



Virginia Department of Corrections

Emergency Management

Operating Procedure 075.1

Emergency Operations Plan

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REVIEW

The Content Owner will review this operating procedure annually and re-write it no later than three years after the effective date.

COMPLIANCE

This operating procedure applies to all units operated by the Virginia Department of Corrections (DOC). Practices and procedures must comply with applicable State and Federal laws and regulations, American Correctional Association (ACA) standards, Prison Rape Elimination Act (PREA) standards, and DOC directives and operating procedures.

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DEFINITIONS

Active Shooter - An individual actively engaged in killing or attempting to kill people in a confined and populated area, typically through the use of firearms.

Continuity of Operations Plan (COOP) - A location-specific plan for each DOC facility and office to identify the essential functions of that facility/office and provide plans to continue or resume those functions after an incident that has disrupted operations at that location. The COOP must provide for maintaining essential functions for up to 30 days after an incident and make provisions for returning to normal operations.

Emergency Operations Plan (EOP) - A location-specific plan for each DOC facility and office to respond to general and specific incidents that disrupt or have the potential to disrupt facility/office operations. The EOP consists of a preplanned location and hazard specific initial responses combined with the Incident Command System.

Facility - Any institution or Community Corrections Alternative Program.

Facility/Office - For the purposes of Emergency Operations Plans and Continuity of Operations Plans, any site at which the DOC conducts business, each separate security perimeter in DOC facilities is a separate facility. Each office that serves multiple units such as Headquarters, Regional Offices, and the Academy for Staff Development will be one office. Sub-offices will be separate from Probation and Parole Offices.

Incident Command Center - The location from which the Incident Commander oversees all incident operations. This center should be located outside the present and potential hazard zone but close enough to the incident to maintain control. Access should be restricted and limited to maintain an effective span of control for the Incident Commander.

Incident Commander (IC) - The person designated to organize and direct the Incident Command Center and give overall strategic direction for incident management and support activities, including emergency response, continuity of operations, and recovery. In a small-scale incident, the Incident Commander may directly manage all of the Incident Command System sections (Planning, Operations, Logistics, and Finance/Administration). Large-scale incidents usually require activation of additional ICS Sections or establishment of a Unified Command to incorporate other agencies.

Incident Complexity Analysis - A subjective classification of an emergency incident into types ranging from Type 1 to Type 5 based on a review of the factors involved that will affect the probability of controlling an incident.

Inmate - A person who is incarcerated in a Virginia Department of Corrections facility or who is Virginia Department of Corrections responsible to serve a state sentence.

Lockdown - A general confinement, either scheduled or unscheduled, of inmates and CCAP probationers/parolees in assigned quarters and the stoppage of inmate and CCAP probationer/parolee movement and normal activities in all or part of the facility during which time staff normally conduct thorough searches.

Operational Period - Period of time scheduled for execution of a given set of operational actions; operational periods can vary in length, although not normally to exceed over 24 hours.

Operations and Logistics Unit (OLU) Operations Center - The portion of the Special Operations Unit that is staffed at all times to serve as the main repository and clearing house for all DOC incident notifications and intelligence.

Probationer/Parolee - A person who is on community supervision as the result of the commission of a criminal offense and released to the community under the jurisdiction of Courts, paroling authorities, the Virginia Department of Corrections, or other release authority; this includes post release supervision and Community Corrections Alternative Programs.

Span of Control - The number of resources supervised by one person; the goal is three-seven resources supervised per person.



PURPOSE

This operating procedure provides guidance and direction for each Department of Corrections (DOC) facility and office to develop and maintain an Emergency Operations Plan (EOP) specific to that facility/office utilizing the Incident Command System (ICS) and the National Incident Management System (NIMS) for managing emergency incidents at that location.

PROCEDURE

- I. Emergency Operations Center
 - A. The Virginia Department of Emergency Management (VDEM) operates an Emergency Operations Center that serves as the 24-hour warning point and emergency hotline for state government during routine operations.
 - B. In times of emergency, the Emergency Operations Center is activated to direct and control emergency operations statewide through the Virginia EOP.
 1. Designated DOC staff are assigned to a DOC desk in the resources section when the Emergency Operations Center is activated.
 2. The Major of Fugitive, Extradition and Emergency Services Unit coordinates the selection and training of designated DOC staff for Emergency Operations Center duties.
 - C. DOC staff responsibilities under the Virginia EOP include:
 1. Develop and maintain intradepartmental plans and procedures for the care of inmates and probationers/parolees during emergency operations.
 2. Provide for inmate and CCAP probationer/parolee evacuation from facilities in high-risk or threatened areas and for their reception and care in like facilities in a safer area.
 3. Provide manpower, equipment, medical support, backup communications, and other support, within limitations, to state and local governments during critical incidents.
- II. Emergency Management
 - A. The Major of Extradition, Fugitive, and Emergency Services Unit serves as the Emergency Manager for the DOC.
 - B. The DOC uses the ICS and the NIMS to manage all levels of emergency incidents.
 1. After the critical incident initial response specific to the nature of the incident, DOC staff will use an “all hazards” management approach based on the ICS so the same organization and structure can be used to focus on the effect of the event and not the cause; see Attachment 1, *Critical Incident Initial Response Checklist*.
 2. The “all hazards” approach results in one EOP followed in all situations that threaten facility/office security. (5-ACI-3B-14, 5-ACI-3B-15; 2-CO-3B-02)
 - a. The EOP, upon activation, will be adapted to respond to any such situations including but not limited to fire, natural or man-made disasters, escapes, riots, hunger strikes, disturbances, active shooter, and taking of hostages.
 - b. The EOP is available to all staff, as applicable, and is reviewed at least annually and updated as needed.
 3. The ICS organizational structure is modular, extending to incorporate all elements necessary for the type, size, scope, and complexity of a given critical incident from a one-on-one confrontation with an unruly inmate or probationer/parolee to a multi-agency, multi-jurisdiction, multi-state disaster.
 - C. With the development of Continuity of Operations Plans (COOPs) many events traditionally considered



emergency incidents can be managed in an orderly preplanned manner, see Operating Procedure 075.2, *Continuity of Operations Plan*. The ICS is used as needed to manage the COOP for these events: (2-CO-3B-02)

1. Work Stoppage
2. Workplace Violence
3. Lockdown
 - a. Short term
 - b. Long term
4. Evacuation
 - a. Partial - Internal and External
 - b. Full - External
5. Technological Event
 - a. Power failure
 - b. Loss of heat
 - c. Loss of water
 - d. Loss of communications
6. Naturally Occurring Event, where there is adequate warning such as:
 - a. Hurricane
 - b. Winter Storm
 - c. Flood
7. Medical Epidemic/Pandemic Event

III. Emergency Preparedness

A. Emergency Operations Plan (2-CO-3B-01)

1. Every facility/office must have a location specific EOP that allows for the management of emergencies at the level of organizational structure needed and provides for the necessary resources.
2. Some emergencies may be handled within the facility/office while other emergencies will rise to the Regional, Department, or outside agency level.
3. EOPs are disseminated to appropriate federal, state, and local authorities. (4-ACRS-1C-05)

B. EOPs must meet the following response objectives:

1. Protect the life and safety of the public, staff, inmates, and probationers/parolees.
2. Provide a framework for staff, inmates, probationers/parolees, and local first responders to respond quickly and effectively to stabilize incidents.
3. Protect property and environment.
4. Ensure all individuals injured in an incident receive immediate medical examination and treatment. (5-ACI-3A-32)
5. Foster an awareness of the diverse emergencies that can occur in or near DOC facilities/offices.
6. Facilitate the use of DOC facilities/offices as emergency operations sites, e.g., shelter site.
7. Facilitate the resumption of normal activities in a timely manner.

C. Critical Incident Initial Response Checklists

1. Each facility/office must be prepared to manage emergencies by inserting facility/office specific



information such as local emergency response agencies and phone numbers into Attachment 1, *Critical Incident Initial Response Checklists* (Restricted).

2. Designated staff must develop and maintain the following *Critical Incident Initial Response Checklists* specific to the facility/office.
 - a. *Fire/Hazardous Materials Critical Incident Initial Response Checklist* - Guides the initial response to any fire or hazardous materials event affecting the facility/office.
 - b. *Escape/Abscond Critical Incident Initial Response Checklist* - Guides the initial response to an inmate escape or probationer/parolee absconding to ensure: (4-ACRS-2A-12)
 - i. Escapees and absconders are detected and reported promptly.
 - ii. Timely notification is made to the facility/office with jurisdiction over the inmate or probationer/parolee and others as appropriate.
 - c. *Manmade or Natural Disaster Critical Incident Initial Response Checklist* - Guides the initial response to any event that damages the facility's/office's infrastructure such as the following:
 - i. Terrorist act
 - ii. Vehicle crash into fence or structure
 - iii. Earthquake/Volcanic Eruption
 - iv. Flood/Tsunami
 - v. Thunderstorm/Lightning
 - vi. Hurricane
 - vii. Tornado
 - d. *Bomb, Terrorist, or other Adverse Threat Critical Incident Initial Response Checklist* - Guides the initial response to any perceived threat against the safe, secure, orderly operation of the facility/office.
 - e. *Riot/Disturbance Critical Incident Initial Response Checklist* - Guides the initial response to any riot, disturbance, or other group action including a group hunger strike and barricade.
 - f. *Hostage Situation Critical Incident Initial Response Checklist* - Guides the initial response to a hostage situation in the facility/office.
 - g. *Letter/Package Containing Contaminant or Explosive Critical Incident Initial Response Checklist* - Guides the initial response when a letter or package suspected to contain dangerous contaminants or explosives is discovered.
 - h. *Active Shooter Critical Incident Initial Response Checklist* - Guides the initial response to any active shooter situation.
 - i. *Medical Epidemic/Pandemic Situation Critical Incident Initial Response Checklist* - Guides the initial response to a possible medical epidemic/pandemic situation in the facility/office.
3. The *Critical Incident Initial Response Checklists* should be as simple and as brief as possible.
4. Staff may be required to use multiple *Critical Incident Initial Response Checklists* for a combination of events such as a riot in which hostages are taken.
5. Copies of the facility's/office's *Critical Incident Initial Response Checklists* should be readily available in strategic facility/office locations such as the Unit Head's office, Shift Commander's office, Master Control, etc.
6. The Chief of Security or other designated facility/office staff are responsible for monitoring and updating the *Initial Response Checklists* as needed, and on an annual basis.

D. Staff Preparedness

1. Staff should be trained to respond to an emergency incident in the following manner:
 - a. Remain calm.
 - b. Maintain personal safety.



- c. Observe and listen carefully.
 - d. Take notes.
 - e. Gather as much information as possible.
 - f. Immediately notify the supervisor
2. Each facility/office must train and conduct drills to test their emergency response readiness; see Operating Procedure 075.6, *Critical Incident Management Exercises*.

IV. Emergency Operations Plan (EOP) Activation

A. Generally, the highest-ranking individual immediately available should assume the role of Incident Commander.

1. The Incident Commander's initial response to an incident should be guided by and documented on the appropriate facility/office specific *Critical Incident Initial Response Checklist*.
2. The Incident Commander may determine that a particular task on the *Critical Incident Initial Response Checklist* is not needed for that specific incident.

B. Initial response to an emergency event should follow these steps:

1. Alert

Each facility/office has a fire protection automatic detection, an alarm system, and a system to alert management and staff of other potential emergencies. (4-ACRS-1C-13)

2. Situation Assessment

- a. What happened?
- b. What areas are involved?
- c. How serious is it?

3. Scene Security and Facility/Office Stabilization

- a. Secure the immediate scene.
- b. Evacuate anyone not needed at the scene in accordance with the facility/office written evacuation plan; see Operating Procedure 303.2, *Fire Safety and Response Plans*. (5-ACI-3B-11; 4-ACRS-1C-09; 4-APPFS-3F-02; 1-CTA-3C-01)
- c. Secure the perimeter.
- d. Secure administrative and inmate or probationer/parolee phone system
- e. Stop inmate and probationer/parolee movement.
- f. Begin accounting for inmates and probationers/parolees (Critical Incident Count)
- g. Begin accounting for staff.

4. Notifications

- a. Each facility/office provides a communications system within the facility/office and between the facility/office and community partners in the event of urgent, special, or unusual incidents or emergencies. (5-ACI-3B-07)
- b. Staff will notify external agencies of critical incidents in accordance with this operating procedure.
 - i. These notifications are for tactical support under the control of DOC administration or the Incident Commander while inside DOC facilities/offices.
 - ii. At the direction of the DOC Director or Chief of Corrections Operations, staff may request external agencies provide other assistance and resources during serious/critical incidents and investigations.
- c. The order of notifications for each emergency is provided on the applicable *Critical Incident Initial Response Checklist* that includes but is not limited to the following:



- i. Fire/Emergency Medical Services/Hazardous Materials Team
- ii. Facility medical staff
- iii. Additional community resources, e.g., State Police and local law enforcement
- iv. Operations and Logistics Unit (OLU); see Operating Procedure 435.1, *Special Operations Unit*
 - (a) The OLU should be notified of all emergency incidents in DOC facilities/offices.
 - (b) Other than local first responders, OLU staff will make other notifications as needed.

5. Establish Command Post

V. Incident Command System (ICS)

A. An ICS is the combination of facilities, equipment, staff, procedures, and communications that operate within a common organizational structure and is designed to aid in incident management activities.

1. Staff use the ICS for a broad spectrum of emergencies, from small to complex incidents, both natural and manmade.
2. The ICS provides a functional structure with clearly defined responsibilities based on unity of command so that everyone has only one supervisor and each supervisor has a manageable span of control.
3. This system is used by all levels of government, Federal, State, local, and tribal, as well as by many private sector and nongovernmental organizations.

B. Functional Structure

1. Command Staff

- a. Command Staff have the assigned responsibility for key activities that are not a part of the ICS General Staff functional areas.
- b. Command Staff consists of the Incident Commander and other designated staff positions that report directly to the Incident Commander:
 - i. Incident Commander - Organizes and directs the Incident Command Center. Gives overall strategic direction for incident management and support activities, including emergency response, continuity of operations, and recovery.
 - ii. Public Information Officer - Serves as the conduit for information to internal and external stakeholders, including staff, visitors and families, and the news media, as approved by the Incident Commander.
 - iii. Safety Officer - Ensures the safety of staff, inmates, probationers/parolees, and visitors, monitors, and corrects hazardous conditions, and has the authority to halt any operation that poses an immediate threat to life and health.
 - iv. Liaison Officer - Functions as the incident contact person in the Incident Command Center for representatives from other agencies.
 - v. Scribe - Maintains accurate and complete records and documentation of all actions taken by the Command Staff.

2. General Staff

- a. General Staff manage the major functional areas of operations, planning/intelligence, logistics, and finance/administration.
- b. Each major functional area has a Chief that reports to the Incident Commander and as many subordinate units or branches as may be needed.
 - i. Operations - Develops and implements strategy and work assignments to carry out the response objectives established by the Incident Commander and organizes, assigns, and supervises Staging, Security, Infrastructure, Hazardous Materials, Casualty Care, and other necessary elements.
 - ii. Planning - Oversees all incident-related data gathering and analysis regarding incident



- operations and assigned resources and develops alternatives for tactical operations, conducts planning meetings, and prepares the *Incident Action Plan (IAP)* for each operational period.
- iii. Logistics - Organizes and directs those operations associated with the continuity of operations, maintenance of the physical environment, the provision of human resources, material, and services to support incident activities and participates in incident action planning and *IAP* development.
 - iv. Finance/Administration - Organizes and maintains the administrative and financial functions of the facility/office.

3. Modular Extension

- a. The ICS organizational structure is modular, extending to incorporate all elements necessary for the type, size, scope, and complexity of a given incident. The following considerations form the basis of the modular concept of ICS:
 - i. Developing the form of the organization to match the function or task to be performed.
 - ii. Staffing only the functional elements that are required to perform the task.
 - iii. Observing recommended span-of-control guidelines.
 - iv. Performing the function of any non-activated organizational element at the next highest level.
 - v. Deactivating organizational elements no longer required.
- b. The ICS structural organization builds from the top down. Responsibility and performance begin with the Incident Commander and the incident command element.
- c. When the need arises, separate sections can be used to organize staff into functional areas.
- d. Each section can have several subordinate units, or branches, depending on the management requirements of the incident.
- e. If one individual can simultaneously manage all duties in a functional area, no further organization is required.
- f. If one or more of the functions requires independent management, an individual is assigned responsibility for that function.
- g. All roles and assignments may transfer to other individuals as additional, higher ranking, individuals more qualified become available or to provide relief as needed.

C. Job Action Sheets and ICS Forms

1. The Incident Commander will utilize the ICS to designate and establish the functional area units necessary to manage the incident using the appropriate *Job Action Sheet*; see Attachment 2, *Index of Job Action Sheets*.
2. The following DOC specific ICS forms serve to communicate and document the actions taken during an emergency incident; see Attachment 3, *Index of Incident Command System (ICS) Forms*.
 - a. VADOC - ICS 201 - *Incident Briefing*
 - b. VADOC - ICS 202 - *Response Objectives*
 - c. VADOC - ICS 203 - *Projected Actions List*
 - d. VADOC - ICS 204 - *Branch Assignment List*
 - e. VADOC - ICS 205 - *Incident Communications Plan (Internal)*
 - f. VADOC - ICS 206 - *Medical Plan*
 - g. VADOC - ICS 207 - *Organization Chart*
 - h. VADOC - ICS 209 - *Incident Status Summary*
 - i. VADOC - ICS 211 - *Check-In List*
 - j. VADOC - ICS 213 - *Incident Message Form*
 - k. VADOC - ICS 214 - *Operational Log*

- l. VADOC - ICS 215 - *Operational Planning Worksheet*
 - m. VADOC - ICS 221 - *Demobilization Checkout*
 - n. VADOC - ICS 251 - *Facility System Status Report*
 - o. VADOC - ICS 252 - *Section Personnel Time Sheet*
 - p. VADOC - ICS 257 - *Resource Accounting Record*
 - q. VADOC - ICS 260 - *Resource Order*
 - r. VADOC - ICS 261 - *Incident Action Safety Analysis*
 - s. VADOC - *Incident Action Plan Cover Sheet*
3. Designated facility/office staff should preprint the *Job Action Sheets*, *ICS Forms* and position identification badges, group forms and badges by functional area in advance of an emergency incident and store them in an area to be readily available in an emergency as needed. Staff should use colored paper to designate the major functional areas as follows:
- a. Command - White
 - b. Operations - Red
 - c. Planning - Blue
 - d. Logistics - Yellow
 - e. Finance/Administration - Green

VI. Incident Type Classification

A. Incidents can be classified into types to facilitate decisions about resource requirements. Incident types are based on the following levels of complexity:

1. Type 5 (ICS-200 Level)
 - a. The incident can be managed with one or two single resources with up to six staff members.
 - b. Command and General Staff positions, other than the Incident Commander, are not activated.
 - c. No written *IAP* is required.
 - d. Staff trained at the ICS-200 level is all that is required to manage the incident.
 - e. Examples of such incident types include an inmate or probationer/parolee fight, sexual assault, an injured person, or a cell extraction.
 - f. A written *After Action Report/Improvement Plan 075_F8* is not required.
2. Type 4 (ICS-200/300 Level)
 - a. Command and General Staff functions are activated only if needed.
 - b. Several resources are required to mitigate the incident.
 - c. The Incident Commander may have briefings and will ensure the complexity analysis and delegations of authority are updated.
 - d. The Incident Commander should establish an Incident Management Team comprised of staff trained at the ICS-300 Level. Staff trained at the ICS-200 Level can be used to manage the incident to develop their experience, skills, and abilities.
 - e. No written *IAP* is required but a documented operational briefing will be completed for all incoming staff resources.
 - f. Examples of such incident types include a facility disturbance, multiple cell extractions, or a small fire.
 - g. A written *After Action Report/Improvement Plan 075_F8* should be completed.
3. Type 3 (ICS-300 Level)
 - a. When the initial response needs, exceed facility/resources and capabilities, the appropriate ICS

- positions should be added to match the complexity of the incident.
- b. Some or all the Command and General Staff positions may be activated as well as Division/Group Supervisor and/or Unit Leader level positions.
 - c. An Incident Management Team comprised of staff trained at the ICS-300 Level is required to manage the incident.
 - d. The incident may extend into multiple operational periods.
 - e. A written *IAP* may be required for each operational period.
 - f. Examples of such incident types include an escape from a facility, living unit fire/evacuation, field office evacuation, use of lethal force incident, active shooter situation, or large-scale lockdown.
 - g. A written *After Action Report/Improvement Plan 075_F8* must be completed.
4. Type 2 (ICS-300/400 Level)
- a. This type of incident extends beyond the capabilities for local control and is expected to go into multiple operational periods.
 - b. A Type 2 incident may require the response of resources out of the area including regional and/or national resources to manage the operations effectively.
 - c. Most or all the Command and General Staff positions are filled.
 - d. A written *IAP* is required for each operational period.
 - e. The Incident Commander should establish an Incident Management Team comprised of staff trained at the ICS-400 Level. Staff trained at ICS-300 Level can be used to manage the incident to develop their experience, skills, and abilities.
 - f. The Agency Administrator is responsible for the incident briefings, incident complexity analysis, and the written delegation of authority.
 - g. Examples of such incident types include major riot/disturbance, a complete facility evacuation, large hazardous materials spill, or a plane crash.
 - h. A written *After Action Report/Improvement Plan 075_F8* must be completed.
5. Type 1 (ICS-400 Level)
- a. This type of incident is the most complex, requiring state and national resources to manage and operate safely and effectively.
 - b. All Command and General Staff positions are activated generally utilizing a multi-agency unified command structure.
 - c. Branches will be established.
 - d. An Incident Management Team with individuals trained at the ICS-400 Level is required to manage the incident.
 - e. The Agency Administrator will have briefings and will ensure that the incident complexity analysis and delegation of authority are updated.
 - f. There is a high impact on the local jurisdiction, requiring additional staff for office administrative and support functions.
 - g. Examples of such incident types include major hurricane, terrorist acts, large-scale natural disasters, and federally declared disasters.
 - h. A written *After Action Report/Improvement Plan 075_F8* must be completed by each DOC facility/office involved.
- B. Staff may be required to complete other reports in addition to the *After Action Report/Improvement Plan 075_F8*; see Operating Procedure 038.1, *Reporting Serious or Unusual Incidents*.

VII. Incident Action Plan (IAP)

A. IAP Development and Revision

1. The *IAP* is prepared and disseminated to coordinate an appropriate response to the emergency incident that includes a determination of necessary resources and assets.
 - a. A clear and concise *IAP* is essential for guiding the initial incident management decision process, and for continuing the collective planning activities of Incident Management Team.
 - b. The *IAP* planning process should provide the following:
 - i. Current information that accurately describes the incident situation and resource status
 - ii. Predictions of the probable course of events
 - iii. Alternative strategies to attain response objectives.
 - iv. An accurate, realistic *IAP* for the next operational period
2. During the initial stages of incident management, planners will develop a simple plan that can be disseminated through concise oral briefings. Frequently, this plan must be developed very quickly and with incomplete situation information.
3. As the incident management effort evolves over time, additional lead-time, staff, information systems, and technologies enable more detailed planning and cataloging of events and lessons learned.

B. Planning Process

1. The primary phases of the planning process are essentially the same for the Incident Commander who develops the initial plan, for the Incident Commander and Operations Section Chief who revise the initial *IAP* for extended operations, and for the Incident Management Team who develop a formal *IAP*, each follow a similar planning process.
2. The planning process has five primary phases:
 - a. Phase I - Understand the Situation
 - i. The first phase includes gathering, recording, analyzing, and displaying situation and resource information.
 - ii. Situation and resource information must be displayed in a manner that ensures a clear picture of the magnitude, complexity, potential impact of the incident, and the ability to determine the resources required to develop and implement an effective *IAP*.
 - b. Phase II - Establish Response Objectives and Strategy
 - i. The second phase includes formulating and prioritizing response objectives and identifying an appropriate strategy.
 - ii. The response objectives and strategy must conform to the legal obligations and management objectives of all affected agencies.
 - iii. Reasonable alternative strategies that accomplish the overall response objectives are identified, analyzed, and evaluated to determine the most appropriate strategy for the current situation.
 - iv. The evaluation criteria used to determine the most appropriate strategy include public health and safety factors, estimated costs, and various environmental, legal, and political considerations.
 - c. Phase III - Develop the *IAP*
 - i. The third phase involves determining the tactical direction and the specific resource, reserves, and support requirements for implementing the selected strategy for one operational period.
 - ii. This phase is usually the responsibility of the Incident Commander, who bases their decisions on the resources allocated to enable a sustained response.
 - iii. After determining the availability of resources, the Incident Commander develops an *IAP* that makes the best use of these resources.
 - iv. Every emergency incident must have an action plan but not all incidents require a written *IAP*. The Incident Commander, based on the requirements of the incident, determines the need for an

- IAP.
- v. Prior to utilizing formal planning meetings, each member of the Command Staff and each functional Section Chief is responsible for gathering information to support these decisions. When utilizing a formal planning meeting, the Section Chiefs develop the *IAP* collectively.
- d. Phase IV - Prepare and Disseminate the *IAP*
 - i. The fourth phase involves preparing the *IAP* in a format that is appropriate for the level of incident complexity.
 - ii. For the initial response, the format is a well-prepared outline for an oral briefing.
 - iii. For most incidents that span multiple operational periods, a written *IAP* is developed to follow the ICS.
- e. Phase V - Evaluate and Revise the *IAP*
 - i. The planning process includes the requirement to evaluate planned events and verify the accuracy of information to be used in planning for subsequent operational periods.
 - ii. General Staff should regularly compare planned progress with actual progress.
 - iii. When deviations occur and when new information emerges, the information should be included when modifying the current *IAP* or developing an *IAP* for the subsequent operational period.

C. IAP Components

1. The IAP will normally consist of the following:
 - a. VADOC - ICS 202 - *Response Objectives*
 - b. VADOC - ICS 204 - *Branch Assignment List*
 - c. VADOC - ICS 207 - *Organization Chart*
 - d. A map of the incident area
2. Larger incidents may require additional supporting attachments, such as:
 - a. VADOC - ICS 205 - *Incident Communications Plan (Internal)*
 - b. VADOC - ICS 206 - *Medical Plan*
 - c. A Traffic Plan, when necessary
3. The Planning Section Chief determines the need for additional attachments and will ensure that the appropriate units prepare the attachments.
4. For major incidents, the *IAP* and attachments normally includes the items listed below:

Components	Normally Prepared By
Common Components	
VADOC - ICS 202 - <i>Response Objectives</i>	Incident Commander
VADOC - ICS 203 - <i>Projected Actions List</i>	Each Activated Section/Branch/Unit
VADOC - ICS 205 - <i>Incident Communications Plan (Internal)</i>	Communications Unit
VADOC - ICS 206 - <i>Medical Plan</i>	Medical Unit
VADOC - ICS 207 - <i>Organization Chart</i>	Resources Unit
VADOC - ICS 209 - <i>Incident Status Summary</i>	Planning Section
VADOC - ICS 215 - <i>Operational Planning Worksheet</i>	Resource Unit
Logistics Plan	Logistics Section
Incident Map	Situation Unit
Health and Safety Plan	Safety Officer
Demobilization Plan	Demobilization Unit
Other Potential Components (Scenario dependent)	



Traffic Plan	Law Enforcement Unit
Decontamination Plan	Technical Specialist
Waste Management or Disposal Plan	Technical Specialist
Medical Plan	Technical Specialist
Evacuation Plan	Continuity of Operations Plan
Site Security Plan	Perimeter Security Unit
Investigative Plan	Situation Unit
Evidence Recovery Plan	Tactical Commander/Situation Unit
Other	As Required

D. Formal Planning Meeting

1. **General Responsibilities** - The general responsibilities associated with a formal planning meeting to develop an *IAP*:
 - a. **Planning Section Chief**
 - i. Reviews general responsibilities provided in the section with General Staff prior to the planning meeting.
 - ii. Conducts the planning meeting and coordinates preparation of the *IAP*.
 - b. **Incident Commander**
 - i. Provides overall response objectives and strategy.
 - ii. Establishes procedures for off-incident resource ordering.
 - iii. Establishes procedures for resource activation, mobilization, and employment.
 - iv. Approves completed *IAP* by signature.
 - c. **Finance Section Chief**
 - i. Provides cost implications of response objectives, as required.
 - ii. Evaluates facilities used to determine if any special arrangements are needed.
 - iii. Ensures the *IAP* is within the financial limits established by the Incident Commander
 - d. **Operations Section Chief** - Determines division work assignments and resource requirements.
 - e. **Logistics Section Chief**
 - i. Ensures incident facilities are adequate.
 - ii. Ensures the resource ordering procedure is made known to appropriate agency dispatch center(s); see Operating Procedure 260.1, *Procurement of Goods and Services*.
 - iii. Develops a transportation system to support operational needs.
 - iv. Ensures the section can logistically support the *IAP*.
 - v. Places order(s) for resources.
2. **Preplanning Steps, Understanding the Problem and Establishing Response Objectives and Strategy**
 - a. Prior to the initial formal planning meeting, the Planning Section Chief utilizing a completed VADOC - ICS 201 - *Incident Briefing*, if possible, should:
 - i. Evaluate the current situation and decide whether the current planning process is adequate for the remainder of the operational period, i.e., until next *IAP* takes effect.
 - ii. Advise the Incident Commander and the Operations Section Chief of any suggested revisions to the current *IAP*.
 - iii. Establish a planning cycle for the Incident Commander
 - iv. Determine planning meeting attendees in consultation with the Incident Commander. For major incidents, attendees should include:
 - (a) Incident Commander



- (b) Command Staff Members
 - (c) General Staff Members
 - (d) Resources Unit Leader
 - (e) Situation Unit Leader
 - (f) Communications Unit Leader
 - (g) Technical and Specialists, as required.
 - (h) Agency Representatives, as required.
 - v. Establish the location and time for the planning meeting.
 - vi. Ensure that planning boards and forms are available.
 - vii. Notify necessary support staff about the meeting and their assignments.
 - viii. Ensure that a current situation and resource briefing will be available for the meeting.
 - ix. Obtain an estimate of regional resource availability from agency dispatch for use in planning for the next operational period.
 - x. Obtain necessary agency procedural, legal, or fiscal constraints for use in the planning meeting.
- b. The Planning Section Chief normally conducts the planning meeting using information from the VADOC - ICS 209 - *Incident Status Summary* and following the basic steps to aid the Planning Section Chief in developing the *IAP* listed below:
- i. Give briefing on situation and resource status (Planning Section Chief)
 - ii. Set response objectives (Incident Commander)
 - iii. Plot control lines and division boundaries on map.
 - iv. Specify work assignments for each division or group (Operations Section Chief)
 - v. Specify resources needed by division or group (Operations Section Chief, Planning Section Chief)
 - vi. Specify facilities and reporting locations and plot on map (Operations Section Chief, Planning Section Chief, Logistics Section Chief)
 - vii. Place resource and staff order (Logistics Section Chief)
 - viii. Consider communications, medical, and traffic plan requirements (Planning Section Chief, Logistics Section Chief)
 - ix. Finalize, approve, and implement the *IAP* (Incident Commander, Planning Section Chief, and Operations Section Chief).
3. Situation Brief and Resource Status
- a. The Planning Section Chief or Resources and Situation Unit Leaders should provide an up-to-date briefing on the situation.
 - b. Information for this briefing may come from any or all the following sources:
 - i. Initial Incident Commander
 - ii. VADOC - ICS 201 - *Incident Briefing*
 - iii. Field Observations
 - iv. Operations Reports
4. Set Response Objectives
- a. The Incident Commander will establish the general strategy, state any major procedural, legal, or fiscal constraints on accomplishing the response objectives, and will offer appropriate contingency considerations.
 - b. The response objectives are not limited to any single operational period but must take into consideration the total incident situation.
5. Plot Division Boundaries on Map
- a. The Operations Section Chief, for the next operational period, in conjunction with the Planning Section Chief will establish branch and division geographic boundaries and determine the need for functional group assignments for the next operational period.

- b. Branch and division boundaries must be plotted on a map.
6. Specify Work Assignments for Each Division
 - a. After determining division assignments, the Operations Section Chief will establish the specific work assignments for each division for the next operational period. It may be necessary or desirable to establish a functional group in addition to geographical divisions.
 - b. Work Assignments must be specific and must be within the boundaries set by the Incident Commander's response objectives. These work assignments should be recorded on the *IAP*.
 - c. The Incident Commander, Operations Section Chief, and Logistics Section Chief should also consider the need for any alternative strategies or work assignments and ensure that these are properly noted on the *IAP*.
7. Specify Resources Needed by Division
 - a. After specifying work assignments for each division, the Operations Section Chief, in conjunction with the Planning Section Chief, will determine the resources needed to accomplish the work assignment by each division.
 - b. Resource needs should be based on the type of resources required to accomplish the assignment.
 - c. Resource needs will be recorded on the VADOC - ICS 209 - *Incident Status Summary*.
8. Specify Operations Facilities and Reporting Locations and Plot on Map
 - a. The Operations Section Chief, in conjunction with the Planning and Logistics Section Chiefs, should designate and make available the facilities and reporting locations required to accomplish work assignments.
 - b. The Operations Section Chief will indicate the reporting time requirements for the resources and any special resource assignments.
9. Place Resource and Staff Order
 - a. The Planning Section Chief will assess the resource requirements as indicated by the Operations Section Chief and the resources available as indicated by the Planning Section's Resources Unit.
 - b. The VADOC - ICS 215 - *Operational Planning Worksheet*, when properly completed, will be used to list the resource requirements and the resources available to meet those requirements.
 - c. The Planning Section Chief will subtract the resources available from those required and will determine any additional resource needs.
 - a. From this assessment, the Logistics Section can develop a new resource order, provide it to the Incident Commander for approval, and then place the order through normal dispatch channels.
10. Consider Communications, Medical, and Traffic Plan Requirements
11. Finalize, Approve, and Implement the *IAP*
 - a. Prior to completion of the *IAP*, the Planning Section Chief should review the division and group work assignments for any changes due to lack of resource availability.
 - b. The Resource Unit may then transfer division assignment information including alternatives from the VADOC - ICS 209 - *Incident Status Summary* onto the VADOC - ICS 204 - *Branch Assignment List*.

VIII. After Action Review

- A. After each emergency incident, designated facility/office staff will conduct an after-action review to determine how the facility's /office's preparation can be improved for better management of future incidents. (5-ACI-3B-16; 4-ACRS-1C-01, 4-ACRS-1C-01-1; 4-APPFS-3F-01)
 1. Staff with significant roles in the incident will be debriefed.
 2. Designated staff will provide feedback that includes but is not limited to the following areas:



- a. Review of staff and inmate or probationer/parolee actions during the incident
- b. Review of the incident's impact on staff and inmates or probationers/parolees
- c. Review of corrective actions taken and still needed
- d. Plans for improvement to avoid another incident
- e. Plans for necessary revisions to the *Initial Response Checklists, Job Actions Sheets, VADOC ICS forms, and operating procedures*

B. The Incident Commander or designee must complete an *After Action Report/Improvement Plan 075_F8* for submission to the Emergency Services Unit.

C. All documentation completed and/or developed as a part of the incident such as ICS forms, *Initial Response Checklists, Job Action Sheets, Logs, etc.* will be retained in a location designated by the Organizational Unit Head with an electronic copy forwarded to the OLU Operations Center.

D. All documentation must be retained and properly disposed in accordance with the applicable Library of Virginia *Retention and Disposition Schedule*, see Operating Procedure 025.3, *Public Records Retention and Disposition*.

IX. Training and Exercises

A. All staff are trained in the implementation of written emergency plans. (5-ACI-3B-10; 4-ACRS-1C-04)

B. All medical staff delivering health care in the facility are trained in the implementation of the facility's emergency plans. (5-ACI-6B-07)

C. Periodic exercises to determine the effectiveness of the EOP and the COOP will be held in accordance with Operating Procedure 075.6, *Critical Incident Management Exercises*. Medical staff, Special Response Teams, and Canine Teams will be included where available and applicable. (5-ACI-6B-07)

REFERENCES

Operating Procedure 038.1, *Reporting Serious or Unusual Incidents*

Operating Procedure 075.2, *Continuity of Operations Plan*

Operating Procedure 075.6, *Critical Incident Management Exercises*

Operating Procedure 260.1, *Procurement of Goods and Services*

Operating Procedure 303.2, *Fire Safety and Response Plans*

Operating Procedure 435.1, *Special Operations Unit*

Virginia Emergency Operations Plan

ATTACHMENTS

Attachment 1, *Critical Incident Initial Response Checklist*

Attachment 2, *Index of Job Action Sheets*

Attachment 3, *Index of Incident Command System (ICS) Forms*

FORM CITATIONS

After Action Report and Improvement Plan 075_F8

VADOC - ICS 201 - *Incident Briefing*

VADOC - ICS 202 - *Response Objectives*

VADOC - ICS 203 - *Projected Actions List*

VADOC - ICS 204 - *Branch Assignment List*



VADOC - ICS 205 - *Incident Communications Plan (Internal)*
VADOC - ICS 206 - *Medical Plan*
VADOC - ICS 207 - *Organization Chart*
VADOC - ICS 209 - *Incident Status Summary*
VADOC - ICS 211 - *Check-In List*
VADOC - ICS 213 - *Incident Message Form*
VADOC - ICS 214 - *Operational Log*
VADOC - ICS 215 - *Operational Planning Worksheet*
VADOC - ICS 221 - *Demobilization Checkout*
VADOC - ICS 251 - *Facility System Status Report*
VADOC - ICS 252 - *Section Personnel Time Sheet*
VADOC - ICS 257 - *Resource Accounting Record*
VADOC - ICS 260 - *Resource Order*
VADOC - ICS 261 - *Incident Action Safety Analysis*
VADOC - *Incident Action Plan Cover Sheet*

