network and produce traveler information. It is the focal point for communicating transportation-related information to the media and the motoring public. It is a place where agencies can coordinate their responses

to transportation situations and conditions. The TMC links various elements of Intelligent Transportation Systems (ITS), such as variable message signs, closed-circuit video equipment, and roadside count stations. These ITS elements enable decision makers to identify and react to an incident in a timely manner based on real-time data.

### Transportation Disadvantaged

Transportation disadvantaged populations include individuals who do not have access to personal transportation for reasons of health, disability, level of income, or other reasons. Florida statutes define it as, "Persons who because of physical or mental disability, income status, or age are unable to transport themselves or to purchase transportation and are, therefore, dependent upon others to obtain access to health care, employment, education, shopping, social activities, or other life-sustaining activities, or children who are handicapped or high-risk or at-risk."

# V

### VOAD (Voluntary Organizations Active in Disaster)

National VOAD is a nonprofit membership organization founded in 1970 in response to Hurricane Camille in the Gulf Coast. Members of National VOAD include national nonprofit organizations, whose missions include programs either in disaster preparedness, response, and/or recovery.

### Voluntary Sector

The voluntary sector is the sphere of social activity undertaken by nonprofit or nongovernmental organizations. This sector is also referred to as the community sector or nonprofit sector. Voluntary sector agencies include human service agencies and community-based and faith-based organizations.

### VP (Videophone)

A VP is a telephone with a video screen that is capable of bi-directional video and audio transmissions for communication between people in real time.

### Vulnerable Populations

Vulnerable populations include those who are made especially vulnerable by their financial circumstances, place of residence, health, age, personal characteristics, functional or developmental status, ability to communicate effectively, and presence of chronic illness or disability. Examples include the elderly, people with disabilities, and young children.

The Glossary was adapted with substantial modification from "Routes to Effective Evacuation Planning Primer Series: Evacuating Populations with Special Needs. Report No. FHWA-HOP-09-022."

# RESOURCES

- **Demographic and Database Research**
- **Functional Needs Additional Help Matrix**
- **Introduction to Emergency Management: Terms and Organization**
- **Emergency Planning Exercise Design Fact Sheet**

# Demographic and Database Research

**Purpose:** This resource provides tips on locating various types of demographic data and other information to establish a baseline on where various population groups are located.

**Directions:** Network members can use this resource to further understand the benefits and sources of demographic data to identify and locate specific populations, agencies, and the organizations that serve them.
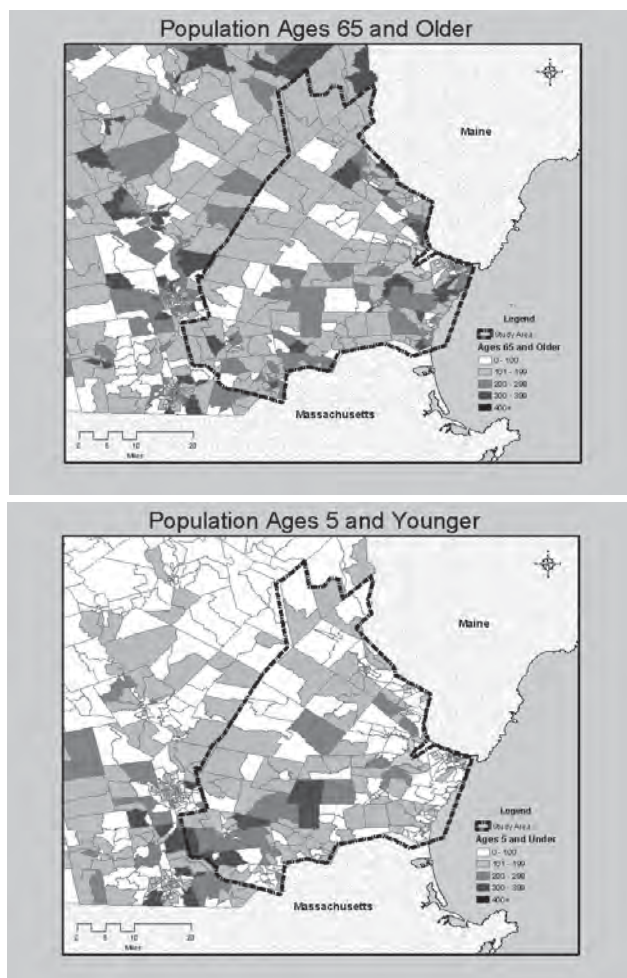


*Figure 1. Example of population data gathered from the U.S. Census to map populations of residents in the study area that are 65 and older and 5 years and younger.*

Demographic data helps transportation and emergency management planners understand the community. Poverty is usually a good place to start because it is often a common denominator for many different types of vulnerabilities. The data can be incorporated in tools that show the concentrations and locations of valuable information, such as population density, median household income, median home value, unemployment rates, vehicle availability, age, and race. A Geographic Information System (GIS) integrates hardware, software, and data for organizing and displaying forms of data. GIS tools can also be used to compare years to analyze changes in the community and to assist in identifying trends.

When viewing a map many questions can be answered, such as:

- Where are certain age groups concentrated within the study area?
- Does the study area contain non-English speaking populations?
- Are there areas where a large portion of the population does not have access to a vehicle?
- Where are large numbers of children located?

Understanding these answers can help communities better serve vulnerable populations during an emergency situation.

Various sources are available for data gathering for mapping purposes. The U.S. Census Bureau obtains population information across the nation every 10 years. The information that is collected is analyzed and organized by census political boundaries called tracts, blocks, and block groups. Table 1 describes the various information that can be gathered from the Census Bureau.

Shapefiles (geospatial vector data format for GIS systems) are available for download via the bureau's website. Figure 1 is an example of population comparisons using mapping tools and data from the Census Bureau. State and local agencies are also valuable sources for data needs. This information is generally free and is usually pre-formatted to be imported easily into a mapping tool for data comparison and viewing. Often local agencies will have available mapping data for community resources and locations of facilities. Census data is updated every 10 years — 2010 census data will be released in stages throughout 2011, 2012, and 2013. See www.census.gov/population/cen2010/glance for schedules of census data releases.

Significant research has gone into using multiple data sources to increase access to vulnerable populations. Table 2 summarizes key information about the "Special Population Planner" that agencies may want to investigate as they work on locating the "basics" about their community population.

Community planning for emergencies usually requires specific information, such as locations of social service agencies, schools, churches, nonprofit organizations, day care centers, nursing homes, and other potential concentrations of vulnerable populations, or resources that serve vulnerable populations. In smaller communities, this information is readily known and available to the person charged with creating contact lists and databases.

For larger communities, another alternative to "looking in the Yellow Pages" or searching for specific organizations on the Internet is to use lead-based sites that offer specific information about businesses, nonprofit organizations, and other potential resources using categories referred to as Standard Industrial Classification Codes (SIC) or NAICS codes. (Potential SIC or NAICS codes that are likely to be of interest in identifying resources for vulnerable populations are included in the online database.) Table 3 offers examples of lead-based websites. Commercial companies gather large amounts of information (such as address, contact name, phone number, website, number of employees, and geocode location). This same data can support emergency preparedness by reducing the effort to compile a comprehensive database of pertinent resources. For example, SIC codes can identify locations, such as animal shelters, kidney dialysis locations, rest homes, community centers, hospitals, and specialized schools.

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The information may cost anywhere from 25 cents to $1 or more per record, but may provide significant savings in time, staff, and effort in searching for the appropriate and needed information. If the demographic area is defined by census tracks, blocks, or groups, the information can be joined to a relevant statewide census shapefile and mapped by the chosen area.

Support for GIS can be found at http://support.esri.com/en/.

### Table 1. U.S. Census Information

| Source | Website | Information |
|---|---|---|
| **U.S.Census Bureau** | http://factfinder.census.gov/home/saff/main.html?_lang=en | Demographic data is available from small to large scales. Information can be broken down by state, county, municipality, census blocks, groups, and tracts. The data is collected every 10 years and can become outdated. |
| **America Community Survey** | http://www.census.gov/acs/www/ | The America Community Survey (ACS) is a nationwide survey published by the U.S. Census Bureau to provide communities a fresh look at how they are changing. ACS estimates are based on data collected over a three-year time period. Because these data are collected over three years, estimates are available for geographic areas with populations of 20,000 or more. The ACS one-year estimates are only available for areas with populations of 65,000 or more. ACS estimates provide information on general, social, economic, and housing characteristics at community levels. |
| **U.S. Census Bureau (Current Population Survey)** | http://www.census.gov/cps/ | The Current Population Survey (CPS) is a monthly survey of about 50,000 households conducted by the Bureau of Labor Statistics. Estimates obtained from the CPS include employment, unemployment, earnings, hours of work, and other indicators. They are available by a variety of demographic characteristics including age, sex, race, marital status, and educational attainment. They are also available by occupation, industry, and class of worker. |

## Table 2. Software

| Name | Website | Information |
|------|---------|-------------|
| **Special Population Planner (SPP)** | https:// sourceforge. net/projects/ spc-pop- planner/. | Argonne National Laboratory developed the Special Population Planner (SPP) in cooperation with the Alabama Emergency Management Agency and six Alabama counties. The SPP is the first GIS-based software tool designed to facilitate emergency planning for special-needs populations.<br><br>The SPP includes tools to accomplish many activities, including:<br>• Creating and updating a voluntary special-needs population registry of key personal data<br>• Creating and updating area GIS information, including assigning map locations to registered people based on their street addresses<br><br>The SPP enables users to map communities, facilities, and households where people with special needs reside relative to response assets and hazard scenarios. SPP software, including the source code, full documentation, and an example database, can be downloaded at no charge. SPP requires *ArcView 9.1* or *ArcGIS 9.1* (or higher) for each system, plus Crystal Reports 11. SPP also requires *Microsoft Access 2002* (or higher). |

## Table 3. Examples of Lead-based Sources
*(Note: These are not provided as a recommendation or affirmation of the quality of a commercial source but are provided as a potential tool for users.)*

| Source | Website |
|--------|---------|
| **InfoUSA** | http://www.infousa.com |
| **Instant Business List.com** | http://instantbusinesslist.com |
| **GoLeads** | http://www.goleads.com |
| **Lead Builder — Hoover's** | http://www.hoovers.com/ |

# Functional Needs Additional Help Matrix

**Purpose:** The purpose of this matrix is to provide a quick resource for transit agencies when responding to various threat scenarios. The threat scenarios and protective actions have been suggested by the U.S. Department of Homeland Security and the Victoria Transport Policy Institute. Protective actions that transportation agencies may be asked to provide include evacuation, transportation to shelter area, or transportation assistance in short- or long-term recovery.

**Directions:** In order to maintain independence, vulnerable populations groups may need assistance from transportation agencies to evacuate, shelter in place, or be transported to shelter areas. They may also require assistance during recovery. Each cell, *Evacuate, Shelter, Recovery*, lists considerations for emergency management and transportation agencies to aid vulnerable populations. The *Communication* cell lists considerations for various vulnerable population groups and suggested aids. Communication is important in any protective action. Effective communication of the transit agency's response may be the most effective mitigation measure. In the event a threat scenario requires *Transportation*, a list of considerations is provided, as well as for scenarios where vulnerable population groups may need *Supervision* or *Medical Care*. The matrix is not intended to be an exhaustive list of threats, protective actions, or other considerations. X indicates where protective actions for specific vulnerabilities are likely to apply in specific threat scenarios.

Acknowledgement: Matrix concept developed by E. Tanzman. All rights reserved. Used with permission.

| Threat Scenario[1,2] | Protective Action | MI: Impaired | MI: Speech or Language | MI: Cognitive or Intellectual | MI: Mobility | MI: Sensory | MI: Service Animal | MI: Equipment or Technology | MI: Medication | Comm: Real-time info-multiple formats | Comm: Low Literacy | Comm: Limited English Proficiency | Comm: Latchkey Children | Comm: Speech or Language | Comm: Cognitive or Intellectual | Comm: Sensory | Comm: Social Media | Comm: Adaptive Communication Devices | Trans: Mobility | Trans: Access | Trans: Transportation | Trans: Service Animal | Trans: Equipment or Technology | Sup: Latchkey Children | Sup: Mobility | Sup: Cognitive or Intellectual | Sup: Sensory | Med: Transportation | Med: Cognitive or Intellectual | Med: Mobility | Med: Service Animal | Med: Equipment or Technology | Med: Medication |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Aerosol Anthrax | Evacuate | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | | |
| | Shelter | X | X | X | | X | | | X | X | X | X | X | X | X | X | X | X | | | | | | X | X | X | | X | X | X | | | |
| | Other | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | | |
| Blister Agent | Evacuate | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | | |
| | Shelter | X | X | X | | X | | | X | X | X | X | X | X | X | X | X | X | | | | | | X | X | X | | X | X | X | | | |
| | Other | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | | |
| Blizzard/ice storm | Evacuate | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X |
| | Shelter | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X |
| | Recovery[5] | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X |
| Chlorine Tank Explosion | Evacuate | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X |
| | Shelter | None[4] | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | X | X | X | | None[4] | | | | | |
| | Recovery[5] | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X |
| Crash (Aircraft, Bus, Train) | Evacuate | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X |
| | Shelter | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X |
| | Recovery[5] | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X |

| Threat Scenario[1,2] | Protective Action | Maintaining Independence[3] | | | | | | | | Communication[3] | | | | | | | | | Transportation[3] | | | | | Supervision[3] | | | Medical Care[3] | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Impaired | Speech or Language | Cognitive or Intellectual | Mobility | Sensory | Service Animal | Equipment or Technology | Medication | Real-time information-multiple formats | Low Literacy | Limited English Proficiency | Latchkey Children | Speech or Language | Cognitive or Intellectual | Sensory | Social Media | Adaptive Communication Devices | Mobility | Access | Transportation | Service Animal | Equipment or Technology | Latchkey Children | Cognitive or Intellectual | Sensory | Transportation | Cognitive or Intellectual | Mobility | Service Animal | Equipment or Technology | Medication |
| Cyber Attack | Evacuate | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | | | | | | X | X | X | X | X | X | | | |
| | Other | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| Fire (Building, Forest, Wildfire) | Evacuate | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | |
| | Recovery[5] | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Flood | Evacuate | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | |
| | Recovery[5] | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Food Contamination | Evacuate | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | | | | | | X | X | X | X | X | X | | | |
| | Other | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| Foreign Animal Disease | Evacuate | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | | | | | | X | X | X | X | X | X | | | |
| | Other | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| Hazardous Spill | Evacuate | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | | | | | | X | X | X | X | X | X | | | |
| | Recovery[5] | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Improvised Explosive Device | Evacuate | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | |
| | Other | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| Improvised Nuclear Device | Evacuate | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | |
| | Other | | | | | | | | | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | |
| Landslide/avalanche | Evacuate | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | |
| | Recovery[5] | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Major earthquake | Evacuate | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | |
| | Shelter | | X | X | X | | X | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | |
| | Recovery[5] | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Major Hurricane | Evacuate | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | X | X | X |
| | Shelter | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | X | X | X | X | X | X | X | | | X | X | X |
| | Recovery[5] | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |

| Threat Scenario[1,2] | Protective Action | Maintaining Independence[3] | | | | | | | Communication[3] | | | | | | | | | Transportation[3] | | | | | Supervision[3] | | | | Medical Care[3] | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Speech or Language Impaired | Cognitive or Intellectual | Mobility | Sensory | Service Animal | Equipment or Technology | Medication | Real-time information-multiple formats | Low Literacy | Limited English Proficiency | Latchkey Children | Speech or Language | Cognitive or Intellectual | Sensory | Social Media | Adaptive Communication Devices | Mobility | Access | Transportation | Service Animal | Equipment or Technology | Latchkey Children | Mobility | Cognitive or Intellectual | Sensory | Transportation | Cognitive or Intellectual | Mobility | Service Animal | Equipment or Technology | Medication |
| **Nerve Agent** | Evacuate | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  | X | X | X | X | X | X |  |  | X | X | X | X | X |
| | Shelter | None[4] |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X | None[4] |  |  |  |  | None[4] |  |  |  | None[4] |  |  |  |  |  |
| | Recovery[5] | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  |  | X | X | X | X | X |
| **Pandemic Influenza** | Evacuate |  |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| | Shelter | X | X | X |  | X |  | X | X | X | X | X | X | X | X | X | X |  |  |  |  |  | X | X | X |  | X | X | X |  |  |  |
| | Other |  |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Plague** | Evacuate |  |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| | Shelter | X | X | X |  | X |  | X | X | X | X | X | X | X | X | X | X |  |  |  |  |  | X | X | X |  | X | X | X |  |  |  |
| | Other |  |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Radiological Dispersal Device** | Evacuate |  |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| | Shelter | X | X | X |  | X |  | X | X | X | X | X | X | X | X | X | X |  |  |  |  |  | X | X | X |  | X | X | X |  |  |  |
| | Other |  |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Riot** | Evacuate | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  |  | X | X | X | X | X |
| | Shelter | None[4] |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X | None[4] |  |  |  |  |  | X | X | X | None[4] |  |  |  |  |  |
| | Recovery[5] | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  |  | X | X | X | X | X |
| **Toxic Industrial Chemicals** | Evacuate |  |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| | Shelter | X | X | X |  | X |  | X | X | X | X | X | X | X | X | X | X |  |  |  |  |  | X | X | X |  | X | X | X |  |  |  |
| | Other |  |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Volcano** | Evacuate | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  | X | X | X | X | X | X |  |  | X | X | X | X | X |
| | Shelter | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  |  | X | X | X | X | X |
| | Recovery[5] | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  |  | X | X | X | X | X |
| **War** | Evacuate | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  | X | X | X | X | X | X |  |  | X | X | X | X | X |
| | Shelter | None[4] |  |  |  |  |  |  | X | X | X | X | X | X | X | X | X | None[4] |  |  |  |  |  | X | X | X | None[4] |  |  |  |  |  |
| | Recovery[5] | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |  |  | X | X | X | X | X |

[1] U.S. Department of Homeland Security. *National Preparedness Guidelines*, Fig. B-1. Sept. 2007.

[2] U.S. Department of Homeland Security, National Response Framework, Table 3 (Jan. 2008) and Todd Litman, *Lessons From Katrina and Rita: What Major Disasters Can Teach Transportation Planners*. Victoria Transport Policy Institute. Apr. 2006. http://www.vtpi.org/katrian.pdf.

[3] Federal Emergency Management Agency and U.S. Department of Homeland Security Office for Civil Rights and Civil Liberties, *Interim Emergency Management Planning Guide for Special Needs Populations*. Version 1.0. pp. 4-6. August 15, 2008.

[4] The U.S. Environmental Protection agency established the *National Advisory Committee on Acute Exposure Guideline Levels* to develop exposure guidelines for nerve agents. These guidelines apply to exposures of 10 minutes-8 hours. G. Yantosik. Shelter-in Place Protective Action Guide Book, Argonne National Laboratory Report No. ANL/DIS-06/25. p. 2. May 12, 2006. Due to the short time available and the inhalation threat associated with nerve agent releases, it appears that insufficient time may be available for significant additional assistance to be delivered to people sheltering in place with some types of functional needs.

[5] National Council on Disability. *Effective Emergency Management: Making Improvements for Communications and People with Disabilities*. pp. 137-178. Aug. 12, 2009. http://www.ncd.gov/newsroom/publications/2009/NCD_EmergencyManagement.doc.

# Introduction to Emergency Management: Terms and Organization

## Incident Management

The National Incident Management System (NIMS) provides a systematic, proactive approach to guide departments and agencies at all levels of government, nongovernmental organizations, and the private sector to work seamlessly to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life and property and harm to the environment.

It was created in the 1970s in California by the fire service for use in large-scale emergencies and over time it evolved into the command and control system for all emergencies in California. After the terrorist attacks of September 11, 2001, President George W. Bush mandated that all emergency response must be conducted using NIMS in order to receive the federal share of emergency response funds. Homeland Security Presidential Directive-5 (HSPD-5) was issued by President Bush on February 28, 2003, and the Incident Command System (ICS) became the basis for NIMS.

Emergency Management and its related discipline, emergency response, have adopted special terminology for reference within the disciplines. Some of the terms you may encounter in working with emergency managers and responders are:

- EMS: Emergency Medical Services
- ERP: Emergency Response Plan CPG 301
- IC: Incident Command
- ICS: Incident Command System
- NIMS: The National Incident Management System
- RESF: The Regional Emergency Support Function

The components of the NIMS are:

- Preparedness
- Communications and Information Management
- Resource Management
- Command and Management
- Ongoing Management and Maintenance (This is a NIMS function reserved to the National Integration Center to adopt existing standards that are consistent with NIMS doctrine and recommend those standards for voluntary adoption to state and local jurisdictions as guidance in fully implementing NIMS. It will not be discussed here because responding agencies have no responsibilities under it.)

## Preparedness

Preparedness is achieved and maintained through a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action. Ongoing preparedness efforts among all those involved in emergency management and incident response activities ensure coordination during times of crisis. Moreover, preparedness facilitates efficient and effective emergency management and incident response activities.

## Communication and Information Management

Communications and accurate, timely information are critical to effectively managing emergencies. Incident communications are facilitated through the development and use of common communications plans and interoperable communications equipment and standards, such as plain language instead of codes, which vary from agency to agency. Public and private agencies may work with responders to identify opportunities for interoperable communications, such as shared channels, common trunk systems, or mutual emergency channel access.

## Resource Management

Effective emergency management and incident response requires carefully managed resources. In order to properly manage them, resources need to be identified. Resources include personnel, vehicles, facilities, equipment, and supplies. Standard resource management concepts, such as categorizing, inventorying, organizing, and tracking will facilitate the dispatch, deployment, and recovery of resources before, during, and after an emergency.

## Command and Management

The NIMS Command and Management component is comprised of the following elements:

- Incident Command System
- Multiagency Coordination Systems
- Public Information

(These items are discussed in more detail below.)

## What is Incident Command?

A nationally used, standardized emergency management concept designed to allow its user to apply a logical organizational structure for efficient use and application of personnel, procedures, equipment, and communications.

## Why use Incident Command?

There is a stated need to manage information, collect data and intelligence, make damage assessments, determine resources, and return the system safely to operational status. The only way to maximize the efficiency of this process is to coordinate the efforts of all responding elements (e.g., police, fire, transportation, infrastructure, recovery units, etc.).

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## What is an Incident Commander?

One person who has the initial responsibility to:

- Declare the location for a Command Post (where all responders should initially report)
- Determine location and nature of the emergency and its perimeters
- Direct initial approach of first responders
- Establish clear lines of communication
- Establish a chain of command
- Establish and delegate required functions to staff
- Identify and coordinate with key decision-makers from other responding units on site
- Manage and monitor the emergency response of all departments and multiple agencies, if applicable (multiagency coordination systems)
- Conduct debriefing when incident is resolved
- Ensure consistent information is released to the media/public (public information)

## Who is the Incident Commander?

Initially, the first person on the scene who is able to begin response activities (can be a first responder or an agency employee) is the initial Incident Commander, a role that will be taken over in most cases by progressive ranking members of the first responder's or agency's supervision and management. In a police emergency, this rests with the ranking police officer on the scene. In a fire emergency, the responding jurisdictional fire commander is usually in charge until the fire or life-threatening emergency is abated. This determination is, however, not consistent from jurisdiction to jurisdiction and can be established by local statute. For example, in New York City, incident command is established by the type of incident and is not consistent during various emergencies. For some incidents, it is always NYPD, for some it is always FDNY, and for others it is the first responding agency.

## Who needs to go to the Command Post?

All key decision-makers should initially report to the Command Post to set up a Unified Command, the multiagency coordination element of NIMS.

Unified Command means that all involved agencies and departments contribute to the process of managing the incident, selecting strategies, conducting joint planning, and integrating response operations. These key decision-makers will then assign their resources to work within the overall system set up by this Unified Command.

## Duties of Incident Command

### Declare the location of the Command Post.

This is where all key decision-makers should respond initially to coordinate their respective areas of operations. It should be in a safe area, preferably upwind, upstream, and uphill of the emergency. All responders will be directed to respond to their agency field Command Post or to a staging area and they must not enter the emergency area on their own without direction from the Incident Commander or designee.

**Assess the nature of the incident.**

- Exact location.
- Extent of casualties and damage.
- What needs to be done immediately to stabilize the incident.
- Communicate this assessment to those who need to know: police, 911, transportation agencies, aid agencies, infrastructure management, public information, among others.

**Provide direction to responding units from street to staging area.**

- Have all key decision-makers report to the Command Post.
- If you are the first on the scene and have the knowledge and authority, begin to deploy resources to handle the crisis.
- Keep track of allocations, resources, and personnel.
- Ensure that full and accurate information is passed to anyone who is authorized to assume IC from you.
- Ensure that an agency representative is available to the IC when appropriate.

**Establish perimeters.**

- <u>Inner Perimeter</u> to prevent further injury or damage at location of the problem.
- <u>Outer Perimeter</u> to control area used by responding units, Command Post, and staging areas.

**Ensure rescue operations are not hampered or impeded.**

Priorities are:

- Life Safety.
- Incident Stabilization.
- Property Conservation.
- Recovery and Restoration of Service.

**Ensure that accurate and timely information is provided to the public and other interested parties.**

- Ensure that clear and correct information — the nature of the emergency and what people should do — is collected and verified at the scene.
- Determine information resources needed at the incident (media/press area, public information officer at the scene, etc.).
- Request assistance as required from IC information resource.
- Evaluate how the incident affects the agency, its users, and employees and provide reasonable, timely, and accurate notifications to them.

**Remember the "6 Cs" of Crisis Management.**

- Command: Establish a leader to manage the crisis.
- Contain: Isolate the problem and protect people and property.
- Control: Manage the scene, responding personnel, communications, and equipment.
- Coordinate: Ensure that all responders are working together as a team.
- Communicate: Ensure that all personnel share information and work toward a common goal.
- Critique: Review incident response and management, identify weakness, and reinforce strengths.

# Emergency Support Functions

## Purpose

This section provides an overview of the Emergency Support Function (ESF) structure, common elements of each of the ESFs, and the basic content contained in each of the ESF Annexes. The following section describes the roles and responsibilities of federal (and many state and local) departments and agencies as ESF coordinators, primary agencies, or support agencies. Note that some state and regional governments may combine ESFs to address local conditions.

## Background

The ESFs provide the structure for coordinating federal interagency support for a federal response to an incident. They are mechanisms for grouping functions most frequently used to provide federal support to states and federal-to-federal support, both for declared disasters and emergencies under the Stafford Act and for non-Stafford Act incidents. Many state and local agencies have adopted the same or similar structures and nomenclature for ease of reference.

The Incident Command System provides for the flexibility to assign ESF and other stakeholder resources according to their capabilities, tasks, and requirements to augment and support the other sections of the Joint Field Office (JFO)/Regional Response Coordination Center (RRCC), or National Response Coordination Center (NRCC) in order to respond to incidents in a more collaborative and cross-cutting manner.

While ESFs are typically assigned to a specific section at the NRCC or in the JFO/RRCC for management purposes, resources may be assigned anywhere within the Unified Coordination structure. Regardless of the section in which an ESF may reside, that entity works in conjunction with other JFO sections to ensure that appropriate planning and execution of missions occur.

| ESF | Scope |
|---|---|
| ESF #1 — Transportation | Aviation/airspace management and control<br>Transportation safety<br>Restoration/recovery of transportation infrastructure<br>Movement restrictions<br>Damage and impact assessment |
| ESF #2 — Communications | Coordination with telecommunications and information technology industries<br>Restoration and repair of telecommunications infrastructure<br>Protection, restoration, and sustainment of national cyber and information technology resources<br>Oversight of communications within the Federal incident management and response structures |
| ESF #3 — Public Works and Engineering | Infrastructure protection and emergency repair<br>Infrastructure restoration<br>Engineering services and construction management<br>Emergency contracting support for life-saving and life-sustaining services |
| ESF #4 — Firefighting | Coordination of Federal firefighting activities<br>Support to wild land, rural, and urban firefighting operations |
| ESF #5 — Emergency Management | Coordination of incident management and response efforts<br>Issuance of mission assignments<br>Resource and human capital<br>Incident action planning<br>Financial management |
| ESF #6 — Mass Care, Emergency Assistance, Housing, and Human Services | Mass care<br>Emergency assistance<br>Disaster housing<br>Human services |
| ESF #7 — Logistics Management and Resource Support | Comprehensive, national incident logistics planning, management, and sustainment capability<br>Resource support (facility space, office equipment and supplies, contracting services, etc.) |
| ESF #8 — Public Health and Medical Services | Public health<br>Medical<br>Mental health services<br>Mass fatality management |
| ESF #9 — Search and Rescue | Life-saving assistance<br>Search and rescue operations |
| ESF #10 — Oil and Hazardous Materials Response | Oil and hazardous materials (chemical, biological, radiological, etc.) response<br>Environmental short- and long-term cleanup |
| ESF #11 — Agriculture and Natural Resources | Nutrition assistance<br>Animal and plant disease and pest response<br>Food safety and security<br>Natural and cultural resources and historic properties protection and restoration<br>Safety and well-being of household pets |
| ESF #12 — Energy | Energy infrastructure assessment, repair, and restoration<br>Energy industry utilities coordination<br>Energy forecast |
| ESF #13 — Public Safety and Security | Facility and resource security<br>Security planning and technical resource assistance<br>Public safety and security support<br>Support to access, traffic, and crowd control |
| ESF #14 — Long-Term Community Recovery | Social and economic community impact assessment<br>Long-term community recovery assistance to states, local governments, and the private sector<br>Analysis and review of mitigation program implementation |
| ESF #15 — External Affairs | Emergency public information and protective action guidance<br>Media and community relations<br>Congressional and international affairs<br>Tribal and insular affairs |

# Emergency Planning Exercise Design Fact Sheet

**Purpose:** This resource introduces individuals who are not familiar with emergency planning exercises and the types and characteristics of exercises. Exercises are excellent opportunities to make important connections and share information on communication with vulnerable populations. It also emphasizes to emergency managers and those creating exercises that vulnerable populations need to be included at all stages of exercise planning, design, execution, and after action.

**Instructions:** An important element in sustaining the network is finding occasions to "check the pulse" of the network and see how well it works in a nonemergency situation. Performing a stand-alone network communication test is one way to check it. See **How to Conduct a Network Test** in Chapter 3 Tools. Another is to involve the network in local emergency management exercises. Network members will need to understand the basics of exercises in order to effectively participate in all phases of the exercise, from planning through the After Action Report (AAR). The emergency management or transportation contact from the network can convey to network members that communication with vulnerable populations represents only one element of the objectives for the exercise. Practicing network activation and communication is an important part of any emergency action and response.

## Overview

Exercises are an effective, efficient, and economic way of validating Emergency Operations Plans (EOPs), Standard Operating Procedures (SOPs), training effectiveness, individual skills, and an organization's ability to respond regardless of the level or complexity of the incident. Homeland Security Exercise and Evaluation Program (HSEEP) utilizes the stair-step method when deciding which type of exercise to conduct — either operational (e.g., drills, functional, or full scale) or discussion-based exercises (e.g., seminars, functional, or tabletops).

Exercises can be designed in one of three ways: scenario based, objective based, or some combination of the two. When developing the goals, objectives, and scenario for an exercise, consider lessons learned and areas for improvement that were identified in past training, exercises, and AARs from real events.

To ensure success, realism and relevancy should be key elements when designing and executing any exercise. These two factors are especially important when working with vulnerable populations. Substitutes, proxies, and simulations should be minimized or excluded.

## Discussion-Based Exercises

Discussion-based exercises are normally used as starting points in the building-block approach to the cycle, mix, and range of exercises. Discussion-based exercises include seminars, workshops, tabletop exercises (TTXs), and games. These types of exercises typically highlight existing plans, policies, mutual aid agreements, and procedures.

Discussion-based exercises focus on strategic policy-oriented issues while operations-based exercises focus more on tactical response-related issues. **It is vital that stakeholders, representatives from responding agencies, and subject matter experts (SMEs) from the community — especially vulnerable populations due to the unique challenges they can present — be**

**included in all phases of the design and execution of these exercises.** Facilitators and/or presenters usually lead the discussion and keep participants on track to meet the objectives of the exercise.

- **Seminars:** Seminars are generally used to provide an overview of authorities, strategies, plans, policies, procedures, protocols, response resources, concepts, and ideas. Seminars provide a good starting point for jurisdictions that are developing or making major changes to their plans and procedures.

- **Workshops:** Workshops represent the second tier of exercises in the HSEEP building-block approach. Although similar to seminars, workshops differ in two important aspects: participant interaction is increased and the focus is on achieving or building a product (such as a plan or a policy).

- **Tabletop Exercises (TTXs):** TTXs involve senior staff members, elected or appointed officials, or other key personnel in an informal setting discussing simulated situations. This type of exercise is intended to stimulate discussion of various issues regarding a hypothetical situation. It can be used to assess plans, policies, and procedures or to assess types of systems needed to guide the prevention of, response to, and recovery from a defined incident.

  TTX methods are divided into two categories: basic and advanced.

  — In a basic TTX, the scene set by the scenario materials remains constant. It describes an event or emergency incident and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented by the facilitator, problems are discussed as a group, and resolution is generally agreed upon and summarized by the leader.

  — In an advanced TTX, play focuses on delivery of pre-scripted messages to players that alter the original scenario. The exercise facilitator usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the problem, using appropriate plans and procedures.

## Operations-Based Exercises

Operations-based exercises are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercises. Operations-based exercises include drills, functional exercises (FEs), and full-scale exercises (FSEs). They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual response, mobilization of apparatus and resources, and commitment of personnel, usually over an extended period of time. **It is vital that stakeholders, representatives from responding agencies, and SMEs from the community — especially vulnerable populations due to the unique challenges they can present — be included in all phases of the design and execution of these exercises.**

- **Drills:** A drill is a coordinated, supervised activity usually used to test a single specific operation or function in a single agency.

- **Functional Exercises (FEs):** An FE, also known as a Command Post Exercise (CPX), is designed to test and evaluate individual capabilities, multiple functions or activities within a

function, or interdependent groups of functions. FEs generally focus on exercising the plans, policies, procedures, and staffs of the direction and control nodes of the Incident Command System (ICS), Unified Command, and Emergency Operations Centers (EOCs). Generally, incidents are projected through an exercise scenario with event updates that drive activity at the management level. Movement of personnel and equipment is simulated.

- **Full-Scale Exercises (FSEs):** FSEs are multiagency, multijurisdictional exercises that test many facets of emergency response and recovery. They include many first responders operating under the ICS or Unified Command to effectively and efficiently respond to and recover from an incident. An FSE focuses on implementing and analyzing the plans, policies, and procedures developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. The events are projected through a scripted exercise scenario with built-in flexibility to allow updates to drive activity. It is conducted in a real-time, stressful environment that closely mirrors a real incident. First responders and resources are mobilized and deployed to the scene where they conduct their actions as if a real incident has occurred (with minor exceptions).

## Other Factors

When developing realistic goals and objectives, the exercise type (operations or discussion based), size, complexity, and number of participants are just a few of the factors to be considered. Some additional items for consideration may be:

- Number of agencies and participants
- Footprint of exercise location large enough to accommodate expected turnout
- Number of training sites required
- Number of evaluators/controllers required to ensure the data needed is captured
- Outside resources needed to house and feed the participants and players

Based on the type and complexity of the exercise and the number of expected participants, the following planning meetings can be considered:

- Concept and objectives meeting
- Initial planning conference
- Middle planning conference
- Master scenario events list conference (MSEL)
- Final planning conference
- After Action Review conference
- Improvement planning conference

*Abbreviations and acronyms used without definitions in TRB publications:*

| | |
|---|---|
| AAAE | American Association of Airport Executives |
| AASHO | American Association of State Highway Officials |
| AASHTO | American Association of State Highway and Transportation Officials |
| ACI–NA | Airports Council International–North America |
| ACRP | Airport Cooperative Research Program |
| ADA | Americans with Disabilities Act |
| APTA | American Public Transportation Association |
| ASCE | American Society of Civil Engineers |
| ASME | American Society of Mechanical Engineers |
| ASTM | American Society for Testing and Materials |
| ATA | Air Transport Association |
| ATA | American Trucking Associations |
| CTAA | Community Transportation Association of America |
| CTBSSP | Commercial Truck and Bus Safety Synthesis Program |
| DHS | Department of Homeland Security |
| DOE | Department of Energy |
| EPA | Environmental Protection Agency |
| FAA | Federal Aviation Administration |
| FHWA | Federal Highway Administration |
| FMCSA | Federal Motor Carrier Safety Administration |
| FRA | Federal Railroad Administration |
| FTA | Federal Transit Administration |
| HMCRP | Hazardous Materials Cooperative Research Program |
| IEEE | Institute of Electrical and Electronics Engineers |
| ISTEA | Intermodal Surface Transportation Efficiency Act of 1991 |
| ITE | Institute of Transportation Engineers |
| NASA | National Aeronautics and Space Administration |
| NASAO | National Association of State Aviation Officials |
| NCFRP | National Cooperative Freight Research Program |
| NCHRP | National Cooperative Highway Research Program |
| NHTSA | National Highway Traffic Safety Administration |
| NTSB | National Transportation Safety Board |
| PHMSA | Pipeline and Hazardous Materials Safety Administration |
| RITA | Research and Innovative Technology Administration |
| SAE | Society of Automotive Engineers |
| SAFETEA-LU | Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (2005) |
| TCRP | Transit Cooperative Research Program |
| TEA-21 | Transportation Equity Act for the 21st Century (1998) |
| TRB | Transportation Research Board |
| TSA | Transportation Security Administration |
| U.S.DOT | United States Department of Transportation |