

NFPA®

1616

**Standard on
Mass Evacuation, Sheltering,
and Re-entry Programs**

2017



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NFPA® 1616

Standard on

Mass Evacuation, Sheltering, and Re-entry Programs

2017 Edition

This edition of NFPA 1616, *Standard on Mass Evacuation, Sheltering, and Re-entry Programs*, was prepared by the Technical Committee on Mass Evacuation and Sheltering. It was issued by the Standards Council on November 11, 2016, with an effective date of December 1, 2016.

This document has been amended by one or more Tentative Interim Amendments (TIAs) and/or Errata. See “Codes & Standards” at www.nfpa.org for more information.

This edition of NFPA 1616 was approved as an American National Standard on December 1, 2016.

Origin and Development of NFPA 1616

The Technical Committee on Mass Evacuation and Sheltering was given the responsibility for developing documents to establish a common set of criteria for the process of organizing, planning, implementing, and evaluating a program for mass evacuation, sheltering, and re-entry.

In 2012, NFPA received two requests for standards development, one for evacuation and one for sheltering. The Technical Committee for Mass Evacuation and Sheltering was first formed in September 2013 to fulfill those requests. In August 2014, a draft was approved by the Standards Council so the Committee could receive input from the public.

The 2017 edition of NFPA 1616, *Standard on Mass Evacuation, Sheltering, and Re-entry Programs*, is the first edition and is written in a plan-do-check-act (PDCA) format to aid in continuous improvement of the plan.

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Committee Scope: This Committee shall establish a common set of criteria for mass evacuation, mass sheltering, and mass re-entry programs, hereinafter referred to as the program.

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NFPA 1616

Standard on

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2017 Edition

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A reference in brackets [] following a section or paragraph indicates material that has been extracted from another NFPA document. As an aid to the user, the complete title and edition of the source documents for extracts in mandatory sections of the document are given in Chapter 2 and those for extracts in informational sections are given in Annex O. Extracted text may be edited for consistency and style and may include the revision of internal paragraph references and other references as appropriate. Requests for interpretations or revisions of extracted text shall be sent to the technical committee responsible for the source document.

Information on referenced publications can be found in Chapter 2 and Annex O.

Chapter 1 Administration

1.1* Scope. This standard shall establish a common set of criteria for the process of organizing, planning, implementing, and evaluating a program for mass evacuation, sheltering, and re-entry.

1.1.1 The requirements in this standard are based on the existence of a program for integrated disaster/emergency management and business continuity.

1.1.2 An integrated program is defined in NFPA 1600.

1.1.3 The integrated program is scalable to meet the needs of evacuation sheltering and re-entry.

1.2 Purpose. This standard shall provide public officials, private stakeholders, emergency management personnel, and emergency responders the essential elements, common terminology, roles, evacuation stages, sheltering, and re-entry phases for evacuation.

1.3 Application. This document shall apply to jurisdictions, organizations, and private entities.

Chapter 2 Referenced Publications

2.1 General. The documents or portions thereof listed in this chapter are referenced within this standard and shall be considered part of the requirements of this document.

2.2 NFPA Publications.

NFPA 1600®, *Standard on Disaster/Emergency Management and Business Continuity/Continuity of Operations Programs*, 2016 edition.

2.3 Other Publications. Merriam-Webster’s Collegiate Dictionary, 11th edition, Merriam-Webster, Inc., Springfield, MA, 2003.

2.4 References for Extracts in Mandatory Sections. (Reserved)

Chapter 3 Definitions

3.1 General. The definitions contained in this chapter shall apply to the terms used in this standard. Where terms are not defined in this chapter or within another chapter, they shall be defined using their ordinarily accepted meanings within the context in which they are used. Merriam-Webster’s Collegiate Dictionary, 11th edition, shall be the source for the ordinarily accepted meaning.

3.2 NFPA Official Definitions.

3.2.1* Approved. Acceptable to the authority having jurisdiction.

3.2.2* Authority Having Jurisdiction (AHJ). An organization, office, or individual responsible for enforcing the requirements of a code or standard, or for approving equipment, materials, an installation, or a procedure.

3.2.3 Shall. Indicates a mandatory requirement.

3.2.4 Should. Indicates a recommendation or that which is advised but not required.

3.2.5 Standard. An NFPA Standard, the main text of which contains only mandatory provisions using the word “shall” to indicate requirements and that is in a form generally suitable for mandatory reference by another standard or code or for adoption into law. Nonmandatory provisions are not to be considered a part of the requirements of a standard and shall be located in an appendix, annex, footnote, informational note, or other means as permitted in the NFPA Manuals of Style. When used in a generic sense, such as in the phrase “standards development process” or “standards development activities,” the term “standards” includes all NFPA Standards, including Codes, Standards, Recommended Practices, and Guides.

3.3 General Definitions.

3.3.1 Animals. Includes household pets, service and assistance animals, working dogs, livestock, wildlife, exotic animals, zoo animals, research animals, and animals housed in shelters, rescue organizations, breeding facilities, and sanctuaries.

3.3.2 All-Hazards. An approach for prevention, mitigation, preparedness, response, continuity, and recovery that addresses

a full range of threats and hazards, including natural, human-caused, and technology-caused.

3.3.3* Assistance Animal. An animal that works, provides assistance, or performs tasks for the benefit of a person with a disability, or provides emotional support that alleviates one or more identified symptoms or effects of a person's disability. Assistance animals are not required to be individually trained or certified. Dogs are the most common, but not the only, type of assistance animal. An assistance animal is not a pet.

3.3.4* Business Continuity. An ongoing process to ensure that the necessary steps are taken to identify the impacts of potential losses and maintain viable recovery strategies, recovery plans, and continuity of services.

3.3.5 Business Impact Analysis. A management level analysis that identifies, quantifies, and qualifies the impacts resulting from interruptions or disruptions of an entity's resources. The analysis might identify time-critical functions, recovery priorities, dependencies, and interdependencies so that recovery time objectives can be established and approved.

3.3.6 Capability. The ability to perform required actions.

3.3.7 Common. Occurring or appearing frequently; occurring frequently or habitually; usual. Done often; prevalent.

3.3.8 Competence. Demonstrated capability to apply knowledge and skills to achieve intended results.

3.3.9 Continual Improvement. Recurring process of enhancing the management program in order to achieve improvements in overall performance consistent with the entity's policy, goals, and objectives.

3.3.10 Damage Assessment. An appraisal or determination of the effects of the evacuation on humans; on physical, operational, economic characteristics; and on the environment.

3.3.11 Emergency Communication. Alerting and warning community members in a defined area of a potential threat to life and property and the actions to be taken in response to the threat.

3.3.12* Emergency Respite Provision of short-term, temporary relief to those who are caring for family members who might otherwise require permanent placement in a facility outside the home.

3.3.13* Entity. A person, organization, or group with mutually accepted accountability who is responsible for the implementation and/or fulfillment of the requirements and considerations of this standard.

3.3.14 Evacuation. The act or process of evacuating. To leave a dangerous place or remove someone from a dangerous place. To withdraw from a site and/or building in an organized way especially for protection. Organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

3.3.15 Evacuation Order. Movement of community members out a defined area due to an immediate threat to life and property from an emergency evacuation.

3.3.16 Evacuation Program. An integrated program for the planning and execution of mass evacuation, sheltering, and re-entry.

3.3.17 Evacuation Warning. Alerting and warning of community members in a defined area of a potential threat to life and property due to an emergency.

3.3.18* Exercise. A process to assess, train, practice, and improve performance in an organization.

3.3.19* Incident. An event that has the potential to cause interruption, disruption, loss, emergency, crisis, disaster, or catastrophe.

3.3.20 Interoperability. The ability of diverse personnel, systems, and organizations to work together seamlessly.

3.3.21 Mass. A quantity or aggregate of matter, usually of considerable size; a large body of persons in a group (a *mass* of spectators); a large quantity, amount, or number.

3.3.22 Mitigation. Activities taken to reduce the impact from hazards.

3.3.23* Mutual Aid/Assistance Agreement. A prearranged agreement between two or more entities to share resources in response to an evacuation.

3.3.24 People with Access and Functional Needs. People with disabilities and other access and functional needs include those from religious, racial, and ethnically diverse backgrounds; people with limited English proficiency; people with physical, sensory, behavioral and mental health, intellectual, developmental and cognitive disabilities, including individuals who live in the community and individuals who are institutionalized; older adults with and without disabilities; children with and without disabilities and their parents; individuals who are economically or transportation disadvantaged; women who are pregnant; individuals who have acute and chronic medical conditions; and those with pharmacological dependency.

3.3.25 Preparedness. Ongoing activities, tasks, and systems to develop, implement, and maintain the program capabilities.

3.3.26* Prevention. Activities to avoid or stop an incident from occurring.

3.3.27* Recovery. Activities and programs designed to return conditions to a level that is acceptable to the entity.

3.3.28* Re-entry. The return of people to a previously evacuated area.

3.3.29* Resource Management. A system for identifying available resources to enable timely access to resources needed to prevent, mitigate, prepare for, respond to, maintain continuity during, or recover from an incident.

3.3.30* Response. Immediate and ongoing activities, tasks, programs, and systems to manage the effects of an incident that threatens life, property, operations, or the environment.

3.3.31 Risk Assessment. The process of hazard identification and the analysis of hazards, vulnerabilities, and impacts.

3.3.32* Service Animal. Any dog or miniature horse that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. Miniature horse service animals will be accommodated in a shelter as long as the facility can accommodate the miniature horse's type, size, and weight.

3.3.33 Sheltering. Seeking protection in the home, place of employment, or other location when disaster strikes. This can include staying with friends and relatives, seeking commercial lodging, or staying in a mass care facility operated by disaster relief groups in conjunction with local authorities.

3.3.34 Shelter-in-Place. To use a safe area inside a building or structure during an incident.

3.3.35 Stakeholder(s). Any individual, group, or organization that might affect, be affected by, or perceive itself to be affected by the emergency.

3.3.36 Whole Community. Encompasses individuals, families, households, communities, the private and nonprofit sectors, faith-based organizations, and all levels of government.

Chapter 4 Mass Evacuation, Sheltering, and Re-entry Program Management

4.1 Leadership and Commitment.

4.1.1 The entity leadership shall demonstrate commitment to the program to evacuate, provide shelter, and facilitate re-entry.

4.1.2 The leadership commitment shall include the following:

- (1) Support the development, implementation, and maintenance of the program
- (2) Provide necessary resources to support the program
- (3) Ensure the program is reviewed and evaluated as needed to ensure program effectiveness
- (4) Support corrective action to address program deficiencies
- (5) Lead and support the program and execution of the evacuation, sheltering, and re-entry

4.1.3 The entity shall adhere to policies, execute plans, and follow procedures developed to support the program.

4.2* Program Coordinator. An individual shall be appointed by the entity's leadership and authorized to develop, implement, administer, evaluate, and maintain the program.

4.3 Program Working Group.

4.3.1* A program working group shall be established by the entity in accordance with its policy.

4.3.2 The program working group shall provide input and/or assist in the coordination of the preparation, development, implementation, evaluation, and maintenance of the program.

4.3.3* The program working group shall include representation from the whole community.

4.3.4 The program working group shall integrate all elements necessary for mass evacuation, sheltering, and re-entry within the entity and coordinate with other entities affected by these operations.

4.4 Program Administration.

4.4.1 The entity shall have a documented program that includes the following:

- (1) Policy, including roles and responsibilities, and the enabling authority
- (2)* Program scope, goals, performance objectives, and metrics for program evaluation
- (3)* Applicable authorities, legislation, regulations, and industry codes of practice as required by Section 4.7

(4) Program plans and procedures that include the following:

- (a) Anticipated program cost, excluding costs associated with actual evacuation
- (b) Resources required
- (c) Maintenance schedule
- (d) Records management practices of the entity as required by Section 4.6

4.4.2* The program shall include an all-hazards approach and risk assessment.

4.5 Performance Objectives.

4.5.1* The entity shall establish performance objectives for the program in accordance with the elements in Chapters 5 through 9.

4.5.2 The performance objectives shall address the results of the hazard identification, the risk assessment, and the requirements analysis.

4.5.3 Performance objectives shall address both short-term and long-term needs of evacuees, including people with disabilities and other access and functional needs.

4.5.4* The entity shall define *short term* and *long term*.

4.6 Records Management.

4.6.1* The entity shall develop, implement, and manage a records management program to ensure that records are available to the entity following an evacuation.

4.6.2 Records management is designed to aid in the identification, backup, protection, and access to paper-based and electronic records that are vital to the entity and required for evacuation, sheltering, and re-entry.

4.6.3 The program shall include the following:

- (1) Identification of records (hard copy or electronic) vital to continue the operations of the entity
- (2) Backup of records as necessary to meet program goals and objectives
- (3) Validation of the integrity of records backup
- (4) Implementation of procedures to store, retrieve, and recover records onsite or offsite
- (5) Storage and protection of records
- (6) Implementation of a record review process
- (7) Procedures coordinating records access within and outside the organization
- (8) Executing a retention policy to archive and destroy records according to operational needs, operating procedures, statutes, and regulations

4.7 Laws and Authorities.

4.7.1* Evacuation, sheltering, and re-entry programs are covered by law or voluntary guidelines.

4.7.2* The entity shall implement a strategy for addressing the need for revisions to legislation, regulations, directives, policies, and industry codes of practice.

4.8 Finance and Administration.

4.8.1 The entity shall develop finance and administrative procedures to support the program before, during, and after an evacuation.

4.8.2* There shall be a responsive finance and administrative framework that does the following:

- (1) Complies with the entity's program requirements
- (2) Provides direct linkages to evacuation, sheltering, and re-entry operations
- (3) Provides for maximum flexibility while retaining accountability

4.8.3 Finance and administrative procedures shall include the following:

- (1) Accounting systems to track and document costs
- (2) Program procurement procedures

Chapter 5 Planning

5.1 Plan Requirements.

5.1.1 The plan shall address the health and safety of personnel as follows:

- (1)* Identify actions to be taken to protect people, including those with access and functional needs; property; critical operations; and the environment
- (2) Include an accountability system for all response personnel
- (3) Monitor the health and well-being of response personnel
- (4) Establish rehabilitation of personnel
- (5) Ensure security and protection for response personnel
- (6)* Provide appropriate personal protective equipment for response personnel

5.1.2 The plan shall identify and document the following:

- (1) Assumptions made during the planning process
- (2) Responsibilities for carrying out specific actions in an evacuation, sheltering, and re-entry; functional roles and responsibilities of internal and external agencies, organization, departments, and positions; lines of authority
- (3) Trigger points to activate the evacuation plan
- (4) Logistics support and resource management requirements
- (5) Operational communications
- (6)* Public information, including warnings, notifications, and communications

5.1.3 The entity shall make sections of the plans available to those assigned specific tasks and responsibilities therein and to key stakeholders as required.

5.2 Plan Assumptions. The plan's assumptions shall include the following:

- (1) Findings from the social sciences on human behavior and the results of threat
- (2) Hazard identification and risk assessment
- (3)* Requirements analysis
- (4) Resource analysis
- (5) The number of people requiring evacuation
- (6) That evacuation will require sheltering and re-entry
- (7) Projections for the number of people requiring sheltering
- (8) Projections for the number of people requiring re-entry
- (9) That animals will be evacuated and sheltered as appropriate and feasible in order to safeguard human lives and facilitate an evacuation

- (10) The types of vehicles required to transport people with disabilities and other access and functional needs and animals
- (11) The number of responders required to complete the evacuation process
- (12) Development and implementation of plans and procedures to identify populations requiring assistance and arranging of transportation for people with disabilities and other access and functional needs during evacuation, sheltering, and re-entry
- (13) Determination of physical requirements for evacuee assembly points, emergency respite stop, and staging and reception areas
- (14) Coordination with local medical facilities to identify plans and resources in the event that these facilities require evacuation into a shelter

5.3* Plan Format.

5.3.1 Plans shall include the following:

- (1) All hazards approach and risk assessment
- (2) Evacuation
- (3) Mass sheltering
- (4) Re-entry

5.3.2 Plans shall be individual documents, integrated into a single plan document, or a combination of the two.

5.4 Planning Process.

5.4.1 A process shall be established that develops, evaluates, and improves capabilities required to implement the program.

5.4.2* The entity shall include key stakeholders and operational entities in the process.

5.4.3 The entity shall develop a set of trigger points on which to base planning efforts, including the following:

- (1) The plan shall be reviewed at least annually
- (2) The plan shall be reviewed after each incident.
- (3) The plan shall be reviewed periodically throughout an incident.

5.4.4* The trigger points shall identify specific actions to be taken based on specific events, threats, or hazards.

5.5* Threat, Hazard Identification, and Risk Assessment.

5.5.1 The entity shall identify the potential threats or hazards that could require evacuation and/or sheltering.

5.5.2 The following hazards shall be considered during the risk assessment:

- (1) Geological hazards and risk exposures:
 - (a) Earthquake
 - (b) Tsunami
 - (c) Volcano
 - (d) Landslide, mudslide, subsidence
- (2) Meteorological hazards/risk exposures:
 - (a) Flood, flash flood, seiche, tidal surge
 - (b) Water control structure (e.g., dam, levee) failure
 - (c) Drought
 - (d) Snow, ice, hail, sleet, avalanche, arctic freeze
 - (e) Windstorm, tropical cyclone, hurricane, tornado, water spout, dust storm, sandstorm
 - (f) Extreme temperatures (heat or cold)
 - (g) Wildland fire

- (h) Lightning strikes
- (i) Famine
- (j) Geomagnetic storm
- (3) Biological hazards and risk exposures:
 - (a) Food-borne illnesses
 - (b) Pandemic disease
 - (c) Infectious/communicable/zoonotic diseases, including endemic and emerging diseases
- (4) Accidental human-caused events:
 - (a) Hazardous material spill or release (flammable liquid, gas, or solid; oxidizer; poison; explosive, radiological, or corrosive material)
 - (b) Nuclear power plant incident, radiological incident
 - (c) Explosion/fire
 - (d) Transportation accident
 - (e) Building or structure collapse
 - (f) Entrapment or rescue (machinery, confined space, high angle, water)
 - (g) Fuel or resource shortage
 - (h) Mechanical breakdown
 - (i) Transportation incidents (motor vehicle, railroad, watercraft, aircraft, pipeline)
 - (j) Untimely death of an employee
- (5) Intentional human-caused events:
 - (a) Criminal activity (vandalism, sabotage, arson, robbery, theft, fraud, embezzlement, data theft, malfeasance)
 - (b) Physical or information security breach
 - (c) Lost person, abduction, kidnapping, extortion, hostage incident, workplace/school/university violence, homicide
 - (d) Product defect or contamination
 - (e) Disinformation
 - (f) Harassment
 - (g) Discrimination
 - (h) Demonstration, civil disturbance, public unrest, mass hysteria, riot
 - (i) Strike or labor dispute
 - (j) Bomb threat, suspicious package
 - (k) Terrorism (explosive, chemical, biological, radiological, nuclear, cyber, electromagnetic pulse)
 - (l) Insurrection
 - (m) Enemy attack, war
 - (n) Arson
- (6) Technology-caused incidents:
 - (a) Computer systems [outages, hardware failure, data corruption, deletion, theft, loss of network connectivity (Internet or intranet), loss of electronic data interchange or ecommerce, loss of domain name server (DNS), virus, worm, Trojan horse, power surge, lightning, host site interdependencies, direct physical loss, water damage, cyber terrorism, vulnerability exploitation, botnets, hacking, phishing, spyware, malware, computer fraud, loss of encryption, denial of service, improper system use by employee, telecommunications interruption or failure, electricity brownout or blackout]
 - (b) Computer software or application interruption, disruption, or failure (internal/external)
 - (c) Loss, corruption, or theft of electronic information

- (d) Utility interruption or failure (telecommunications, electrical power, water, gas, steam, HVAC, pollution control system, sewage system, other critical infrastructure)
- (7) Other hazards and risk exposures, such as supply chain interruption [loss of shipping or transportation, vendor failure (single or sole source provider)]

5.5.3* The entity shall identify the threats and risks associated with evacuation, sheltering, and re-entry.

5.5.4 The entity shall develop a safety analysis of the threats, hazards, and risks.

5.6 Requirements Analysis.

5.6.1* The entity shall conduct a requirements analysis for mass evacuation, sheltering, and re-entry that is based upon the threat hazard identification and risk assessment.

5.6.2 The requirements analysis shall include the following:

- (1) Characteristics of the potentially affected population, including people with disabilities and other access and functional needs
- (2) Existence of mandatory evacuation laws and expected enforcement of those laws
- (3) Characteristics of the incident that trigger consideration for evacuation shall include the following:
 - (a) Weather, season, and environmental conditions
 - (b) Speed of onset
 - (c) Magnitude
 - (d) Location and direction
 - (e) Duration
 - (f) Resulting damages to essential functions
 - (g) Cultural and religious practices
 - (h)* Risk for cascading effects and secondary disasters
 - (i) Capability of transportation routes and systems to transport life-sustaining materials (food, water, medical supplies) into the affected area

5.6.3* The program shall consider the following conditions under which evacuation or sheltering-in-place is appropriate to the situation and the resources available:

- (1) The anticipated impact and duration of the incident
- (2) The distance to appropriate sheltering facilities
- (3) The availability of and access to transportation to those facilities
- (4) The ability to communicate with the affected population within the required timeframe

5.6.4 Factors to be considered in planning for mass evacuation, sheltering, and re-entry shall include the following:

- (1) Establishment of a unified command organization
- (2) Development of a joint information center and methods to notify the public
- (3)* Identification of appropriate sheltering facilities by location, size, types of services available, and building safety
- (4) Identification of the modes and routes for evacuee transportation
- (5)* Sources of evacuee support services
- (6) Manpower requirements based on occupant population

5.6.5 Sheltering facilities shall be deemed appropriate for temporary occupancy of evacuees for the applicable hazards by the local authority having jurisdiction and conform to the

applicable requirements to ensure public health, safety, and general welfare.

5.6.6 Factors to be considered in the planning for re-entry shall include the following:

- (1) Controlling access to restricted areas for security and evacuee safety
- (2) Prioritizing building inspection and permitting
- (3) The availability of and requirements for functioning infrastructure and utilities

5.7 Resource Needs Assessment.

5.7.1 The entity shall conduct a resource needs assessment.

5.7.2 The resource needs assessment shall include the following:

- (1) Human resources, stakeholders, equipment, training, facilities, funding, expert knowledge, materials, technology, information, intelligence, and the time frames within which they will be needed
- (2) Quantity, response time, capability, and cost

5.7.3 The entity shall plan to locate, acquire, store, distribute, maintain, test, and account for services, human resources, equipment, and materials procured to support the program.

5.7.4 Facilities with known capabilities and partner agreements shall be pre-identified during the assessment and planning process.

5.7.5 Established mutual aid/assistance or partnership agreements shall be included in the plan.

5.8 Communications and Public Information.

5.8.1 The entity shall develop a plan and procedures to disseminate information to and respond to requests for information from the following audiences before, during, and after an incident:

- (1) Internal audiences, including employees
- (2) External audiences, including the general population, media, access and functional needs populations, community partners, and other stakeholders

5.8.2 The entity shall establish and maintain a communications and public information plan that considers the following:

- (1) Central contact facility or communications hub
- (2) Physical or virtual information center
- (3) System for gathering, monitoring, and disseminating information
- (4) Procedures for developing and delivering coordinated messages
- (5) Protocol to clear information for release

5.9 Warning, Notifications, and Communications.

5.9.1 The entity shall determine its warning, notification, and communications needs.

5.9.2* Emergency warning, notification, and communications systems shall be reliable, interoperable, and when feasible redundant, and take into account people with disabilities and other access and functional needs.

5.9.3* Emergency communications protocols and procedures shall be developed, tested regularly, and used to alert and warn stakeholders potentially at risk from an actual or impending hazard.

5.9.4* Procedures shall include issuing warnings through authorized agencies if required by law as well as the use of pre-scripted information bulletins or templates.

5.9.5 The same system used to issue pre-evacuation notifications shall be used to issue evacuation orders.

5.10 Operational Procedure Planning.

5.10.1 The entity shall develop operational procedures to support the plan.

5.10.2 Procedures shall be established for mass evacuation, sheltering, and re-entry.

5.10.3 Procedures shall consider life safety, property conservation, incident stabilization, continuity, and protection of the environment and of cultural heritage artifacts and buildings.

5.10.4 Procedures shall include the following:

- (1) Triggers for use in decision making for shelter-in-place or evacuation
- (2) Triggers for re-entry operations
- (3) Evacuation procedures

5.10.5 The evacuation plan shall consider the following positions based on the size and complexity of the incident:

- (1) Incident commander and deputies
- (2) Public information officer
- (3) Shelter public information officer
- (4) Liaison officer
- (5) Planning section chief, assisted by the documentation unit leader
- (6) Operations chief, assisted by the evacuation director
- (7) Positions reporting to the evacuation director, as follows:
 - (a) Contact group supervisor [phone contact leader, mobile field contact team leader(s)]
 - (b) Perimeter group supervisor (evacuation escort team leader, property security leader, traffic control team leader)
 - (c) Shelter group liaison
 - (d) Animal operations group supervisor
- (8) Finance section chief

5.10.6* Sheltering procedures shall take into consideration the following:

- (1) Evacuee and animal registration
- (2) Facility management
- (3)* Security and building access control
- (4) Parking and traffic control
- (5) Public information, public affairs, and media relations
- (6) Dormitory management
- (7) Medical and mental health services
- (8) Communications and information technology
- (9) Recovery information and resident messaging
- (10) Family reunification
- (11) Reunification of animals to owners
- (12) Risk management and loss control
- (13) Janitorial
- (14) Building maintenance and engineering
- (15) Logistical support
- (16) Bulk distribution
- (17) Donation and volunteer management
- (18) Entertainment/recreation
- (19) Child care
- (20) Animal sheltering

- (21) Laundry service
- (22) Client transportation
- (23) Postal service
- (24) Meal service
- (25) Spiritual care services
- (26) Children's social services
- (27) Charging station and electrical connections for electrical devices (phones, tablets, etc.)

5.10.7 Re-entry procedures shall be as given in 5.10.7.1 through 5.10.7.3.

5.10.7.1 Those responsible for managing the evacuation shall ensure the transition to re-entry through performance objectives.

5.10.7.2 The entity shall determine when the area is safe prior to re-entry

5.10.7.3 The entity shall determine whether the infrastructure is sufficient to support re-entry.

5.10.8 Procedures shall consider concurrent evacuation, sheltering, and re-entry operations.

Chapter 6 Implementation

6.1* Incident Recognition.

6.1.1 The entity shall notify the appropriate officials of the emergency or impending emergency.

6.1.2 Officials responsible for decision making shall evaluate the situation and make a determination if further action should be taken.

6.2* Situational Assessments.

6.2.1 Initial Assessment. Depending on the nature of the incident, the initial situational assessment shall include an assessment of the impact to persons, animals, and property, infrastructure status, the availability of resources, and weather conditions. Based on the initial assessment, the entity shall decide whether to evacuate or shelter-in-place.

6.2.2 Assessment and Evaluation. Assessments shall include evaluations of the effectiveness of previous and current actions.

6.3 Notifications and Activation.

6.3.1 Based upon the characteristics of the incident, those responsible for managing the incident shall make the necessary notifications to command and incident staff, directing them when and where to report.

6.3.2 Those responsible for managing the incident shall approve the immediate release of public information and warning messages.

6.4 Mobilization. Those responsible for managing the incident shall identify and mobilize the appropriate resources to support the initial incident objectives.

6.5 Evacuation Operations.

6.5.1* The entity shall be responsible for managing the evacuation operations.

6.5.2 In implementing the evacuation plan the entity shall consider the following:

- (1) Trigger events that might require evacuation
- (2) Priority of evacuation
- (3) Procedures to request and coordinate required transportation assets from jurisdictional agencies
- (4) Arrangements for transporting evacuees, including persons with access and functional needs, and their animals

6.5.3 The entity responsible for managing the evacuation shall continue to monitor the news, public reports, incident characteristics, and progress of the operation, reflecting changing conditions in the incident objectives and action plan.

6.5.4 The entity responsible for managing the evacuation shall ensure the safety and health of evacuees and responders during all decision making.

6.5.5* The entity responsible for managing the evacuation shall determine potential resource requirements to ensure that resource management supports evacuation operations.

6.5.6 The entity responsible for managing the evacuation shall continue to provide updated information through the joint information center.

6.5.7 The entity responsible for managing the evacuation shall ensure appropriate record keeping of those evacuated (including their animals and property) as well as of costs and claims associated with the evacuation. (*See Section 4.6.*)

6.6* Sheltering Operations.

6.6.1 The entity shall provide procedures and synchronization of components necessary to provide shelter to evacuees.

6.6.2* The entity shall provide for a safe and secure environment for evacuees.

6.6.3 The shelter plan shall include people with disabilities and other access and functional needs; those with diverse backgrounds; those who identify as transgender in various stages of transition; and those with animals.

6.6.4 The entity shall address the basic needs of evacuees, including the following:

- (1)* Medical support
- (2) Access and functional needs support
- (3) Cultural and spiritual support
- (4) Animals, including pets and service and assistance animals
- (5) Support services, including food, water, first aid, and personal care

6.6.5 The entity shall provide information on the location of shelters.

6.7 Transition to Re-entry.

6.7.1 The entity responsible for managing the evacuation shall ensure the transition to re-entry through performance objectives.

6.7.2 The entity shall determine when the area is safe prior to evacuees returning.

6.7.3 The entity shall determine whether the infrastructure is sufficient to support re-entry.

Chapter 7 Training and Education

7.1 Curriculum. The entity shall develop and implement a competency-based training and education curriculum that supports all persons who have a role in the program.

7.1.1 All persons involved shall have a basic understanding of the incident command system (ICS) and how the AHJ will implement the command functions and allocation of resources.

7.1.2 Persons who will fill command functions shall have documented additional competency-based training.

7.2 Goals of the Curriculum. The goals of the curriculum shall be to create awareness and to enhance the knowledge, skills, and abilities required to implement, support, and maintain the program.

7.3 Scope and Frequency of Instruction. The scope of the curriculum and the frequency of instruction shall be identified by the AHJ.

7.4 Record Keeping. Records of training and education shall be maintained as specified in Section 4.6.

7.5 Regulatory and Program Requirements. The curriculum shall comply with applicable regulatory and program requirements.

7.6* Public Education. A public education program shall be implemented to communicate the following:

- (1) Community awareness of potential hazards
- (2) Understanding how and when a declaration of shelter-in-place or evacuation will take place
- (3) Preparation for and safety during shelter-in-place
- (4) Sources of reliable information on evacuation
- (5) Evacuation warnings and orders
- (6) Preparations for and safety during evacuation
- (7) Consequences of refusal to evacuate
- (8) Preparations for and safety during sheltering
- (9) How re-entry information will be determined and communicated to all persons

7.7 Training Delivery. Training delivery shall include the following:

- (1) Training to support mass evacuation, sheltering, and re-entry shall be presented by competent personnel
- (2)* The venues for delivering of training will vary dependent upon the length of time from initial warning to delivery

Chapter 8 Exercises

8.1 Program Evaluation.

8.1.1 The entity shall evaluate program plans, procedures, training, and capabilities and promote continuous improvement through periodic exercises.

8.1.2 The entity shall evaluate the program based on post-incident analyses of evacuation, sheltering, and re-entry; lessons learned; and operational performance during exercises in accordance with Chapter 9.

8.1.3 Exercises shall be documented.

8.2* Exercise Methodology.

8.2.1 Exercises shall provide a standardized methodology to practice and interact with other entities (internal and external) in a controlled setting.

8.2.2 Exercises shall be designed to assess the maturity of program plans, procedures, and strategies.

8.3* Design of Exercises. Exercises shall be designed to do the following:

- (1) Ensure the safety of people, animals, property, and the environment involved in the exercise
- (2) Evaluate the program
- (3) Identify planning and procedural opportunities for improvement
- (4) Validate recently changed procedures or plans
- (5) Clarify roles and responsibilities
- (6) Obtain participant feedback and recommendations for program improvement
- (7) Measure improvement compared to performance objectives
- (8) Improve coordination among internal and external teams, organizations, and entities
- (9) Validate training and education effectiveness
- (10) Increase awareness of hazards and the potential impact of hazards
- (11) Identify additional resources and assess the capabilities of existing resources, including personnel and equipment needed for effective evacuation, sheltering, and re-entry. The resources need to take into account people with disabilities and other access and functional needs and owners and their animals.
- (12) Practice the deployment of resources to manage evacuation, sheltering, and re-entry
- (13) Assess the ability to manage the evacuation, sheltering, and re-entry program

8.4 Exercise Evaluation. Exercises shall evaluate program plans, procedures, training, and capabilities to identify opportunities for improvement.

8.5 Frequency.

8.5.1 Exercises shall be conducted on the frequency needed to establish and maintain required capabilities.

8.5.1.1 Frequencies of exercises and resources needed shall be defined in the plan.

8.5.2 The entity shall establish the schedule for exercises.

Chapter 9 Program Maintenance and Improvement

9.1* Program Reviews. The entity shall maintain and improve the program by evaluating its effectiveness using performance objectives and by identifying corrective and preventive action changes based upon assessments and evaluations conducted during exercises and real events.

9.1.1 The entity shall improve effectiveness of the program through incorporation of identified preventive and corrective actions.

9.1.2 The program shall be re-evaluated when a change in any of the following affects the entity's program:

- (1) Regulations
- (2) Hazards and potential impacts
- (3) Resource availability or capability
- (4) The entity's organizational structure or operations
- (5) Funding changes
- (6) Infrastructure, including the technology environment
- (7) Economic stability and demographics

9.1.3* The entity shall review and revise the program based on post-incident analyses of evacuation, sheltering, and re-entry; lessons learned; and operational performance during exercises and real events.

9.1.4 The entity shall maintain records of its reviews and evaluations, in accordance with the records management practices developed under Section 4.6.

9.1.5 Documentation, records, and reports shall be provided to management for review and follow-up.

9.2 Corrective Actions.

9.2.1 The entity shall establish a corrective action process.

9.2.2 The entity shall take corrective actions on identified opportunities for improvement.

9.3 Continuous Improvement. The entity shall make continuous improvement of the program through the use of program reviews and the corrective action process.

Annex A Explanatory Material

Annex A is not a part of the requirements of this NFPA document but is included for informational purposes only. This annex contains explanatory material, numbered to correspond with the applicable text paragraphs.

A.1.1 The annex sections found in this standard includes material specific to each chapter and is intended to assist the end-user with a mass evacuation, sheltering, and re-entry program.

A.3.2.1 Approved. The National Fire Protection Association does not approve, inspect, or certify any installations, procedures, equipment, or materials; nor does it approve or evaluate testing laboratories. In determining the acceptability of installations, procedures, equipment, or materials, the authority having jurisdiction may base acceptance on compliance with NFPA or other appropriate standards. In the absence of such standards, said authority may require evidence of proper installation, procedure, or use. The authority having jurisdiction may also refer to the listings or labeling practices of an organization that is concerned with product evaluations and is thus in a position to determine compliance with appropriate standards for the current production of listed items.

A.3.2.2 Authority Having Jurisdiction (AHJ). The phrase "authority having jurisdiction," or its acronym AHJ, is used in NFPA documents in a broad manner, since jurisdictions and approval agencies vary, as do their responsibilities. Where public safety is primary, the authority having jurisdiction may be a federal, state, local, or other regional department or individual such as a fire chief; fire marshal; chief of a fire prevention bureau, labor department, or health department; building official; electrical inspector; or others having statutory author-

ity. For insurance purposes, an insurance inspection department, rating bureau, or other insurance company representative may be the authority having jurisdiction. In many circumstances, the property owner or his or her designated agent assumes the role of the authority having jurisdiction; at government installations, the commanding officer or departmental official may be the authority having jurisdiction.

A.3.3.3 Assistance Animal. This definition was developed in accordance with the Americans with Disabilities Act, Fair Housing Act, and Air Carrier Access Act.

A.3.3.4 Business Continuity. Other terms for business continuity are *operational continuity* and *continuity of operations* (COOP). In the public sector, the term *continuity of government* (COG) is also used.

A.3.3.12 Emergency Respite. Respite programs provide short-term and time-limited breaks for families and other caregivers. Respite often provides a positive experience for the person receiving care. The term *short break* is also used to describe respite care.

A.3.3.13 Entity. See Annex G for more information on the use of the term "entities."

A.3.3.18 Exercise. Exercise is the principal means of evaluating a program's ability to execute its response procedures. It allows the entity and stakeholder organizations to practice procedures and interact in a controlled setting. Participants identify and make recommendations to improve the overall program. Exercises include activities performed for the purpose of training and conditioning team members and personnel in appropriate responses, with the goal of achieving maximum performance. An exercise can include seminars, workshops, games, drills, tabletops, functional exercises, or full-scale exercises and involve the simulation of a response or operational continuity incident. Exercises can be announced or unannounced and involve participants role playing in order to identify issues that might arise in a real evacuation.

A.3.3.19 Incident. An *incident* occurs without warning or with only minimal warning, whereas an *event* can be predicted and pre-planned. A *continuum* exists from the interruption of normal operations to catastrophe. The continuum exists without definitive separation from one incident type to another.

A.3.3.23 Mutual Aid/Assistance Agreement. The term *mutual aid/assistance agreement*, as used in this standard, includes cooperative agreements, partnership agreements, memoranda of understanding, memoranda of agreement, intergovernmental compacts, and other terms commonly used for the sharing of resources. Agreements can be executed between and among any combination of public, private, and not-for-profit entities.

A.3.3.26 Prevention. The term *prevention* refers to activities, tasks, programs, and systems intended to avoid or intervene in order to keep an incident from occurring.

A.3.3.27 Recovery. Recovery programs are designed to assist people affected by the disaster incident and their families, restore entities to suitable economic growth and confidence, relocate or rebuild destroyed property, and reconstitute government operations and services. Recovery actions can be short term or long term, often continuing long after the incident has ended. Recovery programs include mitigation components designed to avoid damage from future incidents.

A.3.3.28 Re-entry. Other terms, including *repatriotization*, *repopulation*, and *reunification*, are also used. The return to a previously evacuated area would be under the following restrictions:

- (1) The AHJ that ordered the evacuation authorizes the return for unrestricted use.
- (2) The re-entry would be authorized when the threat that caused the evacuation has been mitigated, infrastructure and utilities are secured, and emergency services restored.

A.3.3.29 Resource Management. This system includes a process for identifying, categorizing, ordering, mobilizing, tracking, and recovering and demobilizing resources, as well as a process for reimbursement for resources, as appropriate.

A.3.3.30 Response. The term *response* refers to the actions taken by an entity in reaction to an incident or event. Actions can include activities, tasks, programs, and systems to protect life safety, meet basic human needs, preserve operational capability, and protect property and the environment. An incident response can include protective actions for life safety (evacuation or shelter-in-place), sheltering, conducting damage assessment, initiating recovery strategies, and any other measures necessary to bring an entity to a more stable status.

A.3.3.32 Service Animal. This definition was developed in accordance with the Americans with Disabilities Act, Fair Housing Act, and Air Carrier Access Act.

A.4.2 Terms other than *program coordinator* are in use. Different entities use various forms and names for the person who performs the program coordinator functions identified in this standard, for example, *emergency manager* (for the public sector) and *business continuity manager* (for the private sector). A written description of the position should be provided.

A.4.3.1 Mandating an entity to have a program committee/working group might, in some cases, violate the authorities under which the emergency management entity is established. Those entities that can have, or want to have, a program committee that will provide advice and guidance should be encouraged to do so.

A.4.3.3 When the representation on the program committee is being determined, consideration should be given to public sector representation on a private sector committee and vice versa, which will help to establish a coordinated and cooperative approach to the program.

A.4.4.1(2) Goals and objectives should be consistent with the entity's policy, vision, mission statement, roles and responsibilities, and enabling authority. Consideration also should be given to resource constraints, management support, regulatory requirements, and codes of practice.

A.4.4.1(3) Industry codes of practices and guidelines also should be considered. In the private sector, corporate policy might dictate the directives that should be followed. The entity should consider local cultural and religious customs as well as demographics when developing the program.

A.4.4.2 This hazards and risk assessment could be performed by the entity or by an external agency, professional engineer, or similar licensed professional.

A.4.5.1 Performance objectives should be established for all elements in the program and should be linked to human performance. When the performance is compared to criteria to determine if the performance meets expectations, the measurement and evaluation of performance are impossible without well-written performance objectives. Performance objectives should contain three essential parts:

- (1) *Performance.* Specific identification of expected behavior that is observable and measurable. If the specific behavior is based on expected knowledge (cognitive process) or attitudes (emotions, feelings), indicator behaviors should be used, because knowledge and attitude performance objectives are not directly observable and, therefore, are not measurable. An indicator behavior is observable and is based on either cognitive or emotional processes.
- (2) *Conditions.* Specific identification of exact location, tools, the equipment used, and so forth that will be part of the observable, measurable behavior.
- (3) *Criteria.* Specific criteria that will be used to compare the observed behavior so it can be determined if the performance objectives have been achieved.

A.4.5.4 The time frames that define short-term and long-term performance objectives should be developed by the entity. Examples of short-term objectives might include "initiate evacuation order" and "maintain current status of evacuation," while long-term objectives might include "prevent environmental damage" and "comply with regulatory requirements."

A.4.6.1 It is not the intent of this section to require a records management program for all of the entity's records.

A.4.7.1 The program should comply with applicable legislation, policies, regulatory requirements, and directives. The regulatory requirements include mandatory evacuation laws and laws to enforce mandatory evacuation. Annex I provides additional information.

A.4.7.2 Leadership should research applicable legal, regulatory, and other industry requirements that are related to the hazards, threats, and risks associated with the entity's facilities, activities, functions, products, services, and supply chain; the environment; and stakeholders. The entity should document this information and keep it up to date.

A.4.8.2 In addition to having sound financial and administration procedures for daily operations, it is equally important to have procedures in place that will allow an entity to expedite financial decision making and ensure that proper accounting occurs. The finance department should be actively involved with identifying, prioritizing, and purchasing internal and external resources.

A.5.1.1(1) Annex G provides information to complete the requirements.

A.5.1.1(6) The entity should be responsible for all personal protective equipment (PPE) used, whether the equipment is supplied by the entity or others. The PPE program should specify the responsibilities of the entity and of the personnel.

The entity is responsible for the following:

- (1) Performing a hazard assessment of the workplace to identify and control physical and health hazards
- (2) Identifying and providing appropriate PPE for employees
- (3) Training personnel in the use and care of the PPE

- (4) Maintaining PPE, including replacing worn or damaged PPE
- (5) Periodically reviewing, updating, and evaluating the effectiveness of the PPE program
- (6) Personnel reporting to the entity are responsible for the following:
 - (a) Properly wearing PPE
 - (b) Attending training sessions on PPE
 - (c) Cleaning and maintaining PPE
 - (d) Notifying a supervisor of the need to repair or replace PPE

A.5.1.2(6) Public information messages as warnings, notifications and communications should be presented to end user devices in a consistent way, so as to avoid confusion on their interpretation, especially by tourists, foreigners, or residents of other states. Even when using the same data standard, messaging system developers each make their separate presentation design choices. As a result, users often are often are confused by inconsistent warning presentations. Every effort should be made to harmonize device developers' design choices when they deal with communicating emergency warnings to the public as publishers of messages from official alerting authorities.

A.5.2(3) See Annex D, Annex E, and Annex F, which support the requirement for a requirement analysis in planning.

A.5.3 Plans should be available in alternative formats, including large print, braille, and in languages common within the jurisdiction.

A.5.4.2 For information on coordinating with health care facilities requiring evacuation of patients, see 12.5.3.4.7 in NFPA 99.

A.5.4.4 See Annex C, which identifies risks related to evacuation, sheltering, and re-entry.

A.5.5 See Annex C.

A.5.5.3 Risk assessment is a process for identifying potential hazards/risk exposures and their relative probability of occurrence; identifying assets at risk; assessing the vulnerability of the assets exposed; and quantifying the potential impacts of the hazard/risk exposures on the assets. Periodic reassessment is needed when changes to the entity occur. Reassessment is also necessary because hazards/risk exposures change over time, and the collective knowledge of hazard/risk exposures develops over time.

In addition to identifying hazards that could be the primary cause of an incident, consideration should also be given to those secondary hazards or cascading events that could cause additional impact to the entity and its assets. As an example, a fire could result in injury or death, property damage, interruption of operations, contamination of the environment, and negative attention on the entity.

Particular attention should be paid to the hazards that could affect the buildings that are going to be selected to shelter evacuees. As an example, the shelters' requirements could easily result in the selection of buildings in flat areas, often located in flooding-prone areas. While such hazard could be acceptable for most purposes, it is not for sheltering purposes when an emergency of such kind is ongoing.

A comprehensive risk assessment identifies the range of hazard/risk exposures, including threats or disruptive incidents, that have impacted or might impact the entity, surrounding area, or critical infrastructure supporting the entity. The potential impact of each threat, hazard/risk exposure, or disruptive incident is determined by the capabilities of the perpetrator, magnitude of the hazard, and scope of the incident; as well as the vulnerability of people, property, technology, the environment; the entity's operations to the threat, hazard, or incident; and the adequacy of existing mitigation. There are multiple methods to perform a risk assessment, but the entity should adhere to the following steps for conducting a comprehensive risk assessment:

- (1) Determine the methodology the entity will use to conduct the assessment and determine whether the entity has the necessary expertise to perform the assessment.
- (2) Consult with internal or external experts with the expertise to assess the vulnerability of the entity's assets from identified hazards.
- (3) Identify and categorize assets (human resources, buildings, equipment, operations, technology, electronic information, suppliers, vendors, third-party service providers, etc.).
- (4) Identify threats and hazards — natural, human caused (accidental and intentional), and technology caused.
- (5) Evaluate hazards/risks to which the entity is exposed.
- (6) Assess existing preventive measures and mitigation controls in place against credible threats.
- (7) Categorize threats, hazard/risk exposures, and potential incidents by their relative frequency and severity. Keep in mind that there might be many possible combinations of frequency and severity for each, as well as cascading impacts.
- (8) Evaluate the residual hazard/risk exposures (those that remain hazardous after prevention and mitigation activities).

A.5.6.1 See Annex D, Annex E, and Annex F, which provide detailed information on the requirements in the section.

A.5.6.2(3)(h) Two examples of cascading effects are an earthquake causing a tsunami or a hurricane causing a flood. An example of a secondary disaster would be multiple hurricanes.

A.5.6.3 See Annex D and Annex G.

A.5.6.4(3) See Annex E for best practice guidance on building safety considerations in selection of resilient sheltering facilities and guidance on shelters for specific hazards.

A.5.6.4(5) See Annex H for detailed information on requirements for animals.

A.5.6.5 Sheltering facilities should be deemed appropriate for use as a temporary shelter facility for the applicable hazards by the local authority having jurisdiction and conform to the applicable structural, fire safety, means of egress, accessibility, light, ventilation, and sanitary requirements to ensure public health, safety, and general welfare.

A.5.9.2 The Emergency Communications Systems chapter in NFPA 72 addresses critical equipment concerns for warning, notification, and communications systems regarding reliability, intelligibility of voice messages, signaling pathway survivability, secondary power, and interoperability with other alarm systems. See Annex J and Annex M for additional information.

A.5.9.3 See Annex J, which provides information on common information and templates for warning messages and alerts.

A.5.9.4 See Annex J, which provides information on common information and templates for warning messages and alerts.

A.5.10.6 These requirements might not apply to all types of shelters.

A.5.10.6(3) To maintain security and population count, all guests will be registered at the reception area and will be provided with wrist-bands, which will be scanned each time they go through the main entrance. However, if multiple shelters are used, the wrist-bands scanning systems could register data in different formats. In this way it could become difficult, if not impossible, to build up one consistent common operational picture — in real time, if possible, or later on. For this reason wrist-bands should adopt the same standard and encoding for the barcode and implement interoperability features into the scanning systems, so as to allow for a seamless data exchange. Whenever possible such wrist-bands should embed UHF-RFID tags, for a faster remote scanning, which could allow real-time population count, setting-up unsupervised RFID-fitted exit gates.

A.6.1 There are two types of incidents: no-notice incidents and advance-notice incidents.

In no-notice incidents, the initial indicator is often instant recognition or notification of an event or incident (earthquake, fire alarm or 911 call reporting an incident) which prompts a response activity.

In advance-notice incidents or events, one or more indicators of a potential incident are monitored and evaluated over time, which might lead to an incident response activity.

A.6.2 See Annex J, which provides information on the interoperability of data to support mass evacuation, sheltering, and re-entry operations.

A.6.5.1 An organization's evacuation and sheltering planning process should include a decision flow chart for continuity of care and business operations, as shown in Figure A.6.5.1.

A.6.5.5 Information produced should be assembled in accessible formats in accordance with the American Disabilities Act (ADA) and the Rehabilitation Act.

A.6.6 Typical shelter operations are described in Annex E.

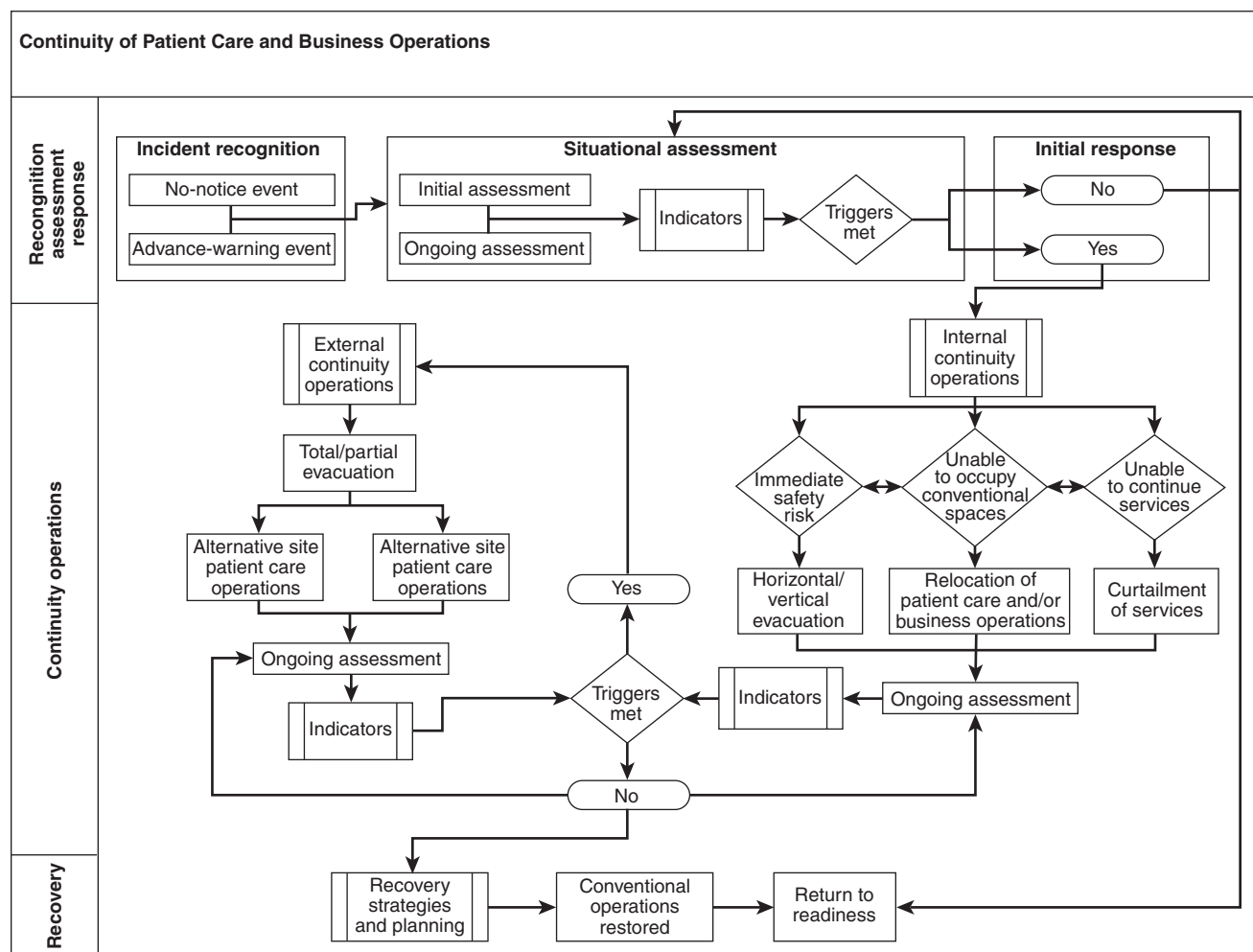


FIGURE A.6.5.1 Continuity of Care and Business Operations Decision Flow Chart.

A.6.6.2 The following steps should be taken to identify and acquire buildings that can be used for sheltering:

- (1) Contact local realtors and possibly engage one.
- (2) Conduct site visits and carry out an initial and a comprehensive survey, as follows:
 - (a) Initial survey by the shelter operations team
 - (b) Comprehensive survey by other agencies and partners, including local Americans with Disabilities Act (ADA) compliance agencies, public works and utilities, health services, water supply systems, and local animal welfare agencies
- (3) Continually monitor building availability and lease terms
- (4) Consider a building's accessibility to the following:
 - (a) Highways
 - (b) Public transportation
 - (c) Shopping
 - (d) Medical facilities
 - (e) Animal shelter
 - (f) Reception
 - (g) Proximity to neighborhoods
 - (h) Schools
- (5) Assess the vulnerability of the building versus the identified hazards/risks

A.6.6.4(1) See Chapter 12 of NFPA 99 for information about coordinating with local health care facilities in the event of a health care evacuation.

A.7.6 The material should be prepared in multiple formats to ensure accessibility to the whole community.

A.7.7(2) See Annex L, which provides information on training that could be presented with shortened lead times.

A.8.2 An exercise is the principal means of validating a program's ability to implement its evacuation, sheltering, and re-entry policies, plans, procedures, training, equipment, and interagency agreements. Exercises also provide a means of clarifying and training persons in roles and responsibilities, improving interagency coordination and communications, identifying gaps in resources, improving individual performance, and identifying opportunities for improvement. It allows the entity and other agencies and organizations to practice and interact in a controlled setting. Participants identify and make recommendations for improvement of the exercises and the overall program.

A.8.3 Exercises should include, but not be limited to, orientation seminars, drills, tabletop exercises, functional exercises, and full-scale exercises.

Orientation Seminar. The orientation seminar is an overview or introduction. Its purpose is to familiarize participants with roles, plans, procedures, or equipment. It can also be used to resolve questions of coordination and assignment of responsibilities.

Drill. A drill is a coordinated, supervised exercise activity normally used to test a single specific operation or function. With a drill, there is no attempt to coordinate organizations or to fully activate the emergency operation center (EOC). Its role in an exercise program is to practice and perfect one small part of the response plan and help prepare for more extensive exercises in which several functions will be coordinated and tested. The effectiveness of a drill is its focus on a single, relatively limited

portion of the overall emergency management system. It makes possible a tight focus on a potential problem area.

Tabletop Exercise. A tabletop exercise is a facilitated analysis of an emergency situation in an informal, relatively stress-free environment. It is designed to elicit constructive discussion as participants examine and resolve problems based on existing operational plans and identify where those plans need to be refined. The success of the exercise is determined largely by group participation in the identification of problem areas.

Functional Exercise. A functional exercise is a fully simulated interactive exercise that tests the capability of an organization to respond to a simulated event. The exercise tests multiple functions of the organization's operational plan. It is a coordinated response to a situation in a time-pressured, realistic simulation

Full-Scale Exercise. A full-scale exercise simulates a real event as closely as possible. It is designed to evaluate the operational capability of emergency management systems in a highly stressful environment that simulates actual response conditions. To accomplish this realism, it can include the mobilization and actual movement of emergency personnel, equipment, and resources. Ideally, the full-scale exercise should test and evaluate most functions of the emergency management plan or operational plan.

A.9.1 Performance improvement is based on two distinct but interrelated functions:

- (1) *Measurement.* Sometimes called "assessment," measurement is the function in which the personnel determine what organizational performance has occurred.
- (2) *Evaluation.* Evaluation is the function in which the observed performance is compared with criteria, sometimes called "standards" or "competencies," to determine if the actual organizational performance meets expectations.

A.9.1.3 The facility's evacuation, sheltering, and re-entry plan should be evaluated through exercises. As with any emergency incident or exercise, an after-action report (AAR) should be completed to identify lessons learned and processes that can be improved for the future. The AAR should solicit feedback from all participants involved and should provide a frame of reference from which leaders can make improvements.

Annex B Self-Assessment for Conformity with NFPA 1616

This annex is not a part of the requirements of this NFPA document but is included for informational purposes only.

B.1 Table B.1 is a self-assessment tool to assist entities in determining conformity with the requirements of NFPA 1616. The table includes a list of hazards from Annex A and repeats text from the body of the standard where needed to make the self-assessment tool more user friendly. Users of this self-assessment tool can indicate conformity, partial conformity, or nonconformity as well as evidence of conformity, corrective action, task assignment, a schedule for action, or other information in the Comments column.

Table B.1 Self-Assessment Tool for Conformity with the 2017 Edition of NFPA 1616

NFPA 1616 Program Elements	Conforming	Partially Conforming	Nonconforming	Comments
Chapter 4 Mass Evacuation, Sheltering, and Re-entry Program Management				
4.1* Leadership and Commitment.				
4.1.1 The entity leadership shall demonstrate commitment to the program to evacuate, provide shelter, and facilitate re-entry.				
4.1.2 The leadership commitment shall include the following:				
(1) Support the development, implementation, and maintenance of the program				
(2) Provide necessary resources to support the program				
(3) Ensure the program is reviewed and evaluated as needed to ensure program effectiveness				
(4) Support corrective action to address program deficiencies				
(5) Lead and support the program and execution of the evacuation, sheltering, and re-entry				
4.1.3 The entity shall adhere to policies, execute plans, and follow procedures developed to support the program.				
4.2* Program Coordinator. An individual shall be appointed by the entity's leadership and authorized to develop, implement, administer, evaluate, and maintain the program.				
4.3 Program Working Group.				
4.3.1* A program working group shall be established by the entity in accordance with its policy.				
4.3.2 The program working group shall provide input and/or assist in the coordination of the preparation, development, implementation, evaluation, and maintenance of the program.				
4.3.3* The program working group shall include representation from the whole community.				
4.3.4 The program working group shall integrate all elements necessary for mass evacuation, sheltering, and re-entry within the entity and coordinate with other entities affected by these operations.				
4.4 Program Administration.				
4.4.1 The entity shall have a documented program that includes the following:				
(1) Policy, including roles and responsibilities, and the enabling authority				
(2)* Program scope, goals, performance objectives, and metrics for program evaluation				
(3)* Applicable authorities, legislation, regulations, and industry codes of practice as required by Section 4.7				
(4) Program plans and procedures that include the following:				
(a) Anticipated program cost, excluding costs associated with actual evacuation				
(b) Resources required				
(c) Maintenance schedule				
(d)* Records management practices of the entity as required by Section 4.6				

(continues)

Table B.1 Continued

NFPA 1616 Program Elements	Conforming	Partially Conforming	Nonconforming	Comments
4.4.2 The program shall include an all-hazards approach and risk assessment.				
4.5 Performance Objectives.				
4.5.1* The entity shall establish performance objectives for the program in accordance with the elements in Chapters 5 through 9.				
4.5.2 The performance objectives shall address the results of the hazard identification, the risk assessment, and the requirements analysis.				
4.5.3 Performance objectives shall address both short-term and long-term needs of evacuees, including people with disabilities and other access and functional needs.				
4.5.4 The entity shall define <i>short term</i> and <i>long term</i> .				
4.6 Records Management.				
4.6.1* The entity shall develop, implement, and manage a records management program to ensure that records are available to the entity following an evacuation.				
4.6.2 Records management is designed to aid in the identification, backup, protection, and access to paper-based and electronic records that are vital to the entity and required for evacuation, sheltering, and re-entry.				
4.6.3 The program shall include the following:				
(1) Identification of records (hard copy or electronic) vital to continue the operations of the entity				
(2) Backup of records as necessary to meet program goals and objectives				
(3) Validation of the integrity of records backup				
(4) Implementation of procedures to store, retrieve, and recover records onsite or offsite				
(5) Storage and protection of records				
(6) Implementation of a record review process				
(7) Procedures coordinating records access within and outside the organization				
(8) Executing a retention policy to archive and destroy records according to operational needs, operating procedures, statutes, and regulations				
4.7 Laws and Authorities.				
4.7.1 Evacuation, sheltering, and re-entry programs are covered by law or voluntary guidelines.				
4.7.2* The entity shall implement a strategy for addressing the need for revisions to legislation, regulations, directives, policies, and industry codes of practice.				
4.8 Finance and Administration.				
4.8.1 The entity shall develop finance and administrative procedures to support the program before, during, and after an evacuation.				
4.8.2* There shall be a responsive finance and administrative framework that does the following:				
(1) Complies with the entity's program requirements				

(continues)

Table B.1 *Continued*

NFPA 1616 Program Elements	Conforming	Partially Conforming	Nonconforming	Comments
(2) Provides direct linkages to evacuation, sheltering, and re-entry operations				
(3) Provides for maximum flexibility while retaining accountability				
4.8.3 Finance and administrative procedures shall include the following:				
(1) Accounting systems to track and document costs				
(2) Program procurement procedures				
Chapter 5 Planning				
5.1 Plan Requirements.				
5.1.1* The plan shall address the health and safety of personnel as follows:				
(1)* Identify actions to be taken to protect people, including those with access and functional needs; property; critical operations; and the environment				
(2) Include an accountability system for all response personnel				
(3) Monitor the health and well-being of response personnel				
(4) Establish rehabilitation of personnel				
(5) Ensure security and protection for response personnel				
(6)* Provide appropriate personal protective equipment for response personnel				
5.1.2 The plan shall identify and document the following:				
(1) Assumptions made during the planning process				
(2) Responsibilities for carrying out specific actions in an evacuation, sheltering, and re-entry; functional roles and responsibilities of internal and external agencies, organization, departments, and positions; lines of authority				
(3) Trigger points to activate the evacuation plan				
(4) Logistics support and resource management requirements				
(5) Operational communications				
(6)* Public information, including warnings, notifications, and communications				
5.1.3 The entity shall make sections of the plans available to those assigned specific tasks and responsibilities therein and to key stakeholders as required.				
5.2 Planning Assumptions. The planning assumptions shall include the following:				
(1) Findings from the social sciences on human behavior and the results of threat				
(2) Hazard identification and risk assessment				
(3)* Requirements analysis				
(4) Resource analysis				
(5) The number of people requiring evacuation				
(6) That evacuation will require sheltering and re-entry				
(7) Projections for the number of people requiring sheltering				

(continues)

Table B.1 *Continued*

NFPA 1616 Program Elements	Conforming	Partially Conforming	Nonconforming	Comments
(8) Projections for the number of people requiring re-entry				
(9)* That animals will be evacuated and sheltered as appropriate and feasible in order to safeguard human lives and facilitate an evacuation				
(10) The types of vehicles required to transport people with disabilities and other access and functional needs				
(11) The number of responders required to complete the evacuation process				
(12) Development and implementation of plans and procedures to identify populations requiring assistance and arranging transportation for people with disabilities and other access and functional needs during evacuation, sheltering, and re-entry				
(13) Determination of physical requirements for evacuee assembly points, emergency respite stop, and staging/reception areas				
(14) Coordination with local medical facilities to identify plans and resources in the event that these facilities require evacuation into a shelter				
5.3 Plan Format.				
5.3.1 Plans shall include the following:				
(1) All hazards approach and risk assessment				
(2) Evacuation				
(3) Mass sheltering				
(4) Re-entry				
5.4 Planning Process.				
5.4.1 A process shall be established that develops, evaluates, and improves capabilities required to implement the program.				
5.4.2* The entity shall include key stakeholders and operational entities in the process.				
5.4.3 The entity shall develop a set of trigger points on which to base planning efforts, including the following:				
(1) The plan shall be reviewed at least annually.				
(2) The plan shall be reviewed after each incident.				
(3) The plan shall be reviewed periodically throughout an incident.				
5.4.4* The trigger points shall identify specific actions to be taken based on specific events, threats, or hazards.				
5.5* Threat, Hazard Identification, and Risk Assessment.				
5.5.1 The entity shall identify the potential threats or hazards that could require evacuation and/or sheltering.				
5.5.2 The following hazards shall be considered during the risk assessment:				
(1) Geological hazards and risk exposures				
(a) Earthquake				
(b) Tsunami				
(c) Volcano				
(d) Landslide, mudslide, subsidence				
(2) Meteorological hazards/risk exposures:				

(continues)

Table B.1 *Continued*

NFPA 1616 Program Elements	Conforming	Partially Conforming	Nonconforming	Comments
(a) Flood, flash flood, seiche, tidal surge				
(b) Water control structure (e.g., dam, levee) failure				
(c) Drought				
(d) Snow, ice, hail, sleet, avalanche, arctic freeze				
(e) Windstorm, tropical cyclone, hurricane, tornado, water spout, dust storm, sandstorm				
(f) Extreme temperatures (heat, cold)				
(g) Wildland fire				
(h) Lightning strikes				
(i) Famine				
(j) Geomagnetic storm				
(3) Biological hazards/risk exposures:				
(a) Food-borne illnesses				
(b) Pandemic disease				
(c) Infectious/communicable/zoonotic diseases, including endemic and emerging diseases				
(4) Accidental human-caused events:				
(a) Hazardous material spill or release (flammable liquid, gas, or solid; oxidizer; poison; explosive, radiological, or corrosive material)				
(b) Nuclear power plant incident, radiological incident				
(c) Explosion/fire				
(d) Transportation accident				
(e) Building or structure collapse				
(f) Entrapment or rescue (machinery, confined space, high angle, water)				
(g) Fuel or resource shortage				
(h) Mechanical breakdown				
(i) Transportation incidents (motor vehicle, railroad, watercraft, aircraft, pipeline)				
(j) Untimely death of an employee				
(5) Intentional human-caused events:				
(a) Criminal activity (vandalism, sabotage, arson, robbery, theft, fraud, embezzlement, data theft, malfeasance)				
(b) Physical or information security breach				
(c) Lost person, abduction, kidnapping, extortion, hostage incident, workplace/school/university violence, homicide				
(d) Product defect or contamination				
(e) Disinformation				
(f) Harassment				
(g) Discrimination				
(h) Demonstration, civil disturbance, public unrest, mass hysteria, riot				

(continues)

Table B.1 *Continued*

NFPA 1616 Program Elements	Conforming	Partially Conforming	Nonconforming	Comments
(i) Strike or labor dispute				
(j) Bomb threat, suspicious package				
(k) Terrorism (explosive, chemical, biological, radiological, nuclear, cyber, electromagnetic pulse)				
(l) Insurrection				
(m) Enemy attack, war				
(n) Arson				
(6) Technology-caused incidents:				
(a) Computer systems [outages, hardware failure, data corruption, deletion, theft, loss of network connectivity (Internet or intranet), loss of electronic data interchange or ecommerce, loss of domain name server (DNS), virus, worm, Trojan horse, power surge, lightning, host site interdependencies, direct physical loss, water damage, cyber terrorism, vulnerability exploitation, botnets, hacking, phishing, spyware, malware, computer fraud, loss of encryption, denial of service, improper system use by employee, telecommunications interruption or failure, electricity brownout or blackout]				
(b) Computer software or application interruption, disruption, or failure (internal/external)				
(c) Loss, corruption, or theft of electronic information				
(d) Utility interruption or failure (telecommunications, electrical power, water, gas, steam, HVAC, pollution control system, sewage system, other critical infrastructure)				
(7) Other hazards and risk exposures, such as supply chain interruption [loss of shipping or transportation, vendor failure (single or sole source provider)]				
5.5.3* The entity shall identify the threats and risks associated with evacuation, sheltering, and re-entry.				
5.5.4 The entity shall develop a safety analysis of the threats, hazards, and risks.				
5.6 Requirements Analysis.				
5.6.1 The entity shall conduct a requirements analysis for evacuation, sheltering, and re-entry that is based upon the threat hazard identification and risk assessment.				
5.6.2 The requirements analysis shall include the following:				
(1) Characteristics of the potentially affected population, including people with disabilities and other access and functional needs, number of infants and toddlers, and animal populations.				
(2) Existence of mandatory evacuation laws and expected enforcement of the laws				
(3) Characteristics of the incident that trigger consideration for evacuation shall include the following:				
(a) Weather, season, and environmental conditions				
(b) Speed of onset				
(c) Magnitude				
(d) Location and direction				

(continues)

Table B.1 *Continued*

NFPA 1616 Program Elements	Conforming	Partially Conforming	Nonconforming	Comments
(e) Duration				
(f) Resulting damages to essential functions				
(g) Cultural and religious practices				
(h)* Risk for cascading effects and secondary disasters				
(i) Capability of transportation routes and systems to transport life-sustaining materials (food, water, medical supplies) into the affected area				
5.6.3 The program shall consider the following conditions under which evacuation or sheltering-in-place is appropriate to the situation and the resources available:				
(1) The anticipated impact and duration of the incident				
(2) The distance to appropriate sheltering facilities				
(3) The availability of and access to transportation to those facilities				
(4) The ability to communicate with the affected population within the required timeframe				
5.6.4 Factors to be considered in planning for evacuation and sheltering shall include the following:				
(1) Establishment of a unified command organization				
(2) Development of a joint information center and methods to notify the public				
(3) Identification of appropriate sheltering facilities by location, size, and types of services available				
(4) Identification of the modes and routes for evacuee transportation				
(5) Sources of evacuee support services				
(6) Manpower requirements based on occupant population				
5.6.5 Factors to be considered in the planning for re-entry shall include the following:				
(1) Controlling access to restricted areas for security and evacuee safety				
(2) Prioritizing building inspection and permitting				
(3) The availability of and requirements for functioning infrastructure and utilities				
5.7 Resource Needs Assessment.				
5.7.1 The entity shall conduct a resource needs assessment.				
5.7.2 The resource needs assessment shall include the following:				
(1) Human resources, stakeholders, equipment, training, facilities, funding, expert knowledge, materials, technology, information, intelligence, and the time frames within which they will be needed				
(2) Quantity, response time, capability, and cost				
5.7.3 The entity shall plan to locate, acquire, store, distribute, maintain, test, and account for services, human resources, equipment, and materials procured to support the program.				
5.7.4 Facilities with known capabilities and partner agreements shall be pre-identified during the assessment and planning process.				
5.7.5 Established mutual aid/assistance or partnership agreements shall be included in the plan.				

(continues)