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Note: This checklist must be used in conjunction with the NFPA 1600 Standard w/ Annex A for clarification of requirements			
Chapter 4 Program Management			
4.1 Program Administration. The entity shall have a documented program that includes the following:			
(1) Executive policy including:			
a) Vision			
b) Mission statement			
c) Roles			
d) Responsibilities			
e) Enabling authority			
(2) Program:			
a) Goals			
b) Objectives			
c) Method of program evaluation			

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(3)*Program plan and procedures			
(4) Applicable:			
a) Authorities			
b) Legislation			
c) Regulations			
d) Industry codes of practice			
(5) Program:			
a) Budget			
b) Project schedule			
c) Milestones			
(6) Records management practices			
4.2* Program Coordinator. The program coordinator shall be appointed by the entity and authorized to administer and keep current the program.			

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4.3* Advisory Committee.			
4.3.1* An advisory committee shall be established by the entity in accordance with its policy.			
4.3.2 The advisory committee shall provide input to or assist in the coordination of program:			
a) Preparation			
b) Implementation			
c) Evaluation			
d) Revision			
4.3.3 The advisory committee shall include:			
a) The program coordinator			
b) Others with:			
1) Appropriate expertise			
2) Knowledge of the entity			
3) The ability to identify resources from all key functional area within the entity			

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c) Applicable external representation			
4.4 Program Evaluation.			
4.4.1 The entity shall establish performance objectives for program management addressed in Chapter 4 and program elements identified in Chapter 5.			
a) Program management addressed in section 4			
b) Program elements identified in section 5			
4.4.2 The entity shall conduct a periodic evaluation of the program based on the objectives.			
Chapter 5 Program Elements			
5.1* General.			
5.1.1 The program shall include the elements given in Sections 5.2 through 5.16, the scope of which shall be determined by the impact of the hazards affecting the entity.			
5.1.2* The program elements shall be applicable to:			
a) Prevention			
b) Mitigation			
c) Preparedness			

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d) Response			
e) Recovery			
5.2 Laws and Authorities.			
5.2.1* The program shall comply with applicable legislation, policies, regulatory requirements, and directives.			
a) Legislation			
b) Policies			
c) Regulatory requirements			
d) Directives			
5.2.2* The entity shall implement a strategy for addressing the need for revisions to:			
a) Legislation			
b) Regulations			
c) Directives			
d) Policies			
e) Industry codes of practice			

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5.3* Risk Assessment.			
5.3.1* The entity shall:			
a) Identify hazards			
b) Monitor hazards			
c) The likelihood of their occurrence			
d) The vulnerability to those hazards of:			
1) People			
2) Property			
3) The environment			
4) The entity itself			
5.3.2* Hazards to be evaluated shall include the following:			
(1) Natural hazards (geological, meteorological, and biological)			
(2) Human-caused events (accidental and intentional)			
(3) Technological-caused events			

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5.3.3* The entity shall conduct an impact analysis to determine potential detrimental impacts of the hazards on the following:			
(1) Health and safety of persons in the affected area at the time of the incident (injury and death)			
(2) Health and safety of personnel responding to the incident			
(3)*Continuity of operations			
(4) Property, facilities, and infrastructure			
(5) Delivery of services			
(6) The environment			
(7)*Economic and financial condition			
(8) Regulatory and contractual obligations			
(9) Reputation of or confidence in the entity			
(10)*Regional, national, and international considerations			
5.4 Incident Prevention.			
5.4.1* The entity shall develop a strategy to prevent an incident that threatens:			

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a) People			
b) Property			
c) The environment			
5.4.2* The prevention strategy shall be:			
a) Based on information obtained from section 5.3			
b) Kept current using information collection and intellegence			
5.4.3 The entity shall:			
a) Monitor the identified hazards			
b) Adjust the level of preventative measures to be commensurate with the risk			
5.5 Mitigation.			
5.5.1* With regard to incidents that cannot be reasonably prevented, the entity shall develop and implement a mitigation plan that includes measures to:			
a) Limit the:			
1) Consequences			

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2) Extent			
3) Severity			
b) Control the:			
1) Consequences			
2) Extent			
3) Severity			
5.5.2* The mitigation strategy shall be based on the results of:			
a) Hazard identification			
b) Risk assessment			
c) Impact analysis			
d) Program constraints			
e) Operational experience			
f) Cost-benefit analysis			

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5.5.3 To reduce vulnerability, the mitigation strategy shall include:			
a) Interim actions			
b) Longterm actions			
5.6* Resource Management and Logistics.			
5.6.1 The entity shall establish resource management objectives consistent with the overall program goals and objectives as identified in section 4.1 and for the hazards as identified in section 5.3.			
5.6.2 The entity shall establish procedures to:			
a) Locate services			
b) Acquire services			
d) Distribute services			
e) Maintain services			
f) Test services			
g) Account for services			
h) Locate personnel			
i) Acquire personnel			
j) Distribute personnel			

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k) Maintain personnel			
l) Test personnel			
m) Account for personnel			
n) Locate resources			
o) Acquire resources			
p) Store resources			
q) Distribute resources			
r) Maintain resources			
s) Test resources			
t) Account for resources			
u) Locate materials			
v) Acquire materials			
w) Store materials			
x) Distribute materials			

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y) Maintain materials			
z) Test materials			
aa) Account for materials			
bb) Locate facilities			
cc) Acquire facilities			
dd) Maintain facilities			
ee) Test facilities			
ff) Account for facilities			
5.6.3 The resource management objectives established shall include the following:			
a) Personnel			
b) Equipment			
c) Training			
d) Facilities			

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e) Funding			
f) Expert knowledge			
g) Materials			
h) Technology			
i) Information			
j) Intellegence			
k) Established time frames for each item listed above			
l) Resource needs including:			
1) Quantity			
2) Response time			
3) Capability			
4) Limitations			
5) Cost			
6) Liability of use			

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m) Any needed partnerships essential to the program			
5.6.4 Resource management shall include the following tasks:			
(1) Establishing processes for describing, inventorying, requesting, and tracking resources			
a) Describing resources			
b) Inventorying resources			
c) Requesting resources			
d) Tracking resources			
(2) Activating these processes:			
a) Prior to an incident			
b) During an incident			
(3) Dispatching resources:			
a) Prior to an incident			
b) During an incident			
(4) Deactivating or recalling resources:			

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a) During an incident			
b) After an incident			
(5) Contingency planning for shortfalls of resources			
5.6.5 An assessment shall be conducted to identify the resource capability shortfalls and the steps necessary to overcome any shortfalls.			
a) Identify any resource capability shortfalls			
b) Identify any steps necessary to overcome any shortfalls			
5.6.6 A current inventory shall be maintained of:			
a) Internal resources			
b) External resources			
5.6.7 Donations, solicited and unsolicited shall be addressed as they pertain to:			
a) Goods			
b) Services			
c) Personnel			

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d) Facilities			
5.7* Mutual Aid/Assistance.			
5.7.1 The need for mutual aid/assistance shall be determined.			
5.7.2 If mutual aid/assistance is needed, agreements shall be established			
5.7.3 Mutual aid/assistance agreements shall be referenced in the program plan.			
5.8 Planning.			
5.8.1 Planning Process.			
5.8.1.1 The program shall follow a planning process that develops plans for:			
a) Strategy			
b) Prevention			
c) Mitigation			
d) Emergency operations / response			
e) Business continuity			
f) Recovery			
5.8.1.2 The entity shall engage in the planning process on a regularly scheduled basis or when the situation has changed to put the accuracy of the existing plan into question.			

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5.8.1.3 Where applicable, the entity shall include key stakeholders in the planning process.			
5.8.2 Common Plan Elements.			
5.8.2.1 Plans shall have clearly stated objectives.			
5.8.2.2 Plans shall identify:			
a) Internal functional roles and responsibilities of:			
1) Departments			
2) Positions			
b) External functional roles and responsibilities of:			
1) Agencies			
2) Organizations			
5.8.2.3 Plans shall identify lines of authority for:			
a) Agencies			
b) Organizations			
c) Departments			
d) Positions			

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5.8.2.4 Plans shall identify:			
a) Logistics support			
b) Resource requirements			
5.8.2.5 Plans shall identify the process for managing an incident.			
5.8.2.6 Plans shall identify the process for managing the communication and flow of information, both internally and externally.			
5.8.3 Plans.			
5.8.3.1* The program shall include:			
a) A strategic plan			
b) An emergency operations / response plan			
c) A mitigation plan			
d) A recovery plan			
e) A continuity plan			
5.8.3.2* The plans developed shall be either individual or integrated into a single plan document, or a combination of the two.			
5.8.3.3* The strategic plan shall define the program:			

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a) Vision			
b) Mission			
c) Goals			
d) Objectives			
5.8.3.4* The emergency operations/response plan shall assign responsibilities for carrying out specific actions in an emergency.			
5.8.3.5 The prevention plan shall establish:			
a) Interim actions to eliminate hazards that impact the entity			
b) Longterm actions to eliminate hazards that impact the entity			
5.8.3.6 The mitigation plan shall establish:			
a) Interim actions to reduce the impact of hazards that cannot be eliminated			
b) Longterm actions to reduce the impact of hazards that cannot be eliminated			
5.8.3.7* The recovery plan shall provide for:			
a) Short term priorities for restoration of:			
1) Functions			

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2) Services			
3) Resources			
4) Facilities			
5) Programs			
6) Infrastructure			
b) Long term priorities for restoration of:			
1) Functions			
2) Services			
3) Resources			
4) Facilities			
5) Programs			
6) Infrastructure			
5.8.3.8* The continuity plan shall identify:			
a) Stakeholders that need to be notified			
b) Critical applications			

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c) Time sensitive applications			
d) Alternate work sites			
e) Vital records			
f) Contact lists			
g) Processes to be maintained during recovery			
h) Functions to be maintained during recovery			
i) Procedures necessary for recovery			
j) Personnel necessary for recovery			
k) Resources necessary for recovery			
5.8.3.9 The entity shall make appropriate sections of the plans available to those assigned specific tasks and responsibilities therein and to other stakeholders as required.			
a) Those assigned specific tasks			
b) Those assigned specific responsibilities			
c) Other stakeholders as required			
5.9 Incident Management.			

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5.9.1* The entity shall develop an incident management system to:			
a) Direct recovery operations			
b) Control recovery operations			
c) Coordinate response to recovery operations			
5.9.2* For each incident management function, the incident management system shall describe:			
a) Specific organizational roles			
b) Titles			
c) Responsibilities			
5.9.3 The entity shall establish applicable procedures and policies for coordinating activities with stakeholders directly involved in:			
a) Response			
b) Continuity			
c) Recovery			
5.9.4 The entity shall establish applicable procedures and policies for coordinating activities with appropriate authorities and resources involved in:			

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a) Response			
b) Continuity			
c) Recovery			
d) Activation of plans			
e) Deactivation of plans			
f) Compliance with applicable statutes			
g) Compliance with applicable regulations			
5.9.5* Emergency operations/response shall be guided by an:			
a) Incident plan			
b) Management by objectives			
5.10 Communications and Warning.			
5.10.1 Communications systems shall be established and regularly tested to support the program.			
5.10.2 Communication procedures shall be established by the entity and regularly exercised to support the program.			
5.10.3* The entity shall develop and maintain the capability to alert officials and emergency response personnel.			

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5.10.4			
1) Emergency communications shall be:			
a) Developed			
b) Periodically tested			
c) Used to alert people potentially impacted by an actual or impending emergency			
2) Emergency protocols shall be:			
a) Developed			
b) Periodically tested			
c) Used to alert people potentially impacted by an actual or impending emergency			
3) Emergency systems shall be:			
a) Developed			
b) Periodically tested			
c) Used to alert people potentially impacted by an actual or impending emergency			
4) Emergency processes shall be:			

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a) Developed			
b) Periodically tested			
c) Used to alert people potentially impacted by an actual or impending emergency			
5) Emergency procedures shall be:			
a) Developed			
b) Periodically tested			
c) Used to alert people potentially impacted by an actual or impending emergency			
5.10.5 The entity shall determine communication needs, provide capabilities to execute plans, and review and address the interoperability of multiple responding organizations.			
5.11* Operational Procedures.			
5.11.1 The entity shall develop, coordinate, and implement operational procedures to support the program and execute its plans.			
5.11.2* Procedures shall be established and implemented for response to and recovery from the consequences of those hazards identified in Section 5.3 and shall address under the jurisdiction of the entity:			
a) Health			
b) Safety			

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c) Incident stabilization			
d) Operation / business continuity			
e) Property conservation			
f) Protection of the environment			
5.11.3 Procedures shall be established and implemented for response to, and recovery from, the consequences of those hazards identified in Section 5.3. and shall include:			
a) Life safety			
b) Incident stabilization			
c) Operational / business continuity			
d) Property conservation			
5.11.4* Procedures shall be in place to conduct a situation analysis that includes:			
a) A needs assessment			
b) Damage assessment			
c) Identification of resources needed to support:			
1) Response			

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2) Recovery operations			
5.11.5 Procedures shall allow for concurrent recovery and mitigation activities during emergency response.			
5.11.6 Procedures shall be established for succession of management/government as required in 5.8.3.8.			
5.12 Facilities.			
5.12.1*			
1) The entity shall establish a physical or virtual:			
a) Primary emergency operations center			
b) Alternate emergency operations center			
2) These operations centers must be capable of:			
a) Managing continuity			
b) Response			
c) Recovery operations			
5.12.2 Facilities capable of supporting continuity, response, and recovery operations shall be identified.			
5.13 Training.			
5.13.1 The entity shall develop and implement a training/ educational curriculum to support the program.			
5.13.2 The objective of the training shall be to create awareness and enhance the skills required to:			

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a) Develop the program			
b) Implement the program			
c) Maintain the program			
d) Execute the program			
5.13.3 Frequency and scope of training shall be identified.			
5.13.4 Personnel shall be trained in the entity's incident management system.			
5.13.5 Training records shall be maintained.			
5.13.6 The training and education curriculum shall comply with all applicable regulatory requirements.			
5.14 Exercises, Evaluations, and Corrective Actions.			
5.14.1 The entity shall evaluate program plans, procedures, and capabilities through periodic:			
a) Reviews			
b) Testing			
c) Exercises			
5.14.2 Additional reviews shall be based on post-incident analyses and reports, lessons learned, and performance evaluations.			

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a) Post-incident analysis and reports			
b) Lessons learned			
c) Performance evaluations			
5.14.3* Exercises shall be designed to test:			
a) Individual essential elements			
b) Interrelated elements			
c) Entire plans			
5.14.4* Procedures shall be established to take corrective action on any deficiency identified.			
5.15 Crisis Communication and Public Information.			
5.15.1* The entity shall develop procedures to disseminate and respond to requests for:			
a) Pre-incident information			
b) Incident information			
c) Post incident information			
d) Provision of information to internal audiences			

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e) Provision of information to external audiences including the media and media inquiries			
5.15.2* The entity shall establish and maintain an emergency public information capability that includes the following:			
(1) A central contact facility for the media			
(2) A system for gathering, monitoring, and disseminating emergency information			
a) Gathering emergency information			
b) Monitoring emergency information			
c) Disseminating emergency information			
(3) Pre-scripted information bulletins			
(4) A method to coordinate and clear information for release			
(5) The capability of communicating with special needs populations			
(6) Protective action guidelines/recommendations (e.g., shelter-in-place or evacuation)			
5.15.3 Where the public is potentially impacted by a hazard, a public awareness program shall be implemented.			
5.15.4 The entity shall develop procedures to advise the public, through authorized agencies, of threats to people, property, and the environment.			
5.16* Finance and Administration.			
5.16.1* The entity shall develop financial and administrative procedures to support the program:			

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a) Before an emergency or disaster			
b) During an emergency or disaster			
c) After an emergency or disaster			
5.16.2 Procedures shall be created and maintained for expediting fiscal decisions in accordance with established authorization levels and fiscal policy.			
5.16.3 The procedures shall include the following:			
(1) Establishment and definition of responsibilities for the program finance authority, including its reporting relationships to the program coordinator			
(2) Program procurement procedures			
(3) Payroll			
(4) Accounting systems to track and document costs			
(5)*Management of funding from external sources			

This report was completed by: _____

Auditor signature

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Date