STATE OF CONNECTICUT
DEPT. OF EMERGENCY SERVICES & PUBLIC PROTECTION
DIVISION OF EMERGENCY MANAGEMENT & HOMELAND SECURITY

TO: Governor Dannel P. Malloy
FROM: William J. Hackett, State Emergency Management Director
Division of Emergency Management and Homeland Security (DEMHS)
Department of Emergency Services and Public Protection (DESPP)
RE: Proposed Process for Enhancement of State Preparedness Planning
DATE: January 3, 2012

EXECUTIVE SUMMARY:

In the aftermath of Tropical Storm Irene and the October Nor'Easter, the Witt Report noted that "public sector emergency response planning at the state and local levels does not adequately focus on actions needed in a significant power outage and assignment of responsibilities in mitigation, preparedness, response, and recovery in utility disruption events. State and local plans call for reports from power companies, but do not [specifically] address multi-agency actions or coordination needed to address energy disruption." Therefore, you directed me to outline a process for improving the State's planning and preparedness, particularly with regard to large scale power outages. **The purpose of this work is to:**

- **Improve information-sharing during an emergency between state and local officials, and our utility providers;**
- **Provide clear, specific guidance on the inter-related roles and responsibilities of state and local officials, and the private sector, including utilities, in mitigation, preparedness, response, and recovery, particularly in utility disruption events.**

This proposal includes the possible need for a consultant to assist with this effort, who will be able to apply expertise and experience in preparedness planning at the state and federal level to enhance and expand Connecticut's existing plans. The proposal also outlines goals, objectives, and implementation steps. **The three identified goals are:**

1. **To enhance the existing State Response Framework and local plans to create more comprehensive planning to identify in detail multi-agency, multi-jurisdictional response and coordination actions, roles and responsibilities;**

2. **To increase the quality of communications between local and state governments and utilities during emergencies;**

3. **To increase utilities' interface with Connecticut emergency management systems.**

Among the major implementation steps that have been identified are:

- Develop a more comprehensive storm preparation and response plan that enhances existing planning by providing specific assignment of responsibilities in mitigation, preparedness, response and recovery activities that will apply to all hazards, including utility disruption events;
- Establish and convene a multi-jurisdictional, multi-discipline Energy and Utilities Policy Working Group;
- Create an All-Hazards Energy and Utilities Plan as an annex to the State Response Framework, to address response to and management of widespread utility outages;
- Create an Energy and Utilities Annex to the required template for Local Emergency Operations Plans (LEOPs).

The proposed timeline for this initiative is as follows:

- January: Identify Working Groups, and establish process for identifying consultant;
- January/February:
    - Release Request for Proposal (RFP) for consultant;
    - Review and evaluate responses to RFP and select consultant;
    - Convene Working Groups to identify issues and establish timelines for
        - Enhanced State Response Framework;
        - All-Hazards Energy and Utility Plan, and;
        - All-Hazards Energy and Utility Annex template for Local Emergency Operations Plans;
- February/March: Working Groups and consultant develop plans described above;
- March/April/May: Working Groups and consultant produce draft products;
- June/July: Finalize drafts, and review/exercise;
- August 1, 2012: Finalized products ready.

BACKGROUND:

On August 27, 2011, Connecticut was hit by Tropical Storm Irene, the most severe tropical storm to affect the State since Hurricane Gloria in 1985. Then, on October 29, 2011, an historic October Nor'Easter dumped snow on leaf-covered trees, bringing down limbs and power lines and causing even more severe power outages and damage.

Preparedness planning for emergencies is constantly evolving: plans are always in the process of being revised, updated, and improved. DEMHS and its local, state, federal and private partners perform planning and preparedness activities, including training and exercise, throughout the year. Existing plans are reviewed and updated. New plans are put into place. As each emergency incident unfolds, we take the lessons learned to improve our planning for and response to the next inevitable event. Tropical Storm Irene and the October Nor'Easter demonstrate the importance of the planning and preparation that must take place during the times when we are not responding to an incident.

Across the state, countless local employees, officials, and volunteers assisted residents before, during, and after these storms. These tireless efforts represent the culmination of years of all-hazards planning, training, exercise, and other preparations at the local, state, tribal, private sector, and federal levels. Emergency planning is accomplished largely through the collaboration of municipalities, state agencies, and the private sector, working within 5 DEMHS Regions. In 2005, working with other state agencies and local municipalities, DEMHS established 5 Regions to encourage and enhance multi-town, regional emergency planning. A regional emergency planning team (REPT) was established in each region. Each REPT includes representation from each geographical jurisdiction within the DEMHS Region, as well as representation of each emergency management/homeland security discipline (for example, fire, police, public works, emergency medical services).

Working with DEMHS, the 5 REPTs make recommendations on the use of federal grant funds. Capabilities have been built through the judicious, carefully planned use of federal homeland security and emergency management grant funding. These capabilities were tested by Tropical Storm Irene and the October Nor'Easter, but they are also used on a weekly, if not daily, basis. At every emergency, large and small, first responders across the state apply the planning, training, and resources gained from years of preparation.

Each REPT has developed a Regional Emergency Support Plan, to help identify assets and procedures available during an emergency. Resource sharing and cost effective programming are hallmarks of this regionalization initiative, which builds on Connecticut's strong mutual aid tradition.

Over the last two years, DEMHS has also improved the procedures for coordinating responses and supporting municipalities by developing a State Response Framework (SRF), which outlines the roles, plan resources, and operating procedures for a state emergency management response during a crisis. After the record-breaking winter snowstorms of 2011, revisions were made to the SRF, and Version 2 was released in August of 2011. The State Response Framework and the

Natural Disaster Plan, as well as local emergency operations plans, provide the mechanism for response to storms that may affect the State this winter as well.

The State's emergency plans were tested during these last two storms. Although less than 60 days had passed between Irene and the October snowstorm, we were able to implement some immediate changes, including:

- Establishment of a Shelter Guidance Task Force;
- Delivery of commodities directly to towns;
- Frequent, direct communications between the utilities and municipal leaders, and;
- 24/7 staffing of the DEMHS Regional Offices, using DEMHS staff bolstered by Department of Correction staff.

In addition, Recovery and Mass Care Working Groups have been activated to address emerging issues. We intend to more fully develop and implement these changes, so that we can be better prepared for that next inevitable event. As the utilities change their procedures, we will work together to change our procedures as well. In order to accomplish this work, DEMHS anticipates the likelihood of both short-term and long-term budgetary needs, including an increase in our current staffing level.

Proposed Process for Plan Review

GOAL: To enhance the existing State Response Framework to create a more comprehensive plan identifying in detail multi-agency, multi-jurisdictional response and coordination actions, roles and responsibilities.

Objective: Review all existing plans and enhance the current State Response Framework to memorialize in detail the roles and responsibilities of the local, state, and private sectors before, during, and after emergencies, particularly those involving large or extended power outages.

Objective: Using existing plans as a foundation, build out the current State Response Framework to develop support and incident-specific annexes, in a manner similar to the National Response Framework. For example, integrate the Natural Disaster Plan as an annex to the State Response Framework.

Objective: Using the State Emergency Operations Center Task Forces as a starting point, identify state-level Emergency Support Function (ESF) groups, including primary and secondary state agency leads, and memorialize in the State Response Framework. (ESFs are defined as discipline-oriented working groups, such as fire, law enforcement, energy, communications, and public works).

Objective: Review and enhance the current template for Local Emergency Operations Plans, using, in part, the FEMA Comprehensive Preparedness Guide (CPG) 101. The result should be a functional local plan that identifies departmental responsibilities and serves as a crosswalk to the State Response Framework. Integrate with existing Regional Emergency Planning Team structure, as well as with the Regional Emergency Support Plan in each DEMHS Region.

Implementation Steps:

1. Convene multi- agency, multi- jurisdiction group to work with consultant:
    a. To review current State Strategic Plan, State Response Framework, and existing plans, and draft documents meeting Objectives 1-3;
    b. To review current local plans and templates, and draft documents meeting Objective 4, including:
        i. An Energy and Utilities Annex to the required template for Local Emergency Operations Plans (LEOPs);

2. Develop and convene Multi-Partner Energy and Utilities Policy Working Group, combining ESF 2 (Communications) and ESF 12 (Energy) leadership and subject matter experts, as well as consultant, including:
    - DEEP/PURA
    - DESPP/DEMHS
    - Local representatives from each of the 5 DEMHS regions
    - Statewide Interoperability Coordinator
    - State Consumer Counsel
    - CT Red Cross
    - United Way 211
    - CT Military Department
    - Office of State Attorney General
    - Office of Policy and Management
    - Fuel, Commodities, Communications EOC Task Force Leaders
    - DOT
    - CT Emergency Management Association (CEMA)
    - Connecticut Conference of Municipalities (CCM)

- Council of Small Towns (COST)
- Representative of 9-1-1 dispatch centers
- Utilities, including:
  - CL&P, United Illuminating, Norwich, Wallingford
  - AT&T, Verizon, etc
  - Cable companies
  - Millstone;

3. Convene DEMHS working group, to work in collaboration with consultant, as well as ESF 2 and ESF 12 working groups, to implement recommendations of Energy and Utilities Policy Working Group;
4. Write an All-Hazards Energy and Utilities Plan as an Annex to the existing State Response Framework Version 2 to address widespread utility outages;
   i. Include checklist specifically for actions to be taken in the event of utility outages. Must include glossary of terms used by utilities, such as line crews, tree crews, "Make Safe" crews, etc… Also must include more detailed information flow;
   ii. Memorialize membership, checklists, resources, and actions of Fuel Management Task Force as part of ESF 12 responsibilities during emergency;
5. Review and revise State Emergency Operations Center procedures;
6. Review and update as necessary the list of statutory authorities related to energy emergencies, including statutory and regulatory enforcement mechanisms;
7. Amend State EOC Standard Operating Procedures (SOPs) to include requirement that utilities provide, as requested, daily Incident Action Plan, or comprehensive schedule of each day's activities, including where they are going to be working, how many trucks and personnel are going to each town, etc…;
8. Review State EOC SOPs to update and enhance other action items, including enhancing state-local-utility-private sector conference call agendas, usage.

GOAL: Increase the quality of communications between local and state governments and utilities during emergencies.

Objective: Work with Emergency Support Function (ESF)12 (Energy) and ESF 2 (Communications) to enhance quality of communications to and from utilities; memorialize process and expectations related to information sharing.

Implementation Steps:

1. Designate the ESF 12 Energy Working Group, including local, state, and private sector representation, and establish as permanent committee of the DEMHS Statewide Advisory Council;
2. Amend bylaws of current ESF2 Communications Committee of the DEMHS Statewide Advisory Council to expand role of ESF 2 to include public communications restoration and related issues;
3. Convene state/local Technology Working Group to provide enhanced technical real-time interface among partners, including:
    - Review of Web EOC;
4. Working with State GIS Council and PURA, convene GIS Working Group, including utilities, to enhance GIS information flow from utilities to state and local EOCs;
5. Embed utility representatives in the DEMHS Regional Offices to enhance information flow.

GOAL : Increase utilities' understanding of Connecticut emergency management systems.

Objective : Work with utilities to ensure that every utility company representative involved in emergency planning, preparedness, response, and/or recovery is trained in the National Incident Management System (NIMS) Incident Command System (ICS), as well as the operational flow of communications within the Connecticut state/local emergency management system.

Implementation Steps:

1. Review existing utility training programs and personnel participation levels;
2. Develop ICS program designed for utilities personnel involved in Connecticut;
3. Include active utility participation in state and local exercises;
4. Determine whether there needs to be a law or regulation in place to enforce this requirement.