# TCRP

## REPORT 86

*Public Transportation Security*
*Volume 10*

# Hazard and Security Plan Workshop: Instructor Guide

TRANSPORTATION RESEARCH BOARD
*OF THE NATIONAL ACADEMIES*

# TCRP REPORT 86

## *Public Transportation Security*
## *Volume 10*
## Hazard and
## Security Plan Workshop:
## Instructor Guide

**AECOM CONSULT, INC.**
Fairfax, VA

In association with

**MAIER CONSULTING, INC.**
Barboursville, VA

and

**PETER SCHAUER ASSOCIATES**
Boonville, MO

**TRANSPORTATION RESEARCH BOARD**

## TRANSIT COOPERATIVE RESEARCH PROGRAM

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

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

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

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

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

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

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

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

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

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

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

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

The **Transportation Research Board** is a division of the National Research Council, which serves the National Academy of Sciences and the National Academy of Engineering. The Board's mission is to promote innovation and progress in transportation through research. In an objective and interdisciplinary setting, the Board facilitates the sharing of information on transportation practice and policy by researchers and practitioners; stimulates research and offers research management services that promote technical excellence; provides expert advice on transportation policy and programs; and disseminates research results broadly and encourages their implementation. The Board's varied activities annually engage more than 5,000 engineers, scientists, and other transportation researchers and practitioners from the public and private sectors and academia, all of whom contribute their expertise in the public interest. The program is supported by state transportation departments, federal agencies including the component administrations of the U.S. Department of Transportation, and other organizations and individuals interested in the development of transportation. **www.TRB.org**

**www.national-academies.org**

# FOREWORD

By S. A. Parker
Staff Officer
Transportation Research
Board

This tenth volume of *TCRP Report 86: Public Transportation Security* will assist rural, small urban, and community-based passenger transportation agencies in creating hazard and security plans or evaluating and modifying existing plans, policies, and procedures consistent with the National Incident Management System (NIMS). The importance of NIMS is set out in a September 8, 2004, letter to state governors from Department of Homeland Security Secretary Tom Ridge: "NIMS provides a consistent nationwide approach for Federal, State, territorial, tribal, and local governments to work effectively and efficiently together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity."

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Rural, small urban, and community-based passenger transportation agencies face many of the same security concerns as other service-sector enterprises. Transit employees may experience workplace violence or spillovers of domestic violence, and there is a risk of domestic or international terrorism. Beyond the immediate trauma of intentional harm to an employee, a destroyed vehicle, or a vandalized facility, there can be disruptions to operations and emotionally disturbing repercussions to employees and passengers that could shatter the functionality of the transit system. Consequently, transit systems must have a hazard and security plan in place, understood by all staff, to identify and to eliminate the risk or minimize the loss and disruptions to operations, staff, and passengers.

To accomplish the above tasks, rural, small urban, and community-based passenger transportation systems need practical planning templates that reflect the operating environment and the realities of available staff for implementation. The templates must be flexible so they can be used in developing customized security plans and combined with effective training tools for each unique transit system. Hence, the objective of this project was to develop a hazard and security planning template and to design training for developing security plans and integrating those plans into the routine of daily transit operations. Users of the *TCRP Report 86* series will find that the products emphasize mitigation along with prevention, preparation, response, and recovery.

The training course in this report is supplemented online with a downloadable template for a completed hazard and security plan. The CD-ROM includes those resources and more than 60 other documents organized in an electronic library.

AECOM Consult prepared this volume of *TCRP Report 86* under TCRP Project J-10D.

Emergencies arising from terrorist threats highlight the need for transportation managers to minimize the vulnerability of travelers, employees, and physical assets through incident prevention, preparedness, mitigation, response, and recovery. Managers seek to reduce the chances that transportation vehicles and facilities will be targets or instruments of terrorist attacks and to be prepared to respond to and recover from such possibilities. By being prepared to respond to terrorism, each transportation

agency is simultaneously prepared to respond to natural disasters such as hurricanes, floods, and wildfires, as well as human-caused events such as hazardous materials spills and other incidents.

This is the tenth volume of *TCRP Report 86: Public Transportation Security*, a series in which relevant information is assembled into single, concise volumes—each pertaining to a specific security problem and closely related issues. These volumes focus on the concerns that transportation agencies are addressing when developing programs in response to the terrorist attacks of September 11, 2001, and the anthrax attacks that followed. Future volumes of the reports will be issued as they are completed.

To develop this volume in a comprehensive manner and to ensure inclusion of significant knowledge, available information was assembled from numerous sources, including a number of state departments of transportation. A topic panel of experts in the subject area was established to guide the researchers in organizing and evaluating the collected data and to review the final document.

This volume was prepared to meet an urgent need for information in this area. It records practices that were acceptable within the limitations of the knowledge available at the time of its preparation. Work in this area is proceeding swiftly, and readers are encouraged to be on the lookout for the most up-to-date information.

Volumes issued under *TCRP Report 86: Public Transportation Security* may be found on the TRB website at http://www.TRB.org/SecurityPubs.

# CONTENTS

# Using the Instructor Guide

*Important:* Read through the entire instructor package and pay special attention to the lesson plan. Carefully read the notes accompanying the training slides and study the participant hazard and security plan (HSP) template. It is estimated that, for an expert trainer, a minimum of 16 hours of preparation are required for delivering the course the first time. If you are not an expert trainer, it may take you longer to prepare for the course the first time you present it. As a trainer becomes more familiar with the flow and content, preparation times will diminish, but every instructor should spend some time preparing his or her presentation. Good luck and safe and happy training!

# Preface

This instructor guide contains the materials for facilitating and guiding the HSP workshop. This guide contains:

- The instructor guide with instructions on how to present the course.
- The lesson plan.
- The instructor PowerPoint presentation with notes.
- The workshop participant guide (which is the PowerPoint presentation slides in a "three-up" format), the HSP Instructions, the HSP template, and an agenda.

The CD-ROM contains the template that participants will adapt for their organizations and sample policies and procedures that can be used as resource materials. This CD-ROM must be duplicated in sufficient quantity so each student gets one copy with their "hard copy" template. The CD-ROM also contains all the materials in an electronic format for preparation of workshop materials and the PowerPoint presentation.

The purpose of the workshop is to have participants take notes on the HSP template so that when they return to their office, they can quickly complete their own plan. When participants leave the workshop, they should feel they have a draft plan in hand that they will refine at their office.

The workshop has many goals, and as the instructor it is your duty to:

- Help workshop participants overcome any resentment they may have to the concept of an HSP.
- Help workshop participants achieve a working knowledge of common security and hazard terms.
- Help workshop participants understand what their role is in the range of security and hazard incidents and build confidence that they can respond competently by completing an HSP.
- Foster a sense of community and helping among workshop participants.
- Ensure that workshop participants take notes on their template and know how to edit and prepare the CD-ROM for finalizing their own plan.

By thoroughly studying the instructor guide and slide discussion notes you will be prepared to achieve all the above goals. Should any instructor using these materials feel the need for more background material or encouragement on meeting the above goals, contact:

<div align="center">

Stephan Parker, Senior Program Officer
Transportation Research Board, Cooperative Research Programs
Email: saparker@nas.edu or Telephone 202-334-2554
www.trb.org/securitypubs

</div>

# Introduction and Background

## Hazard and Security Planning: "One size does not fit all!"

Rural, small urban, and community-based public transportation agencies face many of the same security concerns as other service-sector enterprises. Transit employees may experience workplace violence or spillovers of domestic violence, and there is a risk of domestic or international terrorism. Beyond the immediate trauma, intentional harm to an employee, a destroyed vehicle, or a vandalized facility can be disruptive to operations and emotionally disturbing to employees and riders. Consequently, transit systems must have a plan to identify and to eliminate the risk of these events or mitigate the loss.

Rural, small urban, and community-based public transportation systems do not generally have sufficient staffing and funding resources to develop and apply the type of system security plans that may be generated and used in larger urban areas.

Yet, as security planning becomes a requisite element of transit management across the United States, researchers are discovering that one size does not fit all. In some respects, security and hazard planning can vary more between Bonifay, Florida, and Boonville, Missouri, than between New York and Los Angeles. What researchers have found is that in rural areas there are wide varieties of hazards and security threats ranging from nuclear bomb disposal in rural Texas to large earthen dams in Pennsylvania to tsunamis in Hawaii. It can be said that urban security needs are more similar and more predictable than those in the rural portions of our country, where safety and security threats, ranging from modest to extreme, may develop from circumstances unknown in urban areas. Consequently, security planning for rural areas does not fit neatly into prevention and response patterns established in urban areas.

To help overcome this variability in security and hazard planning for rural, small urban, and community-based transportation, the malleable "hazard and security plan" (HSP) template was developed under Project J-10D, "Security Planning Tools for Rural, Small Urban, and Community-Based Public Transportation Operations," for the Transit Cooperative Research Program. The HSP template should help rural, small urban, and community-based transit managers select policies and procedures that fit the individual needs of each service area. The template is introduced in an 8-hour workshop. During the workshop, participants are guided through the template in an interactive process to help participants establish the foundation of the plan so they can return to their home office to complete and refine the document for use. Recognizing that rural, small urban, and community-based transit managers "wear many hats" in their organizations, the template is designed to be comprehensive and thorough, yet also adaptable and not burdensome. A CD-ROM containing the plan template and sample policies is given to each participant with the workshop materials.

An important feature of the workshop, designed to help participants understand the nature of their hazard and security threats, is the preparation of an area base map, similar to the map shown on Slide 68. Workshop participants are first asked to identify all the hazards on the sample map. Then they are directed to draw a map of their home operating territory. In preliminary workshops, the map exercise has been greeted enthusiastically, with comments such as "I had no idea how many threats and hazards there were in my home area!"

Building on the recognition of hazards and security threats gained from the map exercise, participants are guided through policy and procedure selections. These sample selections help participants recognize that hazard and security planning is most easily and effectively done when built into the fabric of the organization and included in its policies from the beginning. (This is similar to the architectural concept of universal design and to the notion that it is easier and less costly to build in accessibility than to add on accessibility.) The workshop makes the point that effective hazard and security planning is an integral—not ancillary—part of day-to-day management, ensuring that rural, small urban, and community transit managers have a methodology to prepare and implement a systemic approach to hazards and security issues through the appropriate use of the HSP.

# Course Goals

While the overall goal of this workshop is to provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency, a more complete goal set will assist the instructor in understanding what is to be accomplished from an instructional standpoint. A more complete goal set is focused on participant learners leaving the workshop feeling good about themselves, with the knowledge that they are part of something larger than themselves and, importantly, ready for "action"—that is, ready to implement the new ideas they have learned. Hence, a more complete goal set for participant learners is to:

1. Develop and foster a reasonable approach to hazards and security,

2. Become familiar with the terms and elements of hazards and security planning, and

3. Draft an HSP.

# General Instructional Approach

The general instructional approach for this workshop is based on the use of different cognitive learning styles, semantic differentials, and commitment to action:

o **Different cognitive learning styles.** Students use their eyes, ears, voices, and hands to learn the material. The students read the materials, discuss topics, take notes, and, most importantly, draw. Students draw a map of their area and are encouraged to "learn by drawing." Even using the highlighter helps some learn. The instructor should be aware of the cognitive styles of the participants, pace the discussions for active involvement, and limit the time spent lecturing.

o **Semantic differentials.** Semantic differentials are the basis for many of the interactive discussions. Semantic differentials are used for each of the principal action areas, and students are encouraged to rate items as "easy/hard," "long term/short term," "we already do this/we need to do this," and so forth. When the students put the action areas into a conceptual semantic framework, the actions are made more approachable and are easier for the students to remember when they work on their own plan at home.

- o **Commitment to action.** Students are polled at various times during the class to assess whether certain actions make sense for their scale of operations. Discussions focus on encouraging students to see the HSP as the central link of all the procedures at the transit service and central to their entire management approach. (Ultimately, the first goal of every transit service is safe operations, and, when activities are seen as relating to this primary goal, the activities are made more palatable.) At the end of the course, students are asked to commit to when they will complete their plan. They are asked to set out exactly, in terms of weeks or months, how long it will take them to complete the plan. This action of "committing by testifying" in front of the class and the instructor helps to encourage action when students return to their home office.

Use of the three above techniques will help participants understand the material and will ensure that they take action and continue working when they return to their home offices.

# Conceptual Agenda and Elapsed Times

The following agenda shows the total elapsed time and topics for an 8-hour workshop based on the HSP template. The total time for each topic is also shown. Note that lunch or a half-day break occurs at the 4 hours elapsed time point. The course content has been prepared with this format so the course can be given in one 8-hour day or in two half-day sessions. In general, if at all possible, the course is more effective when the course is given over a 2-day period to allow for more networking and, it is believed, more material retention. Also, by giving the course over a 2-day period, the occasional issue of "lunch stragglers" or serving lunch is avoided.

Elapsed Time/Topic/Total Time for Topic

0:00    Welcome (5 minutes)

0:05    Introductions and Cost Benefit of Being Prepared (20 minutes)

0:25    Expectations of the Workshop and Use of the HSP Template (20 minutes)

0:45    Definition of Terms and Introduction to Glossary (10 minutes)

0:55    Section 1: Establish Policies (60 minutes)

1:55    Section 2: Organization, Roles and Responsibilities (50 minutes)

2:45    Break (15 minutes)

3:00    Section 3: Countermeasures
            Part A: Prevention (30 minutes)
            Part B: Mitigation (30 minutes)

4:00    Section 3: Countermeasures
            Part C: Preparedness (60 minutes)

5:00    Section 3: Countermeasures
            Part D: Response (75 minutes)

6:15    Section 3: Countermeasures
            Part E: Recovery (30 minutes)

6:45    Break (15 minutes)

7:00    Section 4: Plan Maintenance (30 minutes)

7:30    Summary and Review (20 minutes)

7:50    Evaluation (10 minutes)

8:00    Adjourn


Elapsed time is 8 hours.

# Workshop Outline

The following table is the "master guide" or outline for instructors. Instructors may find it helpful to make a photocopy of this table and keep it beside the podium so that they always have an easy reference for allotted time, slides, and HSP template pages.

| Topic and Objectives | Slides | Estimated Time |
|---|---|---|
| **Welcome**<br>Objectives:　　　　　　　　　No HSP Pages<br>1. Introduce instructors and students.<br>2. Discuss housekeeping (location of bathrooms, use of cell phones, breaks and meal arrangements). | 1-3 | 5 minutes |
| **Introduction and Cost Benefit of Being Prepared**<br>Objective:　　　　　　　　　No HSP Pages<br>1. Introduce concept of cost benefit of being prepared and how completing the HSP is complementary to good business practices. The HSP is not another plan that sits on the shelf; it is integral to day-to-day operations. | 4-35 | 20 minutes |
| **Expectations from the Workshop and Use of the HSP Template**<br>Objective:　　　　　　　　　No HSP Pages<br>1. Explain purpose and outcomes of workshop. Answer general questions that students might have before beginning detailed review of course materials. | 36-44 | 20 minutes |
| **Definition of Terms and Introduction to Glossary**<br>Objective:　　　　　　　　　HSP Pages 83-88<br>1. Introduce terms that will be used in workshop. | 45-59 | 10 minutes |
| **Getting Started: Section 1: Establish Policies**<br>Objectives:　　　　　　　　　HSP Pages 1-9<br>1. Create the written statement of purpose covering routine and emergency security and hazard situations.<br>2. Define the situations that the HSP will cover and participants draw a map of their operating area.<br>3. Discuss assumptions about the situations surrounding the use of the plan.<br>4. Discuss how an organization plan fits into the overall community security and emergency plans. | 60-78 | 60 minutes |

| Topic and Objectives | Slides | Estimated Time |
|---|---|---|
| **Section 2: Organization, Roles and Responsibilities**<br><br>Objective:                    HSP Pages 10-17<br><br>1. Develop an organizational structure, with a clearly defined chain of command and designated roles and responsibilities.<br><br>    a) Responsibilities<br><br>    b) Continuity of Services<br><br>    c) Contact Information | 79-91 | 50 minutes |
| **Section 3: Countermeasures Part A: Prevention**<br><br>Objectives:                    HSP Pages 18-32<br><br>1. Examine activities to prevent incidents from occurring or to reduce the probability and severity of damage, asset loss, or human consequences (such as injuries or fatalities).<br><br>2. Establish safe and secure procedures for passengers, vehicles, drivers, and facilities. | 92-100 | 30 minutes |
| **Section 3: Countermeasures Part B: Mitigation**<br><br>Objectives:                    HSP Pages 33-39<br><br>1. Examine activities to prevent incidents from occurring or to reduce the probability and severity of damage, asset loss, or human consequences (such as injuries or fatalities).<br><br>2. Establish safe and secure procedures for passengers, vehicles, drivers, and facilities. | 101-103 | 30 minutes |
| **Section 3: Countermeasures Part C: Preparedness**<br><br>Objectives:                    HSP Pages 40-51<br><br>1. Examine preparedness activities to anticipate and minimize the impacts of security-related incidents, and equip employees to better manage these incidents.<br><br>2. Establish emergency policies and procedures for passengers, employees, and management to follow in case of emergencies.<br><br>3. Keep training, drills, and contact lists up to date.<br><br>4. Establish and maintain mutual aid agreements with fire departments and emergency medical and management services. | 104-111 | 60 minutes |

| Topic and Objectives | Slides | Estimated Time |
|---|---|---|
| **Section 3: Countermeasures Part D: Response**<br><br>Objectives:      HSP Pages 51-69<br><br>1. Examine activities used to react to security-related incidents and hazards and help protect passengers, employees, the community, and property.<br><br>2. Establish what information is to be collected by which employee.<br><br>3. Ensure that policies and procedures established in the Mitigation and Preparedness portions of the HSP are followed. | 112-120 | 75 minutes |
| **Section 3: Countermeasures Part E: Recovery**<br><br>Objectives:      HSP Pages 69-73<br><br>1. Examine policies to assist in recovering from incidents that have occurred so that service can resume as quickly as possible.<br><br>2. Establish a review of policies, documents, plans, and vehicles.<br><br>3. Evaluate response, and oversee recovery and restoration of personnel, service, vehicles, and facilities. | 121-123 | 30 minutes |
| **Section 4: Plan Maintenance**<br><br>Objectives:      HSP Pages 74-81<br><br>1. Keep the plan fresh, and conduct a formal audit of the entire plan at least once a year. | 124-128 | 30 minutes |
| **Summary and Review**<br><br>Objectives:      No HSP Pages<br><br>1. Review overall flow chart for HSP template. Summarize key steps, and clarify any issues that have been raised in the workshop.<br><br>2. Review sources for more information and processes to complete the HSP at local sites. | 129-150 | 20 minutes |
| **Evaluation**<br><br>Objectives:      No HSP Pages<br><br>1. Hand out evaluation, and thank students for their participation. | 151-153 | 10 minutes |
| **Adjourn** | 153 | |
| **Breaks** | | 30 minutes |
| **Total Elapsed Time** | | 8 hours |

# Template for a 1-Day Workshop

| Session | Elapsed Time Estimate | Time of Day | Slide Numbers | HSP Text Pages |
|---|---|---|---|---|
| **Morning** | | | | |
| Welcome | :05 | 8:00–8:05 a.m. | 1–3 | n/a |
| Introduction and Cost Benefit of Being Prepared | :20 | 8:05–8:25 | 4–35 | n/a |
| Expectations from the Workshop and Use of the HSP Template | :20 | 8:25–8:45 | 36–44 | n/a |
| Definition of Terms and Introduction to Glossary | :10 | 8:45–8:55 | 45–59 | 83–88 |
| Getting Started: Section 1: Establish Policies | :60 | 8:55–9:55 | 60–78 | 1–9 |
| Break | :15 | 9:55–10:10 | | |
| Section 2: Organization, Roles and Responsibilities | :50 | 10:10–11:00 | 79–91 | 10–17 |
| Section 3: Countermeasures Part A: Prevention | :30 | 11:00–11:30 | 92–100 | 18–32 |
| Section 3: Countermeasures Part B: Mitigation | :30 | 11:30–12:00 | 101–103 | 33–39 |
| Lunch | | Noon-1:00 p.m. | | |
| **Afternoon** | | | | |
| Section 3: Countermeasures Part C: Preparedness | :60 | 1:00–2:00 p.m. | 104–111 | 40–51 |
| Section 3: Countermeasures Part D: Response | :75 | 2:00–3:15 | 112–120 | 51–69 |
| Break | :15 | 3:15–3:30 | | |
| Section 3: Countermeasures Part E: Recovery | :30 | 3:30–4:00 | 121–123 | 69–73 |
| Section 4: Plan Maintenance | :30 | 4:00–4:30 | 124–128 | 74–81 |
| Summary and Review | :20 | 4:30–4:50 | 129–150 | n/a |
| Evaluation | :10 | 4:50–5:00 | 151–153 | n/a |
| Adjourn Workshop | | 5:00 p.m. | 153 | n/a |
| *Total Elapsed Time in Workshop: 8 Hours* | | | | |

# Template for a 2-Day Workshop

| Session | Elapsed Time Estimate | Time of Day | Slide Numbers | HSP Text Pages |
|---|---|---|---|---|
| **Day 1** | | | | |
| Welcome | :05 | 1:00–1:05 p.m. | 1–3 | n/a |
| Introduction and Cost Benefit of Being Prepared | :20 | 1:05–1:25 | 4–35 | n/a |
| Expectations from the Workshop and Use of the HSP Template | :20 | 1:25–1:45 | 36–44 | n/a |
| Definition of Terms and Introduction to Glossary | :10 | 1:45–1:55 | 45–59 | 83–88 |
| Getting Started: Section 1: Establish Policies | :60 | 1:55–2:55 | 60–78 | 1–9 |
| Break | :15 | 2:55–3:10 | | |
| Section 2: Organization, Roles and Responsibilities | :50 | 3:10–4:00 | 79–91 | 10–17 |
| Section 3: Countermeasures Part A: Prevention | :30 | 4:00–4:30 | 92–100 | 18–32 |
| Section 3: Countermeasures Part B: Mitigation | :30 | 4:30–5:00 | 101–103 | 33–39 |
| Adjourn for the Day | | | | |
| **Day 2** | | | | |
| Section 3: Countermeasures Part C: Preparedness | :60 | 8:00–9:00 a.m. | 104–111 | 40–51 |
| Section 3: Countermeasures Part D: Response | :75 | 9:00–10:15 | 112–120 | 51–69 |
| Break | :15 | 10:15–10:30 | | |
| Section 3: Countermeasures Part E: Recovery | :30 | 10:30–11:00 | 121–123 | 69–73 |
| Section 4: Plan Maintenance | :30 | 11:00–11:30 | 124–128 | 74–81 |
| Summary and Review | :20 | 11:30–11:50 | 129–150 | n/a |
| Evaluation | :10 | 11:50–12:00 p.m. | 151–153 | n/a |
| Adjourn Workshop | | 12:00 noon | 153 | n/a |
| *Total Elapsed Time in Workshop: 8 Hours* | | | | |

# Materials, Audio Visual, and Miscellaneous Requirements

**Audio Visual Needs:**
- PowerPoint presentation
- Laptop computer
- Projector
- Screen
- Two flip charts and easels
- Colored pens
- Microphone according to need of instructor and size of group

**Theatrical Prop Need:**
- Fly Swatter

**Materials Needed for Handouts:**
- Copies of HSP document and CDs for each student in file folder
- CD-ROM with HSP template and model policies
- HSP Idea file (empty labeled file folder)
- Copies of student PowerPoint slides "run three up"
- Copies of "Somewhere County" map
- Ten 3" x 5" cards for each student
- Yellow highlighter for each student
- Sticky notes and sticky tags for each student (small pad of 25 sheets each)

**Seating Arrangement:**
Medallion or herringbone in classroom style with front table for instructor materials. Note that tables should be wide enough for participants to easily open all materials as needed.

**Room Arrangement:**
The following diagram presents the ideal room layout for the HSP workshop.

# Ideal Room Layout

**FRONT**

**Screen**

**Flip Chart #1**

**Flip Chart #2**

**Table and Table Top Podium**

**Projector** on cart or table.

**Tables and chairs in herringbone style.**

**Table for extra materials.**

**Fruit/Coffee/Tea**

**Entrance to room.**
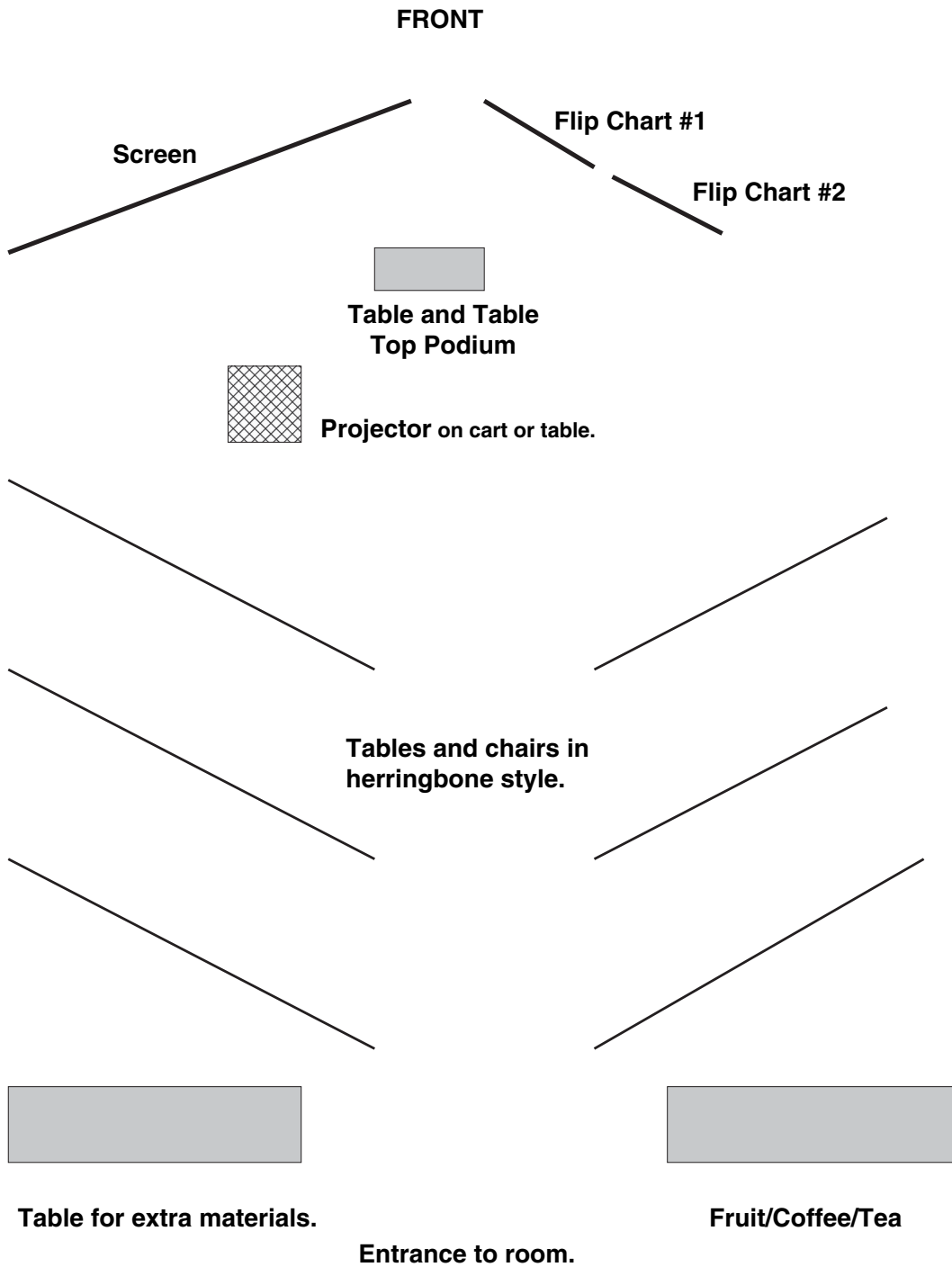
**Sound:** Portable or lavaliere mike as needed.
**Room size:** Rooms that are too large as opposed to too small.
**A-V and Power:** All cords and wires must be properly taped and secured for safety.

# Participant Agenda

The following agenda is to be supplied to each student and may be used for advance publicity for the workshop. (The agenda is also contained in Appendix C on the CD-ROM.) Note that participants are not supplied with minute-by-minute topic times. Only learning time blocks are given to the student so the workshop instructor can adjust the flow of material to meet the needs of the students. As was shown in the preliminary workshops, there is adequate time to cover all the topics of this workshop in 8 hours. However, different groups have different needs, and the time spent on each topic may vary from the times on the "master agenda" presented in other sections of this guide. Instructors should study the master agenda and be cognizant of the time estimates for each topic, but the instructor should be flexible and address the specific instructional needs of participants.

**Transit Cooperative Research Program**
**HSP Template Workshop**
**Participant Agenda**
(*Insert date and location here.*)

Instructor: *(Insert Instructor(s) name(s) here.)*

**Agenda**
*(Set time blocks for 1 or 2 days.)*

**Time Blocks**

| **Day 1,** *(Insert date.)* | | **Day 2,** *(Insert date.)* | |
|---|---|---|---|
| 1:00 p.m. | Module One | 8:00 a.m. | Module Four Continued |
| 1:55 | Module Two | 10:15 | Break |
| 2:55 | Break | 10:30 | Module Four Continued |
| 3:10 | Module Three | 11:00 | Module Five |
| 4:00 | Module Four | 11:30 | Module Six |
| 5:00 | Adjourn for the Day | 12:00 p.m. | Adjourn Workshop |

**OR**

**Time Blocks**

| **Morning,** *(Insert date.)* | | **Afternoon,** *(Insert date.)* | |
|---|---|---|---|
| 8:00 a.m. | Module One | 1:00 p.m. | Module Four Continued |
| 8:55 | Module Two | 3:15 | Break |
| 9:55 | Break | 3:30 | Module Four Continued |
| 10:10 | Module Three | 4:00 | Module Five |
| 11:00 | Module Four | 4:30 | Module Six |
| 12:00 p.m. | Lunch | 5:00 | Adjourn |

**Topic Descriptions and Objectives**

**Welcome**

Objectives:

At the conclusion of this module, learners will be able to:
- Understand the purpose of the workshop
- Know who prepared the workshop materials
- Know the instructor(s) of the workshop
- Know who the other learners are
- Understand workshop housekeeping and procedures

**Introduction and Cost Benefit of Being Prepared**

Objectives:

At the conclusion of this module, learners will be able to:
- Know the goals of the workshop
- Use all workshop materials
- Know workshop ground rules
- Understand the concept of the cost benefit of being prepared
- Understand how completing the HSP complements good business practices and is integral to day-to-day operations
- Build a balanced approach to hazards and security planning

**Expectations from the Workshop and Use of the HSP Template**

Objectives:

At the conclusion of this module, learners will be able to:
- Explain the purpose and outcomes of the workshop
- Have general questions answered

**Definition of Terms and Introduction to Glossary**

Objective:

At the conclusion of this module, learners will be able to:
- Understand terms used in the workshop

**Getting Started: Section 1: Establish Policies**

Objectives:

At the conclusion of this module, learners will be able to:
- Create a written statement of purpose covering routine and emergency security and hazard situations
- Define the situations that the HSP will cover
- Look at assumptions about the situations surrounding use of the plan
- Discuss how an organization plan fits into the overall community security and emergency plans

**HSP Section 2: Organization, Roles and Responsibilities**

Objective:

At the conclusion of this module, learners will be able to:
- Develop an organizational structure, with a clearly defined chain of command and designated roles and responsibilities, containing:
    a) responsibilities
    b) continuity of services
    c) contact information

**HSP Section 3: Countermeasures: Part A: Prevention**

Objectives:

> At the conclusion of this module, learners will be able to:

- Examine activities to reduce the likelihood that incidents will occur
- Establish safe and secure procedures for passengers, vehicles, drivers, and facilities

**HSP Section 3: Countermeasures: Part B: Mitigation**

Objectives:

> At the conclusion of this module, learners will be able to:

- Examine activities to reduce asset loss or human consequences (such as injuries or fatalities) of an incident
- Establish safe and secure procedures for passengers, vehicles, drivers, and facilities

**HSP Section 3: Countermeasures: Part C: Preparedness**

Objectives:

> At the conclusion of this module, learners will be able to:

- Examine preparedness activities to anticipate and minimize the impacts of security-related incidents and equip employees to better manage these incidents
- Establish emergency policies and procedures for passengers, employees, and management to follow in case of emergencies
- Keep training, drills, and contact lists up to date
- Establish and maintain mutual aid agreements with fire departments, emergency medical services, and emergency management services

**HSP Section 3: Countermeasures: Part D: Response**

Objectives:

> At the conclusion of this module, learners will be able to:

- Examine activities used to react to security-related incidents and hazards and help protect passengers, employees, the community, and property
- Establish what information is to be collected by which employee
- Ensure that policies and procedures established in the Mitigation and Preparedness portions of the HSP are followed

**HSP Section 3: Countermeasures: Part E: Recovery**

Objectives:

> At the conclusion of this module, learners will be able to:

- Examine policies to assist in recovering from incidents that have occurred so service can resume as quickly as possible
- Establish a review of policies, documents, plans, and vehicles
- Evaluate response and oversee recovery and restoration of personnel, service, vehicles, and facilities

**HSP Section 4: Plan Maintenance**

Objective:

> At the conclusion of this module, learners will be able to:

- Keep the plan fresh
- Conduct a formal audit of the entire plan at least once a year

**Summary and Review**

Objectives:

At the conclusion of this module, learners will be able to:

- Explain the overall flow chart for the HSP template and HSP specific techniques
- Summarize and explain key steps and clarify any issues that have been raised in the workshop
- Review sources for more information and processes to complete the HSP at local sites

**Evaluation**

Objective:

At the conclusion of this module, learners will be able to:

- Complete an evaluation form

**Adjourn, but never adjourn safety and security preparedness!**

*Thank You for Your Attention and Participation!*

# Before Presenting the Course: A Checklist

The following list will help you prepare for the course.

A. Instructor Preparation
1. Read and review the Instructor Guide
2. Read and review the Lesson Plan
3. Read and review the PowerPoint presentation and Notes
4. Conduct a dry run in advance of the actual presentation to gauge your presentation times and to become more familiar with the material
5. Become familiar with the systems that will be attending your workshop so you can adapt and emphasize appropriate materials

B. Audio Visual Needs
1. Laptop computer
2. Projector
3. Screen
4. Two flip charts and paper
5. Marking pens

C. Theatrical Prop
1. Fly swatter

D. Materials for Distribution
1. Agenda for participants
2. HSP Instructions (stapled with one staple)
3. HSP Template (stapled with one staple)
4. Copies of PowerPoint slides "run three up" for notes
5. Copies of Somewhere County Map
6. CD-ROM with HSP Template and model policies
7. File jacket for materials with printed label "Hazard and Security Planning"
8. File folder (empty) labeled "HSP Idea File"
9. Yellow highlighters
10. Sticky notes and markers (one pad per participant)
11. Ten 3" x 5" note cards for each participant

E. Housekeeping Notes
1. Test projector before participants arrive, and position "Welcome" slide
2. Identify temperature and light controls and make sure lighting and temperature are adequate
3. Place materials at each participant table prior to their arrival in the training room and greet participants by name as they arrive
4. Encourage people to mingle and get to know each other
5. Start on time and heed the time points on the student agenda
6. Make sure everyone participates in discussions
7. Be helpful and encourage discussion, but realize that not all hazard and security issues can be solved in an 8-hour session

# Attachment 1: Volunteer Fire Departments (VFDs) and Terrorism Analogs

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I have spent my career in emergency management, attempting to bring federal rules, regulations and dictates down to the local, rural VFD level in order to ensure personal safety and appropriate response in rural, tribal, and frontier jurisdictions. My latest attempts have centered on making terrorism preparedness rational in areas with no known national or international targets. We have to learn how to make people care and then train them properly. I have named my current approach "VFDs and Terrorism Analogs." The process I use is to juxtapose local hazards and risks with national threats, creating a local nexus, a personal perspective. Here are the analogs. Feel free to use them in your training; I have found them to work well. I am sure there are more out there, so enlarge the list, too. We have to use the eight hazard classes and the orange book (U.S.DOT Emergency Response Guide) if we are to succeed at generating appropriate response at the rural level, which includes the vast majority of geographic areas and jurisdictions in the United States.

| **Terrorism** | **Local Hazards** |
|---|---|
| Nerve gas | Organophosphates, pesticides |
| Poison gas | Chlorine, phosphine (meth labs) |
| Blister gas (incapacitate, not kill) | Acids and bases (in moderation) |
| Terrorists | Criminals, gang members, wackos |
| Improvised explosive devices (IEDs) and rocket-propelled grenades (RPGs) | Pipe bombs, boiling liquid expanding vapor explosions (BLEVEs), old dynamite, old ordnance, black powder |
| Incendiary grenades | Phosphorous, magnesium, flammable solids |
| Jet fuel in planes | Gas, diesel, liquefied petroleum gas (LPG), natural gas |
| Biowarfare | Staph, strep, flu, virus, salmonella |
| Dirty bombs | X-ray and diagnostic radiation sources |

To find recent presentations, Google (with quotation marks) "Fred Cowie"

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# Appendix A: Lesson Plan

HSP Modules for 8-Hour Workshop

## Module One
**Lesson 1: Welcome**

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agencies |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Understand the purpose of the workshop<br>• Know who prepared the workshop materials<br>• Know the instructor(s) of the workshop<br>• Know who the other learners are<br>• Understand workshop housekeeping and procedures |
| **Scope** | The scope of this module will include:<br>• Introduction of instructors and learners<br>• Workshop housekeeping |
| **Estimated Completion Time** | 5 minutes |
| **Slides** | 1-3 |
| **HSP Pages** | No HSP Pages |
| **Training Methods** | The instructor will begin this module by greeting learners and introducing instructor(s) and any other member of the training team or workshop sponsor in attendance. Workshop learners will introduce themselves, saying their name and the name and location of their transit system. Workshop housekeeping (location of bathrooms, use of cell phones, breaks, and meal arrangements) will be covered. |
| **Resources Required** | ▪ Instructor manual<br>▪ Participant manual<br>▪ PowerPoint slides |
| **Equipment** | In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:<br>▪ A computer with PowerPoint software<br>▪ A computer projector and screen |
| **Notes** | A suggested time plan for this module is as follows:<br>Introduction and module objectives . . . . . . . . . . . . . . . . . . . . . . 5 minutes<br><br>*Total Time: 5 minutes* |

## Lesson 2: Introduction and Cost Benefit of Being Prepared

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Know the goals of the workshop<br>• Use all workshop materials<br>• Know workshop ground rules<br>• Understand the concept of the cost benefit of being prepared<br>• Understand how completing the HSP complements good business practices and is integral to day-to-day operations<br>• Build a balanced approach to hazards and security planning |
| **Scope** | The scope of this module will include:<br>• Workshop goals, ground rules, and procedures for maintaining a learning environment<br>• Commitment to developing and using an HSP<br>• The roles of anxiety, fear, balance, reasonable response, and preparation in the HSP<br>• Personal, family/home, and organizational HSP exercise<br>• Building a balanced approach<br>• Core value techniques for all hazard and security situations |
| **Estimated Completion Time** | 20 minutes |
| **Slides** | 4-35 |
| **HSP Pages** | No HSP Pages |
| **Training Methods** | The instructor will begin this module by discussing workshop goals, materials, ground rules, and keys to success. The importance of overcoming resentment and the cost benefit of preparing and using an HSP will be stressed. The instructor will emphasize the need to be prepared but balanced so panic can be avoided and procedures followed. Learners will learn to examine each possible occurrence and develop a reasonable response through class exercises of preparing an element of a personal HSP, a family/home HSP, and an organizational HSP. |
| **Resources Required** | ▪ Instructor manual<br>▪ Participant manual<br>▪ Agenda and class roster<br>▪ PowerPoint slides |

**Equipment**          In addition to the equipment listed at the front of this instructor guide,
                       you will need the following equipment for this module:
                       - A computer with PowerPoint software
                       - A computer projector and screen

**Notes**              A suggested time plan for this module is as follows:
                       Workshop goals, materials, and ground rules . . . . . . . . . . . . . . .5 minutes
                       Commitment to HSP and cost benefit of being prepared  . . . . . .5 minutes
                       Class exercise  . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .10 minutes

                       *Total Time: 20 minutes*

# Lesson 3: Expectations from the Workshop and Use of the HSP Template

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Explain the purpose and outcomes of workshop<br>• Have general questions answered |
| **Scope** | The scope of this module will include:<br>• Introduction to HSP process<br>• A general approach to the HSP: the three-step systematic process<br>• The HSP conceptual approach<br>• The HSP process<br>• How the HSP process relates to the National Incident Management System (NIMS) process |
| **Estimated Completion Time** | 20 minutes |
| **Slides** | 36-44 |
| **HSP Pages** | No HSP Pages |
| **Training Methods** | The instructor will emphasize that the HSP is not rocket science and not so different from what people are doing now in many phases of their lives. The three-step strategic systematic process is covered as it relates to HSP. The HSP conceptual approach is covered. NIMS is explained, and NIMS's relationship to the HSP is discussed. Questions from learners are answered about course expectations. |
| **Resources Required** | ▪ Instructor manual<br>▪ Participant manual<br>▪ PowerPoint slides |
| **Equipment** | In addition to the equipment listed at the front of the instructor guide, you will need the following equipment for this module:<br>▪ A computer with PowerPoint software<br>▪ A computer projector and screen |
| **Notes** | A suggested time plan for this module is as follows:<br>HSP is not rocket science . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .5 minutes<br>Systematic process and HSP conceptual approach . . . . . . . . . . .5 minutes<br>Class questions and discussion . . . . . . . . . . . . . . . . . . . . . . . . .10 minutes<br><br>*Total Time: 20 minutes* |

# Lesson 4: Definition of Terms and Introduction to Glossary

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Understand terms used in the workshop |
| **Scope** | The scope of this module will include:<br>• Discussion of terms used in the HSP |
| **Estimated Completion Time** | 10 minutes |
| **Slides** | 45-59 |
| **HSP Pages** | 83-88 |
| **Training Methods** | The instructor will review and discuss words in the glossary that learners want clarified. A complete discussion of the terms *prevention*, *mitigation*, *preparation*, *response*, and *recovery* are the central purpose of this section. The instructor will demonstrate these five terms using the hypothetical setting of a picnic and a fly swatter. |
| **Resources Required** | ▪ Instructor manual<br>▪ Participant manual<br>▪ PowerPoint slides<br>▪ Fly swatter |
| **Equipment** | In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:<br>▪ A computer with PowerPoint software<br>▪ A computer projector and screen |
| **Notes** | A suggested time plan for this module is as follows:<br>Glossary review and discussion . . . . . . . . . . . . . . . . . . . . . . . .10 minutes<br><br>*Total Time: 10 minutes* |

## Module Two
## Lesson 5: Getting Started: HSP Section 1: Establish Policies

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Create a written statement of purpose covering routine and emergency security and hazard situations<br>• Define the situations that the HSP will cover<br>• Look at assumptions about the situations surrounding use of the plan<br>• Discuss how the organization plan fits into the overall community security and emergency plans |
| **Scope** | The scope of this module will include:<br>• Purpose of the HSP<br>• Establishing policies<br>• The inventory step: What is possible?<br>• Map Your Service Area exercise<br>• Sketch Home Area and Identify Hazards exercise<br>• Approach to identified hazards and security issues<br>• Situations covered by the HSP<br>• Statements of belief and limitations |
| **Estimated Completion Time** | 60 minutes |
| **Slides** | 60-78 |
| **HSP Pages** | 1-9 |
| **Training Methods** | The instructor will start learners on developing their HSPs by examining what could happen at their agencies. Possible hazard and security issues are reviewed. In the Map Your Service Area exercise, the instructor will help learners identify 35 situations on the map. After that, learners will prepare their own maps of their areas and identify situations specific to their services. Then HSP preparation begins on HSP page 2 with a review of the HSP purpose, situations covered, and statements of belief and limitations. Learners review the table on HSP pages 4-6 and check the security incidents that they will address in their plans. |

**Resources Required**

- Instructor manual
- Participant manual
- PowerPoint slides
- Your Service Area Map

**Equipment**

In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:

- A computer with PowerPoint software
- A computer projector and screen

**Notes**

A suggested time plan for this module is as follows:

The inventory step: What is possible? . . . . . . . . . . . . . . . . . . . . .5 minutes
Map Your Service Area exercise . . . . . . . . . . . . . . . . . . . . . . . .15 minutes
Sketch Home Area and Identify Hazards exercise . . . . . . . . . .15 minutes
Establish policies, purpose of HSP, situations covered . . . . . .15 minutes
Review and complete table on HSP pages 4-6 . . . . . . . . . . . . . .5 minutes
Statements of beliefs and limitations . . . . . . . . . . . . . . . . . . . . .5 minutes

*Total Time: 60 minutes*

## Module Three
## Lesson 6: HSP Section 2: Organization, Roles and Responsibilities

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objective** | At the conclusion of this module, learners will be able to:<br>• Develop an organizational structure, with a clearly defined chain of command and designated roles and responsibilities, containing:<br>    a) responsibilities<br>    b) continuity of services<br>    c) contact information |
| **Scope** | The scope of this module will include:<br>• Organization, roles, and responsibilities of agencies and personnel<br>• Review and completion of the table on HSP pages 11-14<br>• Continuity of services and lines of authority<br>• Backup facilities and records<br>• Succession of personnel and contact information |
| **Estimated Completion Time** | 50 minutes |
| **Slides** | 79-91 |
| **HSP Pages** | 10-17 |
| **Training Methods** | The instructor will discuss organization, roles, and responsibilities of agencies and personnel within and outside the transit agency. Learners will be coached on which people and organizations in their home areas need to be included in their HSPs. The instructor will guide learners through the table and the List of Key Personnel and HSP Responsibilities and coach them about lines of authority. Backup facilities and records will be discussed with an emphasis on thinking beyond computer records. |
| **Resources Required** | ▪ Instructor manual<br>▪ Participant manual<br>▪ PowerPoint slides |
| **Equipment** | In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:<br>▪ A computer with PowerPoint software<br>▪ A computer projector and screen |

**Notes**

A suggested time plan for this module is as follows:

Organization, roles, and responsibilities of agencies and personnel . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .10 minutes

Review and complete table on HSP pages 11-14 . . . . . . . . . . .10 minutes

Continuity of services and lines of authority . . . . . . . . . . . . . .10 minutes

Backup facilities and records . . . . . . . . . . . . . . . . . . . . . . . . . .10 minutes

Succession of personnel and contact information . . . . . . . . . . .10 minutes

*Total Time: 50 minutes*

## Module Four
## Lesson 7: HSP Section 3: Countermeasures: Part A: Prevention

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Examine activities to reduce the likelihood that incidents will occur<br>• Establish safe and secure procedures for passengers, vehicles, drivers, and facilities |
| **Scope** | The scope of this module will include:<br>• Review of five countermeasures and strategies<br>• Rate and discuss prevention activities |
| **Estimated Completion Time** | 30 minutes |
| **Slides** | 92-100 |
| **HSP Pages** | 18-32 |
| **Training Methods** | After reviewing the five countermeasures and strategies, using the picnic analogy, the instructor will help learners rate and discuss prevention activities on HSP pages 22-23. |
| **Resources Required** | ▪ Instructor manual<br>▪ Participant manual<br>▪ PowerPoint slides |
| **Equipment** | In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:<br>▪ A computer with PowerPoint software<br>▪ A computer projector and screen |
| **Notes** | A suggested time plan for this module is as follows:<br>Review of five countermeasures and strategies  . . . . . . . . . . . . .5 minutes<br>Rate and discuss prevention activities  . . . . . . . . . . . . . . . . . .25 minutes<br><br>*Total Time: 30 minutes* |

# Lesson 8: HSP Section 3: Countermeasures: Part B: Mitigation

**Course Goal**  To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency

**Objectives**  At the conclusion of this module, learners will be able to:
- Examine activities to reduce asset loss or human consequences (such as injuries or fatalities) of an incident
- Establish safe and secure procedures for passengers, vehicles, drivers, and facilities

**Scope**  The scope of this module will include:
- Discussion of mitigation activities
- Rate and discuss mitigation activities

**Estimated Completion Time**  30 minutes

**Slides**  101-103

**HSP Pages**  33-39

**Training Methods**  After discussing what mitigation is and the differences between mitigation and prevention, the instructor will help learners rate and discuss prevention activities on HSP page 34.

**Resources Required**
- Instructor manual
- Participant manual
- PowerPoint slides

**Equipment**  In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:
- A computer with PowerPoint software
- A computer projector and screen

**Notes**  A suggested time plan for this module is as follows:
Discussion of mitigation . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .5 minutes
Rate and discuss mitigation activities . . . . . . . . . . . . . . . . . . . .25 minutes

*Total Time: 30 minutes*

## Lesson 9: HSP Section 3: Countermeasures: Part C: Preparedness

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to: <br> • Examine preparedness activities to anticipate and minimize the impacts of security-related incidents, and equip employees to better manage these incidents <br> • Establish emergency policies and procedures for passengers, employees, and management to follow <br> • Keep training, drills, and contact lists up to date <br> • Establish and maintain mutual aid agreements with fire departments, emergency medical services, and emergency management services |
| **Scope** | The scope of this module will include: <br> • Discussion of preparedness activities <br> • Rate and discuss preparedness activities |
| **Estimated Completion Time** | 60 minutes |
| **Slides** | 104-111 |
| **HSP Pages** | 40-51 |
| **Training Methods** | After discussing what preparedness is, the instructor will help learners review the table, Preparedness Activities, on HSP pages 41-42. The Homeland Security Alert Levels will be discussed in terms of learners' planning for each level. Learners will rate and discuss the preparedness activities on HSP pages 41-42. |
| **Resources Required** | ▪ Instructor manual <br> ▪ Participant manual <br> ▪ PowerPoint slides |
| **Equipment** | In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module: <br> ▪ A computer with PowerPoint software <br> ▪ A computer projector and screen |
| **Notes** | A suggested time plan for this module is as follows: <br> Discussion of preparedness and Alert Levels . . . . . . . . . . . . . .35 minutes <br> Rate and discuss mitigation activities . . . . . . . . . . . . . . . . . . . .25 minutes <br><br> *Total Time: 60 minutes* |

## Lesson 10: HSP Section 3: Countermeasures: Part D: Response

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Examine activities used to react to security related incidents and hazards and help protect passengers, employees, the community, and property<br>• Establish what information is to be collected by which employee<br>• Ensure that policies and procedures established in the Mitigation and Preparedness portions of the HSP are followed |
| **Scope** | The scope of this module will include:<br>• Discussion of response activities<br>• Rate and discuss response activities |
| **Estimated Completion Time** | 75 minutes |
| **Slides** | 112-120 |
| **HSP Pages** | 51-69 |
| **Training Methods** | After discussing what response is, the instructor will help learners review the table, Response Activities, on HSP pages 52-53. The importance of communication and the avoidance of improvisation will be stressed. Learners will rate and discuss the response activities on HSP pages 52-53. |
| **Resources Required** | ▪ Instructor manual<br>▪ Participant manual<br>▪ PowerPoint slides |
| **Equipment** | In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:<br>▪ A computer with PowerPoint software<br>▪ A computer projector and screen |
| **Notes** | A suggested time plan for this module is as follows:<br>Discussion of response . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .30 minutes<br>Rate and discuss response activities . . . . . . . . . . . . . . . . . . . . .45 minutes<br><br>*Total Time: 75 minutes* |

# Lesson 11: HSP Section 3: Countermeasures: Part E: Recovery

**Course Goal**    To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency

**Objectives**    At the conclusion of this module, learners will be able to:
- Examine policies to assist in recovering from incidents that have occurred so that service can resume as quickly as possible
- Establish a review of policies, documents, plans, and vehicles
- Evaluate the response and oversee recovery and restoration of personnel, service, vehicles, and facilities

**Scope**    The scope of this module will include:
- Discussion of response activities
- Rate and discuss response activities

**Estimated Completion Time**    30 minutes

**Slides**    121-123

**HSP Pages**    69-73

**Training Methods**    After discussing what recovery is, the instructor will help learners review the table, Recovery Activities, on HSP page 70. The importance of learning, using, and revising the HSP will be stressed. Learners will rate and discuss the importance of evaluating response on HSP page 70.

**Resources Required**
- Instructor manual
- Participant manual
- PowerPoint slides

**Equipment**    In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:
- A computer with PowerPoint software
- A computer projector and screen

**Notes**    A suggested time plan for this module is as follows:
Discussion of recovery . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .20 minutes
Rate and discuss recovery evaluation activities . . . . . . . . . . . .10 minutes

*Total Time: 30 minutes*

## Module Five
## Lesson 12: HSP Section 4: Plan Maintenance

**Course Goal**
To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency

**Objectives**
At the conclusion of this module, learners will be able to:
• Keep the plan fresh
• Conduct a formal audit of the entire plan at least once a year

**Scope**
The scope of this module will include:
• Discussion of plan maintenance activities
• Assessment techniques
• Distribution criteria

**Estimated Completion Time**
30 minutes

**Slides**
124-128

**HSP Pages**
74-81

**Training Methods**
After discussing what plan maintenance is and emphasizing its importance, the instructor will help learners review the checklist on HSP pages 77-80. The FTA **"**Top 20 Security Program Action Items for Transit Agencies" are reviewed and contained in the HSP Template Instructions as Attachment B. (Be sure and draw attention to this important Attachment.) Techniques of how to review and change, and keep track of those changes, will be covered. Distribution criteria for the final plan will be discussed.

**Resources Required**
▪ Instructor manual
▪ Participant manual
▪ PowerPoint slides

**Equipment**
In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:
▪ A computer with PowerPoint software
▪ A computer projector and screen

**Notes**
A suggested time plan for this module is as follows:
Discussion of plan maintenance . . . . . . . . . . . . . . . . . . . . . . . . . . . 5 minutes
Discussion of review and changes . . . . . . . . . . . . . . . . . . . . . . 10 minutes
Review of assessment checklist . . . . . . . . . . . . . . . . . . . . . . . . 10 minutes
Discussion of distribution . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . 5 minutes

*Total Time: 30 minutes*

**Module Six**
**Lesson 13: Summary and Review**

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Explain the overall flow chart for the HSP template and HSP specific techniques<br>• Summarize and explain key steps and clarify any issues that have been raised in the workshop<br>• Review sources for more information and processes to complete the HSP at local sites |
| **Scope** | The scope of this module is based on 10 review questions shown in slides. Successful answering of each of the review questions will indicate that the learner has achieved the goals and objectives of this course. The module will include:<br>• Restatement that the HSP is not rocket science<br>• Review of HSP conceptual approaches, HSP specific techniques, and cost benefit of personal, family, and transit system threat preparedness<br>• Sketch of calendar of events for finalizing learners' HSPs<br>• List of resources to help learners gain additional skills and knowledge |
| **Estimated Completion Time** | 20 minutes |
| **Slides** | 129-150 |
| **HSP Pages** | No HSP Pages |
| **Training Methods** | A 10-question, self-graded test (or, depending on class size and time available, "pass to neighbor" graded) will form the basis for this section. Students will answer the questions on the slides and then the instructor will review each answer with the entire class. The instructor will emphasize the idea that the HSP is not difficult and then remind learners of the HSP conceptual approach and the cost benefits of being prepared. Five minutes at the end of the review will be allowed for learners to gather their thoughts so they can outline a calendar of events for completing their HSPs at home. Depending on the time available, the instructor will query the students on their calendars of events. A list of resources to help learners with this task will be presented with emphasis on other training that is available. |

**Resources Required**   ▪ Instructor manual
                         ▪ Participant manual
                         ▪ PowerPoint slides
                         ▪ Blank paper for test in sufficient quantity for number of students


**Equipment**            In addition to the equipment listed at the front of this instructor guide,
                         you will need the following equipment for this module:
                         ▪ A computer with PowerPoint software
                         ▪ A computer projector and screen

**Notes**                A suggested time plan for this module is as follows:
                         Review of HSP concepts and cost benefits . . . . . . . . . . . . . . . .12 minutes
                         Calendar of events . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .5 minutes
                         Discussion of sources  . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .3 minutes

                         *Total Time: 20 minutes*

## Lesson 14: Evaluation

| | |
|---|---|
| **Course Goal** | To provide participant learners with the knowledge and skills necessary to successfully develop and implement an HSP at their agency |
| **Objectives** | At the conclusion of this module, learners will be able to:<br>• Complete the evaluation form |
| **Scope** | The scope of this module will include:<br>• Evaluation form |
| **Estimated Completion Time** | 10 minutes |
| **Slides** | 151-153 |
| **HSP Pages** | No HSP Pages |
| **Training Methods** | The instructor introduces the evaluation form, hands it out to learners, and collects the completed forms. The instructor will go around the room and ask learners to answer the questions on Slides 129, 131, 134, 136, 138, 140, and 147 and then thank the learners for attending the class and urge them to complete and use their HSPs. |
| **Resources Required** | ▪ Instructor manual<br>▪ Participant manual<br>▪ PowerPoint slides<br>▪ Evaluation forms |
| **Equipment** | In addition to the equipment listed at the front of this instructor guide, you will need the following equipment for this module:<br>▪ A computer with PowerPoint software<br>▪ A computer projector and screen |
| **Notes** | A suggested time plan for this module is as follows:<br>Discussion and handing out evaluation forms . . . . . . . . . . . . . . .1 minute<br>Completion of forms . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .5 minutes<br>Questions on Slides 129, 131, 134, 136, 138, 140, and<br>147 . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .3 minutes<br>Thank you . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .1 minute<br><br>*Total Time: 10 minutes* |

## Total Workshop Elapsed Time: 8 hours from Lesson 1 to Lesson 14

# Appendix B: Instructor PowerPoint Slides and Notes

# Welcome!

Welcome to the Hazard and Security Plan
Workshop

Module One                                    1

Use this slide to focus the projector before the class begins and leave this slide "on" while the students enter the classroom and go to their seats.

# Hazard and Security Plan (HSP) Workshop

### TCRP Project No. J-10D

This training is intended for people who want to take a more proactive approach to their system hazards and security issues.  While September 11, 2001 brought front and center the worrisome changes that have occurred in our world, some hazards and extreme security issues have always existed. This training will help you take a systematic approach to all your hazard and potential security problems.  After this workshop you will have a better understanding of a hazard and security plan on a personal level, a family level and an organizational level.  It will be helpful for you to understand the need for a personal and family security plan as you complete the security plan for your organization.

**Project No. J-10D**
<u>Security Planning Tools for Rural, Small Urban,</u>
<u>and Community-Based Public Transportation</u>
<u>Operations</u>

**The Hazard and Security Plan (HSP)**

Prepared for
Transit Cooperative Research Program
TRANSPORTATION RESEARCH BOARD
National Research Council
NAS-NRC
by
AECOM Consult
2751 Prosperity Avenue, Suite 300
Fairfax, VA 22031
in association with
Maier Consulting
Peter Schauer Associates

Module One                                    3

The workshop materials were prepared under TCRP project number J-10D. The principals who played a role in developing the course are listed here.

Introduce workshop leader and any other members of the training team who will be in attendance during the workshop.

Introduce all workshop attendees.

What are their names?
Their system names and locations?

# Workshop Goals

Provide participant learners with the knowledge and skills necessary to successfully develop and implement a hazard and security plan at their agency:

1. Develop and foster a reasonable approach to hazards and security
2. Become familiar with the terms and elements of hazard and security planning
3. Draft an HSP (hazard and security plan)

Module One                                          4

---

This workshop is designed to help you construct and complete the HSP document.

Your completion of the HSP will help you address any hazard or security problems you might face in the future.

## Your Workshop Materials

- Agenda
- Class Roster
- Discussion notes (slides)
- HSP
- Yellow highlighter
- Sticky notes and markers
- HSP instructions
- HSP Idea file
- CD with HSP and sample policies and procedures
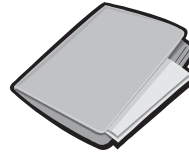
Module One                                    5

Go through list and how to use each item.

Agenda:  The agenda gives the main time points for breaks and lunch.  I have a specific idea of how much time each section will take and we will cover all the material, but the pace of the course will be determined by your questions and discussion.

Class Roster:  The class roster is provided, and you are encouraged to get to know your fellow students and network after the workshop is over.

Discussion notes (slides):  You have copies of the slides and you can keep track of the discussion by referring to your discussion notes.  The discussion notes will tell you what page to turn to in your template for our discussions.

Hazard and Security Plan:  This template is for you to use to finish your plan. This document is your template.  At the end of this workshop you should have your notes on it so when you go back to your office you can finish your plan.

Yellow highlighter, sticky notes and markers:  These items are to help you take notes and mark your plan so it will be easy for you to make your final changes at your office.

HSP instructions:  This is the "how-to" thinner workbook that gives you background on the document and guidance on completing the template.

HSP Idea file: All sorts of ideas can be put in the file.  Clippings, notes and other materials will help you as you update your HSP.

CD with HSP and policy examples:  This CD contains the HSP template in MS WORD that you will adapt to your specific conditions and sample policies from across the United States.

# Workshop Ground Rules

- All ideas are welcome.
- Observe timeframes.
- Listen to each other through "active listening."
- Differences and problems are acknowledged—not "worked."
- Use the mental picture method, your imagination and make meaning.

Module One                                                    6

The workshop ground rules are for the students.  Briefly discuss each item.

•All ideas are welcome.

•When specific timeframes are set, please stay on track.

•Active listening means you are listening to each other and not formulating your own comment while others are talking.

•Likely we will have some differences of opinion and since all ideas are welcome and the time is short we will acknowledge differences of opinion and agree to move forward.

•Using the mental picture method and making meaning means the participant imagines how the material can be used in their own situation. Emphasize that the success of the workshop depends on the participants actively participating, providing information where appropriate, and "making their own meaning."  The student is ultimately responsible for "making meaning" and completing his or her own hazard and security plan.

You, as the workshop leader, are responsible for the following:

•Set timeframes and tasks clearly before the students.

•Direct large-group discussions.

•Keep the purpose of the workshop focused and keep the class energized by frequently asking students for their ideas.

•Act as a resource person whenever possible.

•Ensure that all housekeeping details are managed and the learning environment is maintained.

# Workshop and HSP Success

- The missing ingredient in hazard and security planning is often imagination…imagine!
- Feed your curiosity, your "worry-wart," the slightly paranoid side of your brain.
- The best managers are slightly paranoid, but to prevent problems they take action…Take Action!
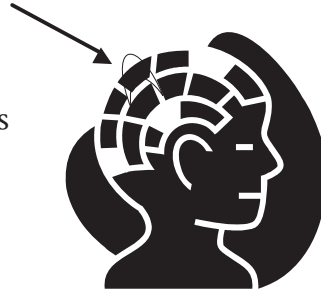
Module One                                    7

(Quickly review each item on the slide and emphasize that imagination is the key to completing a thorough HSP document.)

Too often, when some security or hazard event happens, the persons involved are heard to say things like "I never imagined the water would come up so high!"  "I never imagined anyone could get in our building through that door."  "I never imagined anyone would fly an airplane...."  So imagination is the key, and slight paranoia fostered by your worry-wart will help you complete your plan and take reasonable action.  Reasonable action is at the core of this workshop.

# The Hazard and Security Plan

- A hazard and security plan (HSP) is a template for producing a transit agency security plan.
- Includes documents, responsibilities, training assignments, and related materials.
- Uses an "all hazards" framework—an approach flexible enough to be applied to more than one type of event or situation.

Quickly review each item on the slide and emphasize that imagination is the key to completing a thorough HSP document.

# Plan Organization

Outline Purpose and Scope of the Plan

- Your ideas, needs
- FEMA guidance
- State and local emergency plans
- FTA plans

Who Does What?

Detailed Solutions to Likely Issues

- Transit examples
- FTA guidance
- Non-transit policies
- Other guidance

Keeping the Plan Current

Module One                    9
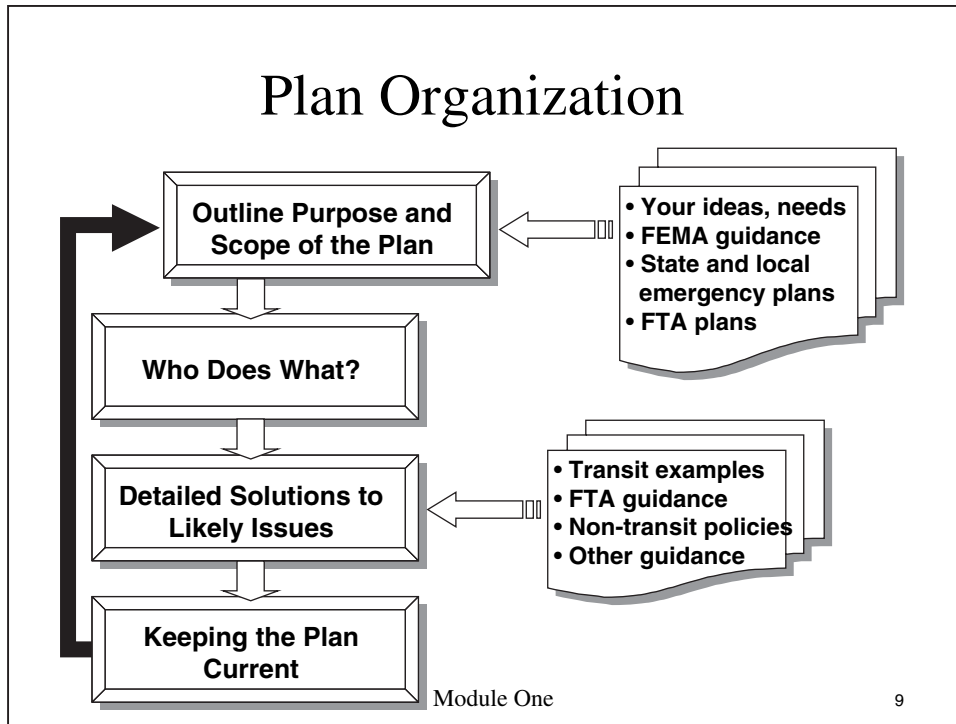
There are four sections of the plan.

The first details what the plan is intended to do.

The second describes who is responsible for different activities in the plan.

The third covers solutions to typical issues facing an agency.

And finally, the last describes how to keep the plan current.

# Resent...that we even have to...

- "Over there."          Here
- Invasive plants.  Kudzu
  ...the altered landscape
- What do you expect
  when you purchase a chain saw
  or other power tool?
- Play book just like a sports team or a
  dance choreography...but you have to
  practice, practice, practice...

(Note: Animation: After slide is up when you read "Play book..." click once for graphic. Read script and click to next slide.)

There is a certain resentment, disdain and almost anger that we as Americans have to be thinking about and preparing for terrorism, security and other issues.  Many transit managers resent that they have to take time out of their busy schedule to prepare a plan and practice their plan.

America is a wonderfully "wide open" and tolerant place. As has been noted by others, for years Americans have felt comfortable in their existence with friendly neighbors to the north, Canada, and friendly neighbors to the south, Mexico, and large oceans to our east and west separating us from all the unfortunate events "over there."  But after September 11 "over there" became "here," and America had to adjust, and some of the innocent openness of our country was lost.

That was then and this is now.  Think about a telephone pole that is being covered by the invasive Kudzu vine of the South.  Invasive plants disrupt the harmony of local fields and forests.  They displace "normal plants."  There are many invasive and non-native plants that have changed the look and ecology of the Hawaiian Islands, Florida, the fields and forests of the Midwest and the Mountains and range of the West.  These invasive plants have created an altered landscape.  Farmers, ranchers and conservationists have to constantly work to eradicate the invasive plants, and most of the invasive plants we will never eradicate.  So too the events of September 11 altered the landscape of our secure existence.  Just as it is unlikely that the invasive Kudzu vine will ever be eradicated from the South, it is unlikely that we will ever go back to pre-September 11 security conditions.  We might be able to get the Kudzu off the telephone poles but it will eventually grow back there or somewhere else...it is a successful invader.

So if you have some disdain for this process you are coached to think realistically and prepare for the new day of the altered landscape.

You must think realistically.  If you buy a new chainsaw or any power tool you will find paragraph after paragraph of cautions and alerts for how to use the power tool.  But if you have a need for the power tool you accept those cautions and alerts and get on with the work at hand.  So too with preparing a hazard and security plan.  There are certain inherent dangers in providing transit, so it is best we prepare for them and get on with the important work of serving those who need transportation.

Finally, once you get your plan finished, you need to practice the key activities and do it often and periodically.  If you do not practice your plan it would be like having a play book for a sports team and not learning or practicing the plays.  To win games you have to follow the play book.  Improvise plays or ignore the play book and you will find yourself "riding the pine" or, worse, kicked off the team.  So make your plan and practice it often.

# Any plan is better than no plan.

"In preparing for battle I have always found that plans are useless, but planning is indispensable."

- *Dwight D. Eisenhower*
  *Supreme Allied Commander in WWII, Europe*
  *34th US president*

(Emphasize that at a minimum, by going through the planning process, situations have been thought about and relationships established with various staff and other agencies.)  And almost any plan, even on a piece of butcher paper, is better than no plan at all.

# Cost Benefit to Entire Community

- Transit security and emergency planning benefits the agency and local agencies, including…

  - Local responders (police, fire, emergency medical services, coroner, and local public health department)
  - Planning organizations (local emergency management agency, local emergency planning committee, and local government)
  - Mutual aid partners and regional agencies (who provide support during an emergency and support planning activities)

Module One                                                                     12

There is a cost benefit to the entire community when you have a plan. You can help the community in the movement of people, and the community can help you when you have a difficult situation.

**Cost Benefit of Preparing HSP**

The deer that never looks up gets eaten.

The deer that looks up all the time never gets enough to eat.

Module One                                                                13

Deer have evolved behaviors that have caused them to be a successful large mammal.  The deer that never looks up gets eaten.  The deer that looks up all the time never gets enough to eat.  Both behaviors result in deer death. One is a fast death, and the other is a slow death, so the deer has evolved a balanced behavior pattern of looking up and not looking up so it can eat. Somehow the deer has established a successful cost benefit ratio.

The manager of a system is the same way.  If you do not have an HSP in place, you might have problem; on the other hand, if you are always "looking over your shoulder," you will not be efficient as a manager.

The purpose of this workshop is to help you establish a balance and a positive cost benefit ratio for your day-to-day activities and your hazard and security plan.

# Cost Benefit

- One does not want to be like the deer that looks up all the time or the deer that never looks up. Both incur costs that are substantial...slow death or fast death.
- A balanced approach is the goal of this workshop and the HSP approach.
- Assess your reasonable hazards and security issues and prepare for those.

(Note: Animation: Click after discussion of balance and "...approach" and balance graphic appears. Click to next slide after discussing last item on slide.

Balance between awareness and preparedness is the underlying goal of the HSP.

The goal is to provide balance so you are not paranoid to the point of paralysis.

The goal is to develop for the realistic, reasonable threats in your working environment.

Your reasonableness will be judged just like a driver who has an accident just before he hits his million miles of accident free driving...was the driver acting in a reasonable manner and did the driver take all the precautions that a reasonable person would take? If so the accident is not preventable and they still get their million mile pin. So too if some incident does happen at your system your reaction will be eventually judged on the basis of whether you planned and took every reasonable precaution.

# Be Prepared But Be Balanced

■ The law of diminishing returns applies to anxiety, as to so much else.  A little anxiety may yield marked protective gains, but more fear may not be worth the costs.

And too much anxiety will find you paralyzed and unable to react.

# Be Prepared But Be Balanced

- A little anxiety will cause you to carefully prepare an HSP and help you avoid panic. Panic means you cannot think clearly so it is important to follow the advice of Ford Prefect (<u>Hitchhiker's Guide to the Galaxy</u>): "Don't panic!"
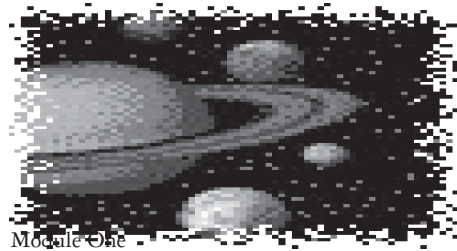
Panic paralyzes you because it puts you into your lizard brain (that part of our brain that controls all your involuntary responses and shoots your body full of adrenaline)…The lizard brain causes the fight or flight phenomenon…you are then operating in your hypothalamus and not your cerebellum or the big "Gray Matter" thinking part of your brain.

In fact it can be said that when you panic...you are not you...you are actually a different person than you normally are when you are operating in your lizard brain.

So the HSP is designed to keep you in your gray matter thinking and help you be you!

# Being Balanced Means We…

Examine each possible
occurrence and think about
it calmly, rationally…

Personal

Family

Company-Organization

To best understand the material in this workshop it is helpful to understand
how the HSP process applies to you personally, your family, and your
organization.  The same principles apply to each situation as you will see in
the next few slides. (Note:  Animation:  Text for slide appears after click:
1. Examine each possible occurrence and think about it calmly... 2. Personal
3. Family 4. Company-Organization)

## Examine Each Possible Occurrence

Impact of Occurrence

Versus

Possibility of Occurrence

(A Vulnerability Assessment)


And Balance with Cost Benefit

Whether it is you personally, your family, or your system, you will look at each possible hazard or security occurrence and imagine its impact and the possibility of its happening.  Then you will balance your countermeasures on the basis of cost and benefit.


The next series of slides illustrates this point.

## Vulnerability Assessment

| Likelihood | Severity | | | |
|---|---|---|---|---|
| | Catastrophic | Critical | Marginal | Negligible |
| Frequent | | | | |
| Probable | | | | |
| Occasional | | | | |
| Remote | | | | |
| Improbable | | | | |

Discuss the matrix, defining the terms used:

**Likelihood (Be sure to explain that this means "probability of occurrence" since this is the terminology used on the upcoming exercises.)**

frequent = event will occur;

probable = expect event to occur;

occasional = circumstances expected for that event – it may or may not occur;

remote = possible but unlikely;

improbable = event will not occur.

**Severity (Be sure to explain that this means "impact of occurrence" since this is the terminology used in the upcoming exercises.**

catastrophic = disastrous event;

critical = survivable but costly;

marginal = relatively inconsequential;

negligible = limited or no impact.

# Exercise: Personal HSP

■ Generate a little anxiety and imagine three hazard or security occurrences that could happen the next time you fly on a plane.

■ Do not generate anxiety to the point of panic.

■ If you panic you are likely to go into your lizard brain…fight or flight…and then you cannot think rationally.

■ Write one occurrence per card.

Module One            20

(Direct each student to take three cards from their packet and coach them through the slide.)

## Flying in a Commercial Airplane
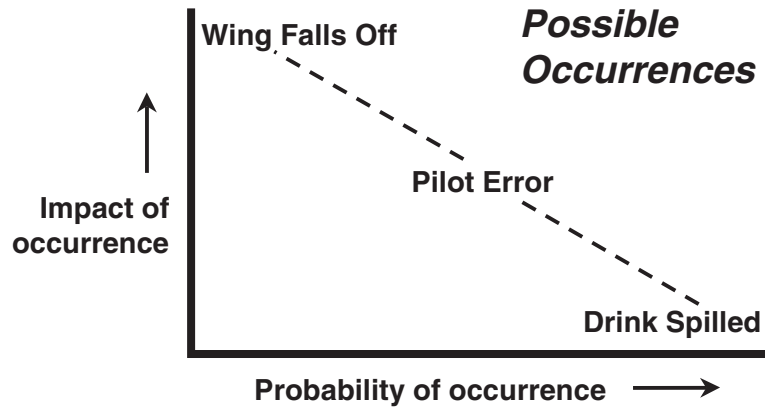
**Wing Falls Off**

***Possible Occurrences***

↑

**Pilot Error**

**Impact of occurrence**

**Drink Spilled**

**Probability of occurrence** ⟶

There is a wide range of potential problems or threats that could either directly or indirectly affect you the next time you fly. These occurrences range from the likely to the rare. A wing falling off would be catastrophic, but the probability of that occurrence is low.  On the other hand, drinks get spilled on planes all the time, but with little consequence.  So we are likely more careful about how we handle our drink than checking the rivets on the wing before we fly.

# Examine Each Possible Occurrence

There is a remote, extremely remote, chance a wing could fall off, but there is a greater, although slight, chance that a pilot could make an error in judgment resulting in a fatal crash.  Drink spills happen often but are rarely, if ever, as a single incident, fatal.

(Review slide and then go around the room and select different students to share what they imagined.  Try to get things that are rare, unlikely and likely to happen,  then show next slide.)

# Reasonable Response: Flying

Module One                                                    23

(Briefly show slide.)  So that leads us to the next slide when thinking rationally about travel.

Here is a personal and reasonable response for a frequent flyer:  read the emergency card when directed to do so,  think about getting out of your seat, and have a plan.  Dress to walk out—wear the clothes suitable to the worst conditions that you could face on the ground.  Coming from Florida to Fargo in the winter?  Dress for winter conditions.

And as always, don't panic.

# HSP Balance:  Fly?  Drive?

Do you respond to risk or fear ?

It is less risky to fly than drive but many people are afraid of flying.

To find the balanced approach you might think: fly or drive?  If you are concerned about accidents it is not rational to drive when you could fly on a commercial plane.  Some 40,000 persons are killed on our nation's highways annually.  In a typical year, fewer than 400 people are killed worldwide in commercial aviation. There is more risk in driving, but many people are afraid of flying, and so they take a greater risk when they drive to accommodate their fear.  You measure your risks and balance your approach when you think about travel rationally, and most people will fly when the distances become greater than about 300 miles. In preparing the HSP, we constantly think about the risk associated with a hazard or security incident and balance our risk or vulnerability assessment with our available resources.

# Exercise:  Family/Home HSP

- Generate a little anxiety and imagine three hazard or security occurrences that could happen in your home.
- Do not generate anxiety to the point of panic.
- If you panic you are likely to go into your lizard brain…fight or flight…and then you cannot think rationally.
- Write one occurrence per card.

(Direct each student to take three cards from their packet and coach them through the slide.

Direct the students to put the cards in front of them and review them as a group. Go around the room and select different students to share what they imagined. Try to get things that are rare, unlikely and likely to happen, then show next slide.)

## Threats to Your Home
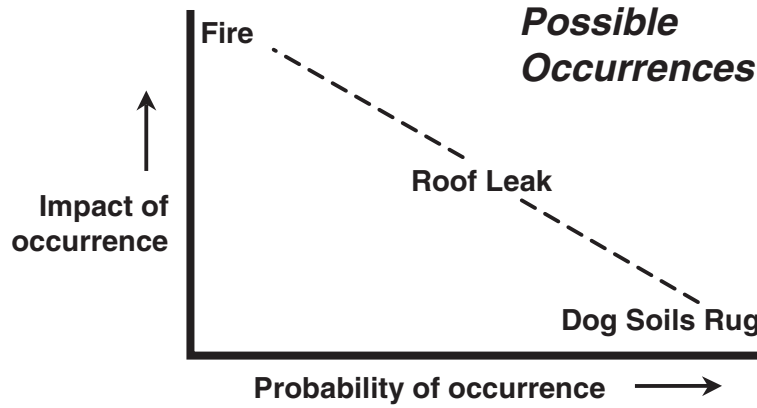


**Threats to Your Home**

**Fire**

***Possible Occurrences***

**Impact of occurrence** ↑

**Roof Leak**

**Dog Soils Rug**

**Probability of occurrence** →

There is a wide range of potential problems or threats that could either directly or indirectly affect you and your family in your home. These occurrences range from likely to rare.  Generally, the more severe the impact of occurrence, the lower the probability of occurrence. So we are likely to spend more time training or cleaning up after our dog than preparing for a fire.

# Examine Each Possible Occurrence

Your house could catch fire.  Many homes are destroyed each year by fire.  Your family could be injured or killed in a fire, but that is not as likely as your pet dog soiling your rug.

Module One                                                    27

(Review slide.) (Go around the room and select different students to share what they imagined. Try to get things that are rare, unlikely and likely to happen, then show next slide.)

# Reasonable Response: House Fire

- "Joanne Hayes-White heads the San Francisco Fire Department, but she also oversees a home with three young children. Twice a year, the family has a fire drill to identify exits, ideally two from each room. She makes sure everyone has a pair of sturdy shoes under their bed in case anyone has to flee."

Wall Street Journal. "Tricks of the Trade."
January 12, 2005. P. D1.

Module One                                          28

(Review slide.) The purpose of these exercises are to help you understand the lessons of the HSP and apply them to your personal life, your family and your organization. Let's next look at your organization.

**Exercise: Organization HSP**

- Generate a little anxiety and imagine a hazard or security occurrence that could happen at your system .
- Do not generate anxiety to the point of panic.
- If you panic you are likely to go into your lizard brain…fight or flight…and then you cannot think rationally.
- Write one occurrence per card.

Module One                                                          29

(Read the slide and encourage the students to imagine all sorts of things that could happen. Pick at least three students and have one mention something that is common that happens, ask one for something not so common, and ask for one response of something that rarely happens but has major consequences.)

(Direct attention to the cartoon in lower right hand corner. Ask rhetorically if anyone has heard the expression "Stop the world, I want to get off!") You can't, and whatever happens at your organization, you will have to face it positively and that is what the HSP is designed to do.

The HSP is also designed to keep you out of your lizard brain, your hypothalamus, and keep you out of the fight or flight mode. The HSP will help you manage each hazard or security situation in a professional and calm manner. And what is the best, quickest definition of a professional? The separation of feelings from action. You may feel like you would like to run or fight, but you must set your policies and procedures for everyone in your organization to face problems professionally and in a balanced way.
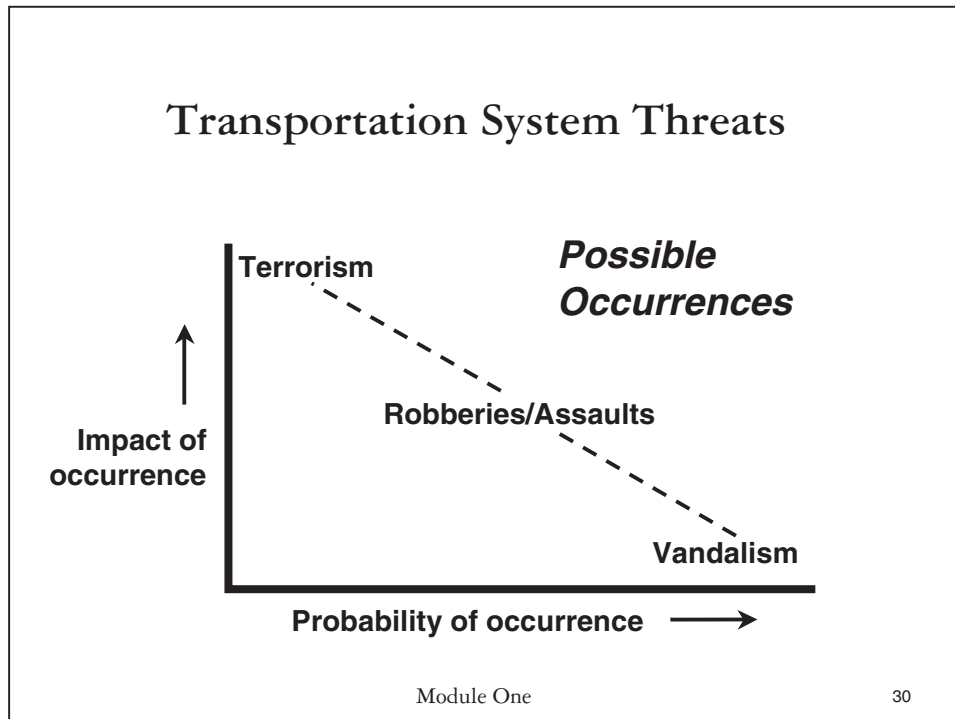
**Transportation System Threats**

There is a wide range of potential acts or threats that could either directly or indirectly affect your transportation system. These acts include vandalism, theft, robberies, assaults and other types of workplace violence, all the way up to terrorism. As the graph shows, terrorism and other high-level violent acts will have a greater impact on the system, its employees, and the public, but their probability of occurrence is much lower.

This disparity is due in large part to the complexity and necessary effort required to pull off an act of terrorism. Reports indicate that the attacks of September 11 were being planned for close to eight years. On the other hand, vandalism (which occurs with some frequency to transit systems) is often perpetrated by people who just happen to be near your vehicles or facility at the moment they feel like doing something destructive. Usually there is no planning for vandalism as there is for terrorism.

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

# Examine Each Possible Occurrence

Anything could happen… but the HSP process sets out a procedure of evaluating the

**Impact of Occurrence**

**Versus**

**Possibility of Occurrence**

and preparing a balanced approach to all hazard and security occurrences so as to avoid panic and paranoia.

</div>

(Review slide.) Yes, anything could happen and terrorism does happen, but it is rare and the purpose of terrorism, as described by some authors, is "overreaction." In an article about a new biography of John Brown and his centrality to the Civil War, Adam Gopnik writes:

*"Terrorism is an autoimmune disease; its purpose is to cause harm by provoking an overreaction. This is exactly what happened after Brown's failure."*

(Brown failed to take the arsenal and create a slave rebellion at Harpers Ferry)

*"A rational Southern observer would have seen that the raid was a sign of the fundamental weakness of abolitionism as an armed cause and, with a bit of wisdom, would have seized the chance to do something before it became a stronger one. Of course, just the opposite happened: panic about slave revolts and further abolitionist raids set in throughout the South.  Even in distant Mississippi and far-off Georgia, the paranoia become rampant, and Reynolds shows, it was this atmosphere of panic and paranoia, along with the election of the still ostensibly anti-abolitionist Lincoln, that produced secession and, with it, the arming of the North and the war."* Source: *The New Yorker,* April 25, 2005, page 95.  Book review of "John Brown Abolitionist," David S. Reynolds, Knopf Publishing.

Again, the purpose of the HSP is to create balance and avoid panic and paranoia.

Your Area of Prime Responsibility

Terrorism

**Possible Occurrences**

Impact of occurrence

Robberies/Assaults

*You!*

Vandalism

Probability of occurrence →
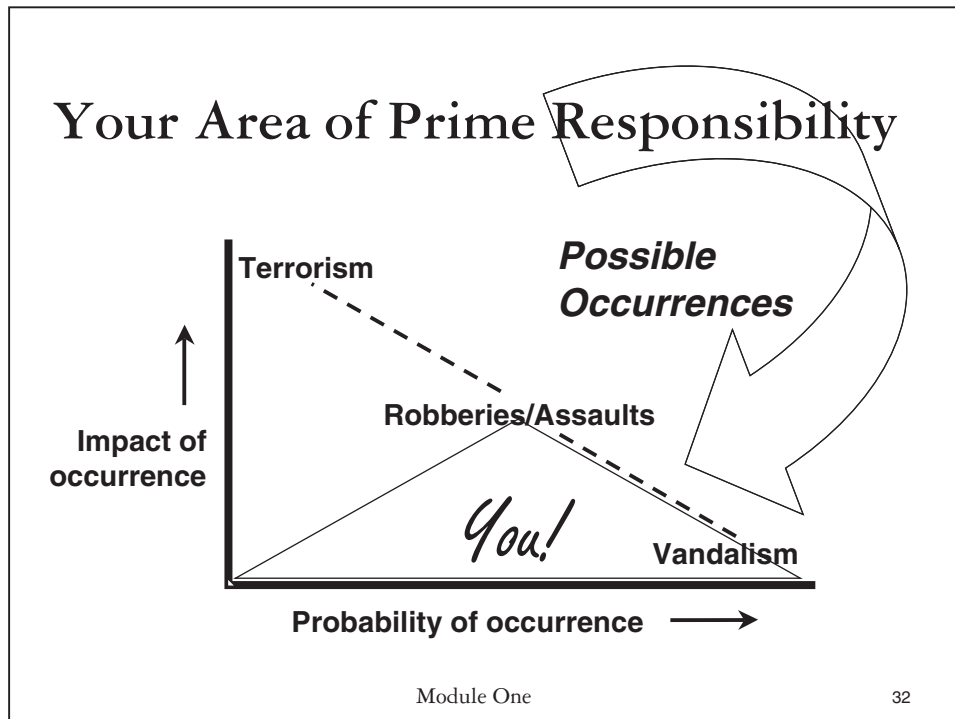
To help you understand those areas that you are generally responsible for, the light blue shaded areas of the graph show those areas that you have prime responsibility for and in general you are the first to tackle the situation. This graph shows it is unlikely that you will be responsible for an act of terrorism as a first responder but you may be asked to respond in some way—evacuation or communication, for example—so we include some element of all possible occurrences in our HSP.

You will only have prime responsibility for those activities that have modest or low consequences. Some other agency will be the primary responder on the major events but you need to know who that is and what your role will be.

# All-Hazards Security & Emergency Preparedness:
## Your Areas of Prime Responsibility

- **Prevent** incidents within control and responsibility of transit system
- **Respond** to situations and events
- **Mitigate** loss
- **Protect** passengers, personnel, and critical assets
- **Support** community response with equipment and capabilities
- **Recover** from major events with available resources and programs

Module One                                                           33

While the previous slide provided an idea of your specific areas of responsibilities, this slide sets out the generic all-encompassing areas of responsibility for your transit service.

# Build in a Balanced Approach

- Build in security and an all-hazards approach to your core values.
- If you are able to respond to the "everyday" hazard you will be better able to respond to the major security or major hazard event.
- Corrective actions are more expensive than preventive measures.

Module One                                                              34

Finally, before we discuss the use of the HSP, it is important to understand the concept of universal design as it applies to the development of a hazard and security plan.

The universal design concept applies directly to a security and all-hazards approach.

Think of the cost of retrofitting your house for solar energy as opposed to building in solar energy. Same principle for accessibility. It is cheaper and more efficient to design in 36-inch doors, lower-light switches, and other features for a person in a wheelchair than to retrofit a house for those features. Building a house that is accessible is better for everyone and covers future possible situations...and with luck we are all getting older and will benefit from architectural universal design.

Building in hazard and security measures is better for all your management and operational policies and will make you ready for what might be ahead. Remember:  More than a few people who did not wear their seatbelts in their cars or did not wear their helmets on their motorcycles are now dead or in assistive devices (wheelchairs). So preventative measures and universal design pay dividends at the most difficult times.

# Core Value Techniques

**Situation**

Is there a policy? — **Yes** → **Follow policy as practiced**

**No**

**NOW WHAT ???**

**Stop**

**Communicate & request direction**

**Follow practices common to all events**

| Above all, safeguard life and property | Take steps to minimize service disruption | Observe and communicate events |

Module One

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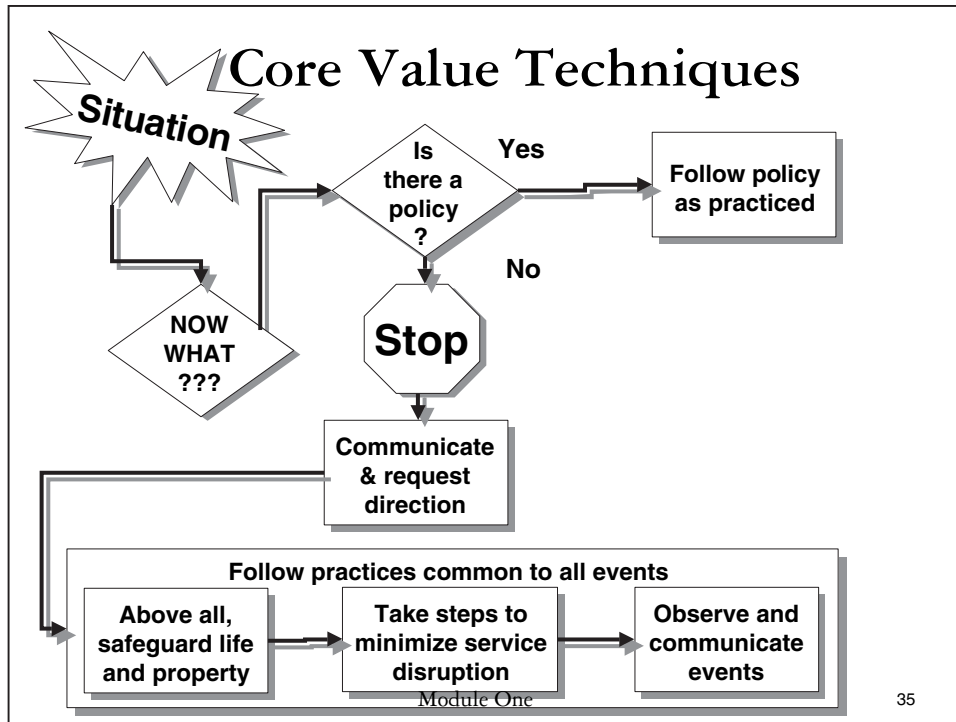
(This slide is animated and requires four clicks to show the final slide.) We all know that small transit agencies often operate on a shoestring and employees are used to being creative and resourceful to keep things going. While this is necessary on the operations side, operating by the seat of your pants in a security situation can be bad – and dangerous.

We've all heard stories about operators doing heroic things to keep service running, and this is great. But, driving into a bad storm or other situation with a van full of passengers because the operator wants to help out can be a disaster.

Transit agencies are entrusted with the lives and well being of their passengers. When it comes to security, improvisation is not good. The best policy is to have a plan, practice the plan, follow the plan, know your limitations, and know when to ask for help.

But, how can you do that when you don't know exactly what situations may happen at your agency? You could have a terrorist event, but is it realistic to spend time practicing terrorist response techniques just in case?

A better approach is to have a set of scalable core practices to react to a wide range of events.

There may not be a standard policy for an event, but having a fundamental policy for action (and an understanding of priorities (life and property, service, etc.) will enable employees to know what should and shouldn't be attempted.

Then, if a situation occurs, you're ready for almost anything.

At an agency without this sort of planning, reaction to a situation looks something like this (click) Anything might happen here…and it might not be good. It's a scary situation to be in if you don't have a plan.

What we tried to do in this plan is come up with some core practices that are applicable to a wide range of situations. Your response would then look like this to something small (like a disruptive passenger) or to something big (like to a tornado OR a spill at a local chemical factory OR a bomb threat) - CLICK

The approach here emphasizes the fundamentals:

* Clear agency policies – Dozens of sample policies are offered in this document that transit agencies can use as templates.
* Training new employees in the basics – This training can be done in conjunction with other efforts (new hire training or safety training).
* Whether in day-to-day operations (including security issues in the daily vehicle inspection sheet) or in less frequent events (emergency evacuation drills), practicing is an important part of a security plan.
* Communications within the agency – When faced with situations, above all, employees should know what to do, and know when to communicate situations to others within the agency for guidance.
* Communications with outside organizations – Law enforcement, fire, first responders, and emergency organizations near the transit agency have done much of the work and can offer assistance.
* For any situation, you need to know your priorities – employees should know that the first priority is safeguarding lives (including your own) and property, then maintaining service, and then attempting to respond to events. Employees will have the knowledge they need to do the right thing.

## Introduction to HSP Process
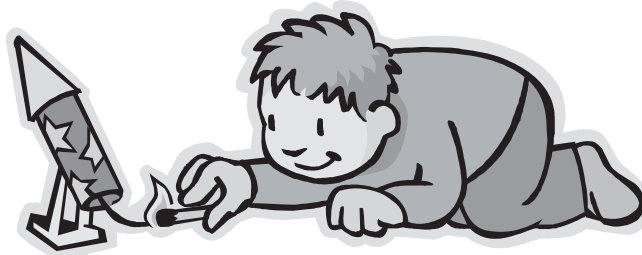
The HSP is not rocket science.  Even a kid can do it—maybe not at your level of sophistication, but everyone has some level of HSP, as we illustrated with our discussion of flying and your house catching on fire….they just don't call it that.  They call it taking precautions or thinking ahead or maybe just being careful.

# Systematic Process

■ *Where are we?* An inventory step.

■ *Where do we want to go?* A policy and vision step.

■ *How do we get from where we are to where we want to go?* An operations and action plan. With a feedback loop to maintain the plan which makes it ....strategic....

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(Review slide. This is the general approach in the HSP.)

Briefly explain what a feedback loop is and how a thermostat works. A feedback loop gives some device such as a thermostat information so it knows how to behave or operate. A thermometer is constantly feeding information to a thermostat and at certain "set points" action is taken such as turning on your furnace or turning off your air conditioner. That is what the HSP process does through the strategic process. Certain set points are put in place for hazards and security and when the feedback loop requires action, the policies you have put in place set your organization into action.

# HSP Conceptual Approach

Establish Policies

Determine Roles

Countermeasures
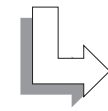
Maintain and Revise Plan
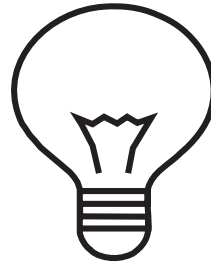
*Feedback Loop*

(Ask what the arrows seem to indicate. Coach that it indicates some sort of system with a feedback loop. When things happen just so and set points are indicated, the light goes on and action is taken.)

The HSP is a system with many feedback loops.

## Factors Shaping the Plan: Regulations

- National Incident Management System (NIMS)
- State, federal, and local requirements may apply
    - Commercial driver's license
    - Hazardous material storage
    - OSHA
    - Drug and alcohol requirements

An all-hazards approach (like the plan uses) has now been required by recent regulations. The next slides talk about NIMS.

There are a number of regulations at different levels of government that affect the secure operation of the transit agency. These might be (go through the list).

We don't address each of these in the document. But the HSP has a structure to accommodate local regulations.

# National Incident Management System

### Key concept:  page xi
### (NIMS adopted February 28, 2003)

- Command and management
- Preparedness
- Resource management
- Communications and information management
- Supporting technologies
- Ongoing management and maintenance

There is an important concept underlying the entire HSP effort and that is NIMS.   Follow the information in your HSP template on NIMS and go to the referenced website so you can understand how NIMS applies.  The basic elements of NIMS are presented here and the following slides.

■ Complete EMI Course – NIMS, an introduction

■ Formally recognize NIMS

■ Establish NIMS baseline

■ Establish strategy for implementing NIMS

■ Institutionalize use of Incident Command System

Homeland Security

*Letter from Secretary Ridge to Governors, Sept. 8, 2004*

Module One                                                                                    41

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We've all heard stories of emergencies where there are communication problems or organization problems. On September 11, police and fire personnel couldn't talk because their radios weren't on the same frequencies. Perhaps your communities have had issues of responding to something like a bad storm where agencies didn't know who to call or what to do.

On another incident, an airplane mistakenly flew over Washington DC airspace. The authorities scrambled fighter jets to get ready to shoot it down. The VP was swept off to a secure location. The Supreme Court was evacuated. The US Capitol was entirely evacuated….and no one called the city of Washington DC – which didn't know about it until afterwards.

This event required national civilian and military organizations, regional organizations, and local police. It's important when you have a communitywide incident that organization and communication follow a plan.

Who's heard of the National Incident Management System or the EMI (Emergency Management Institute)? By presidential directive, NIMS went into effect recently. NIMS is intended to introduce uniformity and efficiency in the ways that local, regional, State, and Federal agencies plan for and respond to security and other emergencies.

Who's in charge? Fire? Police? Someone else?

Who leads evacuations?

Who talks to the press?

Who's in charge of recovery?

It's important to decide beforehand. That's what NIMS does. NIMS provides a structure for responding and planning. NIMS requires that agencies:

•Institutionalize use of Incident Command System

•Incorporate NIMS concepts into Emergency Operations Plans

•Incorporate NIMS concepts into existing training programs and exercises

•Promote mutual aid agreements

•Coordinate, and provide technical assistance to, local entities regarding NIMS

•Use federal preparedness funding to support NIMS implementation at state and local levels (DHS Homeland Security Grant Program, Urban Area Security Initiative funds)

# NIMS Requirements:
# FY 2006 and FY 2007

- To receive 2006 preparedness funding, applicants must certify that they have met the FY 2005 NIMS requirements.

NIMSCAST   www.fema.gov/NIMSCAST

FY 2006: Certify completion of FY 2005 requirements in grant application.

FY 2007: Full Compliance Required

Source: http://www.fema.gov/ppt/nims/nims_briefing.ppt 28 December 2004

# The HSP Process

■ Five steps

1. Recognize the need

2. Establish policies

3. Determine organization, roles, and responsibilities

4. Prepare countermeasures

5. Maintain plan

These are the five steps of the HSP.  We will cover each step in this workshop except for number one.  By being in this workshop you already recognize the need for a hazard and security plan!

**Hazard and Security Plan Development**

Establish Policies — 1
- Purpose — What does the HSP do?
- Situations — When is HSP Used?
- Statements of Belief/Limitations — What can be Assumed?

Organization, Roles and Responsibilities — 2
- Responsibilities
- Continuity of Services
- Contact Information

Countermeasures & Strategies — 3
- Prevention
- Mitigation
- Preparedness
- Response
- Recovery

Plan Maintenance — 4
- Review and Changes
- Distribution

Module One                                                          44

Here are the four steps we will cover in this workshop to help you complete your template.  Likely there are some terms that need clarification, so let's do that first in the next few slides.

# Key Terms

Page 83 Glossary

Review list in Glossary…any questions?

Go to the glossary in the HSP and review and discuss any words that the students want clarified.

**Key Terms**

- Prevention
- Mitigation
- Preparedness
- Response
- Recovery

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Here are the five key terms we will devote most of the workshop to by preparing detailed activities for your system.

I will demonstrate these concepts with a fly swatter and I want you to imagine that we have our plan finished and that we have decided to go on a picnic.

1. Prevention: We carefully throw away our garbage and tidy up our picnic area. This prevents flies from being attracted to our picnic.

2. Mitigation: We know there are going to be flies anyway no matter what we do so we mitigate their impact by covering our food and letting the flies walk on the covers instead of the food.

3. Preparedness: We bring a fly swatter "Just in case."

4. Response: That pesky fly is swatted!

5. Recovery: We flick the fly away. Maybe shake it off the swatter and wash our hands with a handy wipe or with soap and water before we handle food again.

We will prepare specific activities for each of the five concepts for your system just like we did for the picnic.

# Prevention: A Working Definition

- Actions taken to try to ensure that incidents do not occur.

  Give an example of a prevention activity.

(Discuss concept of prevention.)  Actions such as security fences or locking doors are prevention activities.

(Discussion Example:  People are stealing batteries from your buses.  A fence and locking the doors and windows of the buses should stop this kind of theft.)

# Prevention:
# Keeping the Vehicle Secure

- Driver's Vehicle Checklist
- Mechanic's Vehicle Checklist
- Vehicle Key Policy
- Securing Vehicles During the Shift
- Securing Vehicles at the End of the Shift
- Route Maintenance Issues
- Prohibited Items on the Bus

Examples of prevention concerning the vehicle:

☐ Driver's Vehicle Checklist

☐ Mechanic's Vehicle Checklist

☐ Vehicle Key Policy

☐ Securing Vehicles During the Shift

☐ Securing Vehicles at the End of the Shift

☐ Route Maintenance Issues

☐ Prohibited Items on the Bus

# Mitigation: A Working Definition

- Actions you take to reduce or eliminate long-term risk from hazards and their effects to reduce the asset loss or human consequences of an event.


Give an example of a mitigation activity.

Mitigation Examples:

Drivers and mechanics may perform vehicle checks to detect suspicious packages, thereby preventing an incident involving a dangerous substance.

The agency may designate a staff member to check weather conditions to ensure that it is safe to send vehicles out on routes.  (Although it is impossible to *prevent* hazardous weather, proper action can limit the consequences that such a hazard may impose on vehicles, passengers, and employees.)


(Discussion Example:  Bomb threat.  Evacuate building to mitigate injuries. Prevention activities might include policy to recognize suspicious persons and packages and removal of those areas where bombs could easily be left, such as trash cans.)

# Mitigation:
# After An Event Occurs

- Accident Policy
- Driver Management of Security Situations
- Checking Weather and Other Hazardous Conditions

(Discuss slide.)  Accident policy may limit further damage or injury through proper accident procedures.  Driver policies on security situations such as fare evasion can keep situations from escalating.  Checking the weather may alert you to hazardous conditions that can be avoided such as floods or high winds.

# Preparedness: A Working Definition

- Actions you take to anticipate and minimize the impacts of events.
- Planning measures taken to ensure that reactions to events are efficient and effective.

Give an example of a preparedness activity.

Preparedness activities are planning measures that organizations can take to ready themselves and to ensure that reactions to events are efficient and effective.

On-board emergency supplies are an example of preparedness activities, as are training and lists of activities, for supervisors and persons who might need to respond to a hazard or security occurrence.

(Discussion Example:  Passenger attacks driver.  Drivers have training on interpersonal communication and personal safety.  Drivers are shielded from the passengers.)

Here are samples of preparedness activities. (Discuss slide)

**Knowledge before an event**

Supervisors' Role in Security/Emergency Management

Mechanics' Role in Security/Emergency Management

Dispatchers' Role in Security/Emergency Management

Operators' Role in Security/Emergency Management

New Employee Training on Security Awareness

Policy for Understanding Local Threats

General Manager and Assistant Take NIMS On-line Training

# Response: A Working Definition

■ Those activities you undertake to react to events.


Give an example of a response activity.

Using proper procedures and following established policies will help protect employees, passengers, and others, while safeguarding property.

Response policies and procedures provide tools to manage incidents at *Your Community Transit*.


Examples include evaluating and managing suspicious activities or the actions you take for evacuation of facilities or vehicles.


(Discussion Example:  Break-in to steal money vaults.  Call police to apprehend perpetrators.)

# Response

- Determining there is a problem
- Communicating
- Mobilizing

Discuss slide and responses to questions:
**Determining there is a problem:**
 Evaluating Suspicious Substances or Packages,
 Handling a Suspicious Package, Device, or Substance,
 Handling Suspicious Activities, Bomb Threat Checklist.

**Communicating:**
Radio Usage Policy
Cell Phone Policy
Policy for Requesting Agency Assistance for Security Incidents
Notification of Emergency
Contact with Local Emergency Manager
Emergency Press Release
Requesting Outside Assistance
Policy for Filing an Incident Report
**Mobilizing:**
Mobilization Resource List
Normal Hours Emergency Response
After Hours Emergency Response
Evacuation Procedures
Short-Term Response
Emergency Escape Procedures and Routes
Emergency Drop Points
Aborting/Changing Route Due to a Hazard

# Recovery: A Working Definition

- Actions you take to get things back to normal.


Give an example of a recovery activity.

Recovery activities are those policies *Your Community Transit* has implemented to assist in recovering from incidents that have occurred.

After an incident, whether it is a simple security event (such as vandalism) or a major emergency, it is necessary for *Your Community Transit* to begin restoring service to the public as quickly as possible and to repair any damage that resulted from the event. Recovery involves restoration of infrastructure, vehicles, and personnel to their normal status.

Examples include review of insurance policies.

(Discussion Example: Someone hacks into your computer system. You restore your data from your backup files, which are kept in a safe place. You take the preventative step to upgrade your computer systems and policies so the incident will not happen again.)

# Recovery

- Review Insurance Policies
- Review HSP
- Review Backup Location Plan
- Cleanup/Inspection
- Documentation of Vehicle Use
- Evaluation Response
- Oversee Recovery/Restoration

Module One                                                56

(Discuss slide and note that most common recovery activity is what? Cleanup and inspection.)

## Countermeasure: A Working Definition

- A specific policy or procedure to counter or offset an action.


  Give an example of a countermeasure.

**Countermeasure**–An action or strategy implemented to address a potential hazard, including the four main activities…countermeasure is generic and there are five subsets of activities.


*HSP Page 18    Section 3: Countermeasures and Strategies*

*Prevention*

*Mitigation:* Develop and document actions to reduce the probability and severity of damage, asset loss, or human consequences (such as injuries or fatalities).

*Preparedness:* Develop and document activities to anticipate and minimize the impacts of incidents that may occur. Proper planning equips employees to better manage these incidents.

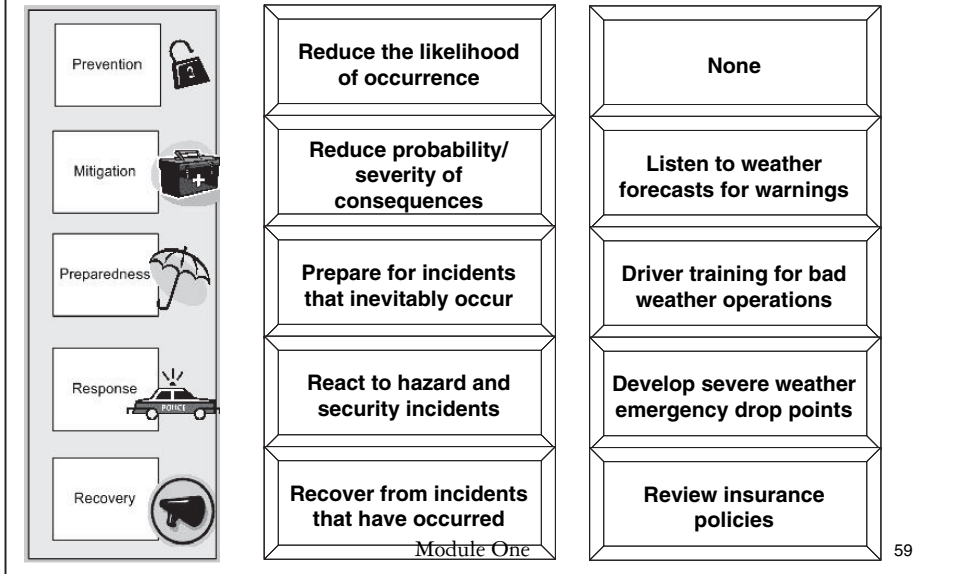*Response:* Develop and document policies to react to hazards that occur.

*Recovery:* Develop and document programs to assist in recovering from incidents that have occurred.

Sample Countermeasures/Solutions: Vandalism

| Prevention | Reduce the likelihood of occurrence | Education in schools, community outreach |
| Mitigation | Reduce probability/ severity of consequences | Graffiti-resistant materials |
| Preparedness | Prepare for incidents that inevitably occur | Extra care at Halloween |
| Response | React to hazard and security incidents | Reporting and removal from service |
| Recovery | Recover from incidents that have occurred | Supplying maintenance staff with clean-up materials |

Module One                                                                 58

(Note this slide is animated and requires 16 clicks to show entire slide. Items shown come up in pairs and then the entire slide is shown.) Explain how slide shows the five steps and this transit example relates to the picnic example. They have the same steps just different countermeasures.  Note that at the times of required preparedness such as Halloween extra guards might be posted near the buses or the buses might be parked closer together if they are outside.  On a more typical day just the pre-trip inspection is a preparedness step because drivers are looking for marks and vandalism to their buses.

# Sample Countermeasures/Solutions: Winter Storm

| | | |
|---|---|---|
| Prevention | **Reduce the likelihood of occurrence** | **None** |
| Mitigation | **Reduce probability/ severity of consequences** | **Listen to weather forecasts for warnings** |
| Preparedness | **Prepare for incidents that inevitably occur** | **Driver training for bad weather operations** |
| Response | **React to hazard and security incidents** | **Develop severe weather emergency drop points** |
| Recovery | **Recover from incidents that have occurred** | **Review insurance policies** |

Module One                                                                                                          59

(Note this slide is animated and requires 16 clicks to show entire slide. Items shown come up in pairs and then the entire slide is shown.) Discuss slide and emphasize that once again here are the picnic steps but there is nothing you can do to prevent the weather!  Reduce the severity of consequences by staying off the road when bad weather is expected or in snow country. Perhaps having a snow fence erected near the bus parking area will make pull out easier.  Training for drivers for bad weather conditions is critical and includes driving in snow and ice where appropriate and avoiding driving on water-covered roads and other techniques.

**Overview of Section 1: Defining the Plan**

❶ What does HSP do?

❷ When is HSP activated?

❸ What are the agency's basic assumptions?

(HSP Page 1)

By completing this section of their plan, the agency answers three important questions:

-What is the plan intended to do? Outline security procedures? Generally, which ones? Outline responsibilities? Fulfill certain requirements?

-When do I use the HSP? Specifically, what sort of events am I planning for? A tornado? A storm? Disruptive passengers? More serious crimes? What situations won't it be used for?

-What can I assume for planning purposes? Particularly about the assistance that others in the community will provide (like fire and police)

## Section 1: Establish Policies

Page 1

- ■  Purpose of the Hazard and Security Plan (HSP)

- ■  Situations covered by the HSP

- ■  Statements of Belief and Limitations

Direct students to text to begin the process of adapting the HSP to their organizations.

# Purpose of the Hazard and Security Plan (HSP)

- Page 2

  "…set out *Your Community Transit's* procedures for maintaining a safe and secure operations and service environment for passengers, employees and volunteers, and the surrounding community."

Review the purpose of HSP and remind people that items highlighted in the HSP are those items they should adapt to their operating conditions. The highlight is gray in your hard copy but yellow on the CD.

# The Inventory Step

- **What is possible?**
- **What could happen and what is the impact?**
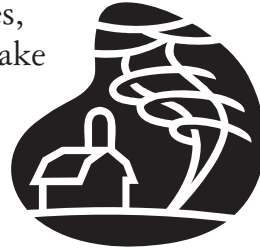- **What are reasonable policies for our organization?**
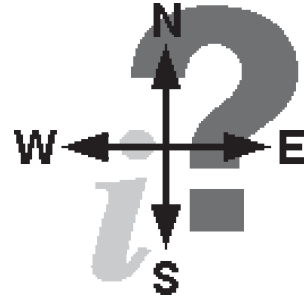
In what direction do you need to go, and what could happen at your agency?

# What Is Possible?

- Security Incidents
  Vandalism/Graffiti, Theft/Burglaries,
  Assault, Disruptive Behavior, Trespassing

- Severe Weather
  Floods, Winter Storms,
  Windstorms/Hurricanes, Tornadoes,
  Thunderstorms, Wildfire, Earthquake

(Quickly review next three slides and list the possibilities.)

# What Is Possible?

■ **Man-Made Emergencies**

Terrorism, Acts of Extreme Violence, National Emergency, Weapons of Mass Destruction (WMD)

■ **Technological Hazards**

Hazardous Materials Accidents, Radiological Emergencies, Transportation Accidents

(Review slide.)

# What Is Possible?

- Energy-Related Hazards and Energy Shortages/Outages
  **Natural Gas/Petroleum/Electrical Transmission/Power Shortages/ Outages. Energy/Food Shortages Water Shortages.**
- Other
  **Evacuations through Service Area.**

(Review slide.)

# Exercise:  Map Your Service Area

- Examine the map in your packet.
- From the previous list and any other hazards and security issues you might think of, identify all the situations on the map that might occur.

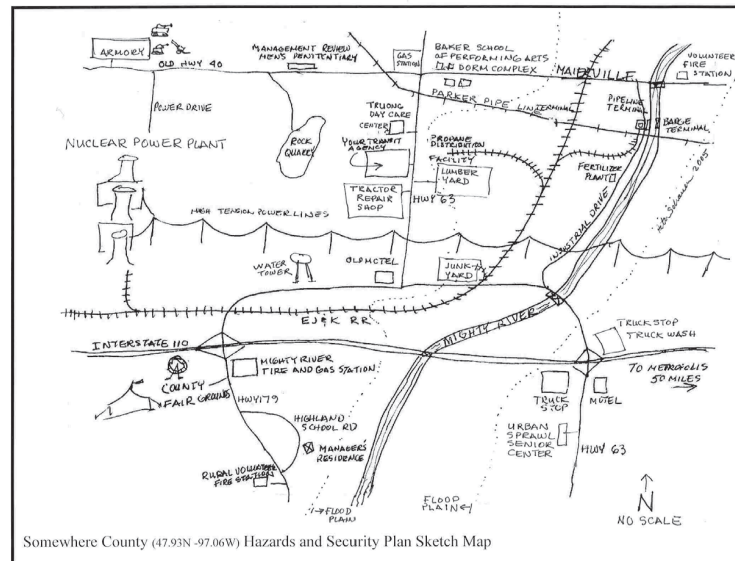Your Community Transit is the most hazard-prone place there is. It's okay for agencies to list only a few hazards…and, really, to have far fewer countermeasures than we list.

(Coach the group through the map on next slide to identify potential hazards.)

# Exercise: Map Your Service Area



Somewhere County (47.93N -97.06W) Hazards and Security Plan Sketch Map

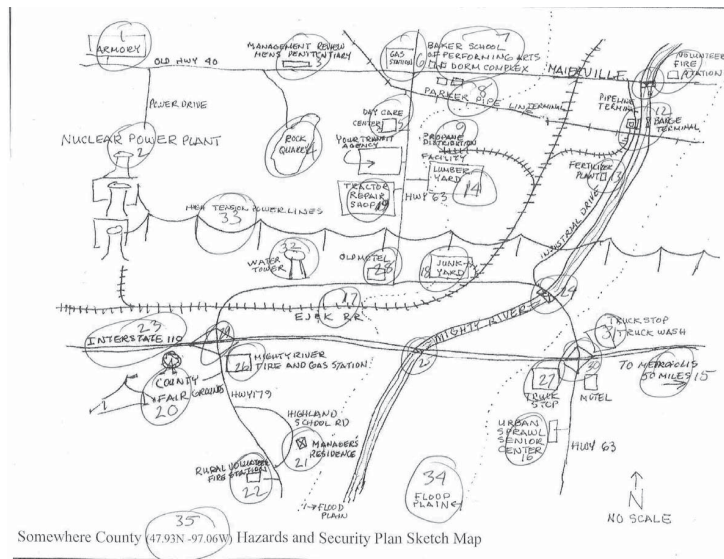Module Two                                                                 68

Here is the map that is in your packet of materials. Somewhere County is not too different than places you might have visited or that you know about. How many hazards and security issues can you identify on this map? Let's use the discussion process of think, pair, and then share. First study the map independently and think about it. Then turn to a neighbor and pair up and talk about what you both have identified on the map. Then when I see that everyone has a good grasp of the concept we will discuss it as a group. You have about seven minutes to do this exercise. (After seven minutes, discuss with class their findings. Advance to next slide to show the 35 previously identified issues.)

# Exercise:  Map Your Service Area



Somewhere County (47.93N -97.06W) Hazards and Security Plan Sketch Map

(Possible Map Conclusions are contained in this and next four slides. Workshop participants do not have these slides.)

There are likely more hazards and security concerns than you initially realized.

There are 35 hazards and security concerns that have been identified on the sample map. How many did you find? (Ask for a show of hands in increments of ten.) Who found at least 10 issues? Who found at least 20 issues? Who found at least 30 issues? Did anyone find at least 35 issues?

You could go to almost any rural area and see similar situations like those on the map such as a propane plant and groups of people. Since many rural areas do not have zoning, sometimes the land uses might seem strange. Access to, and escape from, town can be an issue because of the river and bridges. The location of the manager's home means that the chain of command could be an issue. Fire stations could be cut off from action. Evacuation of dorms and prisons could be an issue with various plants and a nuclear reactor. Note that there are no hospitals or clinics and the assumption is you have to drive for health care to Metropolis (item 15).

Most of the 35 issues are obvious, but some may not be so obvious, such as the longitude and latitude, which puts this area in the north where blizzards could occur. Let's go through the 35 items as fast as we can and identify the hazard or concern. (Quickly go through each of the 35 items and have the participants identify what the issue might be.)

# Exercise: Map Your Service Area

Somewhere County (47.93N -97.06W) Hazards and Security Plan Sketch Map
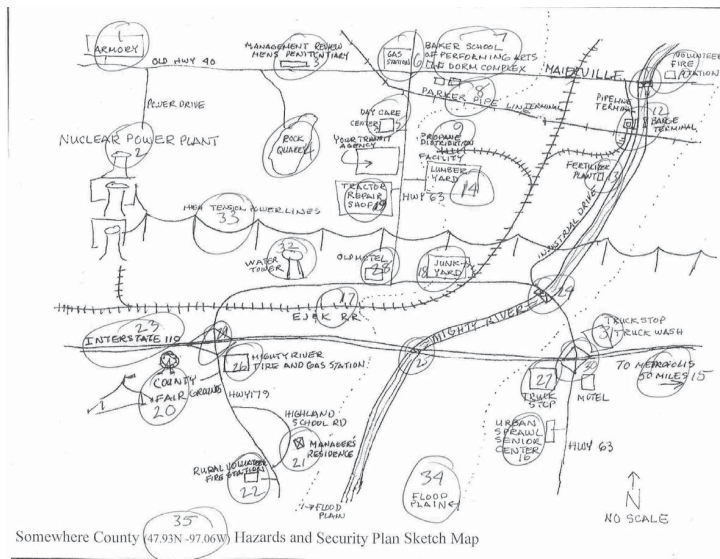
1. Armory:  Vandalism. Theft or misuse of stored military equipment or supplies. Possible explosions, environmental damage, or chemical spills.

2. Nuclear Power Plant:  Terrorism. Reaction to real or perceived act(s) of terrorism. Accident at plant and note prevailing westerly winds. Radiation leaks. Evacuation of surrounding area.

3. Management Review Men's Penitentiary:  Hostage situations. Evacuation of surrounding area.

4. Rock Quarry:  Explosions, dust, noise, traffic with heavily loaded trucks.

5. Truong Day Care Center:  Domestic violence. Hostage or kidnapping situations and possible evacuations.

6. Gas Station:  Explosions, fire, environmental hazards. Violent customer or employees.

7. Baker School of Performing Arts Dorm Complex:  Domestic violence. Kidnapping or hostage situations. Fires due to candles or electrical overload due to many electronic devices. Possible evacuations.

8. Parker Pipe Line:  Pipeline breach either intentional or accidental. Fire, explosion, environmental damage. Possible evacuations.

9. Propane Distribution:  Fire, explosion at facility or trucks. Environmental hazards.

10. Volunteer Fire Station:  Fast moving emergency vehicles suddenly entering traffic. Volunteers answering calls driving at a high rate of speed.

11. North Mighty River Bridge:  Traffic accidents with injury, death, or damage with traffic backups and travel delay. Bridge closing due to floods, damage from barges or other river traffic, or damage from traffic accidents. If used as a detour due to damage to other Mighty River bridges, increased traffic results in accidents and travel delays. Longer response time from Volunteer Fire Station if this bridge is closed. Terrorism.

12. Barge Terminal:  Explosions, chemical spills, or environmental hazards. Possible evacuation of surrounding area. Runaway barges or other accident with damage to nearby bridge and pipeline terminal.

13. Fertilizer Plant:  Explosions, chemical spills, or environmental hazards. Possible evacuation of surrounding area. Vandalism.  Accidents resulting from theft of materials for illegal uses.

14. Lumber Yard:  Fire. Extra fire hazard due to location next to Propane Distribution Facility. Wind storm could cause materials to become airborne.

15. Metropolis 50 Miles:  Any catastrophe affecting the large urban area will affect Somewhere County. Evacuation of people to County.  Refugee housing and care, radiation fallout, drifting smoke, ash, or fumes.  Diversion of emergency personnel, materials, and supplies from County to City. Possible violent reaction from County.

# Exercise: Map Your Service Area

Somewhere County (47.93N -97.06W) Hazards and Security Plan Sketch Map
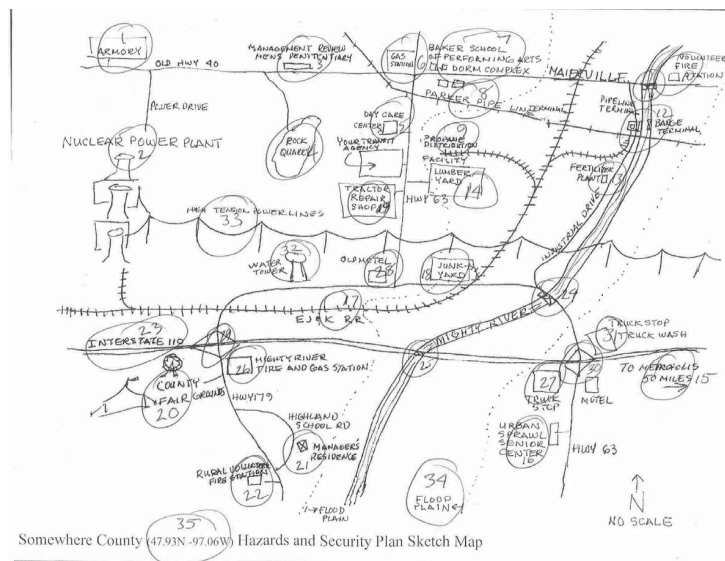
16. Urban Sprawl Senior Center:  Remote location slows reaction to medical or other emergencies. Domestic violence. Evacuation issues.

17. EJ & R Railroad:  Derailments or other accident resulting in explosion, fire, chemical spill or environmental damage.  Possible evacuation of surrounding area. Possible disruption of regular transit routes.

18. Junk Yard:  Vandalism. Chemical spills or environmental hazards. Possible evacuation of surrounding area. Junk spilling over onto railroad track causing train derailment.

19. Tractor Repair Shop:  Vandalism. Explosion or fire due to malfunctioning repair equipment. Runaway equipment crashing into neighboring Your Transit Agency. Use of repair shop to perform irregular or unauthorized repair on Your Transit Agency's vehicles.

20. County Fair Grounds:  Medical emergencies. Traffic accidents. Fires from fireworks or barbeque pit. Accidents from carnival rides, escaped livestock, equipment displays. Vandalism. Possible evacuation.

21. Manager's Residence: Possible long distance to office. Violence or hostage situation from disgruntled employee(s). Vandalism.

22. Rural Volunteer Fire Station: Fast moving emergency vehicles suddenly entering traffic. Volunteers answering calls driving at a high rate of speed.

23. Interstate 110:  Traffic accidents with injury, death, or damage with traffic backups and travel delay. Temporary or extended closure with local roads being overwhelmed with traffic. More accidents and travel delays. Refugees from Metropolis clog highway with resulting traffic accidents and violence.

24. Middle Mighty River Bridge:  Traffic accidents with injury, death, or damage with traffic backups and travel delay. Bridge closing due to floods, damage from barges or other river traffic, or damage from traffic accidents. If used as a detour due to damage to other Mighty River bridge(s), increased traffic results in accidents and travel delays. This is particularly true if the South Mighty River Bridge, carrying Interstate 110 traffic, is closed. Terrorism.

25. South Mighty River Bridge:  Traffic accidents with injury, death, or damage with traffic backups and travel delay. Bridge closing due to floods, damage from barges or other river traffic, or damage from traffic accidents. If used as a detour due to damage to other Mighty River bridges, increased traffic results in accidents and travel delays. Closure of this bridge affects travel throughout Somewhere County. Terrorism.

# Exercise: Map Your Service Area
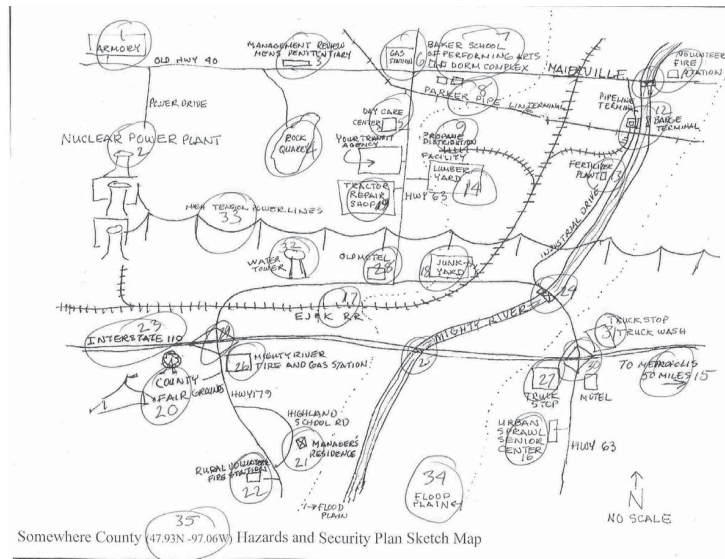
Somewhere County (47.93N -97.06W) Hazards and Security Plan Sketch Map

26. Mighty River Tire and Gas Station:  Explosion, fire during fuel transfer from delivery trucks to underground tanks. Chemical spills and environmental hazards. Fire hazard and West Nile disease threat from pile of used tires. Vandalism. Improper filling of containers. Crime and robberies.

27. Truck Stop:  Traffic accidents. Possible chemical spills and environmental hazards. Transient population. Vandalism.

28. Old Motel:  Vandalism. Illegal activity. Chemical spills and environmental hazards.

29. West Interstate 110 Interchange:  Traffic accidents. Chemical spills and environmental hazards. Road rage incidents. Travel delays.

30. East Interstate 110 Interchange:  Traffic accidents. Chemical spills and environmental hazards.  Road rage incidents.  Travel delays.

31. Truck Stop Truck Wash:  Traffic accidents. Possible chemical spills and environmental hazards. Vandalism.

32. Water Tower:  Accident resulting in no water for area residents, businesses, and emergency services. Terrorism.

33. High Tension Power Lines:  Accident resulting in no electricity for area residents, businesses, and emergency services. Terrorism.

34. Flood Plain:  Floods resulting to closure of one or more of the Mighty River Bridges and disruption of Somewhere County's travel and emergency response patterns. Possible chemical spills and environmental hazards. Vandalism.

35. 47.93N – 97.06W:  Blizzards, blowing and drifting snow, heavy snow, ice.

Your Community Transit is the most hazard-prone place there is. It's okay for agencies to list only a few hazards…and, really, to have far fewer countermeasures than we list.

(Coach the group through the map to identify potential hazards.)

(Have students draw own map on back of map that was handed out. Through think-pair-share {students work on map alone and think—then pair up with a class neighbor and discuss both maps—then the entire group shares and discusses all the maps} coach the group through making a sketch of their own area. Have students describe their map and discuss their maps after they work in pairs. As you introduce this exercise tell the group to focus on their administrative area if they have a multi-town or multi-county service area. Note that in those situations the service will have to be part of many emergency plans.)

(Possible Map Conclusions: Likely more hazards than they initially realized.

Zoning: You could go to almost any rural areas and see a proximity of situations on map such as propane plant and groups of people. Access and escape from town can be an issue given river and bridges. Location of manager's home means chain of command could be an issue. Fire station could be cut off from action. Evacuation of dorms and prisoners could be an issue with various plants and nuclear reactor. Note whether there are hospitals or clinics; if there are none, assume that you will have to drive for health care. Brainstorm map and you will find many hazards and situations of concern.)

# Approach to the Hazards And Security Issues You Have Identified

### "Chance Favors the Prepared."
*-L. Pasteur*

- The HSP presents a systematic approach to hazards and security issues.
- It is a strategic process…many feedback loops.
- You have started the process by drawing your map.

Now that you have prepared your map you have started the process.

# Situations Covered by the HSP

- Table Page 3

    Contains the issue or event.

    Contains the description and comments on the event.

    Contains the likelihood, frequency, and past occurrences.

    Questions…

Review slide and table.

# Table Page 3

- How do you propose to collect this information?
- How can you be certain your information is complete?
- Who will collect information?

Review slide.

# Table Page 3

Review the table and place a check mark by those security incidents you will address in your plan.

✓

Review slide and allow 5 minutes for review.  Watch when students are done with their review.

# Statements of Belief and Limitations

■ Page 7

Review the eleven belief and limitation statements.

Which of the statements do you believe is most important?

How would you go about filling in the blanks and developing additional statements specifically tailored to your agency?

Review slide.

**Organization, Roles and Responsibilities**

Responsibilities

Continuity of Services

Contact Information

# Overview of Section 2: Organization, Roles and Responsibilities

❶ Who does what?

❷ What if the responsible party is unavailable?

❸ How do I contact the right person?

(HSP Page 10)

Module Three                    79

Here is the overview of the second section and the three essential questions that will be answered when you complete this section.

## Section 2: Organization, Roles, and Responsibilities of Agencies and Personnel

Page 10

■   Responsibilities

■   Continuity of services

■   Contact information

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This section tells you how to keep all the balls in the air…who is responsible, continuity of services, and contact information. Likely you will include:

•Mayor of towns served

•County commissioners of counties served

•City Manager

•Fire Chief (who is usually the first responder in serious incidents)

•Police Chief and Sheriff

•Press in area so that accurate information is available


Are there other issues you sense about this list...think again that likely you will be part of some overall county or city hazard and security plan, and your first task is to identify who is doing what planning in your service area.

## A. Responsibilities

- Who does what when
- Not limited to your agency personnel
- A comprehensive statement of all relevant personnel in your area

Review Table, List of Key Personnel and HSP Responsibilities, Pages 11-14.

Review slide and direct students to Pages 11-14.

Do you know the name of who leads emergencies in your locality? If you don't know this name, find out and start your planning with that person.

# A. Responsibilities

Review Table, List of Key Personnel and HSP
Responsibilities, Pages 11-14.

What agencies will you need to involve in preparing your
HSP?

Coach students to think about those agencies in their home area that need to
be included in the plan.

# A. Responsibilities

Review Table, List of Key Personnel and HSP
Responsibilities, Pages 11-14.

For the task responsibilities that relate directly to your
agency, place a check mark by those you already do.

✓

(Coach students through the list.)

# A. Responsibilities

Review Table, List of Key Personnel and HSP
Responsibilities, Pages 11-14.

Who currently leads any county-declared emergency in
your home area ?

(This slide may require students do some specific homework to discover who
leads county-declared emergencies in their home area.)

# A. Responsibilities

Review Table, List of Key Personnel and HSP
Responsibilities, Pages 11-14.

What task from the entire list seems most difficult?

Coach students through list.

# B. Continuity of Services

Pages 14-15

- Lines of Authority/Responsibility
- Backup Facilities
- Backup Records
- Succession of Personnel

Review slide.

# Lines of Authority

■ Page 14

Of the four items listed under "Lines of Authority/Responsibility," which one will require the most time and thought from your agency?
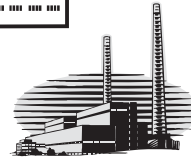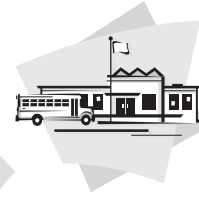
(Coach students to answer question.)

# Backup Facilities

Page 14

■ What are some considerations when selecting a backup facility?

(The graphics give hints to what some of the considerations are. Have the class develop a list of criteria and make sure they include:

1. A "healthy and substantial building." Meaning it has power-generating ability away from a flood plain, in a position where communications will function, available fuel and more. In a hurricane how will you get fuel?

2. A building that is away from major potential targets or hazards and not next to your existing facility.

3. A building that has communication facilities.

4. A building that has enough room for all staff.

5. A facility that has enough space for vehicles.

6. An easy-to-get-to building that is accessible during hazards.

7. A working agreement with owner and periodic inspections and occasional exercises to test the building and location.)

# Backup Records

Page 15

- What are your essential records and what problems do you anticipate in establishing backup records ?

(Discuss slide. Make sure students think beyond computer records and think of:

Articles of Incorporation

Authorizing documents and resolution

Tax records

Titles

Grants

Contracts

Lists of employees and key employee records

Training records

Ask how many systems have taken the simple precaution of a "fire proof" filing cabinet or other storage system?

Important note:  Remind students that they should practice going to the backup facility—previous slide—and restoring backup media.)

# Succession of Personnel

Page 15

- What are two possible uses of the list of succession?

- What would be some criteria for succession?

Two possible uses:

    The obvious in an emergency.

    The not so obvious is when the director or people in charge are traveling.

Criteria:

    Position and job responsibilities

    Tenure at organization

    Knowledge of organization

    Communication skills—interpersonal and if needed bi-lingual

    Home location and proximity to office

# C. Contact Information

Page 16

- How often should the contact list be revisited and updated?
- Who should be responsible for updates?
- What procedures could you put in place to update the contact list?

Review questions.

Answers:

1. Every time someone leaves organization.
2. Personnel director should keep updates.
3. Could use an email request or simply call everyone periodically on a pre-determined basis.

Other Notes: Write confidential at top of list. Date the list so you know it is current and show revised dates. Home addresses are needed too. Update at least quarterly. Email address is for planning and updating, not contacting in an emergency.

What do you do about people who don't want their numbers listed? Drop them from the activities unless it is part of their job description.

**Overview of Section 3: Countermeasures and Strategies**

- Menu of policies and procedures
  - Use expert guidance and other agency experience
  - Ready to implement (fill-in format, but can be tailored to agency needs)
  - Divided into categories by type of countermeasure

(HSP Page 18)

Module Four                                                                                   92

(Review slide.)

# Section 3:
# Countermeasures and Strategies

Page 18

A. Prevention

B. Mitigation

C. Preparedness

D. Response

E. Recovery

(Review slide.)  Here are the five steps we learned with the fly swatter earlier.

# Five Principal Activities

■ Review the chart on page 20

(Remind students about the picnic example and that is how they can remember what the five activities are.)

# Prevention

- Actions to reduce the likelihood that an event will occur.

  Give an example of a prevention activity.

(Examples of activities are listed in the text on page.)

# Prevention

- There are 22 prevention activities listed on the chart on pages 22-23. Rate the ease of conducting the activity as easy or hard.

(Go through list on following slides as quickly or slowly as the group is discussing the items and have them rate the items as easy or hard.)

# Prevention

- Pages 22-23  Rate each item: Easy or Hard
1. **Driver's Vehicle Checklist**
2. **Mechanic's Vehicle Checklist**
3. **Employee Badge Policy**
4. **Visitor Badge Policy**
5. **Vehicle Key Policy**
6. **Facility Key Policy**
7. **Securing Vehicles During the Shift**

Rate the items and encourage the students to clarify any questions they might have about any item.

# Prevention

- Pages 22-23 Rate each item: Easy or Hard
8. **Securing Vehicles at the End of the Shift**
9. **Securing the Facility**
10. **Prohibited Items**
11. **Shipping and Receiving Security Policies**
12. **Petty Cash Use Policy**

Rate the items and encourage the students to clarify any questions they might have about any item.

# Prevention

- Pages 22-23  Rate each item: Easy or Hard

13. **Fare Evasion Policy**

14. **New Employee Screening**

15. **Preventing and Responding to Disruptive, Threatening, or Violent Behavior**

16. **Workplace Bullying**

17. **Report Hazards to Management Staff**

Module Four                                                        99

Rate the items and encourage the students to clarify any questions they might have about any item.

# Prevention

- Pages 22-23 Rate each item: Easy or Hard
18. **Passenger Security Communications**
19. **Security Devices**
20. **Policy for Reassessing Bus Stop Locations**
21. **Update HSP**
22. **Include Security Design Considerations into New Building Construction/Selection**

Module Four                                                         100

Rate the items and encourage the students to clarify any questions they might have about any item.

# Mitigation: A Working Definition

- Actions you take to reduce the asset loss or human consequences of an event.

  Give an example of a mitigation activity.

This is the area that requires the most thought and creativity because you might be able to prevent or reduce the severity of the incident.

Drivers and mechanics may perform vehicle checks to detect suspicious packages, thereby preventing an incident involving a dangerous substance.

The agency may designate a staff member to check weather conditions to ensure it is safe to send vehicles out on routes. (Although it is impossible to *prevent* hazardous weather, proper action can limit the consequences that such a hazard may impose on vehicles, passengers, and employees.)

# Mitigation

■Page 34

There are 10 mitigation activities listed.

For which activities do you already have an established written policy?

(Review the list in the HSP and determine who has a policy for the various activities.  Then on the following slides determine which policies are easy or hard.)

# Mitigation

■Page 34

There are 10 mitigation activities listed.

Rate the ease of establishing and maintaining the activities, easy or hard?

Of the mitigation activities in the table on Page 34, which is the easiest? The most difficult?

# Preparedness: A Working Definition

- Actions you take to anticipate and minimize the impacts of events.

- Planning measures taken to ensure reactions to events are efficient and effective.

Give an example of
a preparedness activity.

Example:  Policies for actions you will take. They can range from just lists of activities to specific items such as bio-hazard kits on buses.
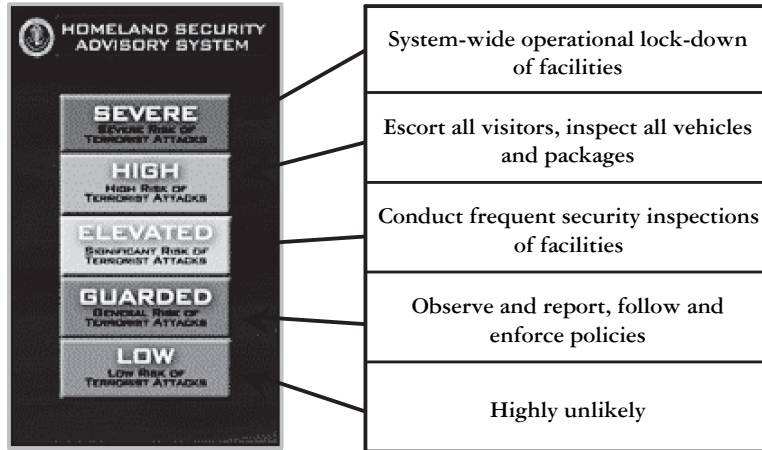
# Preparedness

Pages 41-42

■ In the table "Preparedness Activities," which activities do you already engage in?

■ What are the heightened alert levels referred to in items 24 and 25?

(Review table with students and be prepared to advance to next slide to answer the question about heightened alert levels.)

# Alert Levels



| | |
|---|---|
| **HOMELAND SECURITY ADVISORY SYSTEM** | System-wide operational lock-down of facilities |
| **SEVERE** — Severe Risk of Terrorist Attacks | Escort all visitors, inspect all vehicles and packages |
| **HIGH** — High Risk of Terrorist Attacks | Conduct frequent security inspections of facilities |
| **ELEVATED** — Significant Risk of Terrorist Attacks | Observe and report, follow and enforce policies |
| **GUARDED** — General Risk of Terrorist Attacks | Highly unlikely |
| **LOW** — Low Risk of Terrorist Attacks | |

Module Four                                                                                     106

The Homeland Security Advisory System is intended to provide a comprehensive and effective means to disseminate information regarding the risk of terrorist acts to federal, state, and local authorities and the American people. The system provides warnings in the form of graduated "Threat Conditions" that increase as the risk of threat increases. At each Threat Level, agencies should implement a set of protective measures to reduce vulnerability or increase response capability during a period of heightened alert. The five levels of risk are:

Red: Severe risk of terrorist attack

Orange: High risk of terrorist attack

Yellow: Significant risk of terrorist attack

Blue: General risk of terrorist attack

Green: Low risk of terrorist attack

Discussion:  Who has a plan to address each level? What activities do you conduct at the various levels? How can you find out what the threat level is? Go online and sign up for security updates from FTA and you can find a color copy of this chart.

# Preparedness

- Pages 41-42
- There are 25 preparedness activities listed. Which activities do you already have in place?
- Of those that you do not currently have in place, what problems or concerns do you anticipate in establishing the missing preparedness activity?
- Are there any items that could be added to the list?

(Review table with students.)

# Preparedness

- ■ Pages 41-42 Rate each activity as "easy" or "hard" and "must have" or "optional."
1. **On-board Emergency Supplies**
2. **Supervisors' Role in Security/Emergency Management**
3. **Mechanics' Role in Security/Emergency Management**
4. **Dispatchers' Role in Security/Emergency Management**
5. **Policy for Backing up Computers**
6. **Policy for Storage of Computer Backup Data at an Off-site Location**

For the 25 activities in the table on pages 41-42, rate each as *easy* or *hard* and *must have* or *optional*.

# Preparedness

- Pages 41-42 Rate each activity as "easy" or "hard" and "must have" or "optional."

7. **Policy for Storage of Key Agency Documents at an Off-site Location**
8. **Policy for Understanding Local Threats**
9. **Update Employee/Responder Contact List**
10. **Fiscal Security Planning**
11. **Test Fire Alarms, Fire Suppression Equipment, and Smoke Detectors**
12. **Test Backup Power Generation**
13. **Conduct Agency Emergency Response Drills**

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For the 25 activities in the table on pages 41-42, rate each as *easy* or *hard* and *must have* or *optional*.

# Preparedness

- ■ Pages 41-42 Rate each activity as "easy" or "hard" and "must have" or "optional."

14. **Participate In Regional Drills**
15. **Mutual Aid Agreements with Law Enforcement**
16. **Mutual Aid Agreements with Fire Department**
17. **Mutual Aid Agreements with Emergency Medical Services (EMS)**
18. **Mutual Aid Agreements with Emergency Planning Organization**

For the 25 activities in the table on pages 41-42, rate each as *easy* or *hard* and *must have* or *optional*.

# Preparedness

- Pages 41-42 Rate each activity as "easy" or "hard" and "must have" or "optional."
19. **Mutual Aid Agreements with Others**
20. **NIMS training**
21. **New Employee Training on Security Awareness**
22. **Disciplinary Actions of Employees Who Are Potential Threats to the Agency**
23. **Policy for Processing FTA Alerts**
24. **Emergency Service Changes**
25. **Facilities Inspections at Elevated Alert Levels**

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For the 25 activities in the table on pages 41-42, rate each as *easy* or *hard* and *must have* or *optional*.

# Response: A Working Definition

■ Those activities you take
to react to events.

Give an example of a
response activity.

You don't just throw up your arms…

Example: Specific procedures for suspicious packages.

# Response

Pages 52-53

■ In the table, "Response Activities," there are 20 response activities. (These are described on pages 54-69.)

■ What is the central theme of all the response activities?

■ What do you need to do to make sure that theme is advanced at your agency?

Communication is the central theme. Both internal and external communication. (Be sure to stress that one theme could be "Be prepared, and follow your plan…. Don't count on improvisation. Improvisation, no matter how well-intentioned, can lead to trouble.")

Certainly other important themes are incident data, making data-driven decisions, and policy for requesting outside assistance.

# Response

Pages 52-53

- Which response activities do you already have in place?
- Rate each activity with regard to your resources as "easy" or "hard."

Coach students through list.

# Response

- Easy or Hard?
1. **Policy for Requesting Agency Assistance for Security Incidents and Other Hazards**
2. **Emergency Drop Points**
3. **Evaluating and Managing Suspicious Activities**
4. **Evaluating Suspicious Substances or Packages**
5. **Handling a Suspicious Package, Device, or Substance**

Review and discuss each item on the list.  Seek to have students understand why the item is easy or hard.

# Response

- Easy or Hard?
6. **Radio Usage Policy**
7. **Cell Phone Usage Policy**
8. **Aborting or Changing Route Due to a Hazard**
9. **Policy for Filing an Incident Report**
10. **Notification of Emergency**
11. **Bomb Threat Checklist**
12. **Checklist to Use When Contacted by the Designated Local Emergency Manager**
13. **Normal Hours Emergency Response Policy**
14. **After Hours Emergency Response Policy**
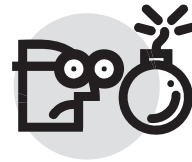
Review list with students.

# Response

- Easy or Hard?
15. **Mobilization Resource List**
16. **Emergency Press Release**
17. **Evacuation Procedures**
18. **Policy for Requesting Outside Assistance for Security Incidents and Other Hazards**
19. **Short-Term Response**
20. **Emergency Escape Procedures and Routes**

Review list with students.
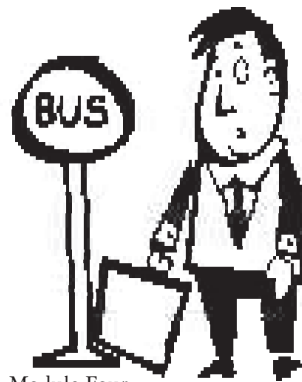
# Response

Pages 54-69

- Of the items listed, which do you think is most important?
- Why did you select that item?

Coach students through list.

# Response Activities

■ When selecting emergency drop points, what should you consider?

Protection from elements.

Safe area free from hazardous people or conditions.

Well lighted.

Communication facilities.

Others?

# Response Activities

- Radio use: How would you assess your current radio use?

- If you do not use two-way radios, what are your plans for communicating when needed?

Discuss type of communication system services used... two-way radios, shared towers, cell phones…none?

Systems sometimes count on cell phones, which have dead zones in rural areas. (Take it from someone in a rural area, there are dead zones even if you can see the tower.)

# Recovery: A Working Definition

■  Actions you take to get things back to normal.

Give an example of a recovery activity.
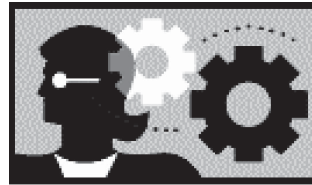
Example:  Clarifying your insurance coverage.

## Recovery Activities

Page 70 Recovery Activities

1. Review Insurance Policies
2. Review HSP
3. Review Backup Plan
4. Cleanup/Inspection
5. Document Vehicle Use
6. Evaluate Response
7. Oversee Recovery/Restoration

Which is most important?

There are seven items in the table on Page 70. Ask the students to read and react to the recovery steps.

Why document vehicle use?
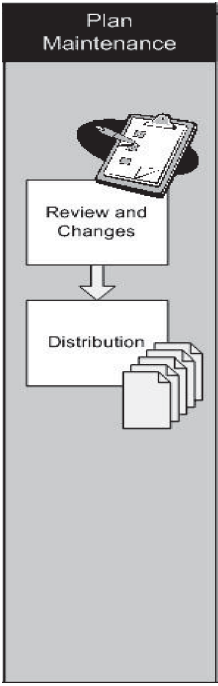
    Cost recovery for use.

    For evaluation of efforts.

# Recovery

- For Item 6, page 72, "Evaluate Response," what do you imagine will be the most difficult elements to evaluate?
- Why is the evaluation so important?
- What will you do with the evaluation?

Review evaluation form with students and emphasize the importance of learning and revising the HSP for future hazard or security occurrences.

**Plan Maintenance**

Review and Changes

Distribution

# Overview of Section 4: Plan Maintenance

❶ When should the plan be reviewed?

❷ How should it be updated?

❸ Who should get a copy?

(HSP Page 74)

Module Five                                        124

Section 4 answers the key questions about keeping the plan up to date and in the right hands.

# Section 4: Plan Maintenance

Page 74

A. Review and Changes

B. Assessment

C. Distribution

Plan maintenance is straightforward.  Are there other activities you should add?

# Review and Changes

Page 75

■ The HSP should be reviewed at least once a year, but which elements should be reviewed more frequently?

■ What would cause you to revise your HSP?

■ How will you ensure that the HSP is coordinated with all your policies?

*"It is a bad plan that admits of no modification."*
*-Publius Syrus (42 BC)*

Module Five                                          126

Items that should be reviewed more frequently are the lists of contacts and emergency facility location.

Every serious incident or hazard occurrence should cause you to review your HSP.

Insure coordination by incorporating elements of the HSP into training and retraining.

Why revise your plan?
•New threat information
•Correct mistakes/shortcomings in response
•Staff changes and elected or appointed official changes
•Insurance carrier changes
•Technology changes—new radios, phone systems, computers, backup power systems, new vehicles with different evacuation mechanisms, new alarm systems
•Changes in other organizations' management or operations
•Service changes or new areas of service

# Assessment

- Use the checklist on pages 77-80 to gain an overview of what needs to be done.

- Review "FTA Top 20 Security Program Action Items for Transit Agencies" contained in Attachment B of the HSP instructions.

- Review "Capabilities Checklist" in Attachment A of the HSP instructions.

Review checklist to familiarize students with content. Important: Be sure to alert the workshop that the "FTA Top 20 Security Program Action Items for Transit Agencies" is contained in Attachment B of the HSP instructions. As time permits, review the list of 20 action items or at least have the workshop put a "sticky note" on that section for later review. Also direct workshop attention to Attachment A of the HSP instructions, "Capabilities Checklist," and remind the workshop to review this at a latter time.

# Distribution

Page 81

- Who in your organization should receive a copy of the HSP?
- Who outside of your organization should receive a copy of the HSP?

(Review slide). Should board members receive a copy?

Is the HSP a privileged document? Is it subject to "sunshine laws?" These laws vary from state to state; check with your state unit on transit.

In general, the HSP is a special document, and having numerous copies with no tracking mechanism of where the copies are is not advised. Keep track of whom you give copies to and instruct those receiving a copy that it is confidential.

Note that you should enter your revisions and track the document by indicating on the cover the current date. You might consider putting the plan in a three-ring notebook so that everyone with a copy can put in the new pages as appropriate.

## Summary and Review

1. Describe the Core Value Techniques to address hazard and security whether you have a plan or not.

(Instruct students to take a blank sheet of paper and respond to the questions in writing and then discuss the answers, which are on the slides following the questions.)
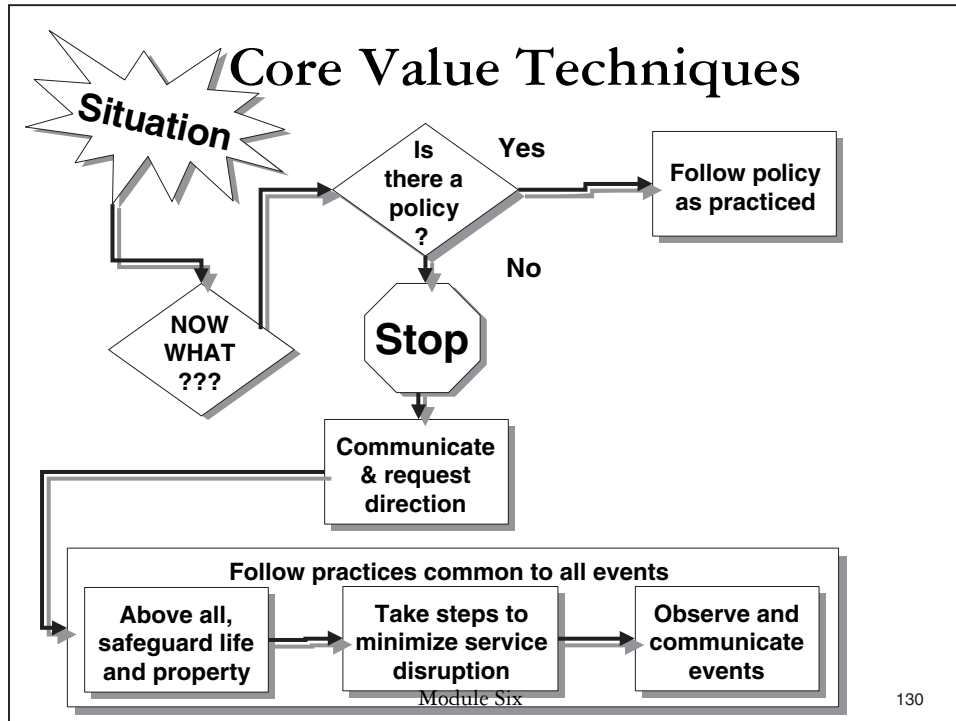
## Core Value Techniques

**Situation**

Is there a policy?

Yes → **Follow policy as practiced**

No

**NOW WHAT ???**

**Stop**

**Communicate & request direction**

**Follow practices common to all events**

| Above all, safeguard life and property | Take steps to minimize service disruption | Observe and communicate events |

Module Six

130

We all know that small transit agencies often operate on a shoestring and employees are used to being creative and resourceful to keep things going. While this is necessary on the operations side, operating by the seat of your pants in a security situation can be bad – and dangerous.

We've all heard stories about operators doing heroic things to keep service running, and this is great. But, driving into a bad storm or other situation with a van full of passengers because the operator wants to help out. It can be a disaster.

Transit agencies are entrusted with the lives and well being of their passengers. When it comes to security, improvisation is not good. The best policy is to have a plan, practice the plan, follow the plan, know your limitations, and know when to ask for help.

But, how can you do that when you don't know exactly what situations may happen at your agency? You could have a terrorist event, but is it realistic to spend time practicing terrorist response techniques just in case?

A better approach is to have a set of scalable core practices to react to a wide range of events.

There may not be a standard policy for an event, but having a fundamental policy for action (and an understanding of priorities (life & property, service, etc.) will enable employees to know what should and shouldn't be attempted.

Then, if a situation occurs, you're ready for most anything.

At an agency without this sort of planning, reaction to a situation looks something like this (click) Anything might happen here…and it might not be good. It's a scary situation to be in if you don't have a plan.

What we tried to do in this plan, is to come up with some core practices that are applicable to a wide range of situations. Your response would then look like this to something small (like a disruptive passenger) or to something big (like to a tornado OR a spill at a local chemical factory OR a bomb threat) - CLICK

The approach here emphasizes the fundamentals:

- Clear agency policies – Dozens of sample policies are offered in this document that transit agencies can use as templates.

- Training new employees in the basics – This training can be done in conjunction with other efforts (e.g., new hire training or safety training).

- Whether in day-to-day operations (including security issues in the daily vehicle inspection sheet) or less frequent events (e.g., emergency evacuation drills), practicing is an important part of a security plan.

- Communications within the agency – When faced with situations, above all, employees should know what to do, and know when to communicate situations to others within the agency for guidance.

- Communications with outside organizations – Law enforcement, fire, first responders, and emergency organizations near the transit agency have done much of the work and can offer assistance.

- For any situation, you need to know your priorities – employees should know that the first priority is safeguarding lives and property (including your own), then maintaining service, and then attempting to respond to events. When employees understand these priorities, they  will have the knowledge they need to do the right thing.

# Summary and Review

2. Is the HSP a difficult process?

3. What are the budgetary questions you should ask?

(Review slide.)

# Not Difficult: Requires Due Care
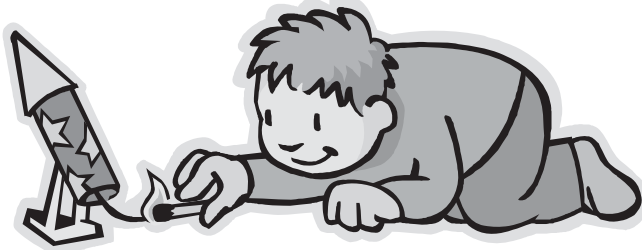
Module Six                                                                                    132

The HSP is not rocket science. Even a kid can do it. Maybe not at your level of sophistication, but everyone has some level of HSP, as we illustrated with our discussion of flying and your house catching on fire….they just don't call it that. They call it taking precautions or thinking ahead or maybe just being careful. I think you will agree that this child is not being careful with his fireworks. Putting your face down by a fire cracker or 4th of July rocket is not advised, but you may have noticed that earlier when I first showed this slide!

The HSP requires, though, that you adopt a hazard and security frame of mind and that you integrate the concepts into all your policies and thinking.

# Budget Considerations

- In developing the HSP, the agency should ask the following questions:
  - How much money is available, in the short and long term, to fund physical protection, training, and preparedness enhancements?
  - Are additional funding sources available from federal, state, local, and/or private sources?
  - Is there a process for accounting for emergency response cost by the agency?

(Review slide.)

# Summary and Review

4. Describe or draw the conceptual approach to the HSP.

(Review slide.)
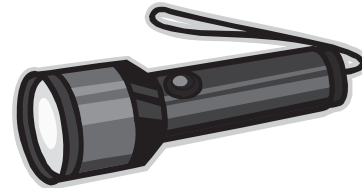
# HSP Conceptual Approach

Establish Policies

Determine Roles

Countermeasures

*Feedback Loop*

Maintain and Revise Plan

Module Six                    135

The HSP approach mirrors the NIMS approach in its systematic nature. If you ever have to break out the flashlights for a power outage, you will be prepared because you will have your HSP processes in place and ready to implement. This is a strategic process and answers the three strategic questions: Where are we? Where do we want to go? How do we get there?

---

# Summary and Review

5. What is the key lesson of the Mountain Lion and Deer pictures that I showed you earlier?

---

The key lesson is balance.  Finding the right balance between caution and carelessness is not easy but the HSP is designed to help you find that balance through the planning process.

# Cost Benefit of Preparing an HSP

The deer that never looks up gets eaten.

The deer that looks up all the time never gets enough to eat.

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Remember: Deer have evolved behaviors that have caused them to be a successful large mammal.

The manager of a system is the same way. If you do not have an HSP in place, you might have problem; on the other hand, if you are always "looking over your shoulder," you will not be efficient as a manager. You may still be looking over your shoulder, but with the HSP as a guide you will still be going forward.
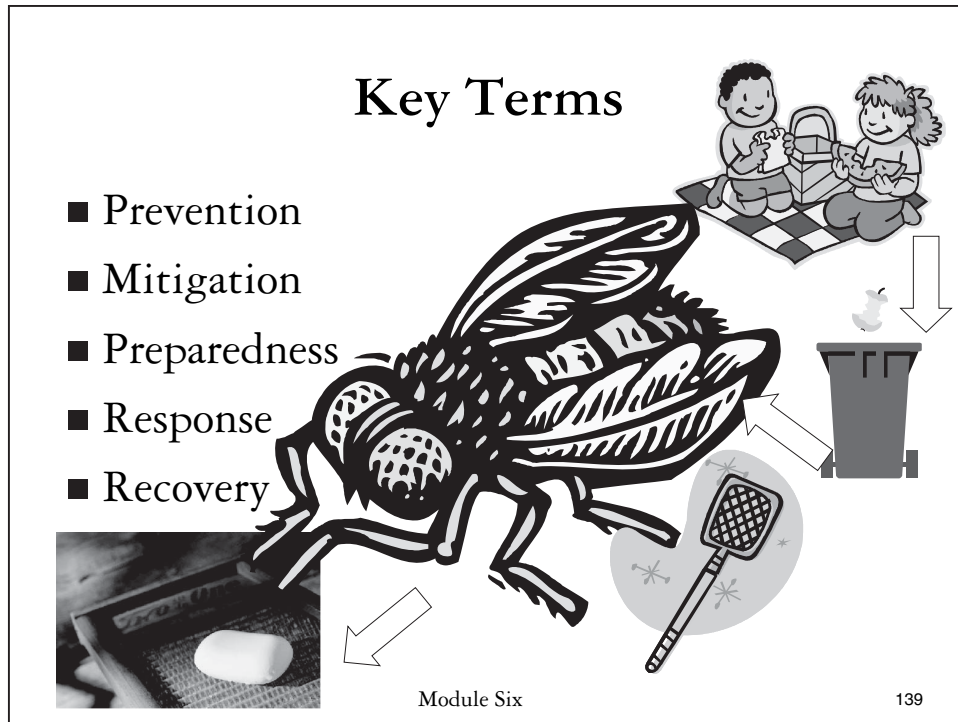
## Summary and Review

6. What are the five terms that we learned with the picnic and fly swatter example, that are integral to the HSP steps, and that reflect the needs of the National Incident Management System (NIMS)?

(Review slide.)

Key Terms

- Prevention
- Mitigation
- Preparedness
- Response
- Recovery

Module Six                                                                 139

Here are the five key terms we will devote most of the workshop to by
preparing detailed activities for your system.


I will demonstrate these concepts with a fly swatter and I want you to imagine
that we have our plan finished and that we have decided to go on a picnic.

1.  Prevention:  We carefully throw away our garbage and tidy up our picnic
    area.  This prevents flies from being attracted to our picnic.

2.  Mitigation:  We know there are going to be flies anyway no matter what we
    do, so we mitigate their impact by covering our food and letting the flies
    walk on the covers instead of the food.

3.  Preparedness:  We bring a fly swatter "just in case."

4.  Response:  That pesky fly is swatted!

5.  Recovery:  We flick the fly away. Maybe shake it off the swatter and wash
    our hands with a handy wipe or with soap and water before we handle food
    again.


We will prepare specific activities for each of the five concepts for your system
just like we did for the picnic.

## Summary and Review

7. What is the key lesson of the exercise we went through about airplanes, your home and your transit service?

8. What are your four areas of primary responsibility when it comes to hazards and security?

(Review slide.)

## Vulnerability Assessment

| | Severity | | | |
|---|---|---|---|---|
| Likelihood | Catastrophic | Critical | Marginal | Negligible |
| Frequent | | | | |
| Probable | | | | |
| Occasional | | | | |
| Remote | | | | |
| Improbable | | | | |

Module Six                                    141

The key lesson is that we do a vulnerability assessment and act accordingly. (And the following slides review the exercise.)

(If necessary)   Discuss the matrix, defining the terms used:

**Likelihood**

Frequent = event will occur;

probable = expect event to occur;

occasional = circumstances expected for that event – it may or may not occur;

remote = possible but unlikely;

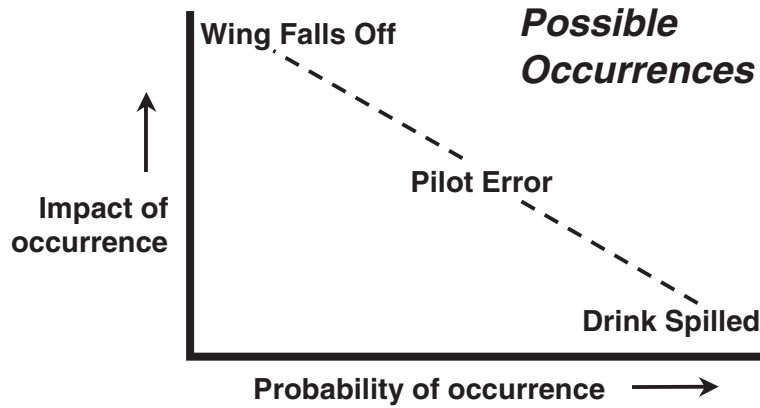improbable = event will not occur.

**Severity**

Catastrophic = disastrous event;

critical = survivable but costly;

marginal = relatively inconsequential;

negligible = limited or no impact.

Personal: Flying in a Commercial Airplane

Wing Falls Off

**Possible Occurrences**

Impact of occurrence

Pilot Error

Drink Spilled

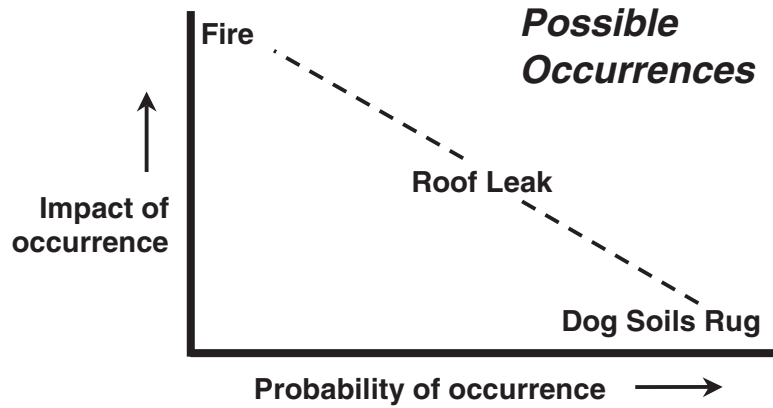Probability of occurrence ⟶

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There is a wide range of potential problems or threats that could either directly or indirectly affect you the next time you fly. These occurrences range from the likely to the rare. So we are likely more careful about how we handle our drink than checking the rivets on the wing before we fly.
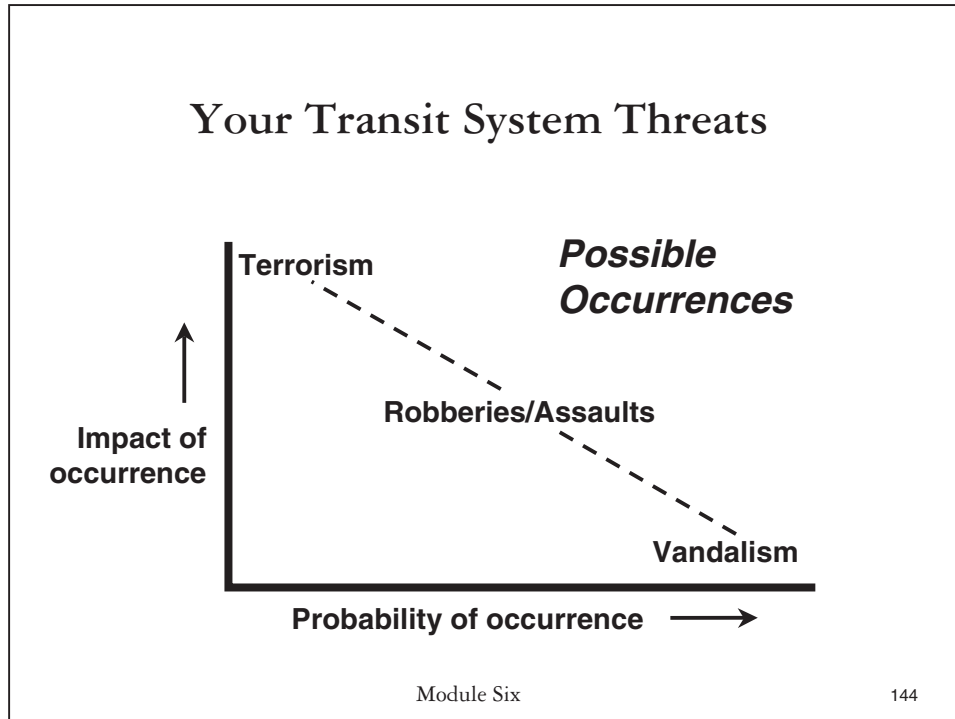
## Family: Threats to Your Home

Fire

**Possible Occurrences**

**Impact of occurrence**

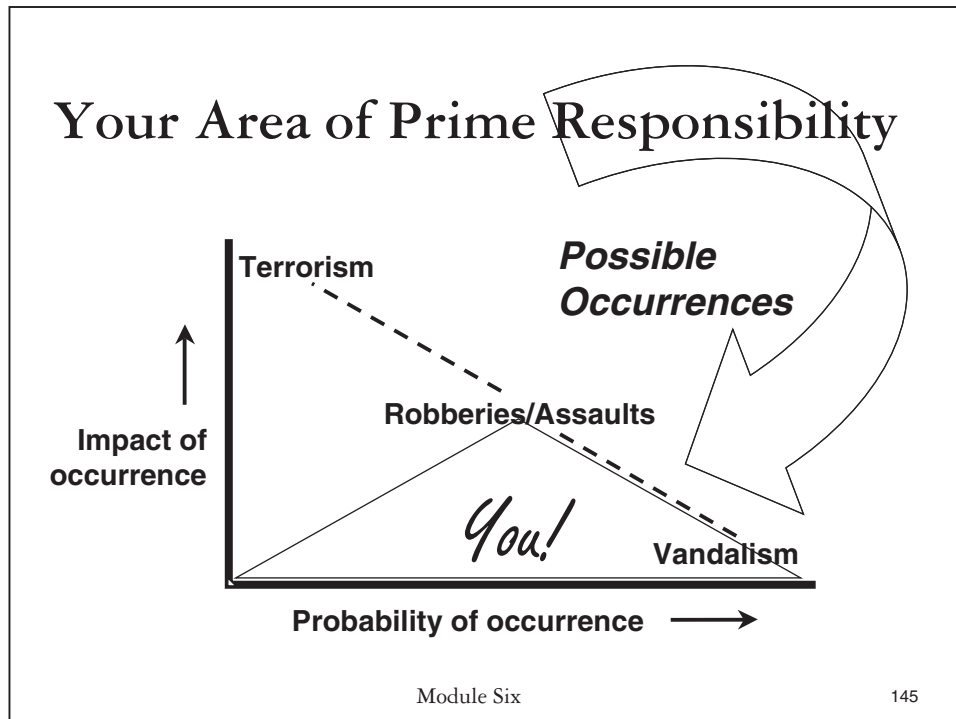**Roof Leak**

**Dog Soils Rug**

**Probability of occurrence** ⟶

There is a wide range of potential problems or threats that could either directly or indirectly affect you and your family in your home. These occurrences range from the likely to the rare. So we are likely to spend more time training or cleaning up after our dog than preparing for a house fire.

## Your Transit System Threats

**Possible Occurrences**

**Terrorism**

↑
**Impact of occurrence**

**Robberies/Assaults**

**Vandalism**

**Probability of occurrence** ⟶

There is a wide range of potential acts or threats that could either directly or indirectly affect your transportation system. These acts include vandalism, theft, robberies, assaults and other types of workplace violence, all the way up to terrorism. As the graph shows, terrorism and other high-level violent acts will have a greater impact on the system, its employees, and the public, but their probability of occurrence is much lower.

This disparity is due in large part to the complexity and necessary effort required to pull off an act of terrorism. Reports indicate that the attacks of September 11 were being planned for close to eight years, while instances of vandalism are often spontaneous and not planned.

**Your Area of Prime Responsibility**

Terrorism

*Possible Occurrences*

Impact of occurrence

Robberies/Assaults

*You!*

Vandalism

Probability of occurrence →

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Finally, remember that you will only be primarily responsible for those activities that have modest or low consequences. We discussed this slide earlier and remember...

...the light blue shaded areas of the graph show those areas that you have prime responsibility for and in general you are the first to tackle the situation. This graph shows it is unlikely you will be responsible for an act of terrorism as a first responder, but you may be asked to respond in some way—evacuation or communication—so we include some element of all possible occurrences in our HSP.

You will only have prime responsibility for those activities that have modest or low consequences. Some other agency will be the primary responder on the major events, but you need to know who that is and what your role will be.

## All-Hazards Security & Emergency Preparedness:
## Your Areas of Prime Responsibilities

- **Prevent** incidents within control and responsibility of transit system

- **Respond** to situations and events

- **Mitigate** loss

- **Protect** passengers, personnel, and critical assets

- **Support** community response with equipment and capabilities

- **Recover** from major events with available resources and programs
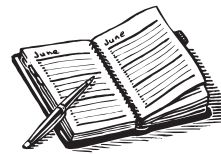
Module Six                                                     146

While the previous slide provided an idea of your areas of responsibilities in specific situations, this slide sets out the generic, all-encompassing areas of responsibilities for your transit service.

(Review the slide.)  What are the five countermeasures discussed in this class?

1. Prevention
2. Mitigation
3. Preparedness
4. Response
5. Recovery

Do you need more assistance or background material with any of the five areas?

(Coach the students to plan how they'll finish their HSP—contact names and numbers, distribution and more.)

# Resources

- Transit agencies are encouraged to seek help…
  - Law enforcement
  - Local emergency managers
  - Review state and regional plans
  - Reference materials
    (such as FEMA How-To guides)
  - Work with other transit agencies
  - Map out hazards

Module Six                                                                 148

It is important to seek all the resources that are available to you. Local agencies can help you map out hazards and procedures. Even your drivers can help you identify hazards if you have them do a sketch map of the service area, as we did earlier in the workshop.

# Resources

**Websites:**

- **Department of Homeland Security**
   www.ready.gov

- **Federal Emergency Management Agency**
   www.fema.gov

- **American Red Cross**
   www.redcross.org

These websites and their many links will provide you with a lot of valuable information and resources for developing an action plan that best suits you, your organization, and your family.

As you learn the jargon of security, you will hear people referring to DHS—make sure you know whether someone is talking about the Department of Homeland Security or the Department or Division of Human Services.

# Resources

*Websites:*

- ■ **Transportation Research Board**
  - www.trb.org
- ■ **Federal Transit Administration**
  - www.fta.dot.gov
- ■ **Volpe Center**
  - www.transit-safety.volpe.dot.gov

*Also see the resource list*
*in the HSP and CD-ROM*

Module Six                                                     150

The Volpe site is officially FTA's Safety and Security Home Page – where agencies can find all sorts of information on emergency response, planning, security planning, and FTA safety and security resources.

# Evaluation

- Please complete the evaluation form.
- Each person share with the group something you learned or changed as a result of our time together.
- Each person tell the group when you will complete your HSP.

(Hand out evaluation forms and have students take five minutes to complete the evaluation.  Then go around the room and have students answer the two questions in the slide.)

# Credits and Footnotes

Slides 30, 106, 144:

Transit Workplace Safety and Security Instructor Package.
Federal Transit Administration. National Transit
Institute.

For general discussion of deer and anxiety, Slides 13, 14,
137:
Marks, I. M., & Nesse, R. M. (1994). *Fear and fitness: An
evolutionary analysis of anxiety disorders.* Ethology and
Sociobiology, 15, pages 247-261.

NTI has many presentations and is a good resource. If you want to know more about the survival value of fear and response, review the article by Marks and Nesse.

# Adjourn

## (But never adjourn safety or security!)

# Until Next Time,
# Thank You!

Show slide and thank students for their participation.

## CD CONTENTS

| File Name | Description | Source |
|---|---|---|
| **Sample Emergency Response Plans** | | |
| City of Puyallup—Pierce transit.pdf | Emergency Response Plan for the City of Puyallup (Pierce Transit is responsible for transit elements) | Puyallup, Washington |
| Florida Template.doc | Local Terrorism Incident Response Annex To a County or City Comprehensive Emergency Management Plan | State of Florida |
| Palm Beach County.pdf | Plan describing Emergency Support Functions for the transit agency under the county's Comprehensive Emergency Management Plan (CEMP) | Palm Beach County, Florida |
| Port Arthur Transit.pdf | Emergency Response Plan for Port Arthur Transit | Port Arthur, Texas |
| Vermont—Model Emergency Operations Plan.pdf | Example of an emergency plan template | State of Vermont |
| **Section 1—Establish Policies** | | |
| Assumptions—City of Puyallup Washington.doc | Assumptions (Statements of Belief and Limitations) for a locality | Puyallup, Washington |
| Assumptions related to terrorism—Florida.doc | Guidance for organizations located in Florida in developing terrorism-related assumptions (Statements of Belief and Limitations) | State of Florida |
| Plan Purpose—City of Puyallup Washington.doc | Sample emergency plan purpose | Puyallup, Washington |
| Plan Purpose—Port Arthur Transit Texas.doc | Sample emergency plan purpose | Port Arthur, Texas |
| Plan Purpose—Vermont model.doc | Sample emergency plan purpose—taken from State guidance (model plan development) | State of Vermont |
| Situation—City of Tumwater.doc | Sample emergency plan situation for a city | City of Tumwater, Washington |
| Situation and Assumptions—AACOG & Golden Crescent.pdf | Examples of Statements of Beliefs and Limitations (Assumptions) from two transit agencies | Golden Crescent Transit and Alamo Coordinated Transit |
| **Section 2—Organizational Roles and Responsibilities** | | |
| Driver Memo.doc | Driver Memo—sample memo to employees soliciting their participation in emergency response activities | John Sorrell |
| Emergency Participation Notification.doc | Letter for employees explaining their obligations to respond to certain emergency events. This requirement is explained to and agreed upon by all new employees. | Mountain Line Transit, West Virginia |
| FTA Threat Level Recommendations.doc | FTA's Transit Threat Level Response Recommendations | FTA |

| File Name | Description | Source |
|---|---|---|
| Threat Level Orange Memo.doc | Threat Level Orange memo | Mountain Line Transit, West Virginia |
| Threat Level Orange Poster.pub | Poster that notifies passengers of the alert level | Mountain Line Transit, West Virginia |
| Threat Level Yellow Memo.doc | Threat Level Yellow memo | Mountain Line Transit, West Virginia |
| **Section 3—Countermeasures and Strategies** | | |
| **01—Prevention** | | |
| Visitor Sign-in Sheet.doc | Sign-in sheet to manage visitors given entry to the facility | HSP |
| **02—Mitigation** | | |
| Hazard Assessment Worksheets.pdf | Hazard assessment tools assembled by FEMA | FEMA |
| Hazard Assessment Worksheets—Instructions.pdf | Hazard assessment tools assembled by FEMA | FEMA |
| State of Kentucky—Possible Hazards.doc | Listing of hazards and definitions assembled by the state of Kentucky | State of Kentucky |
| Vermont Sample Hazards.doc | Listing of hazards and definitions assembled by the state of Vermont | State of Vermont |
| **03—Preparedness** | | |
| MOU memo.doc | Document used to commit resources and assistance to the local Emergency Management Agency | John Sorrell |
| Mutual Support Resources.doc | Data sheet to collect and maintain information on potential mutual support resources (primarily transportation assets) | John Sorrell |
| NIMS implementation plan template.doc | Template to guide organizations in implementing new DHS requirements for use of the National Implementation Management System | Department of Homeland Security |
| Pre Event Checklist small.doc | An agency/management checklist for pre-event activities and for planning activities. It is in a small format. | John Sorrell |
| Pre Event Checklist.doc | An agency/management checklist for pre-event activities and for planning activities. It is in a regular format. | John Sorrell |
| Required on board emergency supplies.pdf | Agency policy for on-board emergency supplies | Connect Transportation, Gulf Coast Center |
| Severe weather action plan.pdf | Intended for Maintenance Department | DART |
| Social Service Agency.doc | Data sheet to collect and maintain information on social service agencies and their points of contact | John Sorrell |
| Transit Terrorism Resource Guide.pdf | Florida Public Transportation Anti-Terrorism Resource Guide | National Center for Transit Resource |

| | | |
|---|---|---|
| Vehicle Inventory List (available for emergency response).pdf | Vehicle Inventory List (available for emergency response) | Mountain Lion Transit |
| **04—Response** | | |
| Blank Checklist.doc | Blank template for a possible format for an agency checklist | John Sorrell |
| Bomb threat checklist—Harris County.pdf | Checklist for gathering information for a phone-in bomb threat | Houston METRO |
| Bomb threat procedures—Harris County.pdf | Procedures for managing a bomb threat | Houston METRO |
| Chemical & Biological Hazard Procedure.pdf | Chem/bio agent response plan | Houston METRO |
| Critical incident management for first responders.pdf | Critical incident checklist that first responders can follow | New York City Transit |
| Critical information from first responders.pdf | Critical information that should be gathered from first responders | FTA |
| Dispatcher notification sheet.pdf | Information that should be collected by a dispatcher upon notification of a situation | FTA |
| Driver Recall Roster.doc | Potential format for a driver roster with critical recall information | John Sorrell |
| Emergency response checklist—MLT.pdf | Procedures for an emergency in checklist format | Mountain Lion Transit |
| Emergency Response Procedures—After Hours.pdf | Emergency response procedures to be used after normal business hours | Mountain Lion Transit |
| Emergency Response Procedures—Normal Hours.pdf | Emergency response procedures to be used during normal business hours | Mountain Lion Transit |
| EmPrepPlanMod.doc | Emergency preparedness materials—focused on transit | Minnesota DOT/Office of Transit |
| ER SOP & Checklist.doc | Standard operating procedures & checklist | John Sorrell |
| ER SOP small.doc | This agency's emergency response standard operating procedures in a small format to fit in a 51/2 by 81/2 binder | John Sorrell |
| ER SOP.doc | This agency's emergency response standard operating procedures in a small format to fit in an 81/2 by 11 binder | John Sorrell |
| Evacuation Shelter Loc.doc | Data sheet to collect and maintain information on shelters | John Sorrell |
| Event Checklist small.doc | A manager's checklist for an actual event, crisis or response. It is formatted to fit in a 51/2 by 81/2 binder | John Sorrell |
| Event Checklist.doc | A manager's checklist for an actual event, crisis or response | John Sorrell |
| First Responder List.pdf | List of first responders to maintain during an emergency to track personnel | Mountain Lion Transit |
| Incident Command.doc | Data sheet to collect and maintain information on incident command post and key personnel | John Sorrell |

| File Name | Description | Source |
|---|---|---|
| Maintenance Vendor.doc | Data sheet to collect and maintain information on maintenance vendors | John Sorrell |
| Media relations during crisis.pdf | Tips for communicating with the media | FTA |
| Mobilization & Resource List of Available Personnel and Equipment.pdf | Data sheet to collect and maintain information on responders and resources during an actual emergency | Mountain Lion Transit |
| No fare service policy during emergency.pdf | Policy for not collecting fares during a declared emergency | DART |
| Press Release Listing.pdf | Sample prepared press release for use during an emergency | Mountain Lion Transit |
| Radio procedures.pdf | Guidelines for normal and emergency use of radio | Connect Transportation, Gulf Coast Center |
| Route Checklist & Emergency Drop Point.pdf | Pre-determined emergency drop points for use during an emergency | Mountain Lion Transit |
| Standard Protocols for Suspicious Items.pdf | FTA's guidance *Standard Protocols for Managing Security Incidents Involving Surface Transit Vehicles* | FTA |
| Transit Response to City Evacuation.pdf | One-page document explaining the protocol for transit operations should the city of Pittsburgh need to be evacuated. Document is a good example of a brief overview that can be distributed to employees for reference. | Port Authority of Allegheny County and City of Pittsburgh |
| Vehicle Accident—Collision policy.pdf | Vehicle Accident/Collision Procedures | Connect Transportation, Gulf Coast Center |
| Vehicle Data Sheet.doc | A format to maintain critical information on deployed vehicles | John Sorrell |
| **05—Recovery** | | |
| Vehicle & Equipment record form.pdf | Vehicle/Equipment Record Form | Brazos County Inter-jurisdictional Emergency Management Plan, |
| **Section 4—Plan Maintenance** | | |
| ERP—Quarterly update procedures.pdf | Procedures for updating plan quarterly | Mountain Lion Transit |