

## Appendix B: Instructor PowerPoint Slides and Notes



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**

Module One

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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**  
Security Planning Tools for Rural, Small Urban,  
and Community-Based Public Transportation  
Operations

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

Prepared for  
Transit Cooperative Research Program  
TRANSPORTATION RESEARCH BOARD  
National Research Council  
NAS-NRC

by  
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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

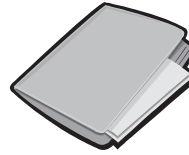
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This workshop is designed to help you construct and complete the HSP document.

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



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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.



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

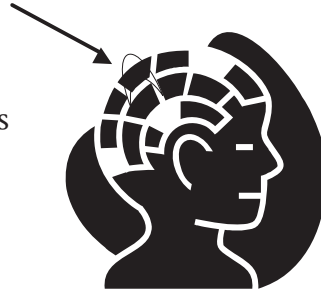
- All ideas are welcome.
- When specific timeframes are set, please stay on track.
- Active listening means you are listening to each other and not formulating your own comment while others are talking.
- Likely we will have some differences of opinion and since all ideas are welcome and the time is 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!



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(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.

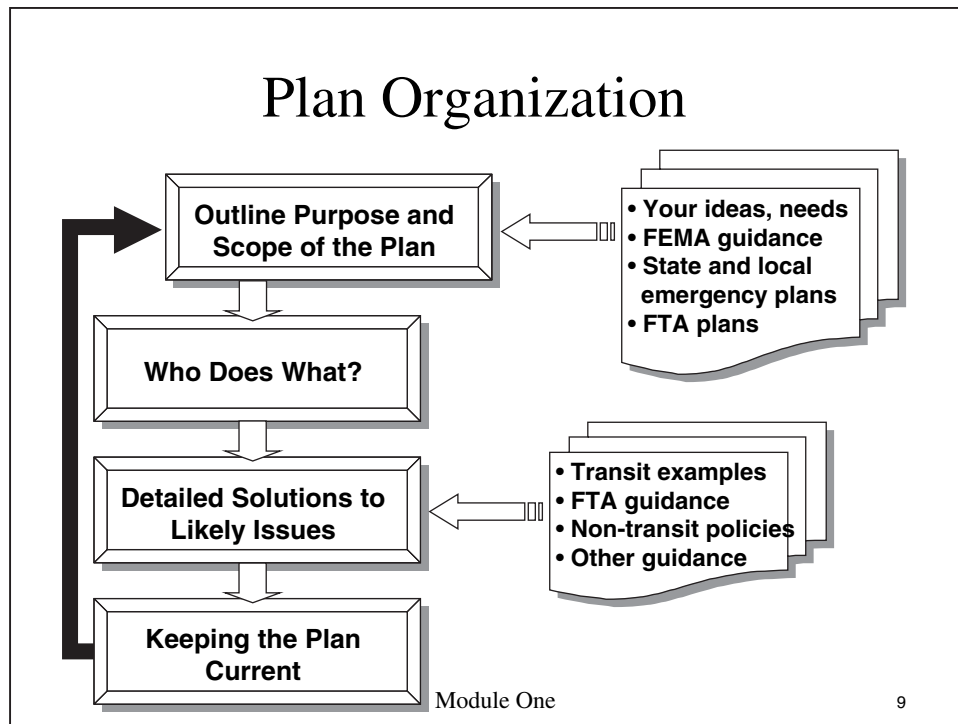
## The Hazard and Security Plan

- 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.

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



There are four sections of the plan.

The first details what the plan is intended to do.

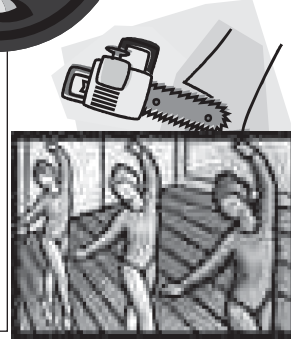
The second describes who is responsible for different activities in the plan.

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...



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(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)

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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.

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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.

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(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.



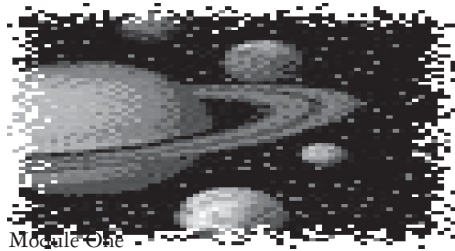
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And too much anxiety will find you paralyzed and unable to react.

## 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 (Hitchhiker's Guide to the Galaxy): "Don't panic!"



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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



Module One

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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

Module One

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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

	Severity			
Likelihood	Catastrophic	Critical	Marginal	Negligible
Frequent	High Serious			
Probable				
Occasional				
Remote		Medium		
Improbable				Low

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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.

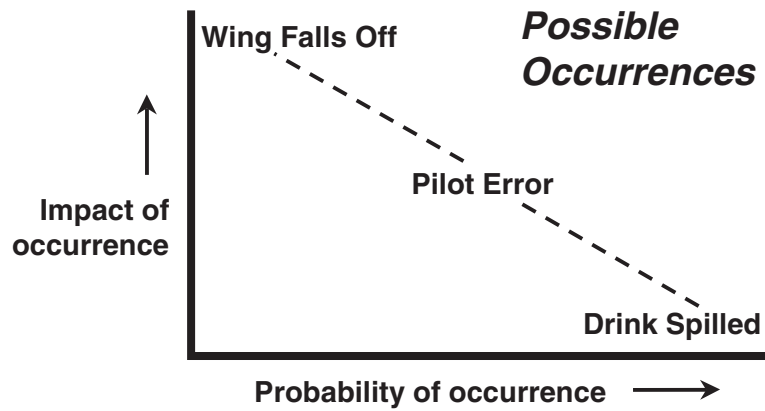


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(Direct each student to take three cards from their packet and coach them through the slide.)

## Flying in a Commercial Airplane



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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. 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.



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(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



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(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.

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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.



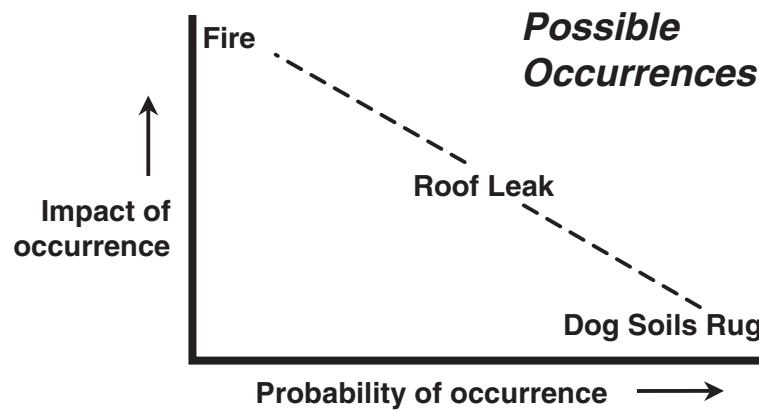
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(Direct each student to take three cards from their packet and coach them through the slide.

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



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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.



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(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.



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(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.



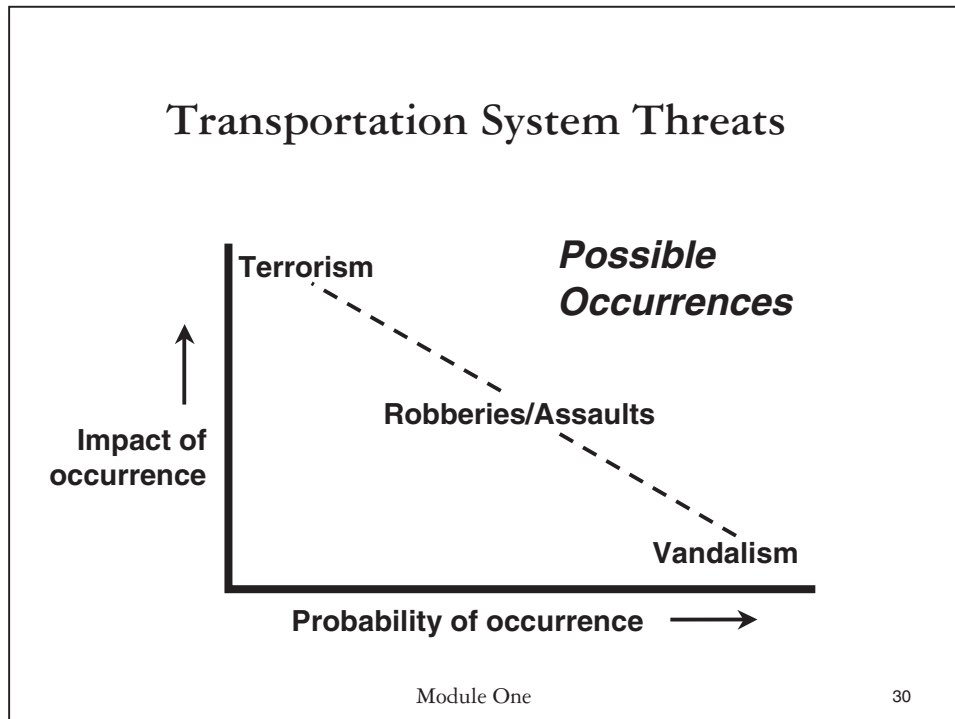
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(Read the slide and encourage the students to imagine all sorts of things that could happen. Pick at least three students and have one mention something that is common that happens, ask one for something not so common, and ask for one response of something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



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.

## 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.

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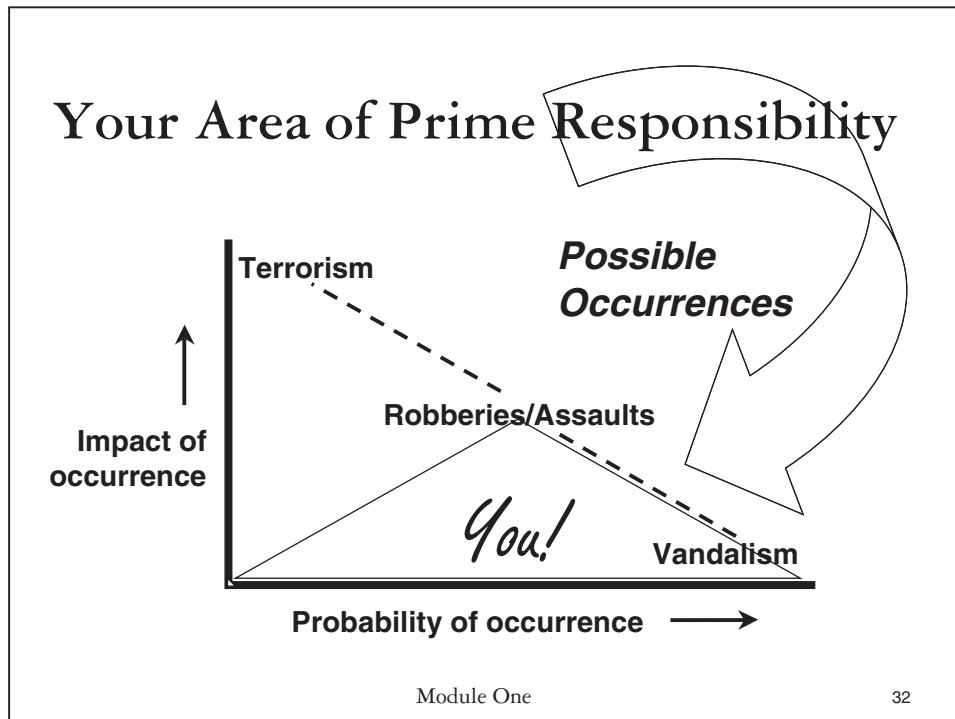
(Review slide.) Yes, anything could happen and terrorism does happen, but it is rare and the purpose of terrorism, as described by some authors, is “overreaction.” In an article about a new biography of John Brown and his centrality to the Civil War, Adam Gopnik writes:

*“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.



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

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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

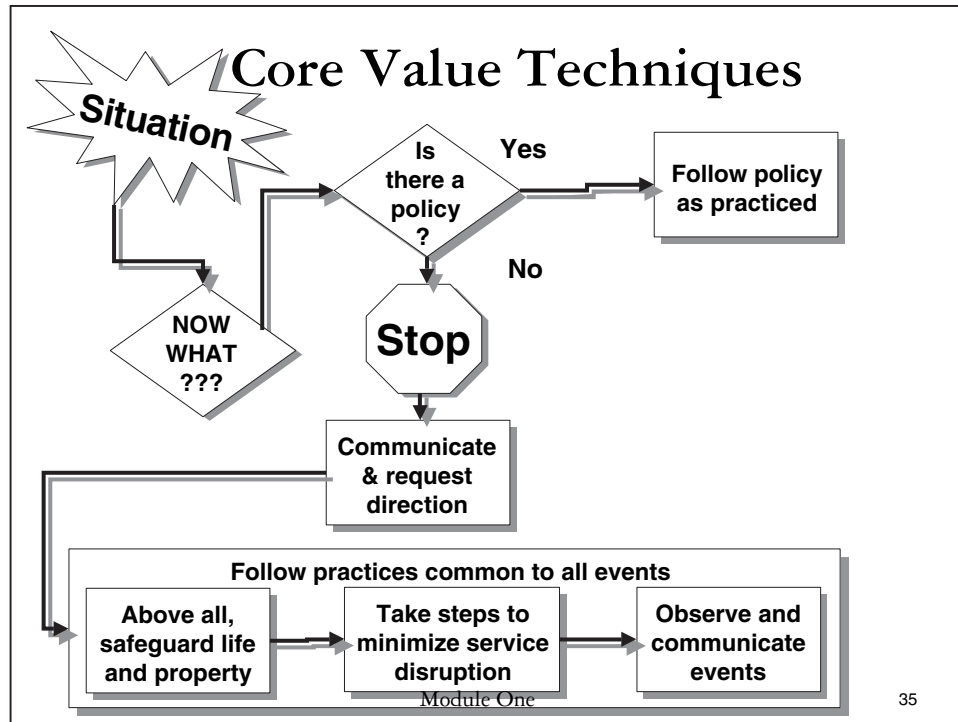
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Finally, before we discuss the use of the HSP, it is important to understand the concept of universal design as it applies to the development of a hazard and security plan.

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.



(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 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



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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....



Module One

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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



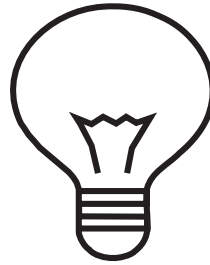
Determine Roles



Countermeasures



Maintain and Revise Plan



*Feedback Loop*



Module One

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(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

Module One

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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

Module One

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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.

## NIMS Requirements: FY 2005 – State, Local & Tribal

- 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

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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](http://www.fema.gov/NIMSCAST)

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

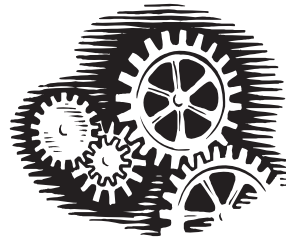
FY 2007: Full Compliance Required

Source: [http://www.fema.gov/ppt/nims/nims\\_briefing.ppt](http://www.fema.gov/ppt/nims/nims_briefing.ppt) 28  
December 2004

# The HSP Process

## ■ Five steps

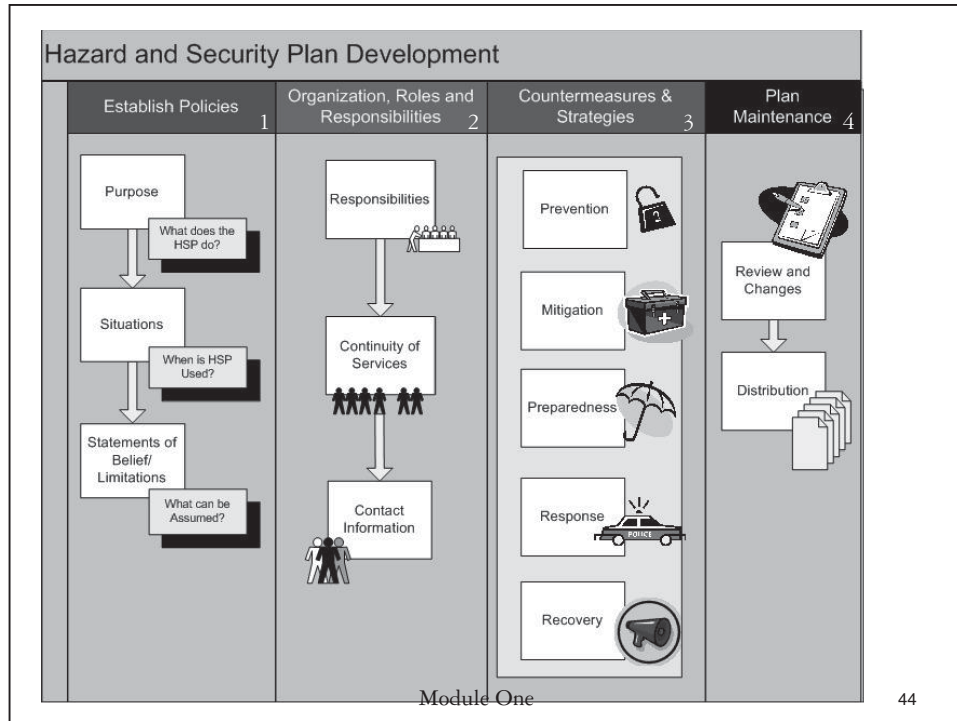
1. Recognize the need
2. Establish policies
3. Determine organization, roles, and responsibilities
4. Prepare countermeasures
5. Maintain plan



Module One

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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!



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

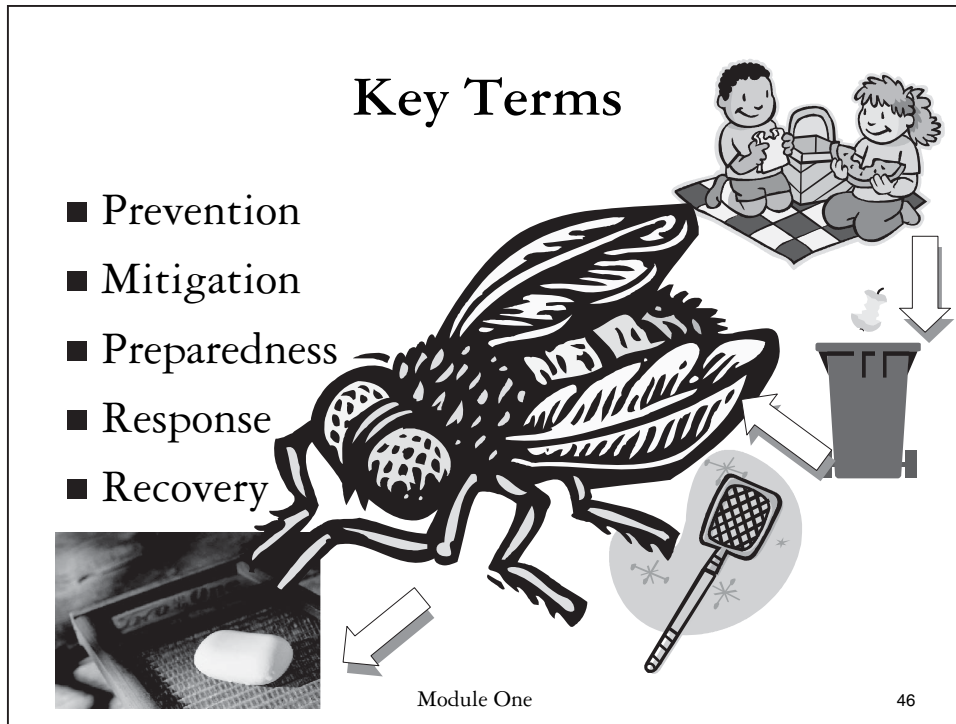
Review list in Glossary...any questions?



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



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.

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(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

Module One

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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

Module One

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(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.)

## Preparedness: Training Before an Event

- Roles in Security/Emergency Management
  - Supervisor
  - Mechanic
  - Dispatcher
  - Operator
- New Employee Training on Security Awareness
- Policy for Understanding Local Threats
- Employees Taking NIMS on-line training

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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.

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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

Module One

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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

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(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.

Module One

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**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.

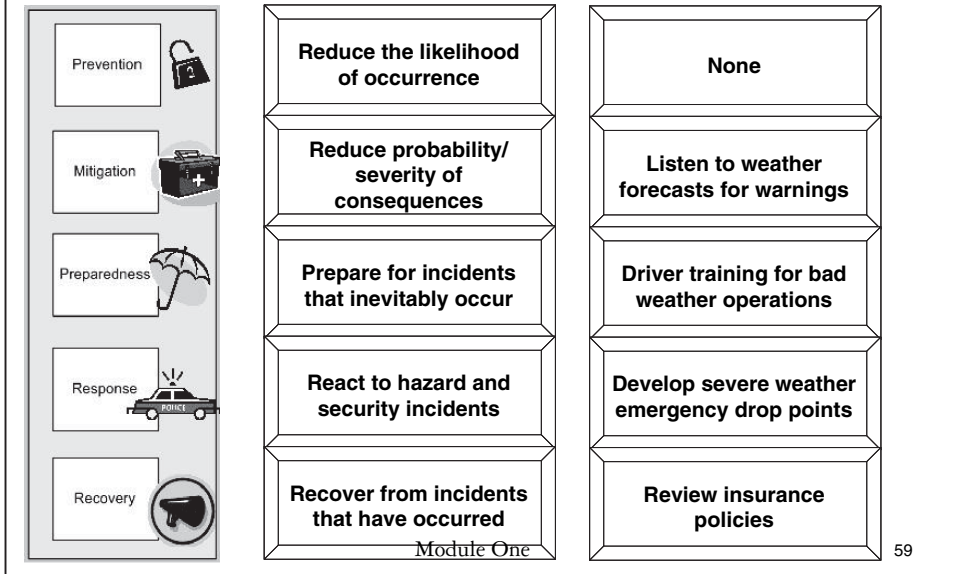
**Recovery:** Develop and document programs to assist in recovering from incidents that have occurred.

## Sample Countermeasures/Solutions: Vandalism



(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



(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.

```

graph TD
    subgraph Establish_Policies [Establish Policies]
        Purpose[Purpose] --> Situations[Situations]
        Situations --> Statements[Statements of Belief/Limitations]
        Purpose --- Q1[What does the HSP do?]
        Situations --- Q2[When is HSP Used?]
        Statements --- Q3[What can be Assumed?]
    end
        
```

## 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)

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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

Module Two

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

## Purpose of the Hazard and Security Plan (HSP)

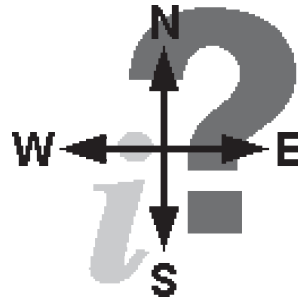
### ■ Page 2

“...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?



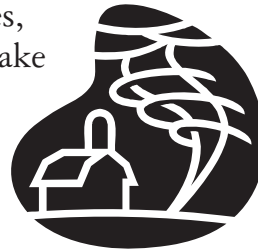
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In what direction do you need to go, and what could happen at your agency?

## What Is Possible?

- Security Incidents  
Vandalism/Graffiti, Theft/Burglaries,  
Assault, Disruptive Behavior, Trespassing
- Severe Weather  
Floods, Winter Storms,  
Windstorms/Hurricanes, Tornadoes,  
Thunderstorms, Wildfire, Earthquake



Module Two

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

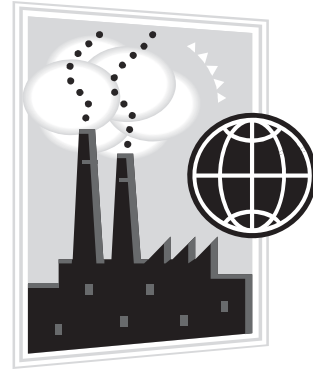
# What Is Possible?

- 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.



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(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.



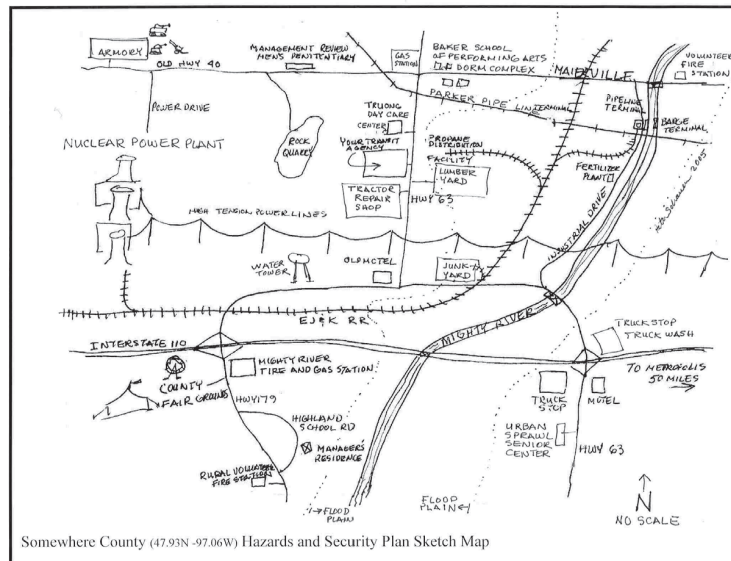
Module Two

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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

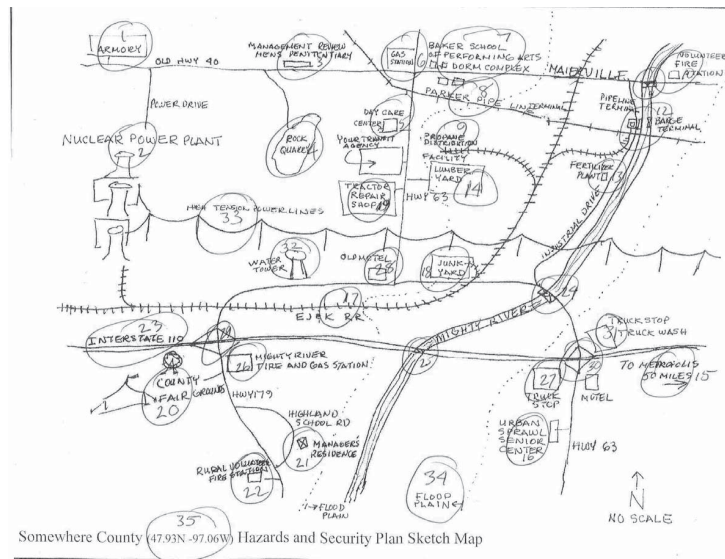


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Here is the map that is in your packet of materials. Somewhere County is not too different than places you might have visited or that you know about. How many hazards and security issues can you identify on this map? Let's use the discussion process 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



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

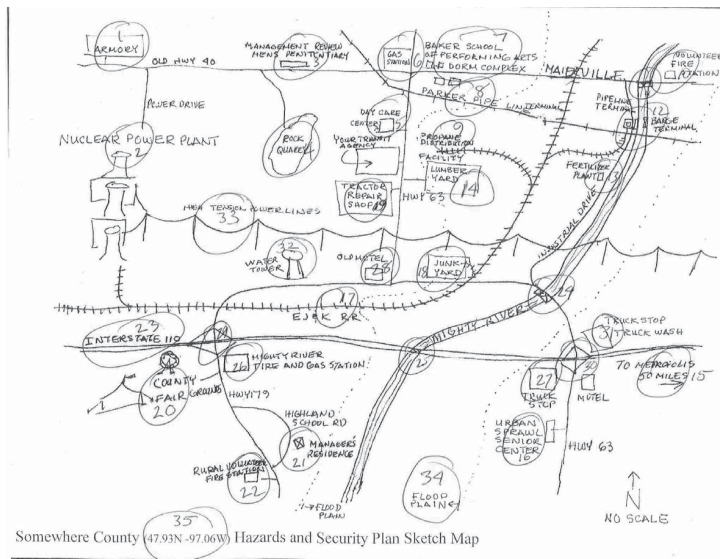
There are likely more hazards and security concerns than you initially realized.

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

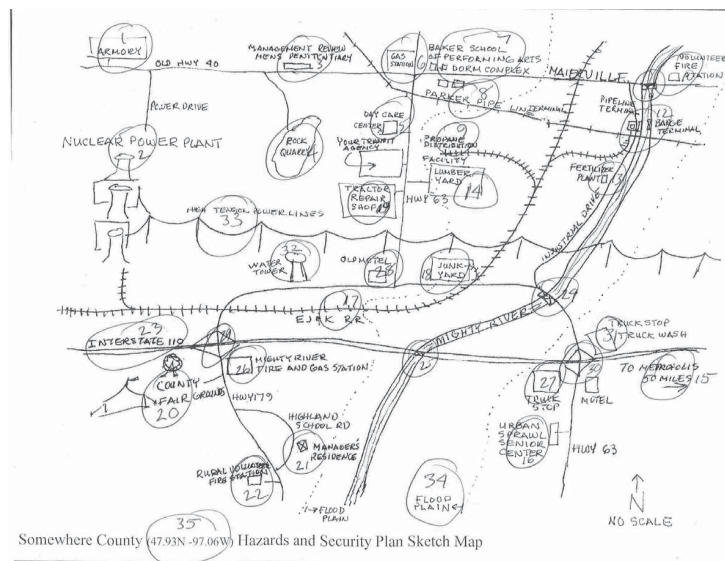


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1. Armory: Vandalism. Theft or misuse of stored military equipment or supplies. Possible explosions, environmental damage, or chemical spills.
2. Nuclear Power Plant: Terrorism. Reaction to real or perceived act(s) of terrorism. Accident at plant and 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

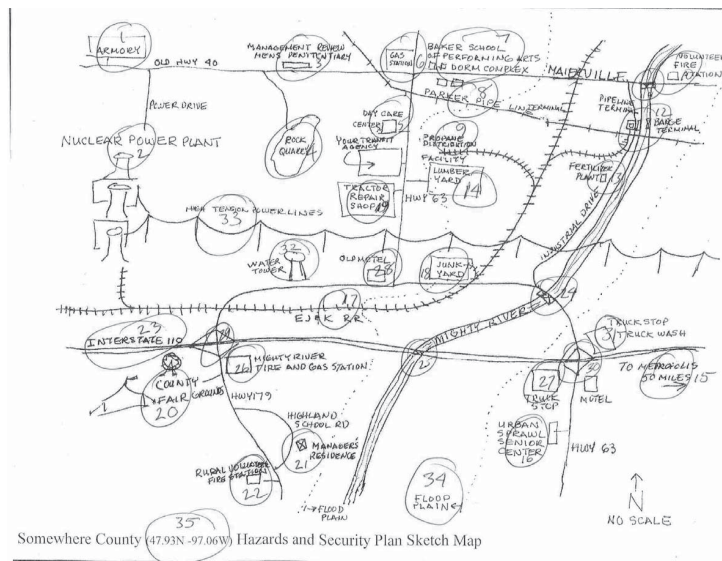


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16. Urban Sprawl Senior Center: Remote location slows reaction to medical or other emergencies. Domestic violence. Evacuation issues.
17. EJ & R Railroad: Derailments or other accident resulting in explosion, fire, chemical spill or environmental damage. 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



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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.

## Exercise: Map Your Service Area

- Draw a rough sketch of your home area and identify hazards and security issues.



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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.



Module Two

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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?



Module Two

76

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

- 1 Who does what?
- 2 What if the responsible party is unavailable?
- 3 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



Module Three

80

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?



Module Three

82

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 ?



Module Three

84

(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?



Module Three

85

Coach students through list.

## B. Continuity of Services

Pages 14-15

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

Module Three

86

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?



Module Three

87

(Coach students to answer question.)

# Backup Facilities

Page 14

- What are some considerations when selecting a backup facility?



Module Three

88

(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 ?



Module Three

89

(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?



Module Three

90

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?

Module Three

91

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.

Countermeasures & Strategies






Prevention

Mitigation

Preparedness

Response

Recovery



## 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

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(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**

Module Four

97

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**

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?

Module Four

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(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?

Module Four

103

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.



Module Four

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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

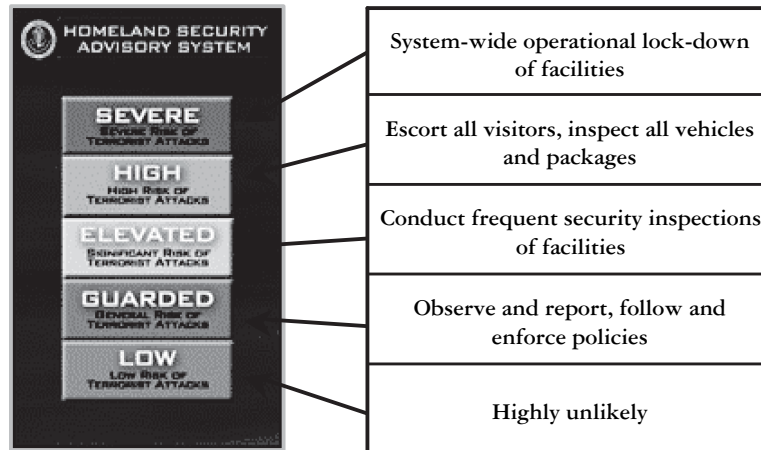
- In the table “Preparedness Activities,” which activities do you already engage in?
- What are the heightened alert levels referred to in items 24 and 25?

Module Four

105

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

# Alert Levels



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

Module Four

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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**

Module Four

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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.”
- 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

Module Four

111

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.



Module Four

112

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?

Module Four

113

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.”

Module Four

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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**



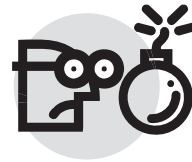
Module Four

115

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



Module Four

116

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?



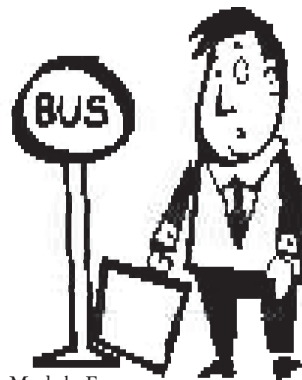
Module Four

118

Coach students through list.

## Response Activities

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



Module Four

119

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?



Module Four

120

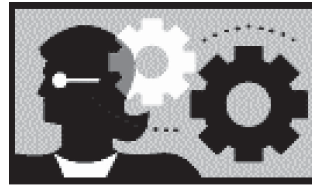
Discuss type of communication system services used... two-way radios, shared towers, cell phones...none?

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.



Module Four

121

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



Module Four

122

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?




Module Four

123

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

Plan Maintenance



```
graph TD; A[Review and Changes] --> B[Distribution];
```

Review and Changes

Distribution

## Overview of Section 4: Plan Maintenance

- ➊ When should the plan be reviewed?
- ➋ How should it be updated?
- ➌ 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



Module Five

125

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?



Module Five

128

(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.

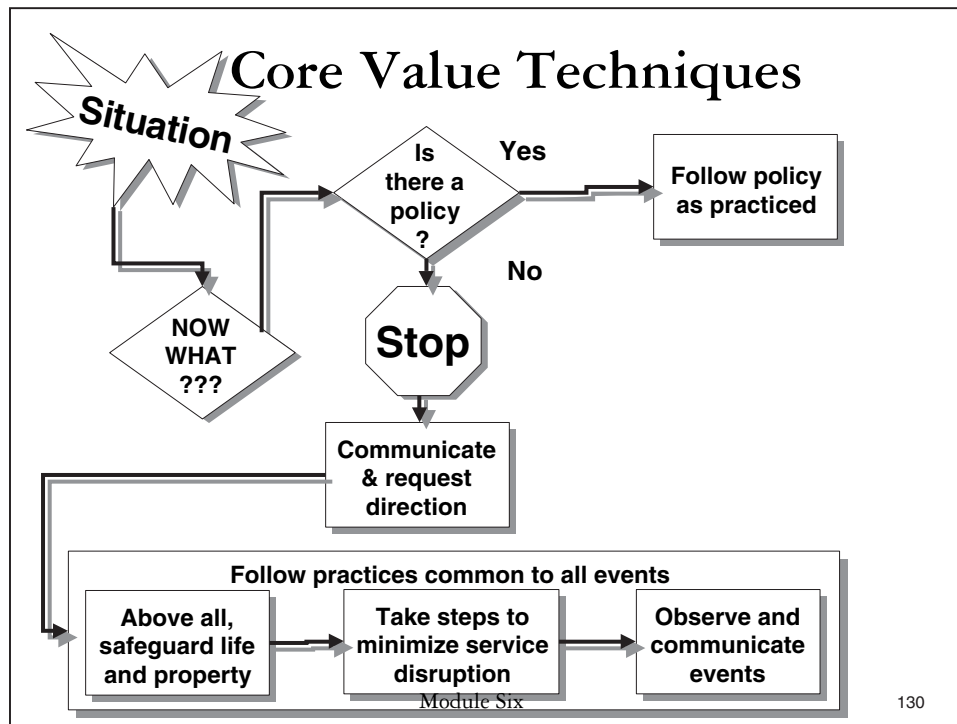
In general, the HSP is a special document, and having numerous copies with no tracking mechanism of where the copies are is not advised. Keep track of whom you give copies to and instruct those receiving a copy that it is confidential.

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.)



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

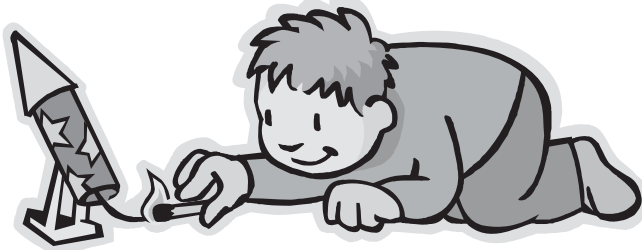
2. Is the HSP a difficult process?
3. What are the budgetary questions you should ask?

Module Six

131

(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 4<sup>th</sup> 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?

Module Six

133

(Review slide.)

## Summary and Review

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

Module Six

134

(Review slide.)

## HSP Conceptual Approach

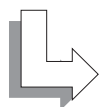
Establish Policies



Determine Roles

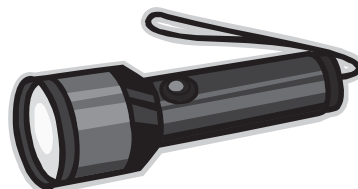


Countermeasures



Maintain and Revise Plan

*Feedback Loop*



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

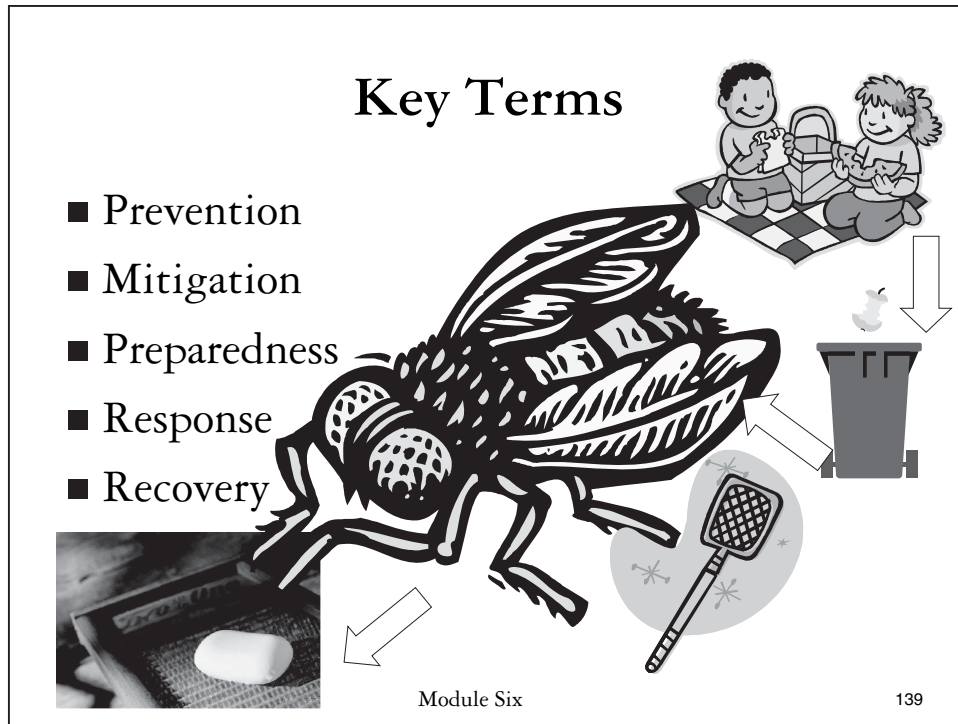
6. What are the five terms that we learned with the picnic and fly swatter example, that are integral to the HSP steps, and that reflect the needs of the National Incident Management System (NIMS)?



Module Six

138

(Review slide.)



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	High Serious			
Probable				
Occasional				
Remote		Medium		
Improbable				Low

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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

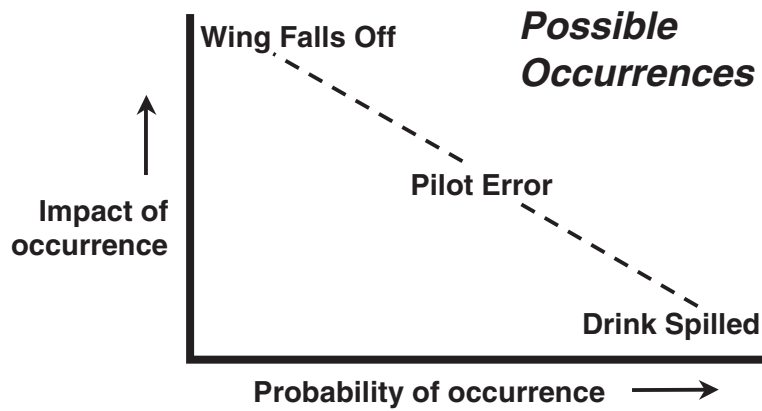
Catastrophic = disastrous event;

critical = survivable but costly;

marginal = relatively inconsequential;

negligible = limited or no impact.

## Personal: Flying in a Commercial Airplane

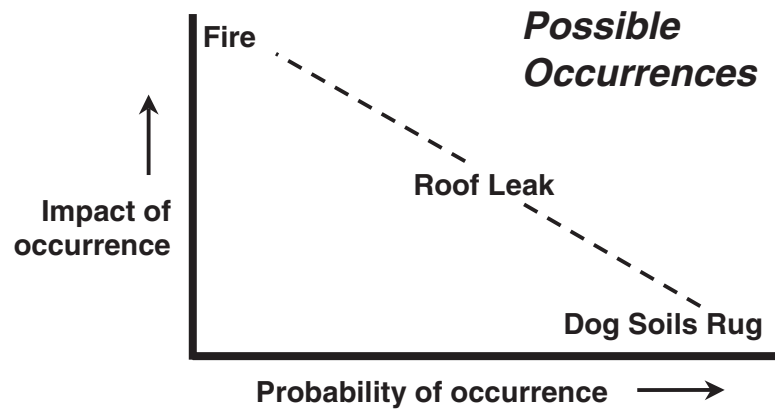


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There is a wide range of potential problems or threats that could either directly or indirectly affect you the next time you fly. These occurrences range from the likely to the rare. So we are likely more careful about how we handle our drink than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

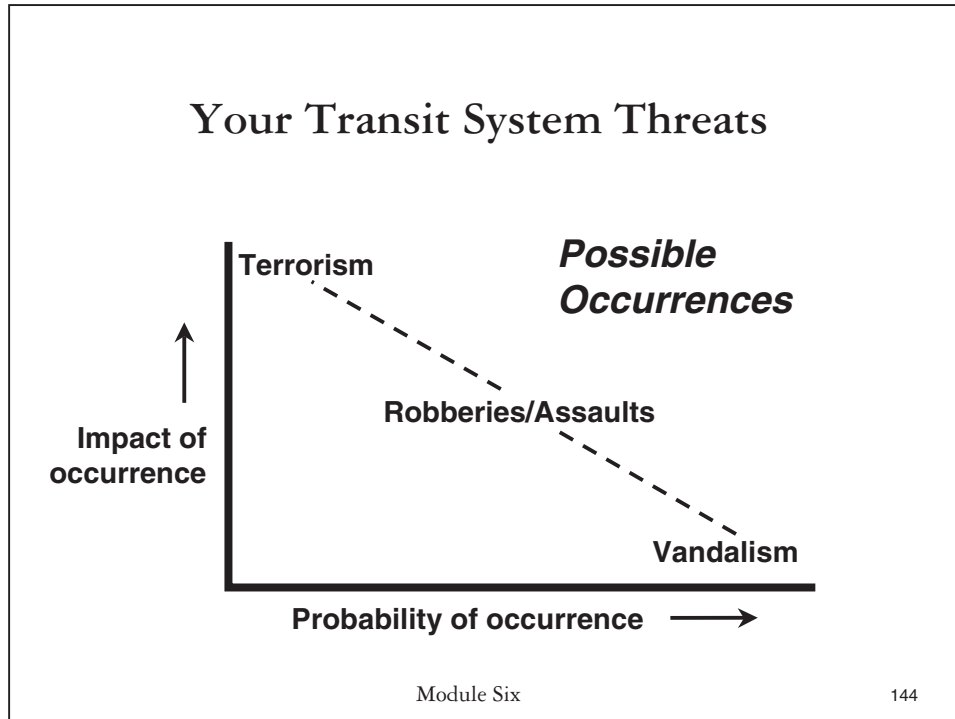
## Family: Threats to Your Home



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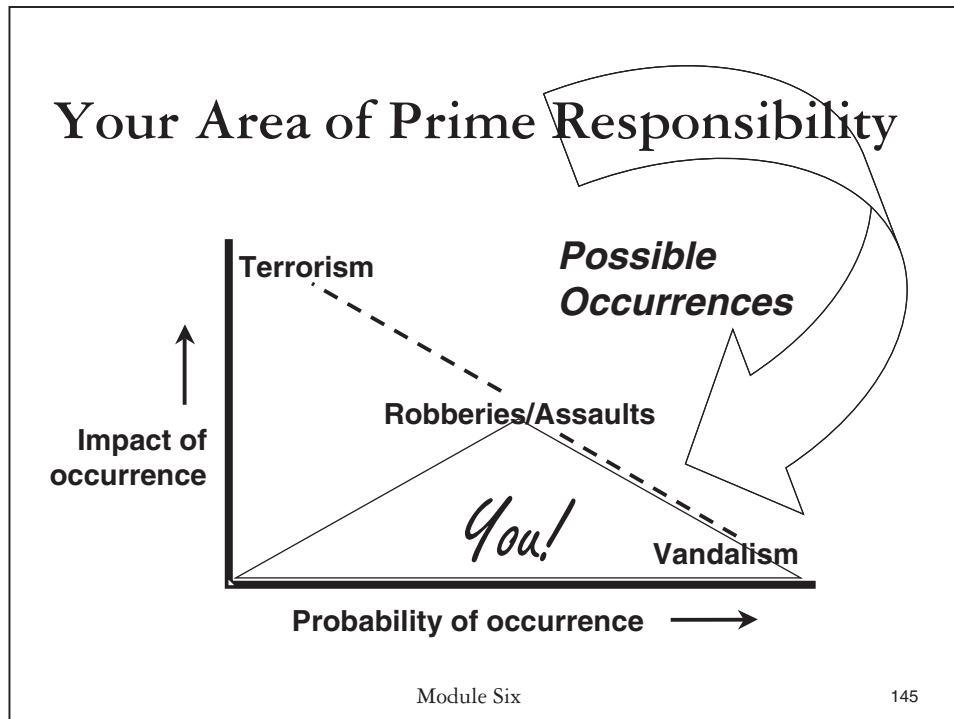
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There is a wide range of potential problems or threats that could either directly or indirectly affect you and your family in your home. These occurrences range from the likely to the rare. So we are likely to spend more time training or cleaning up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



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.



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

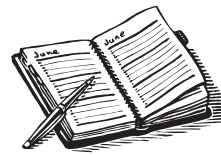
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While the previous slide provided an idea of your areas of responsibilities in specific situations, this slide sets out the generic, all-encompassing areas of responsibilities for your transit service.

## Summary and Review

- Take five minutes and sketch out a calendar of events for finalizing your HSP.
- For what areas of the HSP do you feel you need more assistance or background material?



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(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

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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](http://www.ready.gov)

- Federal Emergency Management Agency

[www.fema.gov](http://www.fema.gov)

- American Red Cross

[www.redcross.org](http://www.redcross.org)



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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](http://www.trb.org)



- Federal Transit Administration

[www.fta.dot.gov](http://www.fta.dot.gov)



- Volpe Center

[www.transit-safety.volpe.dot.gov](http://www.transit-safety.volpe.dot.gov)

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



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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.



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(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!**

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Show slide and thank students for their participation.