

# E0101 - Foundations of Emergency Management

Student Manual

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FEMA

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# Unit 1: Course Welcome

# Visual 1: Welcome



E/L0101 Foundations of Emergency Management

## Welcome

### Key Points

When an emergency or disaster strikes, people work together as part of a complex emergency management network that calls upon many functions, resources, and capabilities. Individuals' ability to function effectively relates to their understanding of how the emergency management system works, how their agency or organization fits into the network, and how people work together effectively to achieve the desired outcomes.

Foundations of Emergency Management training presents the fundamental aspects of emergency management and the application of that knowledge to managing people.

This unit consists of:

	Time
Unit 1 <ul style="list-style-type: none"> <li>• Instructor Introductions</li> <li>• Student Introductions</li> <li>• Pre- Assessment</li> </ul>	2 hours
<b>Total Unit Time:</b>	<b>2 hours</b>

## Visual 2: Instructor Introductions

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- Instructors
- Course Manager(s)
- Other Course Personnel

### Key Points

Your Notes:

## Visual 3: Administrative Information

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- Emergency exits
- Restrooms
- Pagers/cell phones
- Other logistics



### Key Points

Your Notes:

## Visual 4: Training Goal

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### Training Goal

To develop the initial knowledge and skills needed to perform at an entry level within the emergency management career field.

Note



Review the overall training objectives in the Student Manual.

## Key Points

**Goal:** The goal of this training is to develop the initial knowledge and skills needed to perform at an entry level within the emergency management career field.

### **Overall Emergency Management Objectives:**

- Describe the foundations of emergency management in the United States, including its history, doctrine, and principles, and the role of the Emergency Manager.
- Identify and explain legal issues in emergency management, including legal authorities for emergency management, potential legal issues, and strategies for avoiding legal risk.
- Describe the organization of emergency management for emergency response and routine operations.
- Describe the intergovernmental and interagency context of emergency management, including the roles of local, tribal, state, and Federal Government organizations; individuals and households; the private sector; and nongovernmental organizations (NGOs) in the emergency management network.
- Explain the function of collaboration in emergency management, including: Benefits of and challenges to collaboration; Strategies and tools for building collaborative relationships; A process for collaborative problem solving.

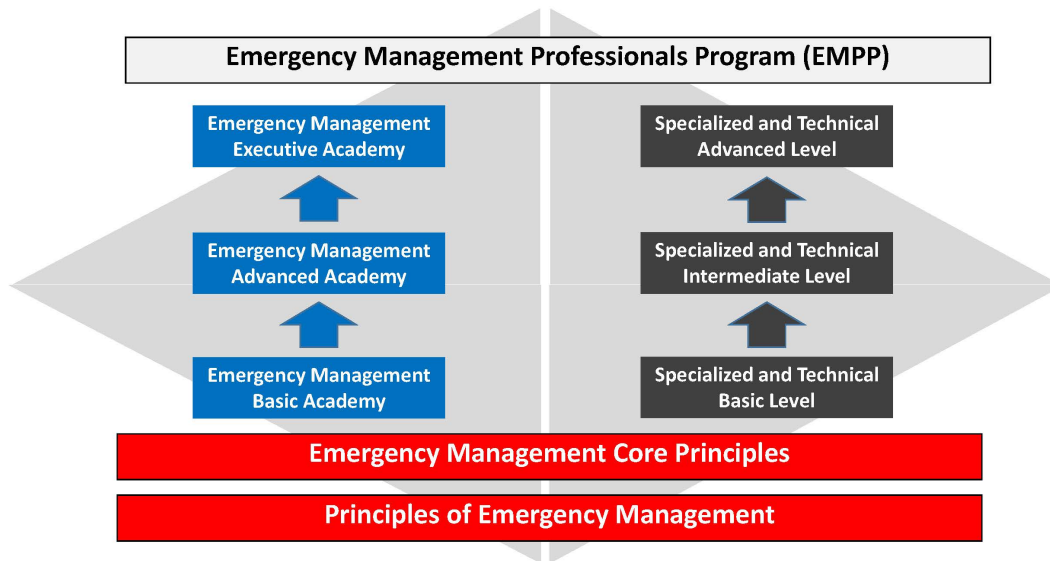
- Explain key factors in serving the whole community, including: Trends that contribute to disaster complexity; Demographic characteristics that influence the disaster needs of community members; Strategies for building the resilience of the whole community
- Explain the relationship between whole community preparedness and achieving core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas.
- Describe administration in emergency management, including staffing, budgeting and accounting for resources, and information management.
- Describe key aspects of the Prevention and Protection mission areas, including the nature of the missions, guiding principles, and planning issues.
- Describe key aspects of the Mitigation mission area, including: How mitigation supports preparedness; Roles and contributions of mitigation partners at all levels; The mitigation planning process; Strategies for building local support for mitigation.
- Describe key aspects of the Response mission area, including emergency operations planning, initial response actions, resource management, and managing complex incidents.
- Describe key aspects of the Recovery mission area, including disaster recovery operations, Federal recovery programs, and emotional recovery strategies for the community.
- Describe the use of Communications in emergency management, including communications technologies and incident communications and planning.
- Describe the use of technology in support of emergency management, including technologies for enhancing emergency management and for communicating with the public. Apply emergency management knowledge in a simulated environment.
- Discuss the emergency management profession and its future.

### **Overall People Management Objectives:**

- Describe and apply team concepts in the work environment, including characteristics of effective teams, roles assumed within teams, and strategies for creating effective teams.
- Identify and apply concepts and techniques for leading through influencing, including:
  - Influencing strategies
  - Sources of power
  - Results of applying different influence styles
  - Steps to build and sustain your influence
- Identify ways to identify, reduce, and manage stress in the work environment.
- Define and describe ethics, including the characteristics of ethical dilemmas and steps for making ethical decisions.
- Apply team-building and people management skills in a simulated environment.



## Visual 5: Emergency Management Professional Program



### Key Points

Foundations of Emergency Management is part of the Emergency Management Professional Program. The program builds on the principles of emergency management and core competencies.

The graphic shows the following elements of this comprehensive professional development program:

- **Foundational Competencies (Emergency Manager Basic Academy):** This training area provides general information and knowledge on key emergency management principles, doctrine, policies, and practices for all emergency management professionals and basic skills in managing people.
- **Leadership Competencies (Emergency Manager Advanced Academy):** This training area provides management knowledge and skills for leaders in the emergency management field.
- **Executive Competencies (Emergency Manager Executive Academy):** This training area provides executives with the knowledge and skills for senior-level leaders in the emergency management field.
- **Specialty and Technology Competencies:** This training area provides the requisite knowledge and skills for coordinating key components of emergency management.

Training is provided at the basic, intermediate, and advanced levels in areas such as Preparedness including planning, training, exercise, and evaluation.

- Mitigation/Prevention/Protection.
- Response.
- Recovery.

## Visual 6: Emergency Management Professional Program

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### National Emergency Management Basic Academy (NEMBA)

#### Resident Courses

E/L0101 Foundations of  
Emergency Management (5 days)

E/L0102 Science of Disasters  
(3 days)

E/L0103 Emergency Planning  
(2days)

E/L0146 Homeland Security  
Exercise and Evaluation Program  
(HSEEP) (2 days)

E/L0105 Public Information and  
Warning (2 days)

### Emergency Management Basic Academy

**Who:** Entry-level personnel in the emergency management profession or professionals from similar fields entering emergency management

**What:** Instruction in the foundational competencies to provide new practitioners with broad and generalized knowledge

E/L0101: Foundations of Emergency Management

E/L0102: Science of Disaster

E/L0103: Planning: Emergency Operations

E/L0146: Homeland Security Exercise and Evaluation Program (HSEEP)

E/L0105: Public Information and Warning

**Output:** Introductory-level emergency management personnel

# Visual 7: Emergency Management Professional Program

## National Emergency Management Basic Academy (NEMBA)

### Independent Study (IS) Courses

IS100.b – Introduction to the Incident Command System (3hrs)

IS200.b – ICS for Single Resources and Initial Action Incidents (3hrs)

IS235.b – Emergency Planning (5hrs)

IS241.b – Decision Making and Problem Solving (2hrs)

IS244.b – Developing and Managing Volunteers (4hrs)

IS800.c – National Response Framework, An Introduction (3hrs)

IS120.c – An Introduction to Exercise (5hrs)

IS230.d – Fundamentals of Emergency Management (6hrs)

IS240.b – Leadership and Influencing (3hrs)

IS242.b – Effective Communications (8hrs)

IS700.b – National Incident Management System, An Introduction (3hrs)

## Key Points

The Emergency Managers Basic Academy provides training to entry-level personnel in the emergency management profession or professionals from "like" fields entering emergency management.

Elements of the Academy include both Independent Study (IS) and Resident Courses which include the following:

Residents Courses:

- E/L0101 Foundations of Emergency Management
- E/L0102 Science of Disaster
- E/L0103 Planning: Emergency Operations
- E/L0146 Homeland Security Exercise and Evaluation Program (HSEEP)
- E/L0105 Public Information and Warning

Independent Study (IS) Courses:

- IS100.c – Introduction to the Incident Command System
- IS120.c – An Introduction to Exercise
- IS200.b – ICS for Single Resources and Initial Action Incidents
- IS230.d – Fundamentals of Emergency Management
- IS235.c – Emergency Planning

- IS240.b – Leadership and Influence
- IS241.b – Decision Making and Problem Solving
- IS242.b – Effective Communications
- IS244.b – Developing and Managing Volunteers
- IS700.b – National Incident Management System, An Introduction
- IS800.c – National Response Framework, An Introduction

Instruction in the **foundational competencies** provides new practitioners with broad and generalized knowledge.

## Visual 8: Introductions

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- Name
- Position/organization
- Past experience related to emergency management or community service

### Key Points

You will be given an opportunity to introduce yourself. Please include the following information:

- Name
- Position/organization
- Past experience related to emergency management or community service

## Visual 9: Course Agenda

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- Emergency Management Topics
- Managing People Topics
- Other Schedule Items

### Key Points

On the following page, you are provided with a general course agenda for the course. On this agenda, you will see the general layout of the course.

Emergency management topics of this course are listed below and on the next page.

- Unit 1: Course Welcome
- Unit 2: Introduction to Emergency Management
- Unit 3: Stress Management
- Unit 4: Preparedness
- Unit 5: Introduction to Statutory Authority and Legal Considerations
- Unit 6: Serving the Whole Community
- Unit 7: Intergovernmental and Interagency Context of Emergency Management
- Unit 8: Prevention and Protection
- Unit 9: Mitigation
- Unit 10: Response
- Unit 11: Recovery
- Unit 12: Emergency Management Collaborative
- Unit 13: Capstone Exercise
- Unit 14: Summary

# COURSE AGENDA

This is a general layout of the current course structure.

DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
<p><b>Unit 1:</b> Foundations of Emergency Management Welcome <i>Pre-Assessment</i></p> <p><b>Unit 2:</b> Introduction to Emergency Management <i>Group Work and Brainstorming</i></p> <p><b>Unit 3:</b> Stress Management</p>	<p><b>Unit 4:</b> Preparedness</p> <p><b>Unit 5:</b> Statutory Authority and Legal Considerations</p> <p><b>Unit 6:</b> Serving the Whole Community</p>	<p><b>Unit 6:</b> (Continued)</p> <p><b>Unit 7:</b> Intergovernment al and Interagency Context of Emergency Management</p> <p><b>Unit 8:</b> Prevention and Protection</p> <p><b>Unit 9:</b> Mitigation</p>	<p><b>Unit 9:</b> (Continued)</p> <p><b>Module 10:</b> Response</p> <p><b>Module 11:</b> Recovery</p>	<p><b>Module 12:</b> Capstone Exercise</p> <p><b>Module 13:</b> Emergency Management Col laborative <i>Post-Assessment</i></p> <p><b>Module 14:</b> Summary</p>



## Visual 10: Our Expectations

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- Punctuality
- Participation
- Positive attitude
- Professionalism
- Flexibility
- Commitment



The instructors' expectations for you include:

- **Punctuality:** We expect you to be prompt in arriving for the beginning of the training day and returning from breaks.
- **Participation:** This course is most successful if everyone participates in the discussions and activities.
- **Positive attitude:** Being open-minded will help you maintain a positive attitude toward learning.
- **Professionalism:** We expect you to be courteous, conscientious, and considerate of others. Listening skills and accepting constructive criticism are important as well.
- **Flexibility:** Emergency management requires flexibility. During the training, you can practice being flexible by being open to change and new information. In addition, we ask that everyone be able to adapt to new information, changing conditions, and unexpected obstacles.
- **Commitment:** You are expected to make a commitment to continued learning following the classroom training portions. You will complete an individual action plan at the end of each module. We ask that you make a commitment to complete the action form and follow through when you return to your work setting.

## Visual 11: Methods

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- Instructor presentations
- Activities, exercises, and team projects
- Best practices/case studies
- Individual Action Workbook (IAW)

### Student Instruction

This training uses a combination of training methods to facilitate learning. These methods include:

- Instructor presentations
- Activities, exercises, and team projects
- Best practices/case studies
- Individual Action Workbook (IAW) and Mentor

## Visual 12: Course Materials

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- Student Manual (SM)
- Job Aids and Handouts
- Student Toolkit
- Individual Action Workbook (IAW)
- Student Pre-Work

### Course Materials Key Points

Course Materials include:

- **Student Manual (SM):** Here you will find the course slides and course information.
- **Job Aids and Handouts:** Job aids and handouts are supplementary materials for the course. Job aids are usually located in the SM and handouts will be provided by the instructors at the appropriate time.
- **Student Toolkit:** Resources to be shared by the table. They may include: Comprehensive Preparedness Guide (CPG 101, CPG 201) or the FEMA Exercise Simulation System Document (ESSD).
- **Individual Action Workbook (IAW):** This workbook will provide continuity through the Basic Academy curriculum. As you work through the activities in the IAW, there will also be opportunities for Check-In where you can report your progress and activities once you have returned to your jurisdictions.
- **Student Pre-Work:** This workbook is designed as a way for you to assess your skills; review the policies, procedures, and plans for your jurisdiction; and apply the knowledge and skills you learned in this course to your jurisdiction. The work done prior to class will enhance the student learning through discussion and comparisons of jurisdictions and organizations during the course.
- Resource Toolkit (CD-Rom)

## Visual 13: Testing and Evaluation Process

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### Assessments:

- Pre-Assessment (no grade)
- Post-Assessment
  - 75% or better passing grade
- Participation:
  - Daily attendance, participation, and interactions
  - Individual Action Workbook (IAW)
  - Presentation
  - Participation of Unit 13 Capstone Exercise

### Testing and Evaluation Process Key Points

The course will contain several graded and ungraded testing and evaluation opportunities.

There will be a total of two assessments—a Pre-Assessment and a Post-Assessment. The Pre-Assessment will not count towards the score to pass the class.

You are required to score a minimum of 75 percent on the Post-Assessment.

In addition to the required minimum scores on the Post-Assessment, you will also be required to be an active participant in the class. Instructors will be observing your:

- Daily attendance and interactions in the class
- Completion of IAW activities
- Participation in group presentation
- Participation in Unit 13 Capstone Exercise

## Visual 14: Pre-Assessment

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### **Instructions:**

Working individually

1. Tear the Pre-Assessment Answer Sheet off the packet. Use this sheet to record your answers
2. Once you have completed the assessment, turn it in to the instructors
3. You have 45 minutes to complete the Pre-Assessment

## Week 1 Pre-Assessment Key Points

### **Instructions:**

Working Individually

1. Tear the Pre-Assessment Answer Sheet off of the assessment packet. Use this sheet to record your answers.
2. Once you have completed the assessment, turn it in to the instructors.
3. You have 45 minutes to complete the Pre-Assessment.

## Visual 15: Feedback

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- Any other comments or questions?
- Please complete the evaluation form for this unit
- Your comments are important
- Thank you for your participation

### Feedback Key Points

Please provide your feedback on this unit.

## Acronyms

Acronym	Definition	First Appearance in Module
AARP	American Association of Retired Persons	5
ADA	Americans with Disabilities Act	2
AFG	Assistance to Firefighters Grant	3
ALERT	Center of Excellence for Awareness and Location of Explosives-Related Threats	10
ALS	Advanced Life Support	11
AmVets	American Veterans	5
APA	American Planning Association	10
APHA	American Public Health Association	10
APWA	American Public Works Association	10
ARC	American Red Cross	2
BLS	Basic Life Support	11
CAA	Clean Air Act	2
CALVES	Community-Activated	10

Acronym	Definition	First Appearance in Module
	Lifesaving Voice Emergency System	
CAMRA	Center for Advancing Microbial Assessment	10
CAP	Common Alerting Protocol	10
CBP	Customs and Border Patrol	11
CBRA	Coastal Barriers Resources Act	2
CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosives	6
CCFD	Central City Fire Department	11
CCI	Center of Excellence in Command, Control and Interoperability	10
CCPD	Central City Police Department	11
CDC	Centers for Disease Control and Prevention	10
CEMP	Comprehensive Emergency Management Plan	8
CERT	Community Emergency Response Team	3
CFR	Code of Federal Regulations	2



Acronym	Definition	First Appearance in Module
CISM	Critical Incident Stress Management	
CNCI	Comprehensive National Cybersecurity Initiative	6
COOP	Continuity of Operations Plan	3
COP	Common Operating Picture	8
COWS	Community Outdoor Warning Sirens	10
CPG	Comprehensive Preparedness Guide	0
CPR	Cardiopulmonary Resuscitation	6
CREATE	Center for Risk and Economic Analysis of Terrorism Events	10
CST	Civil Support Team	11
CWA	Clean Water Act	2
CZMA	Coastal Zone Management Act	2
DC	District of Columbia	5
DCM	Disaster Case management	9
DFIRM	Digital Flood Insurance Rate Map	7

Acronym	Definition	First Appearance in Module
DHS	Department of Homeland Security	5
DLS	Disaster Legal Services	9
DMA	Disaster Mitigation Act	7
DMAT	Disaster Medical Assistance Team	11
DMORT	Disaster Mortuary Operational Response Team	2
DNA	Deoxyribonucleic Acid	6
DPW	Department of Public Works	8
DRC	Disaster Recovery Center	5
DRM	Disaster Recovery Manager	5
DSA	Disaster Survivor Assistance	9
DUA	Disaster Unemployment Insurance	9
EAS	Emergency Alert System	10
EDEN	Extension Disaster Education Network	3
EEOC	Equal Employment Opportunity Commission	2
EF	Enhanced Fujita	9

Acronym	Definition	First Appearance in Module
EHP	Environmental and Historic Preservation	2
EM	Emergency Management	1
EMA	Emergency Management Agency	3
EMAC	Emergency Management Assistance Compact	5
EMAP	Emergency Management Accreditation Program	2
EMI	Emergency Management Institute	0
EMPG	Emergency Management Performance Grant	2
EMPP	Emergency Management Professional Program	0
EMS	Emergency Medical Service	1
EOC	Emergency Operations Center	1
EOD	Explosive Ordnance Disposal	11
EOP	Emergency Operations Plan	2
EPA	Environmental Protection Agency	8
EPCRA	Emergency Planning & Community Right-to-Know	2

Acronym	Definition	First Appearance in Module
	Act	
ER	Emergency Room	11
ESA	Endangered Species Act	2
ESF	Emergency Support Function	5
ESSD	Exercise Simulation System Document	0
FCO	Federal Coordinating Officer	5
FDRM	Federal Disaster Recovery Manager	9
FEMA	Federal Emergency Management Agency	1
FIOP	Federal Interagency Operational Plan	3
FMA	Flood Mitigation Assistance	7
FNSS	Functional Needs Support Services	2
FOIA	Freedom of Information Act	2
FSA	Farm Service Agency	9
FWCA	Fish and Wildlife Coordination Act	2
GAR	Governor's Authorized	5

Acronym	Definition	First Appearance in Module
	Representative	
GIGO	Garbage In = Garbage Out	8
HA	Housing Assistance	9
HazMat	Hazardous Materials	11
HHS	Health and Human Services	2
HIPAA	Health Insurance Portability and Accountability Act	2
HMA	Hazard Mitigation Assistance	7
HMGP	Hazard Mitigation Grant Program	7
HSEEP	Homeland Security Exercise Evaluation Program	0
HSGP	Homeland Security Grant Program	2
HSPD	Homeland Security Presidential Directive	6
IA	Individual Assistance	9
IACLEA	International Association of Campus Law Enforcement Administrators	10
IAEM	International Association of Emergency Managers	10

Acronym	Definition	First Appearance in Module
IAFC	International Association of Fire Chiefs	10
IAP	Incident Action Plan	8
IAPC	International Association of Police Chiefs	3
IAW	Individual Action Workbook	0
IC	Incident Command	8
ICS	Incident Command System	0
IMAT	Incident Management Assistance Team	2
IPAWS	Integrated Public Alert and Warning System	6
IPR	Intercity Passenger Rail Security Grant Program	3
IS	Independent Study	0
JFO	Joint Field Office	5
JHAP	Joplin Homebuyers Assistance Program	9
JHRP	Joplin Homebuyers Revitalization Program	9
JIS	Joint Information System	1

Acronym	Definition	First Appearance in Module
LC/CCEMA	Liberty County/Central City Emergency Management Agency	11
LDRM	Local Disaster Recovery Manager	9
LE	Law Enforcement	1
LEP	Limited English Proficiency	2
LEPC	Local Emergency Planning Committee	2
MAA	Mutual Aid Agreement	2
MAC	Multiagency Coordination	1
MCI	Mass Casualty Incident	11
MERS	Mobile Emergency Response Support	2
MOU	Memorandum of Understanding	2
MRC	Medical Reserve Corps	3
MSU	Marine Safety Unit	11
NAC	National Association of Counties	10
NAI	No Adverse Impact	7

Acronym	Definition	First Appearance in Module
NCFPD	National Center for Food Protection and Defense	10
NDMS	National Disaster Medical System	2
NDRF	National Disaster Recovery Framework	5
NEMA	National Emergency Management Association	10
NEMBA	National Emergency Management Basic Academy	0
NEPA	National Environmental Policy Act	2
NFIP	National Flood Insurance Program	7
NFIRA	National Flood Insurance Reform Act	7
NFPA	National Fire Protection Association	2
NGO	Nongovernmental Organization	0
NHPA	The National Historic Preservation Act	2
NICC	National Infrastructure Coordination Center	5



Acronym	Definition	First Appearance in Module
NIMS	National Incident Management System	1
NIPP	National Infrastructure Protection Plan	6
NLE	National Level Exercises	11
NOAA	National Oceanic and Atmospheric Administration	3
NOC	National Operations Center	5
NPS	National Preparedness System	3
NPSC	National Processing Service Center	9
NRCC	National Response Coordination Center	5
NRF	National Response Framework	1
NSGP	Nonprofit Security Grants Program	3
NTAS	National Terrorism Advisory System	6
NVFC	National Volunteer Fire Council	10
NVOID	National Voluntary Organizations Active in Disaster	4

Acronym	Definition	First Appearance in Module
NWCG	National Wildfire Coordinating Group	0
NWEM	Non-Weather Emergency Messages	10
NWS	National Weather Service	7
OJT	On the Job Training	3
OMB	Office of Management and Budget	10
ONA	Other Needs Assistance	9
OSHA	Occupational Safety and Health Administration	2
PA	Public Assistance	9
PACER	National Center for the Study of Preparedness and Catastrophic Event Response	10
PDA	Preliminary Damage Assessment	2
PDM	Pre-Disaster Mitigation	7
PETS	Pets Evacuation & Transportation Standards	2
PF&S	Fire Prevention and Safety Grants	3

Acronym	Definition	First Appearance in Module
PH	Public Health	1
PIO	Public Information Officer	1
PKEMRA	Post Katrina Emergency Management Reform Act	2
PNP	Private Nonprofit	9
PPD	Presidential Policy Directive	3
PR	Puerto Rico	5
PSA	Public Service Announcement	3
PSC	Planning Section Chief	11
PSGP	Port Security Grant Program	3
PW	Public Works	1
RCRA	Resource Conservation and Recovery Act	2
RHA	Rivers and Harbors Act	2
RRCC	Regional Response Coordination Center	5
RSF	Recovery Support Functions	9
RSS	Really Simple Syndication	10
SAFER	Staffing for Adequate Fire and Emergency Response	3

Acronym	Definition	First Appearance in Module
SAME	Specific Area Message Encoding	10
SARA	Superfund Amendments and Reauthorization Act	2
SBA	Small Business Administration	9
SDRC	State Disaster Recovery Manager	9
SFI	Strategic Foresight Initiative	10
SHMO	State Hazard Mitigation Officer	7
SHPA	State Historic Preservation Officer	2
SITPIC	Situational Picture	8
SM	Student Manual	0
SMART	Specific; Measurable; Achievable; Realistic; Time Bound	8
SOG	Standard Operating Guidelines	6
SOP	Standard Operating Procedure	2
SRIA	Sandy Recovery Improvement Act	2

Acronym	Definition	First Appearance in Module
SRT	Special Response Team	11
START	National Consortium for the Study of Terrorism and Responses for Terrorism	10
STO	State Coordinating Officer	5
TDRC	Tribal Disaster Recovery Manager	9
TERC	Tribal Emergency Response Commission	2
THIRA	Threat Hazard Identification and Risk Assessment	2
THMO	Tribal Hazard Mitigation Officer	7
THPO	Tribal Historic Preservation Officer	2
THSGP	Tribal Homeland Security Grant Program	2
TOC	Table of Contents	11
TRS	Telecommunications Relay Services	2
TSGP	Transit Security Grant Program	3
TTX	Tabletop Exercise	11

Acronym	Definition	First Appearance in Module
TTY	Teletypewriter	9
UASI	Urban Areas Security Initiative	11
UC	Unified Command	8
UFAS	Uniform Federal Accessibility Standards	2
UHMA	Unified Hazard Mitigation Assistance Program	7
USAR	Urban Search and Rescue	2
USCG	United States Coast Guard	11
USDA	United States Department of Agriculture	9
USGCRP	U.S. Global Change Research Program	10
USM	University of Southern Mississippi	10
USVI	United States Virgin Islands	5
VFW	Veterans of Foreign Wars	5
VHP	Volunteer Health Professional	2
VIPS	Volunteers in Police Service	3
VOAD	Volunteer Organizations	1

Acronym	Definition	First Appearance in Module
	Active in Disasters	
VPA	Volunteer Protection Act	2
WMD	Weapons of Mass Destruction	3
WSR	Wild and Scenic Rivers Act	2
WWTP	Wastewater Treatment Plant	8
ZADD	Center for Excellence for Zoonotic and Animal Disease Defense	10

# Unit 2: Introduction to Emergency Management



## Visual 1: Introduction to Emergency Management

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Introduction to Emergency Management

### Key Points

This unit is designed to provide a review of the independent study (IS) courses that were the prerequisites for attending the course. This unit will bring together individuals to work as a team and build a presentation to present to the class.

## Visual 2: Unit Structure



### Key Points

This unit includes the following:

Unit	Time
Introduction and Student Breakdown Activity 2.1 - Team Assignment <ul style="list-style-type: none"> <li>• Group Work and Presentation Build</li> <li>• Presentation of Group Work</li> </ul> Activity 2.2 - Emergency Manager Checklist (Pre-Work)	30 minutes 3 hours 45 minutes <ul style="list-style-type: none"> <li>• 1 hour 30 minutes</li> <li>• 2 hours 15 minutes</li> </ul> 15 minutes
<b>Total Unit Time</b>	4 hours 30 minutes

## Visual 3: Learning Objectives

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After completing this unit, you should be able to:

- Understand Independent Study (IS) courses covered in Prerequisites
- Build and present an overview of an Independent Study (IS) course
- Form a team to complete an assignment



Review the unit objectives in the Student Manual.

## Visual 4: Team Building and Assignments

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Team Building and Assignments

### Key Points

There are numerous types of teams that emergency management personnel either lead or serve on as members. For example, you might:

- Lead a planning team that is tasked with revising the emergency operations plan
- Be asked to mentor community emergency response teams within your community
- Serve on a team or committee for a professional organization

Throughout this course, you will have an opportunity to apply what you have learned about teams. You will be part of a team that must work together to develop a detailed presentation that will be conducted later in the program.

This is the first team building assignment that will have you work with other team members.

## Visual 5: Teams vs. Solo Performance

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Analysis of Olympic swimmers found:

- Better individual performance in team relays than solo events.
- Later swimmers in the relay had the highest gains in performance.



### Key Points

Following the 2008 Summer Olympics, researchers studied the performance of the swim teams from all the nations. One researcher's theory was that team performance in the relay races would correlate with cultural differences between individualist societies (e.g., the United States) versus more pluralist societies (e.g., China).

Instead, the researchers found that the mean solo race times were generally slower than individual relay times, regardless of gender, event, year, or cultural factors. Although the nature of a relay race may allow swimmers to get off to a quicker start, it does not fully explain the results. **The conclusion is that swimmers seem to perform better as a team member than as a solo performer.** \*

A second study found that swimmers at the later positions within the relay races showed higher performance compared to their individual competition heats. One theory is that the swimmers' performance was driven by a commitment to winning for the team. \*\*

\*Olympic Swimming and Individualism: Can Culture Influence Performance in the Olympic Arena? Birgit A. Bryant, Le Moyne College in the Journal of Articles in Support of the Null Hypothesis. 2011, Vol. 7, No. 2.

\*\* When the Whole Is More Than the Sum of Its Parts: Group Motivation Gains in the Wild, Joachim Hüffmeier and Guido Hertela, Department of Psychology, Westfälische Wilhelms-Universität, Münster, Germany.

## Visual 6: Highly Effective Teams

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- Participative leadership
- Shared responsibility
- Commitment to a common purpose and performance goals
- Use of resources and talents
- Open communications
- Capacity for self-evaluation

### Key Points

Review the characteristics of highly effective teams summarized below.

- **Participative Leadership.** Team members have opportunities to participate in decision-making. Team members help set goals and develop strategies for achieving these goals. Team members help identify tasks and decide how to approach and evaluate them.
- **Shared Responsibility.** Team members feel equally responsible for the performance of the team and its outcomes. Individuals may have primary roles for completing team tasks, but they remain flexible and do what is necessary to accomplish the team's goals and tasks.
- **Commitment to a Common Purpose and Performance Goals.** Team members have a sense of common purpose about why the team exists and the functions it serves. They demonstrate their commitment to achieving the purpose by:
  - Keeping the purpose in the forefront of their decision-making and evaluations of team practices
  - Helping one another maintain their focus on results
- **Use of Resources and Talents.** Team members use the resources and talents of the group members. Highly effective teams make good use of their creative talents, openly share skills and knowledge, and learn from one another.
- **Open Communications.** The team creates and maintains a climate of trust and open, honest communication. Team members talk openly with one another, are open to giving and receiving feedback, and work through misunderstandings and conflicts.
- **Capacity for Self-Evaluation.** Effective teams stop and assess how well they are doing and what, if anything, may be hindering their performance and communications.

## Visual 7: Common Team Roles

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Team members may assume multiple roles and switch roles. Common roles assumed by team members include:

- **Leader.** Most teams will have a leader. The team leader often establishes draft meeting agendas, facilitates meetings, monitors progress, and motivates team members.
- **Task Master.** The task master helps keep the team moving ahead and gets the team to focus on what needs to be done.
- **Inventor.** An inventor is the person who suggests new ideas, thinks out of the box, and looks for creative solutions.
- **Strategist.** The strategist helps map out how the team will accomplish its goals. The strategist is a good planner and problem solver.
- **Scribe.** The scribe records whatever ideas a team member may have and commitments made by the team.
- **Optimist.** The optimist is the team member who can maintain a positive outlook and find the common ground. The optimist is the team cheerleader.
- **Evaluator.** The evaluator can always find the potential flaws in an idea. The evaluator helps with a reality check if the team generates solutions that are not feasible.

## Visual 8: Activity 2.1: Team Assignment

**Instructions:** Each team will:

1. Receive an independent study (IS) course from the prerequisite courses.
2. Develop a 5-10 minute presentation



### Activity 2.1 Key Points

**Instructions:** Each team will:

1. Receive an Independent Study (IS) course to be researched and presented.
2. Develop a 10-15 minute presentation that:
  - a. Explain the learning objectives and its applicability to emergency management
  - b. Engages the audience and demonstrates why the principles associated with the IS course are important
  - c. Students have creative control on the presentation format (e.g., PowerPoint, skit, role play)
  - d. Involves ALL team members in some aspect of the presentation
3. Use your team skills to develop and execute a work plan for the assigned presentation.
4. Schedule:
  - a. Group Work and Brainstorming: (2 hours)
  - b. Note that presentations are due to the instructor for review/uploading in 1.5 hours
  - c. Group Presentations
5. You have 2 hours to develop, produce, and practice your presentation.

### **Suggestions:**

- Spend some time deciding how you will work together as a team by:
  - Determining if you want to select a team leader and assign certain roles
  - Establishing team ground rules and processes for making decisions
  - Reviewing the different talents and assets that each team member brings to this assignment
  - Developing an action plan that includes task activities, deliverables/outcomes, deadlines, resource needs, and responsibilities
- Spend some time reviewing the Independent Study course and identify an outline to follow.
- Spend some time brainstorming on the report/presentation format and assigning tasks for project completion.



## Visual 9: IS100.c - Introduction to the Incident Command System

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IS100.c - Introduction to the Incident Command System



## Visual 10: IS120.c - An Introduction to Exercise

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IS120.c - Introduction to Exercise



# Visual 11: IS200.b - ICS for Single Resources and Initial Action Incidents

IS200.b - ICS for Single Resources and Initial Action Incidents



# Visual 12: IS230.d - Fundamentals of Emergency Management

IS230.d - Fundamentals of Emergency Management



## Visual 13: IS235.c - Emergency Planning

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IS235.c - Emergency Planning



## Visual 14: IS240.b - Leadership and Influencing

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IS240.b - Leadership and Influencing



## Visual 15: IS241.b - Decision Making and Problem Solving

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IS241.b - Decision Making and Problem Solving



## Visual 16: IS242.b - Effective Communication

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IS242.b Effective Communication





# Visual 17: IS244.b - Developing and Managing Volunteers

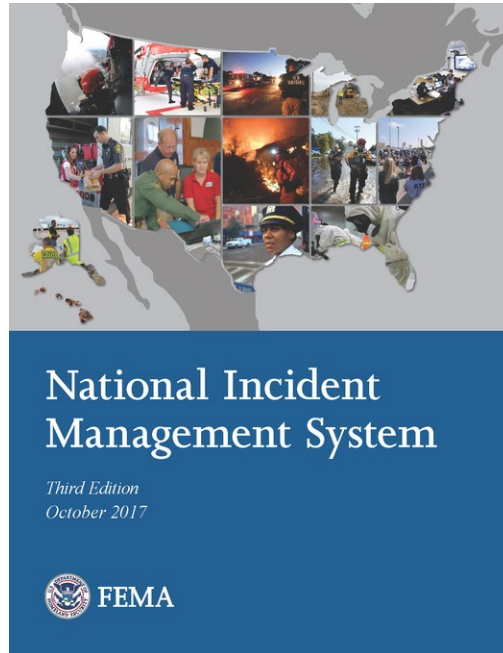
IS244.b - Developing and Managing Volunteers



# Visual 18: IS700.b - National Incident Management System, An Introduction

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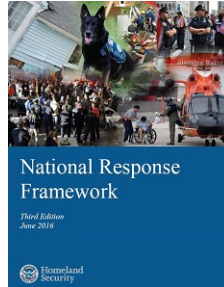
IS700.b - National Incident Management System, An Introduction



# Visual 19: IS800.c - National Response Framework, An Introduction

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IS800.c - National Response Framework, An Introduction



## Visual 20: Activity 2.2 - Emergency Manager Checklist (Pre-Work)

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### **Instructions:**

Discuss the checklist and identify specific areas that relate to your current job.

### Key Points

**Purpose:** The purpose of this activity is to provide examples of emergency management tasks and to review the tasks that are part of your current job.

### **Instructions:**

1. Thinking about your current EM role, review the checklist and check the box for each task that is part of your current job
2. Each category of tasks has a few blank rows for you to add any items you feel should be included

***Check-In:*** For any items that you have not checked, once you return to your jurisdiction, consider ways to start implementing these tasks into your duties as an emergency manager.

## Visual 21: Unit Summary

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You should now be able to:

- Understand Independent Study (IS) courses covered in the Prerequisites
- Build and present an overview of an Independent Study (IS) Course
- Form a team to complete an assignment

## Visual 22: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 3: Stress Management

## Visual 1: Unit 3: Stress Management



Stress Management

### Key Points

In this unit you will learn about causes and results of stress and techniques for managing stress. This includes managing your own stress and managing the environment to reduce stress for your staff and colleagues.

This unit is divided into the following:

Unit	Time
Stress Management <ul style="list-style-type: none"> <li>• Case Study/Scenario – Stress Management</li> <li>• Activity 3.1 – Stress on Managers</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 10 minutes</li> <li>• 10 minutes</li> </ul>
<b>Total Unit Time</b>	<b>1 hour</b>



## Visual 2: Scenario: Stress Management

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**Instructions:** Review the scenario in the Student Manual, and answer the following:

- What are the strengths and weaknesses of Celia’s approach to her job?
- How could her actions cause stress for herself?
- How could her actions cause stress for her staff and volunteers?
- How could her actions cause stress for the organization?



### Scenario

### Key Points

1. Review the scenario in the student manual.
2. Be prepared to answer the questions in a class debrief discussion.

### **Scenario**

Celia Edwards is enthusiastic about her new job as an Emergency Manager. She was selected for her position in Central City 2 years ago and wants to make a good impression. She, therefore, considers the current storm disaster as an opportunity to excel. The storm, consisting of record rainfall, high winds, and flooding, has become a major challenge for Central City. Celia activated the City/County EOC 10 days ago and insists on full staffing 24/7 – a difficult task, given the small emergency management staff and lack of sufficient EOC volunteers.

Celia assumed the role of EOC manager and assigned her deputy to cover the alternate, 12-hour shift. Although the deputy has served as PIO, he has not been trained as deputy EOC manager mainly because Celia has been too busy to do so. Even when the deputy is in charge of his shift, Celia frequently comes in to the EOC. This causes confusion among some staff and some resentment on the part of the deputy. During her shift, Celia relies only on the most experienced volunteers, which sometimes causes others to feel unwanted or un-needed. She also encourages the deputy EOC manager to do the same. Some volunteers asked the deputy why they were even needed if Celia and the most experienced volunteers did all the work.

One of the county commissioners visited the EOC and, in an all-hands meeting, praised Celia for being a “Super Hero” for her all-out effort dealing with the ongoing disaster.

### Questions

1. What are the strengths and weaknesses of Celia’s approach to her job

1. How could her actions cause stress for herself?

1. How could her actions cause stress for her staff and volunteers?

1. How could her actions cause stress for the organization?

## Visual 3: Learning Objectives

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- Define stress.
- Describe types of human stress.
- Identify the signs and symptoms of stress.
- Identify sources of stress.
- Describe ways to manage and reduce stress in the work environment.



### Key Points

Review the learning objectives listed on the visual.

## Visual 4: What Is Stress?

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- Stress is a series of adaptive responses to threat, challenge, or change that are designed to improve the probability of survival.
- There are two types of stress for humans:
  - Distress - Negative
  - Eustress - Positive



### Key Points

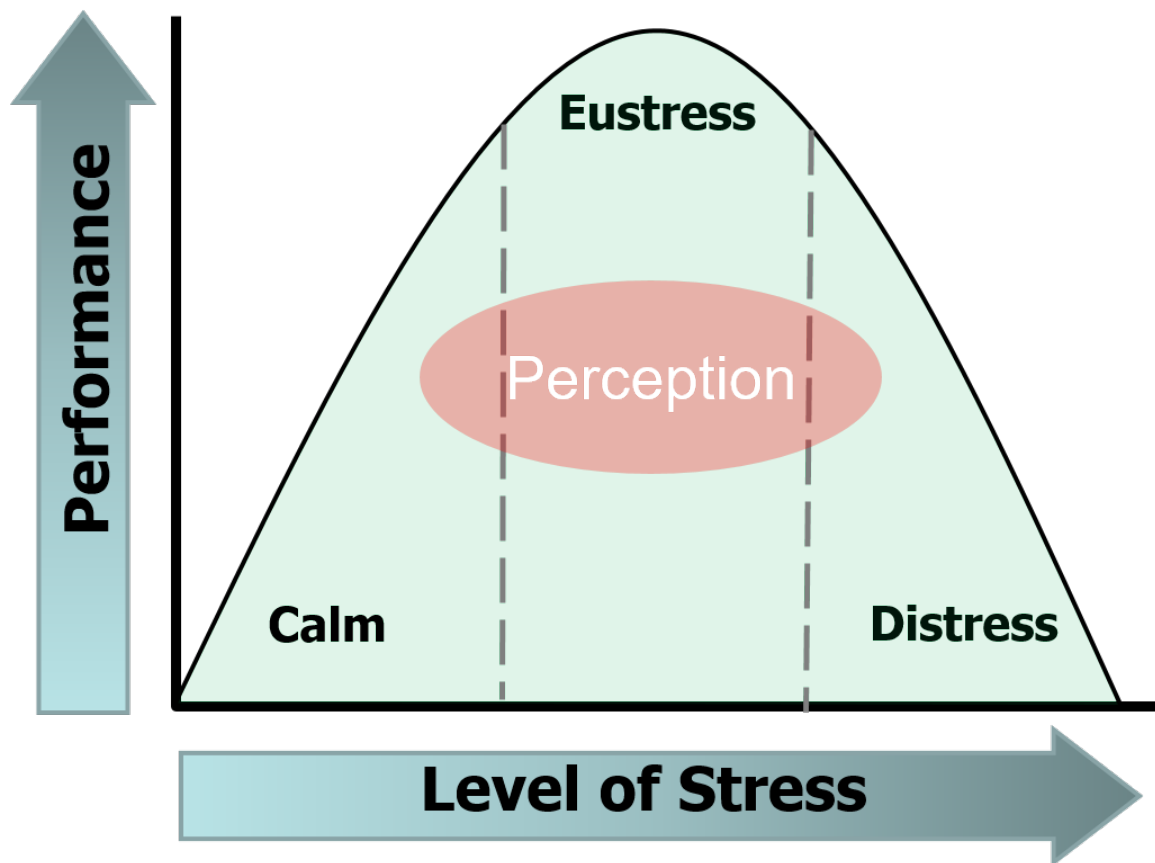
Clearly, from the previous activity, we all know something about stress. But what exactly is stress?

Stress isn't necessarily a bad thing. Stress is a series of adaptive responses (pumping adrenalin, quickened heartbeat, heightened senses, etc.) to threat, challenge, or change that are designed to improve the probability of survival. It is the basis of the "fight vs. flight" impulse.

There are two types of stress for humans—one negative and one positive.

- **Distress:** Distress leaves you feeling under pressure, anxious, frustrated, and not at your best. It can sap your energy and leave you feeling unhealthy.
- **Eustress:** There is a good form of stress called "eustress" ("eu" is from the Greek, meaning good or positive). This type of stress comes from embracing or seeking change or opportunity—a better outcome. Eustress is a form of stress that is taking you somewhere, the kind of pressure that gets you motivated to accomplish something or that leads you to an act of fulfillment. Eustress can result in peak performance.

## Visual 5: Distress vs. Eustress



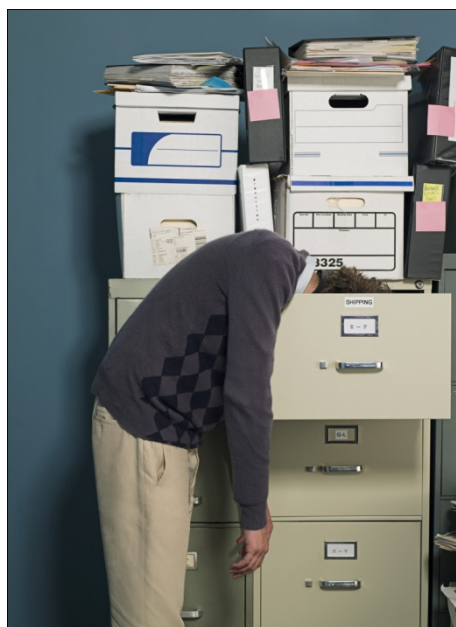
### Key Points

This diagram represents one view of the relationship between level of stress and performance.

- When there is a very **low level of stress**, there is a sense of calm, and little impact on performance (unless the person is overtaken by sheer boredom, which could detract from performance).
- As the level of **stress increases**, it can be a positive force, pushing us to achieve and resulting in higher levels of performance. This is eustress. Some say that a "reasonable" amount of pressure, anxiety, or fear in the environment leads to higher performance among employees than if stress is not present.
- At some point, if there is a **high level of stress**, it may become too much for the individual and have a negative impact on performance. This is distress. Distress occurs when the demands placed on the body (physical, emotional, and cognitive) exceed its capacity to expend energy in maintaining balance.
- **Perception** plays an important part in whether stress is experienced as distress or eustress. The individual determines whether the experience is eustress or distress. That is,

eustress is primarily a result of positive perception of stressors, and distress is primarily a result of negative perception of stressors. For example, one person might be energized by a large and complicated task while another might become rattled and less effective.

## Visual 6: Common Sources of Stress



- Fatigue
- Uncertainty
- Expectations/time pressure
- Information insufficiency or overload
- Conflict
- Decision consequences
- Traumatic experiences

### Key Points

People involved in emergency management often experience stress in response to:

- **Fatigue** resulting from strenuous work, long hours, heavy workload, high demands over a long period, lack of sleep.
- **Uncertainty** about requirements, procedures, the situation, the future, or whether they will be able to succeed at the task.
- **High expectations** (imposed by self or others) combined with **time pressure** (much to do in a short period of time). A related stressor is inadequate resources to get the job done.
- **Information insufficiency or overload.** This can occur when there isn't enough information available on which to base important decisions, or there is conflicting or unclear information, or there is so much information that it is difficult to get a clear picture.
- **Conflict**, which may include:
  - Interpersonal conflict (for example, between colleagues or between manager and staff member).
  - Conflict between the individual and the group. This type of conflict often presents itself as role conflict (for example, between your role as an emergency manager and your role in the family).
  - Conflict between one group and another (for example, between county and State or between a government entity and a nongovernmental organization).
- **Decision consequences**—when there is a lot riding on the decisions you make, such as people's safety and welfare.

- **Traumatic experiences** such as exposure to danger or witnessing widespread damage, injury, loss of life, and grief.



## Visual 7: Stress Multipliers

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### Key Points

Many things can multiply the impact of stress on an individual. The following are examples:

- **Number of events:** If you go through multiple stressful events in a row without a chance to recuperate, your ability to cope will be less than during the first event.
- **Suddenness:** Sudden onset of a stressful situation can increase the level of stress.
- **Intensity or degree of stress (perceived or real):** Deeper stress naturally has a greater impact than light stress.
- **Duration:** The longer stress is present, the greater harm it can do.
- **Level of loss:** Heavy losses (e.g., personal possessions, friends, family) can produce greater levels of grief, which add to the level of stress.
- **Depleted coping skills/resources:** If your coping skills and resources are depleted-or were at low levels to begin with-the stress you experience will appear greater.

## Visual 8: Common Signs and Symptoms

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### Physical

- Headache
- Stomach/intestinal problems
- Back pain, stiff neck
- Fatigue
- Difficulty sleeping
- Change in appetite



### Key Points

Some of these symptoms of stress were mentioned in the opening activity.

## Visual 9: Common Signs and Symptoms

### Emotional

- Mood swings
- Anger, irritability
- Sadness, easy tearfulness
- Cynicism or negativity
- Self-criticism or self-doubt
- Guilt
- Tension or anxiety



### Key Points

Emotional signs of stress may not be as easy to recognize as physical symptoms.

- **Mood swings, anger, irritability:** High stress can cause mood swings and increased episodes of anger. The purpose of anger is to give us psychic energy to change something. When someone around you has angry outbursts, it is important to acknowledge the emotion. For example, you can ask, “What needs to be changed? (As angry as you are, there must be something pretty important to change.)” Then listen—be silent, let them struggle if needed; growth comes from struggle.
- **Sadness, easy tearfulness:** Another result of stress is sadness (anhedonia, meaning “without joy”). Anhedonia is like a bad case of the blahs over time. It’s sadness, not depression, and it’s a normal response to stress. (Sadness is normal; depression is not.)
- **Cynicism, negativity, distrust:** Disasters can leave people feeling a lack of control over their lives and their surroundings, and a feeling of betrayal (nature failed them, material things failed them, government couldn’t protect them, etc.). These negative emotions can lower one’s level of trust and bring on feelings of cynicism.
- **Self-criticism, self-doubt, guilt:** When things go wrong and stress builds up, many people respond with self-criticism, self-doubt, and guilt. “If only I had . . . .”
- **Tension or anxiety:** High stress can leave a person feeling tense, anxious, jumpy, or in a prolonged worried state, which in turn can produce cognitive difficulties.

## Visual 10: Common Signs and Symptoms

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### Cognitive

- Forgetfulness
- Difficulty concentrating
- Decreased learning speed
- "Flashbulb memories" and memory gaps
- Repetitious thoughts



### Key Points

Stress can lead to cognitive difficulties. Examples include:

- **Forgetfulness and difficulty concentrating:** High stress can be distracting and make you cognitively less efficient. This can show up as "losing" things, being unable to stay focused on what you are doing, and forgetting whether you have or haven't done something (because your mind was elsewhere while you were doing it). It can also lead to mistakes, so the quality of work suffers.
- **Learning:** Difficulty concentrating also affects ability to learn. Under stress, learning speed slows down about 20 percent. Remember, local volunteers have been through the disaster themselves, and it will likely take them longer to absorb the training than it would under normal conditions.
- **Memory:** When you're highly stressed, your brain works differently. The brain creates "flashbulb memories." Memories are actually compilations of fragments of memories—mostly thoughts or words that we put together as memories. Under stress, we create sensory memories that often contain very vivid imagery—deeper and more elaborate but occupying fewer memory units. The vivid imagery gets replayed as flashbulb memories, and there tend to be memory gaps. (While the brain was registering sensory memories, it was failing to register other types of memories.)
- **Repetitious thoughts:** During stressful times there is a tendency to "replay mental tapes" repeatedly in order to process them. In the end, it helps us accept the experiences, but in the meantime it can interfere with concentration on other things.

## Visual 11: Stress Response

---

- **Acute**
  - Quick response
  - Relates to the incident
- **Delayed**
  - Sets in after about 3 days
  - Incident-specific
- **Cumulative**
  - Builds up over several incidents
  - Usually more problematic than stress from one incident

### Key Points

There is more than one kind of stress.

- Acute stress is a quick response and relates to the incident.
- Delayed stress sets in after the fact—often as late as 3 days after the incident. It is incident-specific.
- Cumulative stress builds up over several incidents. This type of stress usually causes more problems than the stress that occurs from one incident.

## Visual 12: Activity 3.1: Stress on Managers

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Instructions: Working in table groups:

- Discuss: What are some sources of stress on emergency managers?
- Select your worst 3 stressors.

### Key Points

1. Discuss the discussion question within your table group.
2. Choose the three worst stressors in your group and be prepared to share with the class.

**Discussion Question (in your table groups):** What are some sources of stress on emergency managers?

## Visual 13: Juggling Act

---



In a crisis, it's tempting to try to do it all, carry the load, go the extra mile, save the day.



For an emergency manager, what's the problem with that approach? What are the downsides?

Discussion  
Question

### Key Points

In a crisis, we may want to be able to do it all and solve all the problems.

## Visual 14: Managing Your Own Stress

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- Acknowledge the feeling of stress.
- Learn your personal signals.
- Cultivate positive attitudes.
- Target the stressors.

### Key Points

Several approaches to managing stress are described below.

**Acknowledge the feeling of stress.** An important part of managing stress is to accept stress as just a part of the package in living and working, and especially in managing emergencies and to acknowledge when you are feeling stressed. Emergencies are by nature full of stressors. Resisting or denying stress only makes it worse. Accepting stress as a part of your life makes it easier to adopt a positive and constructive attitude when it occurs because you're not surprised by it.

**Learn your personal signals.** Stress does have consequences in our minds and bodies, and none of us is immune. As we have seen, there is a whole range of responses to stress that are quite normal. We need to be able to recognize the signs and symptoms in ourselves (and others). Understanding how your body and mind respond to stressors will help you manage stress in its early stages.

**Cultivate positive attitudes.** You play a key role in creating a positive outcome (turning distress into eustress).

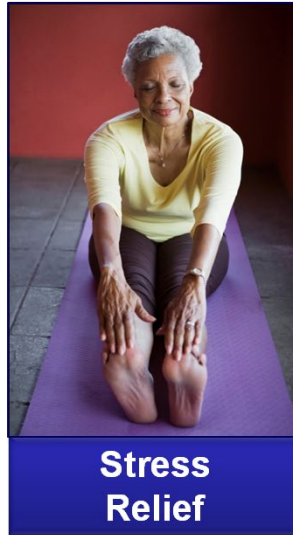
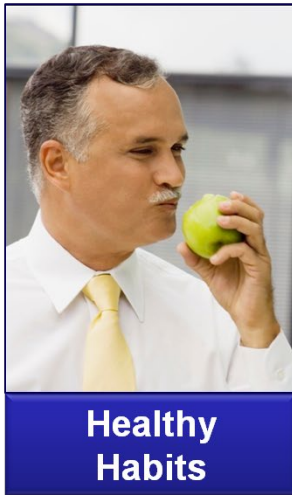
- Maintain a sense of humor, develop positive attitudes, and learn to turn negatives into positives.
- Commit to looking for solutions rather than being consumed by the stress or the problems that cause the stress. For example, learning to communicate more effectively-and especially to listen effectively-fosters healthy interpersonal relations, which can reduce interpersonal conflict and help you manage stress better.



**Target the stressors.** If you know what your triggers are, it is easier to lessen their impact on you. For example:

- If fatigue is the issue, you may be able to increase the amount of rest and exercise you are getting.
- If you are in a state of overload, can you delegate? Reach out for assistance? Use time management strategies? Take a step back and get the workload organized?
- If conflict is the culprit, you may want to take steps to improve your conflict management skills.
- As an emergency manager, you need to know when you're in over your head and need help. Being overworked, overtaxed, understaffed-or simply not up to the task at hand-is one of the greatest stressors of all.
- Reach out to your colleagues: ask for help, guidance, advice, mentoring, an ear-whatever you need.
- Learn how to use the resources that are available to you. Are there organizational resources you can use to make you more effective at your job and, in the process, reduce the stress factors? Can your response partners or community organizations provide assistance to help tame the beast? Expand your capabilities. Get additional training.

## Visual 15: Managing Your Own Stress



### Key Points

Additional ways to manage stress include the following.

#### Adopt healthy habits:

- Eat healthy foods, especially vegetables, fruits, and grains. Eat smaller meals more frequently.
- Avoid caffeine, nicotine, sugar, alcohol, and high-fat foods. Substitute juice for soft drinks.
- Drink lots of water.
- Get regular exercise and rest.
- Schedule daily exercise, even if it's just a brisk walk. Take the stairs instead of the elevator.
- Take a brief stretch and walk around during breaks, especially if you are doing repetitive tasks.
- Try to manage your schedule to get enough sleep at night. You'll be more effective and productive the next day than if you work late and shortchange yourself on sleep.
- Beware of negative coping behaviors. Some individuals engage in behaviors that they think will help them cope, but actually are destructive and can undermine the quality of their lives and interfere with their ability to work during the disaster period. These behaviors include:
  - Abusing alcohol or drugs, or overusing caffeine
  - Overeating and eating sugar and junk food

- Neglecting health and good grooming habits
- Behaving recklessly
- Isolating oneself from social interaction

**Stress relief:**

- Develop a personal stress relief program, such as deep breathing exercise, meditation, yoga, or other wellness programs.
- Nurture and reward yourself by doing something nice for yourself.
- Remove yourself from anger and conflict, if possible, until things settle down.
- Find someone you can talk to about your stress. Verbalizing your concerns and feelings not only helps relieve stress, but may allow you to identify constructive steps you can take to improve the situation.

**Work-life balance:**

- Develop a balance between home, work, spiritual, and recreational life.
- If necessary, actually schedule time in your calendar for family time and nonwork pursuits.

In the end, taking the steps to manage stress can turn distress into eustress. Eustress comes from embracing or seeking change or opportunity—a better outcome.

## Visual 16: Discussion: Managing the Environment

---

**How can you manage the environment to reduce stress related to each of these factors?**

- Fatigue
- Uncertainty
- Information (insufficiency or overload)
- Conflict
- Decision consequences
- Traumatic experiences

### Key Points

As an emergency manager, a big part of your job is managing people. You can take steps to reduce stress for personnel in the way you manage the work environment. Doing so will do more than benefit the personnel in your organization. Reducing stress in the work environment will also benefit the organization by improving productivity and quality of work. Six common stressors discussed earlier are listed on the visual.

## Visual 17: Discussion: Managing the Environment (Continued)

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How else can you de-stress the environment for the people you manage?



### Key Points

Consider any stressors that have not be discussed.

## Visual 18: Critical Incident Stress Management (CISM)

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- Designed to help deal with trauma
- Emergency Managers are not expected to be psychological professionals
- Know where to go to get help

### Key Points

Critical Incident Stress Management (CISM) is a psychological technique designed to help people deal with trauma, one incident at a time, by allowing them to talk about the incident when it happens. Critical incidents are traumatic events that cause powerful emotional reactions in people who are exposed to those events. The most stressful of these are line of duty deaths, co-worker suicide, multiple event incidents, delayed intervention and multi-casualty incidents. Every profession can list their own worst-case scenarios that can be categorized as critical incidents.

Your role as the emergency manager is not to be a “psychologist” You are meant to recognize the signs and know where and how to get help dealing with critical incidents.

You should be aware of what professional psychological services are available to you, and those you supervise, and how to reach out to obtain these services.

## Visual 19: Summary: Stress Management

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- Identify your sources of stress.
- Learn to recognize your stress responses.
- Manage your own stress.
- Manage the environment to minimize stress.

## Visual 20: Feedback

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- Any other comments or questions?
- Please complete the evaluation form for this unit.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.



# Unit 4: Preparedness

## Visual 1: Unit 4: Preparedness

---



### Key Points

Welcome to the Preparedness unit.

This unit introduces basic concepts related to preparedness. Note that the ensuing units on the five mission areas are also part of preparedness and, together with this unit, provide a broader understanding of how preparedness is achieved.

National preparedness is aimed at strengthening the security and resilience of the Nation by preparing for the full range of 21st century risks that threaten national security, including weapons of mass destruction, cyber attacks, terrorism, pandemics, transnational threats, and catastrophic natural disasters.

Preparedness requires extensive outreach, collaboration, and input from stakeholders at all levels of government, the private and nonprofit sectors, and the public.

## Unit Structure

This unit is divided into the following sections:

Unit	Time
Preparedness System and Frameworks <ul style="list-style-type: none"> <li>• Activity 4.1 - Core Capabilities</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 20 minutes</li> </ul>
Planning, Training, and Exercising <ul style="list-style-type: none"> <li>• Activity 4.2 – Roles and Responsibilities</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 20 minutes</li> </ul>
Whole Community Preparedness <ul style="list-style-type: none"> <li>• Activity 4.3 - Are You Prepared? (Pre-Work)</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 5 minutes</li> </ul>
<b>Total Unit Time</b>	3 hours

## Key Points

This unit discusses the following topics:

- Preparedness
- National Preparedness System
- Mission areas and core capabilities
- Planning for whole community preparedness
- Training
- Exercises
- Understanding Roles, Responsibilities, and Contributions
- Educating and Engaging the Whole Community

## Visual 2: Terminal Objective

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To explain the relationship between whole community preparedness and achieving core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas.



Review the unit objectives.

### Key Points

The goal of this unit is to enable you to explain the relationship between whole community preparedness and achieving core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas. In this unit you will learn how mission areas now provide the framework for building and sustaining preparedness capabilities. This capability-based approach is shifting the focus from phases of emergency management to capabilities related to the mission areas.

The objectives for this unit are listed below.

- Identify the elements of the preparedness system described in key preparedness doctrine and guidance.
- Explain the relationship between core capabilities, the five mission areas, and preparedness.
- Indicate the significance of planning for whole community preparedness.
- Explain how training and exercising support preparedness.
- Explain how individuals and households, private entities, nongovernmental organizations, and local, state, tribal, and territorial governments contribute to emergency preparedness.
- Identify strategies for engaging the community in preparedness.

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## Visual 3: Preparedness System and Frameworks

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Preparedness System and Frameworks



### Key Points

Welcome to the Preparedness System and Frameworks section.

## Visual 4: What Is Preparedness?

---

### **National Preparedness Goal:**

A secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.

### Key Points

Preparedness, essentially, is having a secure and resilient community-one that has the capabilities to withstand the threats and hazards that pose the greatest risk.

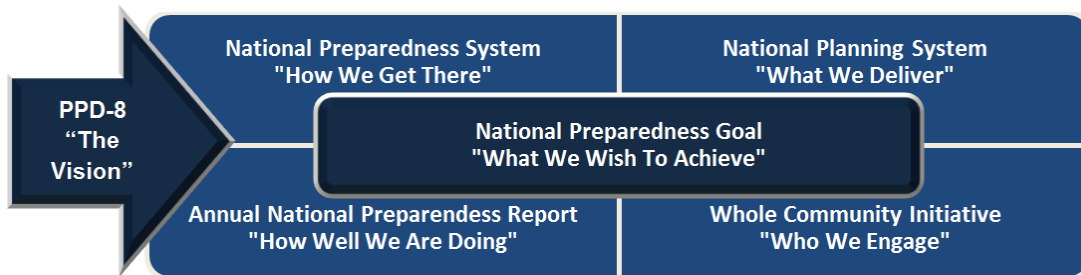
On a national scale, we describe successful preparedness as: a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.

This same definition applies to communities and jurisdictions at any level (local, state, tribal, etc.).

Notice that there is an underlying premise in this description of preparedness: If you have the capabilities to manage the greatest, worst-case probable situation, you will also be prepared to handle lesser incidents-the routine and less-than-catastrophic incidents that make up most of emergency management.

**The key is building and sustaining capabilities at all levels.**

## Visual 5: Preparedness: How the Pieces Fit Together



Graphic beginning with arrow at left that reads: PPD-8 - "The Vision" and leads into rectangle with four corner cells surrounding middle inner rectangle that reads: National Preparedness Goal - "What We Wish To Achieve." Four corner cells read: (1) National Preparedness System - "How We Get There"; (2) National Planning System - "What We Deliver"; (3) Annual National Preparedness Report - "How Well Are We Doing; and (4) Whole Community Initiative - "Who We Engage"

### Key Points

Presidential Policy Directive 8 (PPD-8) describes the Nation's approach to national preparedness. By doing so, PPD-8 links together national preparedness efforts four key elements.

This unit introduces you to the different elements of national preparedness.

National preparedness is a shared responsibility. As such, the PPD is designed to facilitate an integrated, all-of-Nation/whole community, capabilities-based approach to preparedness. Involving Federal partners; State, local, and tribal leaders; the private sector; nongovernmental organizations; faith-based and community organizations, and—most importantly—the general public is vital to keeping people and communities safe and preventing the loss of life and property when disasters strike.

Additional information can be found on the [National Preparedness Web page](https://www.fema.gov/national-preparedness-goal) (<https://www.fema.gov/national-preparedness-goal>).

## Visual 6: National Preparedness System



### Key Points

The National Preparedness System outlines an organized process for everyone in the whole community to move forward with their preparedness activities and achieve the National Preparedness Goal.

The National Preparedness System has six parts:

- **Identifying and Assessing Risk.** This part involves collecting historical and recent data on existing, potential and perceived threats and hazards. The results of these risk assessments form the basis for the remaining steps.
- **Estimating Capability Requirements.** Next, you can determine the specific capabilities and activities to best address those risks. Some capabilities may already exist and some may need to be built or improved. FEMA provides a list of core capabilities related to protection, prevention, mitigation, response and recovery, the five mission areas of preparedness.
- **Building and Sustaining Capabilities.** This involves figuring out the best way to use limited resources to build capabilities. You can use the risk assessment to prioritize resources to address the highest probability or highest consequence threats.
- **Planning to Deliver Capabilities.** Because preparedness efforts involve and affect the whole community, it's important that you coordinate your plans with other organizations. This includes all parts of the whole community: individuals, businesses, nonprofits, community and faith-based groups, and all levels of government.
- **Validating Capabilities.** Now it's time to see if your activities are working as intended. Participating in exercises, simulations or other activities helps you identify gaps in your plans and capabilities. It also helps you see progress toward meeting preparedness goals.
- **Reviewing and Updating.** It is important to regularly review and update all capabilities, resources and plans. Risks and resources evolve—and so should your preparedness efforts.



## Visual 7: National Planning System

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### Key Points

The National Planning System provides a unified approach and common terminology to support the implementation of the National Preparedness System through plans that support an all threats and hazards approach to preparedness. These plans—whether strategic, operational, or tactical—enable the whole community to build, sustain, and deliver the core capabilities identified in the National Preparedness Goal.

The National Planning System contains two key elements: the Planning Architecture, which describes the strategic, operational, and tactical levels of planning and planning integration; and the Planning Process, which describes the steps necessary to develop a comprehensive plan, from forming a team to implementing the plan.

## Visual 8: Annual National Preparedness Report

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### Key Points

The *National Preparedness Report* provides all levels of government, the private and nonprofit sectors, and the public with practical insights into preparedness to support decisions about program priorities, resource allocations, and community actions.

## Visual 9: Whole Community Initiative

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### Key Points

The phrase “whole community” appears a lot in preparedness materials, as it is one of the guiding principles. It means two things:

1. Involving people in the development of the national preparedness documents.
2. Ensuring their roles and responsibilities are reflected in the content of the materials.

Whole Community includes:

- Individuals and families, including those with access and functional needs
- Businesses
- Faith-based and community organizations
- Nonprofit groups
- Schools and academia
- Media outlets
- All levels of government, including state, local, tribal, territorial, and federal partners

## Visual 10: Mission Areas and Core Capabilities



### Key Points

Mission areas are comprised of the capabilities required for achieving the function at any time (before, during, or after an incident) and across all threats and hazards.

The five mission areas include:

- **Prevention:** The capabilities necessary to avoid, prevent, or stop a threatened or actual act of **terrorism**. As defined by PPD-8, the term "prevention" refers to **preventing imminent threats**.
- **Protection:** The capabilities necessary to secure the homeland against acts of **terrorism and manmade or natural disasters**.
- **Mitigation:** The capabilities necessary to **reduce loss of life and property by lessening the impact of disasters**.
- **Response:** The capabilities necessary to **save lives, protect property and the environment, and meet basic human needs** after an incident has occurred.
- **Recovery:** The capabilities necessary to assist communities affected by an incident to **recover effectively**.

**Important Note:** In this module you'll learn that mission areas differ from phases of emergency management. Each area is comprised of the capabilities required for achieving the mission or function at any time (before, during, or after an incident) and across all threats and hazards. It is important to shift your thinking to capabilities rather than phases!

# Visual 11: Core Capabilities

The core capabilities are:

- Distinct critical elements necessary to meet the National Preparedness Goal.
- Essential for the execution of each mission area.
- Developed and sustained through the combined efforts of the whole community.



Core Capabilities Chart

## Key Points

The core capabilities are:

- Distinct critical elements necessary to meet the National Preparedness Goal.
- Essential for the execution of each mission area.
- Developed and sustained through the combined efforts of the whole community.

Review the chart on the next page. Notice that a few core capabilities directly involve more than one mission area. (For example, Interdiction and Disruption occurs in both Prevention and Protection; Infrastructure Systems occurs in both Response and Recovery.)

## Core Capabilities by Mission Area

Prevention	Protection	Mitigation	Response	Recovery
<b>Planning</b>	<b>Planning</b>	<b>Planning</b>	<b>Planning</b>	<b>Planning</b>
<b>Public Information and Warnings</b>	<b>Public Information and Warnings</b>	<b>Public Information and Warnings</b>	<b>Public Information and Warnings</b>	<b>Public Information and Warnings</b>
<b>Operational Coordination</b>	<b>Operational Coordination</b>	<b>Operational Coordination</b>	<b>Operational Coordination</b>	<b>Operational Coordination</b>

Prevention	Protection	Mitigation	Response	Recovery
Forensics and Attribution Intelligence and Information Sharing Interdiction and Disruption Screening, Search, and Detection	Access Control and Identity Verification Cybersecurity Intelligence and Information Sharing Interdiction and Disruption Physical Protective Measures Risk Management for Protection Programs and Activities Screening, Search, and Detection Supply Chain Integrity and Security	Community Resilience Long-Term Vulnerability Reduction Risk and Disaster Resilience Assessment Threats and Hazard Identification	Critical Transportation Environmental Response/Health and Safety Fatality Management Services Fire Management and Suppression Logistics and Supply Chain Management Infrastructure Systems Mass Care Services Mass Search and Rescue Operations On-Scene Security and Protection Operational Communications Public Health, Healthcare, and Medical Services Situational Assessment	Economic Recovery Health and Social Services Housing Infrastructure Systems Natural and Cultural Resources

## Core Capabilities by Mission Area

Core Capability	Description
<b>Mission Area: All</b>	
Planning	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.
Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available, as appropriate.
Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.
<b>Mission Area: Prevention</b>	
Forensics and Attribution	Conduct forensic analysis and attribute terrorist acts (including the means and methods of terrorism) to their source, to include forensic analysis as well as attribution for an attack and for the preparation for an attack in an effort to prevent initial or follow-on acts and/or swiftly develop counter-options.

Core Capability	Description
Intelligence and Information Sharing	Provide timely, accurate, and actionable information resulting from the planning, direction, collection, exploitation, processing, analysis, production, dissemination, evaluation, and feedback of available information concerning physical and cyber threats to the United States, its people, property, or interests; the development, proliferation, or use of WMDs; or any other matter bearing on U.S. national or homeland security by local, state, tribal, territorial, Federal, and other stakeholders. Information sharing is the ability to exchange intelligence, information, data, or knowledge among government or private sector entities, as appropriate.
Interdiction and Disruption	Delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.
Screening, Searching, and Detection	Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, bio-surveillance, sensor technologies, or physical investigation and intelligence.
<b>Mission Area: Protection</b>	
Access Control and Identity Verification	Apply and support necessary physical, technological, and cyber measures to control admittance to critical locations and systems.
Cybersecurity	Protect (and if needed, restore) electronic communications systems, information, and services from damage, unauthorized use, and exploitation.
Physical Protective Measures	Implement and maintain risk-informed countermeasures, and policies protecting people, borders, structures, materials, products,



Core Capability	Description
	and systems associated with key operational activities and critical infrastructure sectors.
Risk Management for Protection Program and Activities	Identify, assess, and prioritize risks to inform Protection activities, countermeasures, and investments.
Supply Chain Integrity and Security	Strengthen the security and resilience of the supply chain.
<b>Mission Area: Mitigation</b>	
Community Resilience	Enable the recognition, understanding, communication of, and planning for risk and empower individuals and communities to make informed risk management decisions necessary to adapt to, withstand, and quickly recover from future incidents.
Long-Term Vulnerability Reduction	Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines so as to reduce their vulnerability to natural, technological, and human-caused threats and hazards by lessening the likelihood, severity, and duration of the adverse consequences.
Risk and Disaster Resilience Assessment	Assess risk and disaster resilience so that decision makers, responders, and community members can take informed action to reduce their entity's risk and increase their resilience.
Threats and Hazards Identification	Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.
<b>Mission Area: Response</b>	

Core Capability	Description
Critical Transportation	Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals, and the delivery of vital response personnel, equipment, and services into the affected areas.
Environmental Response/Health and Safety	Conduct appropriate measures to ensure the protection of the health and safety of the public and workers, as well as the environment, from all-hazards in support of responder operations and the affected communities.
Fatality Management Services	Provide fatality management services, including decedent remains recovery and victim identification, working with local, state, tribal, territorial, insular area, and Federal authorities to provide mortuary processes, temporary storage or permanent internment solutions, sharing information with mass care services for the purpose of reunifying family members and caregivers with missing persons/remains, and providing counseling to the bereaved.
Fire Management and Suppression	Provide structural, wildland, and specialized firefighting capabilities to manage and suppress fires of all types, kinds, and complexities while protecting the lives, property, and the environment in the affected area.
Logistics and Supply Chain Management (Also under Recovery mission area)	Deliver essential commodities, equipment, and services in support of impacted communities and survivors, to include emergency power and fuel support, as well as the coordination of access to community staples. Synchronize logistics capabilities and enable the restoration of impacted supply chains.
Mass Care Services	Provide life-sustaining and human services to the affected population, to include hydration,

Core Capability	Description
	feeding, sheltering, temporary housing, evacuee support, reunification, and distribution of emergency supplies.
Mass Search and Rescue Operations	Deliver traditional and atypical search and rescue capabilities, including personnel, services, animals, and assets to survivors in need, with the goal of saving the greatest number of endangered lives in the shortest time possible.
On-Scene Security, Protection, and Law Enforcement	Ensure a safe and secure environment through law enforcement and related security and protection operations for people and communities located within affected areas and also for response personnel engaged in lifesaving and life-sustaining operations.
Operational Communications	Ensure the capacity for timely communications in support of security, situational awareness, and operations by any and all means available, among and between affected communities in the impact area and all response forces.
Public Health, Healthcare, and Emergency Services	Provide lifesaving medical treatment via Emergency Medical Services and related operations and avoid additional disease and injury by providing targeted public health, medical, and behavioral health support, and products to all affected populations.
Situational Assessment	Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.
<b>Mission Area: Recovery</b>	
Economic Recovery	Return economic and business activities (including food and agriculture) to a healthy state and develop new business and

Core Capability	Description
	employment opportunities that result in an economically viable community.
Health and Social Services	Restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.
Infrastructure System	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.
Housing	Implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.
Natural and Cultural	Protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and best practices and in compliance with applicable environmental and historic preservation laws and executive orders.

## Visual 12: Common Core Capabilities

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Three core capabilities are common to all mission areas:



### Key Points

Three of the core capabilities are common to all five mission areas: Planning, Public Information and Warning, and Operational Coordination. These capabilities:

- Unify the mission areas.
- Are necessary, in many ways, for building the other capabilities.
- Are essential to all aspects of the five mission areas

Let's take a brief look at each of the common core capabilities.

## Visual 13: Core Capability: Planning

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**Definition:** The capability to conduct a systematic process engaging the whole community, as appropriate, in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.



### Key Points

Planning is the capability to conduct a systematic process engaging the whole community in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.

The jurisdiction needs planning capability in order to develop the wide array of plans necessary for effective emergency management.

The next section within this unit provides more information about planning. You can also learn more about planning through additional training, such as:

- E/L0103, Planning: Emergency Operations
- IS-235, Emergency Planning.

## Visual 14: Core Capability: Public Information & Warning

**Definition:** The capability to deliver—

- Coordinated, prompt, reliable, and actionable information to the whole community
- Clear, consistent, accessible, and culturally and linguistically appropriate methods
- Information regarding threats or hazards, actions being taken, and assistance being made available.



### Key Points

Public Information and Warning is the capability to deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available, as appropriate.

Public information is:

- Provided before, during, and after incidents.
- Focused on communicating life- and health-saving information, including:
  - Severity of the situation.
  - Action steps that individuals and communities should take.

The functions of public information are to:

- Save lives and reduce injury.
- Protect property and the environment.
- Facilitate the tactical response by calming fears and managing expectations.
- Educate, inform, and change behavior or attitudes.
- Seek the public's cooperation.
- Provide information to help families reunite.

- Instill public confidence in your ability to manage the incident and protect residents.

You can learn more about public information and warning through additional training, such as:

- E/L0105, Public Information and Warning.
- IS-702.a, National Incident Management System (NIMS) Public Information Systems.
- IS-29, Public Information Officer Awareness.



## Visual 15: Core Capability: Operational Coordination

**Definition:** The capability to establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.



What are some examples of ways we build operational coordination?

Discussion  
Question



Ask the participants to review the definition in the Student Manual.

Instructor  
Note

### Key Points

**Operational coordination** is defined as: The capability to establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.

Discussion Question: What are some examples of ways we build operational coordination?

If not mentioned by the group, after explaining that emergency managers coordinate response but normally are not response-based, add examples such as the following:



Instructor  
Note

- Establishing command, control, and coordination structures during response
- Organizing a physical coordinating body
- Creating a document that outlines procedure.
- Setting up an environment for conducting community planning efforts and bringing together varied and complex stakeholders
- Using coordinating structures (organizations, agencies, groups) to carry out mission activities
- Ensuring clear lines and modes of communication, both horizontally and vertically, among participating organizations and jurisdictions

You can learn more about operational coordination through additional training, such as:

- IS-701.a, NIMS Multiagency Coordination (MAC) Systems.
- IS-775, Emergency Operations Center (EOC) Management and Operations.
- G191, Incident Command System/Emergency Operations Center (ICS/EOC) Interface.

## Visual 16: Activity 4.1 - Core Capabilities

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### Instructions:

1. Review the Core Capabilities charts (already discussed in this unit).
2. In your table group, for your assigned core capability, discuss:
  - How does it translate to you at the local level? (Use the discussion questions below to guide your discussion.)

### Key Points

**Purpose:** The purpose of this activity is to develop familiarity with the core capabilities and relate them to the local experience.

1. Review the Core Capabilities chart.
2. In your table group, for your assigned core capability, discuss the following questions.



Discussion  
Question

**How does your selected core capability, in your assigned mission area, translate to you at the local level?**

For example:

- What types of things are you currently doing to build and sustain the capability?
- What else would you do if circumstances (or budget) permitted?
- What challenges do you face?

## Visual 17: Planning for Preparedness

A system of concepts, processes, guidance, and tools that:

- Integrates current efforts into an efficient, effective system.
- Supports:
  - Decision making.
  - Resource allocation.
  - Measuring of progress.

**Leads to Preparedness**



### Key Points

If the National Preparedness Goal is the “what,” the National Preparedness System is the “how.”

The National Preparedness System (NPS) builds on current efforts, many of which are established in the Post-Katrina Emergency Management Reform Act and other statutes.

Through the implementation of the NPS, these efforts will be integrated to be more efficient and effective, supporting our Nation’s ability to confront any threat or hazard.

There are six components in the NPS:

- Identifying and Assessing Risk
- Estimating Capability Requirements
- Building and Sustaining Capabilities
- Planning to Deliver Capabilities
- Validating Capabilities
- Reviewing and Updating

More information about these components can be obtained in the [National Preparedness System](https://www.fema.gov/pdf/prepared/nps_description.pdf) ([https://www.fema.gov/pdf/prepared/nps\\_description.pdf](https://www.fema.gov/pdf/prepared/nps_description.pdf)).

# Visual 18: Understanding Risk

Understanding risk is an essential part of preparedness. It requires analyzing your exposure to threats and hazards.



Natural



Technological/Accidental



Human-Caused

## Key Points

Communities face a variety of threats and hazards that can be the result of natural, technological, or human-caused incidents. Examples of each type of threat are provided in the following table.

Natural	Technological	Human-Caused
<b>Results from acts of nature</b>	<b>Involves accidents or the failures of systems and structures</b>	<b>Caused by the intentional actions of an adversary</b>
<ul style="list-style-type: none"> <li>• Avalanche</li> <li>• Disease outbreak</li> <li>• Drought</li> <li>• Earthquake</li> <li>• Epidemic</li> <li>• Flood</li> <li>• Hurricane</li> <li>• Landslide</li> <li>• Tornado</li> <li>• Tsunami</li> <li>• Volcanic eruption</li> <li>• Wildfire</li> <li>• Winter storm</li> </ul>	<ul style="list-style-type: none"> <li>• Dam/levee failure</li> <li>• Hazardous materials release</li> <li>• Industrial accident</li> <li>• Levee failure</li> <li>• Mine accident</li> <li>• Pipeline explosion</li> <li>• Radiological release</li> <li>• Train derailment</li> <li>• Transportation accident</li> <li>• Urban conflagration</li> <li>• Utility disruption</li> </ul>	<ul style="list-style-type: none"> <li>• Active shooter incident</li> <li>• Armed assault</li> <li>• biological attack</li> <li>• Chemical attack</li> <li>• Cyber attack against data</li> <li>• Cyber attack against infrastructure</li> <li>• Explosive attack</li> <li>• Improvised nuclear attack</li> <li>• Nuclear terrorism attack</li> </ul>

Natural	Technological	Human-Caused
		<ul style="list-style-type: none"><li>• Radiological attack</li></ul>

Every community has an obligation to understand the risks it faces. Knowledge of these risks allows a community to make informed decisions about how to manage risk and develop needed capabilities. Risk is commonly thought of as a product of a threat or hazard, the vulnerability of a community or facility to a threat or hazard, and the resulting consequences that may impact the community or facility. By considering changes to these elements, a community can understand how to best manage risk exposure.

The Threat Hazard Identification and Risk Assessment (THIRA) process is a key mechanism by which all communities can successfully and uniformly understand and manage risk exposure. The THIRA process assists communities in their development core capabilities that are outlined in the National Preparedness Goal as required in Presidential Policy Directive (PPD) 8: National Preparedness.

## Visual 19: Risk and Capability Requirements

THIRA is a process for:

- Assessing risk.
- Identifying required capabilities to manage the risk.
- Identifying capability gaps.



### Key Points

Threat and Hazard Identification and Risk Assessment (THIRA) is a required process for:

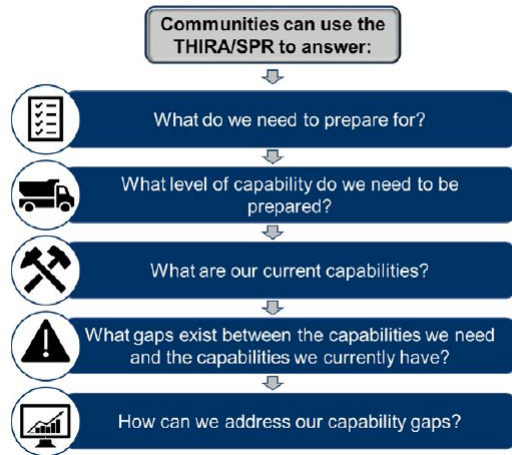
- Assessing risk
- Identifying required capabilities to manage the risk
- Identifying capability gaps

It is a three-step process.

- **Step 1: Identify the Threats and Hazards of Concern.** Based on a combination of experience, forecasting, subject matter expertise, and other available resources, identify and list the threats and hazards of primary concern to the community.
- **Step 2: Give the Threats and Hazards Context.** Describe the threats and hazards of concern, showing how they may affect the community.
- **Steps 3: Establish Capability Targets.** Assess each threat and hazard in context to develop a specific capability target for each core capability identified in the National Preparedness Goal. The capability target defines success for the capability.

To be effective, the THIRA process requires the participation of the whole community to share information, account for population-specific factors, and understand the initial and cascading effects of a threat or hazard.

## Visual 20: Understanding THIRA Results



### Key Points

- Does not replace operational-level planning

THIRA results provide data for planning

- Greatest risks
- Capabilities you do/don't have to manage risks
- Where you may need to build capability and/or obtain assistance
- Results enable you to make informed decisions about how to allocate limited resources.

Understanding your risk, capabilities, and capability gaps enables you to develop strategies to effectively use available resources, including:

- Organizational and community resources.
- Equipment.
- Training and education.
- Grants and technical assistance.
- Mutual aid agreements.
- Resources from other levels of government.

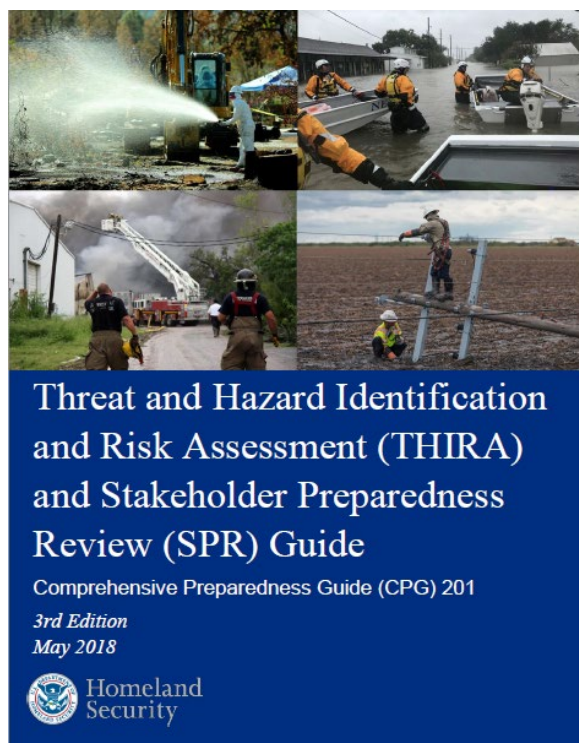
It is important to understand that THIRA is not a substitute for operational-level planning. Rather, completing the THIRA process provides jurisdictions with a wealth of information that will enhance operational planning in all of the mission areas, as well as provides data for planning greatest risks, capabilities you do/don't have to manage risks, and where you may need to build capability and/or obtain assistance.



THIRA-informed planning is consistent with and expands on nationally accepted emergency management standards, which have long required using risk assessments as the basis for planning across the mission areas.

THIRA results enable you to make informed decisions about how to allocate limited resources, as well as provide the means to educate and update individuals, families, businesses, organizations, community leaders, and senior officials on the risks facing a community. An informed public is the best advocate for building required capabilities and creating a secure and resilient community.

## Visual 21: Comprehensive Planning Guide (CPG) 201: THIRA Guide



- Describes the three-step Threat and Hazard Identification and Risk Assessment process.
- Provides examples, tools, and templates to assist in the process.

### Key Points

Comprehensive Planning Guide (CPG) 201 Second Edition, Threat and Hazard Identification and Risk Assessment Guide, provides detailed information about the three-step THIRA process and provides examples, tools, and templates that will assist in implementing the process.

[CPG 201](#) and its supplementary toolkit can be obtained at:

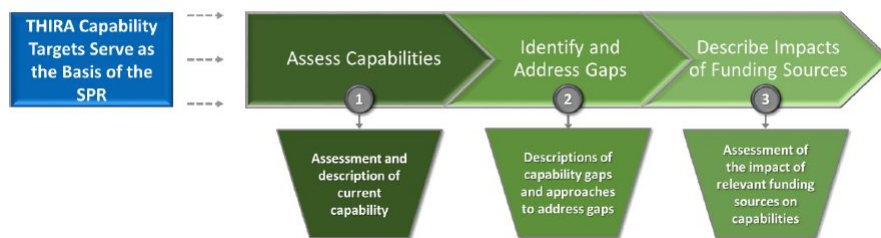
<https://www.fema.gov/media-library/assets/documents/165308>

## Visual 22: Stakeholder Preparedness Review

### The SPR Process

The SPR is an annual three-step self-assessment of a community's capability levels based on the capability targets identified in the THIRA. It helps answer the questions:

- What are our current capability levels and how have our capabilities changed over the last year?
- What gaps exist between the capabilities we want to achieve and the capabilities we currently have?
- What do we need to do to close the capability gaps or sustain the capabilities?
- What impact did different funding sources—including grants—have on building or sustaining the capabilities assessed by the capability targets over the last year?



### Key Points

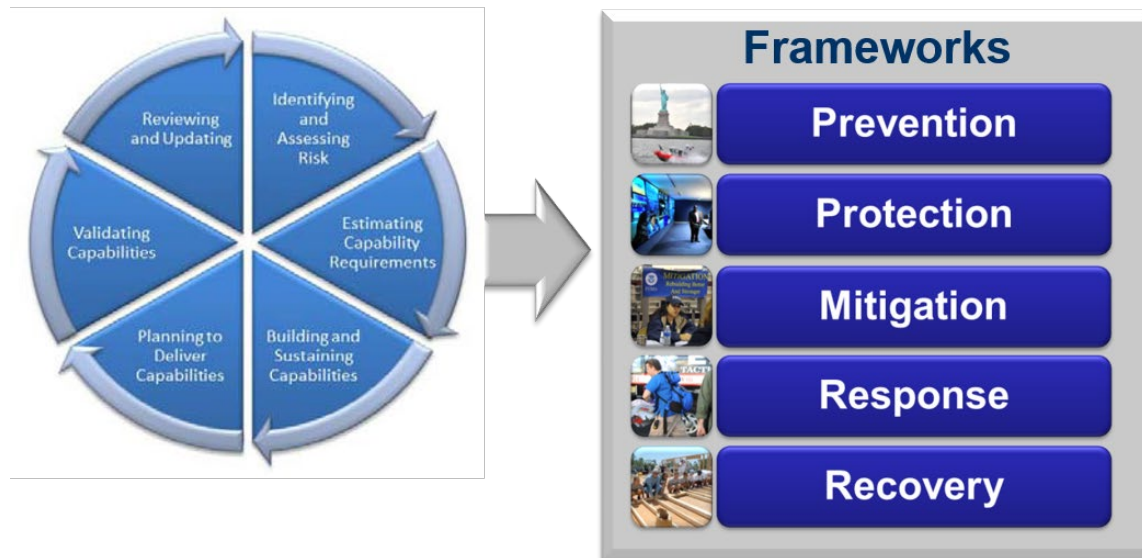
Three steps for completing an SPR

**Assess Capabilities.** Based on the language from the capability targets set in THIRA Step 3, identify the community's current capability and how that capability changed over the last year, including capabilities lost, sustained, and built. Then, provide additional context to explain the reported data and its sources.

**Identify Capability Gaps and Intended Approaches to Address Them.** Determine the causes of the capability gap between the capability target and the current capability identified in SPR Step 1. Then, describe the actions and investments needed to close the capability gap or sustain the capability.

**Describe the Impacts of Funding Sources.** Identify how relevant funding sources, including but not limited to grant programs and the community's own resources, helped to build or sustain the capabilities assessed by the capability targets and describe how those capabilities were used in a real-world incident over the past year.

## Visual 23: National Frameworks



- Part of the National Preparedness System.
- Describe critical tasks, coordinating structures, and key roles for developing core capabilities within each mission area.

### Key Points

Shared planning efforts across the Nation form a National Preparedness System. An important part of the National Preparedness System is the five National Frameworks, introduced earlier in this training. They include:

- National Prevention Framework.
- National Protection Framework
- National Mitigation Framework.
- National Response Framework.
- National Disaster Recovery Framework.

The Frameworks describe guiding principles, core capabilities, and critical tasks for the mission area, as well as coordinating structures and key roles and responsibilities for the whole community. The Frameworks are integrated to ensure interoperability across all mission areas.

You will learn more about each Framework in the related mission area module later in this course.

## Visual 24: Other National Planning Resources

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National planning resources will also include:

- Federal Interagency Operational Plans.
- Federal department-level operational plans.
- National Planning System guide.
- Comprehensive Planning Guides.



### Key Points

When fully developed, the National Planning System will also include the following national planning resources:

- **Federal Interagency Operational Plans (FIOPs).** At the Federal level, each Framework will be supported by an FIOP. These plans will provide a detailed concept of operations; a description of critical tasks and responsibilities; detailed resource, personnel, and sourcing requirements; and specific provisions for the delivery of capabilities under each Framework by the Federal Government. They will also address how the Federal Government will support State, territorial, tribal, and local plans.
- **Federal department-level operational plans.** Where needed, each Federal executive department and agency will develop and maintain department-level operational plans to deliver capabilities to fulfill responsibilities under the Frameworks and interagency plans. This will be determined by the respective department or agency and may be based on existing plans, protocols, or standard operating procedures/standard operating guides. These plans will be updated as needed.
- **National Planning System guide.** The process for the development and the ongoing maintenance of the Frameworks and operational plans will be captured in a National Planning System guide. This guide will complement and build upon existing guidance and doctrine and will support the integration of planning activities.
- **Comprehensive Planning Guides (CPGs)** for the five mission areas. In support of planning across the whole community, a set of comprehensive preparedness guides will be developed to provide guidance in support of the five mission areas.

## Visual 25: The NPS and NIMS



The National Preparedness System is designed to take advantage of NIMS to ensure a unified approach across all mission areas.

### Key Points

NIMS is:

- A comprehensive, nationwide, systematic approach to incident management, including the command and coordination of incidents, resource management, and information management.
- A set of concepts and principles for all threats, hazards, and events across all mission areas (Prevention, Protection, Mitigation, Response, and Recovery).
- Scalable, flexible, and adaptable; used for all incidents, from day to day to large scale.
- Standard resource management procedures that enable coordination among different jurisdictions and organizations.
- Essential principles for communications and information management.

NIMS is Not:

- Only the ICS
- Only applicable to certain emergency/incident response personnel.
- A static system.
- A response plan.
- Used only during large-scale incidents.
- A resource ordering system.
- A communications plan.

The NPS and NIMS are designed to provide a Flexible, Standardized, unified approach which provides an element of unity of effort to reduce duplication of effort and to create a system of improved integration and connectivity throughout preparedness.

Use of NIMS will aid in ensuring a unified approach across all mission areas as the National Preparedness System is implemented.

## Visual 26: Planning, Training, and Exercising

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Planning, Training, and Exercising



### Key Points

This section discusses planning in preparedness and introduces the elements of a training and exercise program.



## Visual 27: Planning in Preparedness

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- Community resilience:
  - Begins with prepared individuals.
  - Depends on the leadership and engagement of local government, civic leaders, and private sector businesses and organizations.
- Planning lays the groundwork for building and sustaining capabilities in all five mission areas.



### Key Points

Preparedness is the business of building and sustaining the capabilities needed for safe and resilient communities.

Community resilience begins with prepared individuals and depends on the leadership and engagement of local government, civic leaders, and private-sector businesses and organizations. This principle of ensuring community-based preparedness is an emphasis of this training program.

Planning lays the groundwork for building and sustaining capabilities, in all five mission areas, that contribute to resilience.

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## Visual 28: Who Should Be Involved?

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- Government officials
- Response personnel and mutual aid partners
- Owners and operators of critical infrastructure
- Nongovernmental and private-sector organizations including those representing populations with disabilities, access, and functional needs
- Community members

### Key Points

- **Local, tribal, state, and Federal officials.** Other jurisdictions and levels of government need to coordinate and integrate the jurisdictional plan with their EOPs. Contact with other government officials is made through formal agreements, memos, briefings, and participation in collaborative training and exercises.
- **Response personnel and mutual aid partners.** Response agencies within the community share responsibility for implementing the plan. Mutual aid partners provide additional resources and/or expertise to supplement jurisdictional resources. Training and exercising the plan together can validate the EOP effectively.
- **Owners and operators of critical infrastructure** such as utilities, water treatment plants, powerplants, airports, etc.
- **Nongovernmental and private-sector organizations including those representing populations with disabilities, access, and functional needs.** For example, the American Red Cross and others who are engaged in providing shelter or emergency supplies and distributing food to disaster survivors should be involved in training and exercises.
- **Community members.** The expectations of community members are addressed through public education and awareness campaigns.

Think expansively about those who could be involved during an emergency, and include them in the training and exercise program.

## Visual 29: Leveraging Your Resources

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**How does your jurisdiction involve other entities to build a more robust training and exercise program?**

### Key Points

Involving other entities leads to better preparedness. Other entities can also serve as a resource. Leveraging these resources—through joint enterprises, sharing, and pooling resources—can enable you to build a more robust training and exercise program than would be possible to build working alone.

### Discussion Question:

**How does your jurisdiction involve other entities to build a more robust training and exercise program?**

## Visual 30: Importance of Planning

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### Plans:

- Are the operational core of preparedness.
- Describe how resources will be used to support emergency management.
- Clarify roles and responsibilities.
- Lay out strategies for building and sustaining capabilities that result in safe, resilient communities.



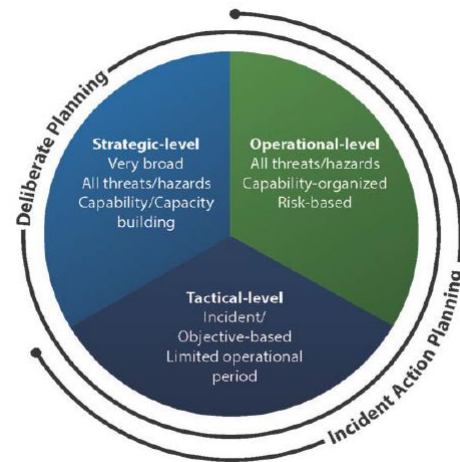
### Key Points

#### Planning:

- Is the operational core of preparedness.
- Describes how personnel, equipment, and other governmental and nongovernmental resources will be used to support emergency management and incident response requirements
- Clarifies the roles and responsibilities of stakeholders involved in the mission area
- Provides mechanisms for setting priorities, integrating multiple jurisdictions/organizations and functions, establishing collaborative relationships, and ensuring that communications and other systems effectively support the full spectrum of emergency management and incident response activities
- Incorporates strategies for maintaining continuity of government and continuity of operations during and after incidents. Plans provide mechanisms to ensure resiliency of critical infrastructure and economic stability of communities, and incorporate the advance planning associated with responder protection, resource management, and communications and information management

Establishing interagency and cross-jurisdictional working groups is an ideal way to foster relationships and cooperation before an incident.

## Visual 31: Levels of plans



### Key Points

There are 3 basic levels of plans—strategic, operational, and tactical.

#### **Strategic Level Planning**

National Strategies  
 State Homeland Security Strategy  
 Local Hazard Mitigation Strategy

#### **Operational Level Planning**

Federal Interagency Operational Plans  
 Department and Agency Operational Plans  
 Local, State, Tribal, Territorial and Insular Area Mitigation Plans  
 State Emergency Operations Plans  
 Pre-Disaster Recovery Plans

#### **Tactical Level Planning**

Event Plans  
 Incident Action Plans  
 Pre-positioning Plans

When we talk about planning, emergency operations plans tend to come to mind. However, planning is a core capability that spans across all mission areas and encompasses many types of plans. For example:

- **Prevention planning** can help mitigate secondary or opportunistic incidents that may occur after the primary incident.

- **Protection planning** safeguards citizens and their freedoms, critical infrastructure, property, and the economy from acts of terrorism, natural disasters, or other emergencies.
- **Mitigation planning** considers family emergencies, land use, critical infrastructure, transportation, capital improvement (including budgets), business improvement districts, sustainability, disaster recovery, climate adaptation, energy assurance, public health, and multi-hazard mitigation.
- **Response planning** provides rapid and disciplined incident assessment to ensure a quickly scalable, adaptable, and flexible response.
- **Recovery planning** builds stakeholder partnerships that lead to community restoration and future sustainability and resiliency.
- **Continuity planning** prepares for maintaining continuity of operations during and after the disruptions caused by disaster.

Using an **integrated approach to planning**, risks can be systemically managed by effectively using capabilities to prevent, protect, mitigate, respond to, and recover from any threat or hazard. An integrated approach to planning also helps ensure that plans are synchronized (i.e., in purpose, place, and time) and that the whole community participates and understands its roles and the desired outcomes across all mission areas.

Specific types of planning will be discussed in later modules.

## Visual 32: Discussion Question

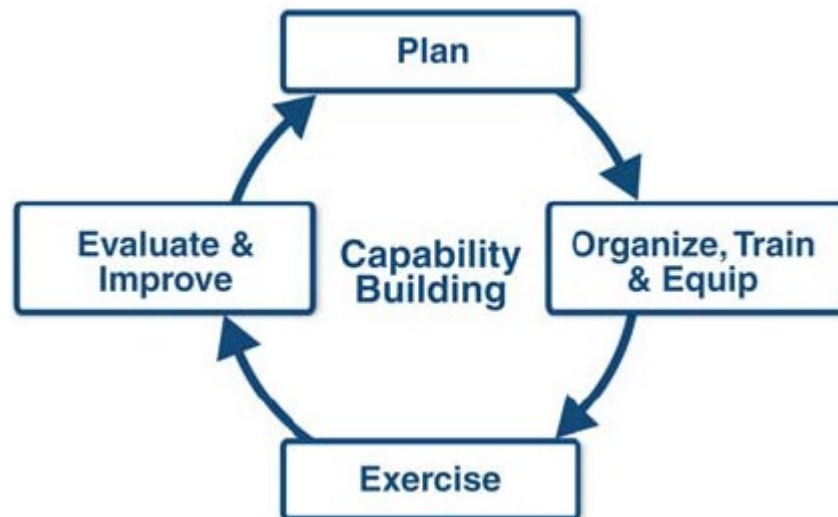
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**What are some examples of levels of plans?**

## Visual 33: Training and Exercising

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Training and exercising is part of the preparedness cycle.



The Preparedness Cycle Builds Capabilities

### Key Points

Preparedness requires a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action. Ongoing preparedness efforts among all those involved in emergency management and incident response activities ensure coordination during times of crisis. Moreover, preparedness facilitates efficient and effective emergency management and incident response activities.



## Visual 34: Training

Training allows stakeholders to:

- Learn roles and responsibilities in a low stress environment
- Apply policies, plans, and procedures in a safe environment
- Practice using systems and equipment
- Find gaps in the policies and plans for improvement



### Key Points

Training allows response partners to:

- Learn roles and responsibilities in a low stress environment
- Apply policies, plans, and procedures in a safe environment
- Practice using systems and equipment
- Find gaps in the policies and plans for improvement

Note that the type and duration of training is determined by task characteristics, including:

- **Frequency.** Tasks performed only during an emergency situation are more likely to require training sessions than those performed regularly.
- **Complexity.** Training sessions enable responders to "walk through" complicated procedures step by step in a safe environment.
- **Criticality.** Critical tasks, or those that present a grave safety risk to responders or the civilian population, must be trained following very specific procedures and supervision.

### Discussion Question

Your jurisdiction needs to train emergency management personnel on new liability legislation. Describe the type of training to be provided and why:

Your jurisdiction has recently updated its procedures for checking into a shelter. Describe the type of training to be provided and why:

# Visual 35: Training Options

- Classroom training
- Independent study
- On-the-job training
- Briefings
- Seminars
- Workshops
- Job aids



## Key Points

Appropriate uses for these types of training are described in the job aid on the next page.

## Job Aid: Training Options

Training Type	Appropriate for Providing . . .
<b>Classroom</b>	<ul style="list-style-type: none"> <li>• A knowledge base on new or revised processes and/or procedures.</li> <li>• The skills needed to perform tasks that would be done manually (e.g., analyzing information from documents provided) or with equipment contained in the classroom (e.g., computers, telephones) or on the job.</li> </ul>
<b>Independent Study</b>	<ul style="list-style-type: none"> <li>• Knowledge acquisition at a pace that is comfortable for the student.</li> <li>• An opportunity to learn and apply knowledge and skills (e.g., through a tutorial) in a self-paced environment.</li> </ul>
<b>On-the-Job Training</b>	<ul style="list-style-type: none"> <li>• An opportunity to learn and perform tasks in a real-life environment with the supervision of an expert performer. (A related form of training is the practicum, which is designed to give the learner supervised practical application of a previously or concurrently studied theory. Another option, shadowing, allows the learner to observe an expert performer on the job.)</li> </ul>

Training Type	Appropriate for Providing . . .
<b>Briefings</b>	<ul style="list-style-type: none"> <li>• New information, usually at a high level, presented to all persons who have a need to know or use the information. Briefings are often provided to large groups and include a question-and-answer session.</li> </ul>
<b>Seminars</b>	<ul style="list-style-type: none"> <li>• Opportunities for small numbers of job performers to discuss specific topics, usually with the advice of an expert performer. Seminars usually involve new policies, procedures, or solutions to problems being presented to the group.</li> </ul>
<b>Workshops</b>	<ul style="list-style-type: none"> <li>• Opportunities for small numbers of job performers to discuss issues and apply knowledge and skills to solving problems or producing a product. Workshops are generally highly structured and their outputs are usually a product that meets specified criteria (e.g., a list of assumptions that will be used as a basis for developing the emergency operations plan).</li> </ul>
<b>Job Aids</b>	<ul style="list-style-type: none"> <li>• Quick references that are intended to be used on the job. Common job aids include checklists, worksheets, standard operating procedures, reference guides, etc.</li> </ul>

**Note:** These training options may include various methods of getting the information across to the participants, such as presentation, interactive activities, demonstration, discussion, applied practice, and question-and-answer sessions.

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## Visual 36: Activity 4.2: Roles and Responsibilities

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### Instructions:

1. Review the Scenario.
2. In your groups, discuss the provided questions, answer the questions based on your assigned role.
3. Record answers on chart paper.
4. Select a spokesperson from your group to share your responses.

### Key Points

**Purpose:** This activity will demonstrate the planning, collaboration, coordination and integration necessary by all members of a community, when working together for disaster preparedness. All levels of government, non-government organizations, the emergency services, citizens, the media and the business community all need to work independently for organizational and personal preparedness, while also working collaboratively for whole community preparedness.

### Instructions:

1. Read the scenario below and answer the questions based on your assigned role(s) in the community.
2. Be prepared to share your group answers in 30 minutes.

### Roles:

- Government (local, state and Federal)
- Non-government agencies
- Emergency Services (Fire, Police, EMS)
- Private citizens
- Media
- Business community

### Scenario:

It is early fall, and a large tropical storm developed into a hurricane and is moving up the east coast of the United States. The National Weather Service, along with every other organization within the scientific weather community, is predicting that this storm will be at least as large and damaging as Hurricane Sandy was in 2012. The predicted path of this hurricane is similar to the original path of Sandy, and all other scientific data is comparable. As the storm continues to build and move north, many communities impacted by Sandy are again beginning to prepare for possible landfall. One of the communities, a small city about 2 hours from the Atlantic Ocean, was a near miss in 2012; however, many of the daily models are showing that this community could be in the direct path of this hurricane, Hurricane Duane. The community is the community from the census data in Module 8, unit 1.

This municipality is the only city in a county of more than five hundred thousand people. The county has five dozen boroughs and townships. The city has a small career fire department, a police department and contracts with a private service for EMS. The city has a strong mayor

form of government with part-time council persons. The city is surrounded by municipalities with small police departments and volunteer fire departments. The fire departments provide mutual aid to each other. The City Fire Chief is the emergency manager for the City. The surrounding municipalities all have volunteer emergency managers. The county has a paid emergency manager with six additional paid personnel in the county emergency management agency. There are four hospitals, one of which is a trauma center. The trauma center and one other hospital are in the city. The county is also home to a county prison and numerous non-governmental agencies. There is a National Guard unit just outside the city limits in a neighboring municipality.

Questions:

- 1. Who all should be involved in the pre-disaster planning for your assigned group?**
  
  
  
  
  
  
  
  
  
  
- 1. What roles and responsibilities should your group be planning to accept for the pre-disaster planning?**
  
  
  
  
  
  
  
  
  
  
- 1. How should the individual members of your group be preparing for the impending storm, personally and as part of their agency?**
  
  
  
  
  
  
  
  
  
  
- 1. What other groups does your group need to collaborate with during the pre-disaster planning?**
  
  
  
  
  
  
  
  
  
  
- 1. What does your group need to be doing one week before the storm is expected to hit your community, three days before the storm is expected to hit your community, and the day before the storm is expected to hit your community?**

## Visual 37: Exercises-Overview

Build on training by practicing and testing:

- Policies and plans.
- Procedures and the use of equipment.
- Communications among organizations.
- Coordination of decision making.



### Key Points

**Exercises provide opportunities to test plans and improve proficiency in a risk-free environment.** Exercises assess and validate proficiency levels. They also clarify and familiarize personnel with roles and responsibilities. Well-designed exercises improve interagency coordination and communications, highlight capability gaps, and identify opportunities for improvement. Exercises should:

- Include multidisciplinary, multijurisdictional incidents.
- Include participation of private-sector and nongovernmental organizations.
- Cover aspects of preparedness plans, particularly the processes and procedures for activating local, intrastate, or interstate mutual aid and assistance agreements.
- Contain a mechanism for incorporating corrective actions.

Local, tribal, State, and Federal jurisdictions should exercise their own response capabilities and evaluate their abilities to perform expected responsibilities and tasks. This is a basic responsibility of all entities and is distinct from participation in other interagency exercise programs.

In addition, the Department of Homeland Security (DHS) coordinates the National Exercise Program, which requires Federal departments and agencies to participate in an exercise program based upon the National Planning Scenarios contained in the *National Preparedness Guidelines*. This program coordinates and, where appropriate, integrates a 5-year homeland security exercise schedule across Federal agencies and incorporates exercises at the State and local levels.

Remember, training on policies and procedures should be presented before exercises are conducted.

## Visual 38: Reasons To Exercise

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- Evaluate policies and procedures.
- Identify planning weaknesses.
- Identify resource gaps.
- Improve interagency coordination and communication.
- Validate that what works on paper works in practice.
- Clarify responders' responsibilities.
- Practice assigned duties.
- Gain public recognition.

### Key Points

Exercises validate the effectiveness of part or all of your preparedness plans. Planners can test whether critical plan elements work by exercising them using scenarios of varying types, magnitudes, and levels of reality.

Conducted correctly, exercises can be valuable tools for preparing staff, testing policies and procedures, and reinforcing concepts. It is important to remember, however, that it is the plan being tested by the exercises, not the personnel who are participating in the exercises. The purpose of exercising the plan is to see how well the procedures and systems outlined in the plan work.

Exercises are used to:

- Test and evaluate plans, policies, and procedures.
- Identify planning weaknesses.
- Identify resource gaps and shortfalls.
- Improve interagency coordination and communication.
- Validate that what appears to work on paper actually works in practice.
- Clarify roles and responsibilities of all who play any part in the response.
- Improve individual performance by providing an opportunity for responders and others to practice their assigned duties.
- Gain public recognition that the government has taken steps to protect the safety of community members and responders-an opportunity to showcase what you can do.

Realistic exercises help to correct inaccurate assumptions and foster understanding by clarifying roles, responsibilities, and capabilities across the whole community.



## Visual 39: Discussion Question

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**What is the importance of exercising?**

## Visual 40: Exercise Types

Discussion-Based	Operations-Based
Seminar	Drill
Workshop	Functional
Tabletop	Full-Scale
Game	



Review the Exercise Job Aid. Notice the characteristics and recommended uses of each type.

### Key Points

Within the two broad categories, discussion-based and operations-based, there are seven exercise types. Take a moment to become familiar with each type of exercise described on the next page.

### Key Points

#### Types of Exercises

##### *Discussion-Based Exercises*

*Discussion-based exercises include seminars, workshops, tabletop exercises, and games. These types of exercises can be used to familiarize participants with, or develop new, plans, policies, agreements, and procedures. Discussion-based exercises focus on strategic, policy-oriented issues. Facilitators and/or presenters usually lead the discussion, keeping participants on track toward meeting exercise objectives.*

Type	Description
<b>Seminars</b>	Seminars generally orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, resources, concepts, and ideas. They can be valuable for entities that are developing or making major changes to existing plans or procedures. Seminars can be similarly helpful when attempting to assess or gain awareness of

Type	Description
	the capabilities of interagency or inter-jurisdictional operations.
<b>Workshops</b>	Although similar to seminars, workshops differ in two important aspects: participant interaction is increased, and the focus is placed on achieving or building a product. Effective workshops entail the broadest attendance by relevant stakeholders. Products produced from a workshop can include new standard operating procedures, emergency operations plans, continuity of operations plans, or mutual aid agreements. To be effective, workshops should have clearly defined objectives, products, or goals, and should focus on a specific issue.
<b>Tabletop Exercises</b>	<p>A tabletop exercise is intended to generate discussion of various issues regarding a hypothetical, simulated emergency. Tabletops can be used to enhance general awareness, validate plans and procedures, rehearse concepts, and/or assess the types of systems needed to guide the prevention of, protection from, mitigation of, response to, and recovery from a defined incident. Generally, tabletops are aimed at facilitating conceptual understanding, identifying strengths and areas for improvement, and/or achieving changes in perceptions.</p> <p><b>During a tabletop, players are encouraged to discuss issues in depth, collaboratively examining areas of concern and solving problems. The effectiveness of a tabletop exercise is derived from the energetic involvement of participants and their assessment of recommended revisions to current policies, procedures, and plans.</b></p>
<b>Games</b>	A game is a simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and

Type	Description
	<p>procedures designed to depict an actual or hypothetical situation. Games explore the consequences of player decisions and actions. They are useful tools for validating plans and procedures or evaluating resource requirements.</p> <p><b>During game play, decision making may be either slow and deliberate or rapid and more stressful, depending on the exercise design and objectives. The open, decision-based format of a game can incorporate “what if” questions that expand exercise benefits. Depending on the game’s design, the consequences of player actions can be either pre-scripted or decided dynamically. Identifying critical decision-making points is a major factor in the success of evaluating a game.</b></p>

Source: Homeland Security Exercise and Evaluation Program (HSEEP), 2013.

## Key Points

### Types of Exercises (Continued)

#### *Operations-Based Exercises*

*Operations-based exercises include drills, functional exercises, and full-scale exercises. These exercises can be used to validate plans, policies, agreements, and procedures; clarify roles and responsibilities; and identify resource gaps. Operations-based exercises are characterized by actual reaction to an exercise scenario, such as initiating communications or mobilizing personnel and resources.*

Type	Description
<b>Drills</b>	<p>A drill is a coordinated, supervised activity usually employed to validate a specific function or capability in a single agency or organization. Drills are commonly used to provide training on new equipment, validate procedures, or practice and maintain current skills. For example, drills may be appropriate for practicing evacuation procedures.</p> <p>Drills can also be used to determine if plans</p>

Type	Description
	<p>can be executed as designed, to assess whether more training is required, or to reinforce best practices. A drill is useful as a stand-alone tool, but a series of drills can be used to prepare several organizations to collaborate in a full-scale exercise.</p>
<p><b>Functional Exercises</b></p>	<p>Functional exercises are designed to validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of functions. Functional exercises are typically focused on exercising plans, policies, procedures, and staff members involved in management, direction, command, and control functions.</p> <p>In functional exercises, events are projected through an exercise scenario with event updates that drive activity typically at the management level. A functional exercise is conducted in a realistic, real-time environment; however, movement of personnel and equipment is usually simulated.</p>
<p><b>Full-Scale Exercises</b></p>	<p>Full-scale exercises are typically the most complex and resource-intensive type of exercise. They involve multiple agencies, organizations, and jurisdictions and validate many facets of preparedness. Full-scale exercises often include many players operating under cooperative systems such as the Incident Command System (ICS) or Unified Command.</p> <p>In full-scale exercises, events are projected through an exercise scenario with event updates that drive activity at the operational level. Full-scale exercises are usually conducted in a real-time, stressful environment that is intended to mirror a real incident. Personnel and resources may be mobilized and deployed to the scene, where actions are performed as if a real incident had occurred. The full-scale exercise simulates reality by presenting complex and realistic problems that</p>

Type	Description
	<p>require critical thinking, rapid problem solving, and effective responses by trained personnel.</p> <p>The level of support needed to conduct a full-scale exercise is greater than that needed for other types of exercises. The exercise site is usually large, and site logistics require close monitoring. Safety issues, particularly regarding the use of props and special effects, must be monitored. Throughout the duration of the exercise, many activities occur simultaneously.</p>

Source: Homeland Security Exercise and Evaluation Program (HSEEP), 2013.

## Visual 41: FY 2013 Preparedness Grants (Non-Disaster):

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FEMA provides State and local governments with preparedness program funding in the form of Non-Disaster Grants to enhance the capacity of State and local emergency responders to prevent, respond to, and recover from a weapons of mass destruction terrorism incident involving chemical, biological, radiological, nuclear, and explosive devices and cyber attacks.

### Key Points

FEMA grants help build capacity.

**FY 2013 Preparedness Grants (Non-Disaster).** FEMA provides State and local governments with preparedness program funding in the form of Non-Disaster Grants to enhance the capacity of State and local emergency responders to prevent, respond to, and recover from a weapons of mass destruction terrorism incident involving chemical, biological, radiological, nuclear, and explosive devices and cyber attacks.

- **Homeland Security Grant Program (HSGP).** The purpose of the Homeland Security Grant Program is to provide a primary funding mechanism for building and sustaining national preparedness capabilities. This grant program is comprised of three related grant programs:
  - State Homeland Security Program.
  - Urban Areas Security Initiative.
  - Operation Stonegarden.

The HSGP plays an important role in the implementation of PPD-8 by supporting the development and sustainment of core capabilities to fulfill the National Preparedness Goal.

- **Intercity Passenger Rail Security Grant Program (IPR).** The IPR Program provides funding to Amtrak to protect critical surface transportation infrastructure and the traveling public from acts of terrorism, and to increase the resilience of the Amtrak rail system.
- **Port Security Grant Program (PSGP).** This grant program provides funds for transportation infrastructure security activities to implement Area Maritime Transportation Security Plans and facility security plans among port authorities, facility operators, and State and local government agencies required to provide port security services.
- **Nonprofit Security Grants Program (NSGP).** This grant program provides funding for target hardening and other physical security enhancements and activities to nonprofit organizations that are at high risk of terrorist attack. The program provides funding specifically to high-risk nonprofit organizations and seeks to integrate nonprofit preparedness activities with broader State and local preparedness efforts.

- **Transit Security Grant Program (TSGP).** This competitive grant program provides funds to owners and operators of transit systems (which include intercity bus, commuter bus, ferries, and all forms of passenger rail) to protect critical surface transportation infrastructure and the traveling public from acts of terrorism, and increase the resilience of transit infrastructure.
- **Tribal Homeland Security Grant Program (THSGP).** This grant program enhances the ability of tribal nations to prevent, protect against, respond to, and recover from potential terrorist attacks and other hazards.
- **Emergency Management Performance Grants Program (EMPG).** This grant program will focus on planning, operations, equipment acquisitions, training, exercises, and construction and renovation in enhancing and sustaining all-hazards emergency management capabilities.
- **Assistance to Firefighters Grant Program (AFG).** Grants are awarded to fire departments to enhance their ability to protect the public and fire service personnel from fire and related hazards. The primary goal of the AFG Program is to meet the firefighting and emergency response needs of fire departments and nonaffiliated emergency medical service organizations. These grants help firefighters and other first responders obtain critically needed equipment, protective gear, emergency vehicles, training, and other resources needed to protect the public and emergency personnel from fire and related hazards.
- **Fire Prevention and Safety Grants (FP&S).** FP&S Grants are part of AFG and support projects that enhance the safety of the public and firefighters from fire and related hazards. In 2005, Congress reauthorized funding for FP&S and expanded the eligible uses of funds to include Firefighter Safety Research and Development.
- **Staffing for Adequate Fire and Emergency Response (SAFER) Grants.** These grants were created to provide funding directly to fire departments and volunteer firefighter organizations to help increase the number of trained "front line" firefighters available in their communities.

The Grant Programs Directorate also provides administrative and financial support to grants located in other FEMA Directorates.



## Visual 42: Public Information & Emergency Management

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- Marketing Campaigns
- Alerts & Warnings
- Measuring the Outcomes

### Key Points

- Marketing Campaigns
- Alerts & Warnings
- Measuring the Outcomes

## Visual 43: Discussion Question

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**What types of public information campaigns can you use to educate the public in disaster preparedness?**

### Key Points

Emergency managers must use all forms of public information to educate the citizens. There is no one best method for reaching the whole community, so the emergency manager must understand and utilize all methods of communication to reach the greatest audience. Social media has been very beneficial in expanding the reach of emergency managers to new target audiences, but it is only one of numerous methods and will not reach the whole community. The emergency manager can work with the local business community, non-profits, groups that work with vulnerable populations and citizen groups to create preparedness and awareness campaigns.

## Visual 44: Educating the Public About Alerts & Warning

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Emergency Managers can use public education campaigns to promote mass notifications.

Campaigns must:

- Reach the greatest audience
- Engage the whole community
- Be understood by the whole community

### Key Points

The emergency manager can use public education campaigns to promote mass notification systems, weather radios and other local means for disaster alerts and warnings. In addition, the emergency manager needs to work with the local media to create a system of “Alert and Warnings” understanding. Many times the citizens do not understand the terminology used in emergency management warnings, so the emergency manager must make this part of his/her public education campaign.

## Visual 45: Measuring Public Education Outcomes

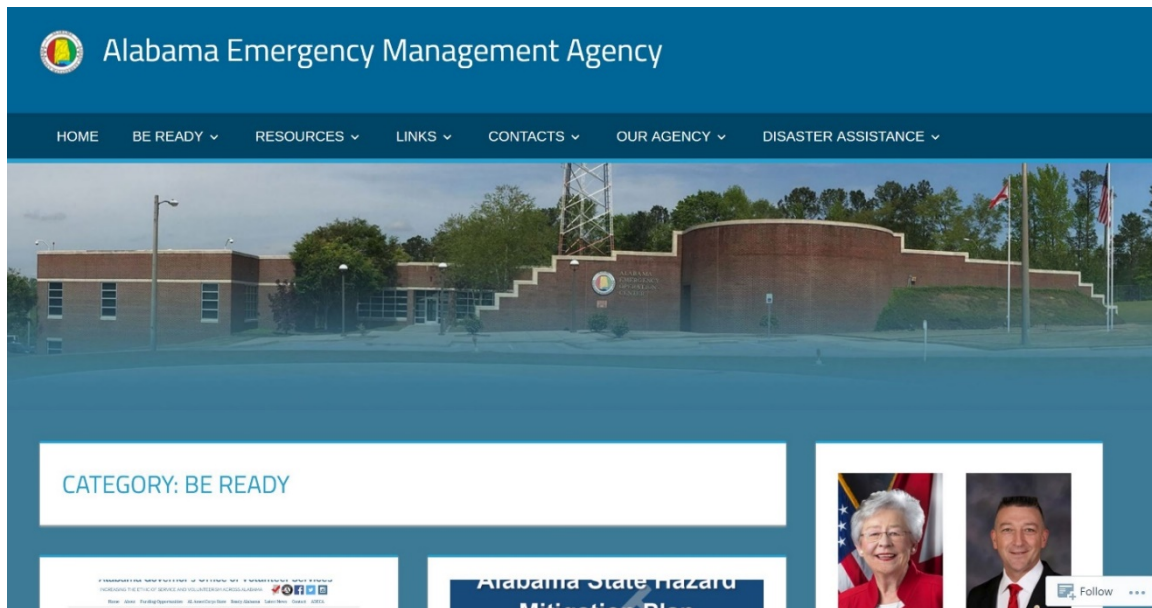
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**How can you measure the success of your campaigns?**

### Key Points

Public education campaigns are only effective if you get engagement from your whole community. Developing strategies, implementing a wide range of campaigns and measuring the outcomes are some of the keys to promoting disaster preparedness in your whole community. One of the most important roles of an emergency manager is that of public information, education and engagement for community preparedness.

## Visual 46: Empowering With Information



### Key Points

The Alabama Emergency Management Agency empowers its residents with a Web site featuring interactive tools such as a preparedness survey and risk analysis mapping tool. In addition, the site provides daily weather briefings, declaration information, hazards information, and preparedness actions.

**Link:** The site is available at: [State of Alabama Emergency Management](http://ema.alabama.gov) <http://ema.alabama.gov>

### Key Points

Northeast Texas Public Health District has compiled 18 emergency preparedness topics and formatted the information to be friendly to deaf, blind, and limited sight populations. Materials are provided in the following formats:

- American Sign Language translated video files
- Braille formatted downloadable documents
- Large-print downloadable documents

### Links:

The materials and videos are available free of charge at the [Accessible Emergency Information Web site](http://www.accessibleemergencyinfo.com/) (<http://www.accessibleemergencyinfo.com/>)

- Additional guidance on planning for integration of functional needs support services in general population shelters is available in the [Guidance on Planning for Integration of Functional needs Support Services in General Population Shelters](https://www.fema.gov/pdf/about/odc/fnss_guidance.pdf) ([https://www.fema.gov/pdf/about/odc/fnss\\_guidance.pdf](https://www.fema.gov/pdf/about/odc/fnss_guidance.pdf)).

## Key Points

**The Extension Disaster Education Network (EDEN)** is a collaborative multistate effort by Extension Services across the country to improve the delivery of services to citizens affected by disasters. Its mission is to share education resources to reduce the impact of natural and human-caused disasters through:

- Interdisciplinary and multistate research and education programs addressing disaster mitigation, preparation, response, and recovery.
- Linkages with Federal, State, and local agencies and organizations.
- Anticipation of future disaster education needs and actions.
- Timely and prompt communications and delivery of information that meets audience needs.
- Credible and reliable information.

The [EDEN Web site](http://eden.lsu.edu/Pages/default.aspx) (<http://eden.lsu.edu/Pages/default.aspx>) addresses a wide range of agriculture- and disaster-related topics, such as:

- Animal and agro security.
- Family preparedness.
- Hazard-specific information.
- Disaster recovery.
- Food handling through floods.
- Protecting livestock during emergencies.

## Key Points

The DHS-led public awareness campaign, "If You See Something, Say Something," is a simple and effective program to raise public awareness of indicators of terrorism and violent crime, and to emphasize the importance of reporting suspicious activity to the proper State and local law enforcement authorities. The campaign was originally used by New York's Metropolitan Transportation Authority, which has licensed the use of the slogan to DHS for anti-terrorism and anti-crime efforts.

DHS released a series of Public Service Announcements as part of the "If You See Something, Say Something" campaign, and communities throughout the United States are placing posters in public transportation systems and using organizations such as Neighborhood Watch groups to promote the campaign.

Critical infrastructure owners and operators are encouraged to post information in prominent locations about local or other contacts for reporting suspicious activities.

"If You See Something, Say Something" is used with permission of the NY Metropolitan Transportation Authority.

More information is available at the ["If you See Something, Say Something" Website](https://www.dhs.gov/see-something-say-something) (https://www.dhs.gov/see-something-say-something).

## Visual 47: Activity 4.3 – Are You Prepared? (Pre-Work)

---

**Instructions:**

Answer the assessment questions in your pre-work

### Key Points

Working individually . . .

1. Answer the learning questions and review the additional resources listed in your pre-work.
2. Next, identify the action steps you plan to take to improve your jurisdiction's policies, plans, and practices to include the whole community.



## Visual 48: Unit Summary

---

You should now be able to:

- Identify the elements of the preparedness system described in key preparedness doctrine and guidance.
- Explain the relationship between core capabilities, the five mission areas, and preparedness.
- Indicate the significance of planning for whole community preparedness.
- Explain how training and exercising support preparedness.
- Explain how individuals and households, private entities, nongovernmental organizations, and local, state, tribal, and territorial governments contribute to emergency preparedness.
- Identify strategies for engaging the community in preparedness.

### Key Points

This unit focused on the concept of preparedness, which is achieved by engaging the whole community in developing and sustaining capabilities across the five mission areas: Prevention, Protection, Mitigation, Response, and Recovery.

In units 8 - 11, you will learn more about mission-specific aspects of preparedness.

## Visual 49: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 5: Introduction to Statutory Authority & Legal Considerations

## Visual 1: Statutory Authority & Legal Considerations in Emergency Management

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Statutory Authority & Legal Considerations

### Key Points

This unit provides an introduction to Statutory Authority & Legal Considerations in emergency management.

# Unit Structure

Introduction to Legal Issues      Legal Issues for Emergency Managers      Federal Authorities and Requirements      Unit Review

## Unit Structure

This unit has four objectives with the following times:

Unit	Time
Introduction to Legal Issues <ul style="list-style-type: none"> <li>• Activity 5.1 - Your Legal Council (Pre-Work)</li> </ul>	50 minutes <ul style="list-style-type: none"> <li>• 5 minutes</li> </ul>
Legal Issues for Emergency Managers	50 minutes
Federal Authorities and Requirements <ul style="list-style-type: none"> <li>• Video - Environmental and Historic Preservation</li> </ul>	50 minutes <ul style="list-style-type: none"> <li>• 7 minutes</li> </ul>
Unit Review <ul style="list-style-type: none"> <li>• Activity 5.2 - Identifying Legal Issues</li> <li>• Activity 5.3 - Jurisdiction Legal Authority (Pre-Work)</li> </ul>	30 minutes <ul style="list-style-type: none"> <li>• 15 minutes</li> <li>• 5 minutes</li> </ul>
<b>Total Unit Time</b>	<b>3 hours</b>

## Visual 2: Terminal Learning Objective

---

To identify and explain statutory authority and legal considerations in emergency management, including legal authorities for emergency management, potential legal issues, and strategies for avoiding legal risk.



Review the unit objectives in the Student Manual.

### Key Points

The goal of this unit is to enable you to identify and explain statutory authority and legal considerations in emergency management, including legal authorities for emergency management, potential legal issues, and strategies for avoiding legal risk.

The objectives for this unit are listed below.

- Explain the need for a legal basis for emergency management.
- Define key legal concepts that impact emergency management.
- Identify the role of legal counsel in key aspects of emergency management.
- Identify state, local, and tribal legal authorities for emergency management.
- Explain the differences between "Dillon's Law" and Home Rule.
- Identify potential liability areas for emergency managers related to planning, mutual aid agreements, sunshine laws, volunteers, evacuation, and sheltering.
- Identify the primary Federal legal authorities.
- Identify federal requirements for emergency management grants and assistance.
- Identify strategies for avoiding legal risk in emergency management.

## Visual 3: Unit Topics

---

- The legal basis for emergency management
- Key legal concepts that impact emergency management
- The role of legal counsel in emergency management
- Apply legal concepts in an exercise.
- Complete your individual action plan.
- Primary Federal response authorities.
- Other Federal emergency legal authorities.
- Requirements that accompany Federal grants and assistance.
- State, local, and tribal legal authorities.
- Areas of potential liability, including:
  - Plans
  - Mutual aid and assistance agreements
  - Sunshine laws
  - Volunteers
  - Evacuation and sheltering

### Key Points

This unit provides you with an overview of the legal basis for emergency management. It explains key foundational concepts and the role of legal counsel in emergency management. You will apply legal concepts in an exercise and complete your individual action plan

## Visual 4: Basis for Emergency Management

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### **Basis for Emergency Management**



### Key Points

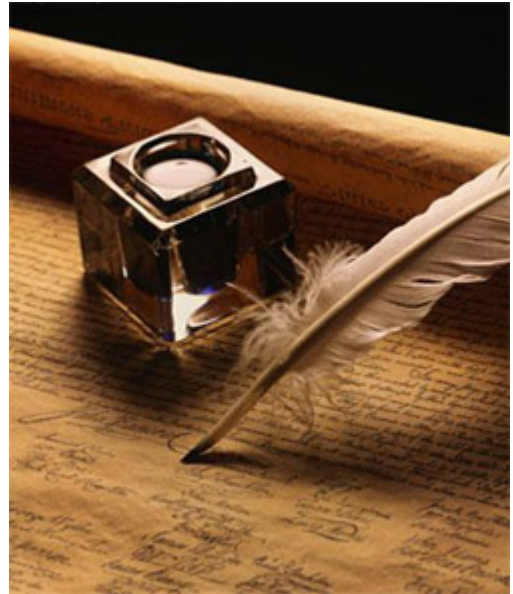
This section provides an introduction to statutory authority and legal considerations .



## Visual 5: Activity 5.1: Your Legal Counsel (Pre-Work)

---

1. Who provides the legal support, guidance, or counsel (name, contact information)?
2. What and how much do they know about emergency management law?
3. Where do they stand on emergency management issues?



### Activity 5.1 - Your Legal Counsel (Pre-Work)

#### **Instructions:**

Fill out the following, as it relates to your jurisdiction:

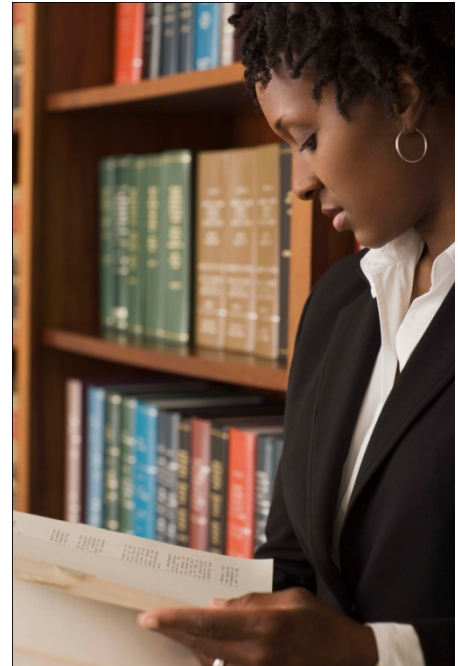
- a. Who provides the legal support, guidance, or counsel (name, contact information)?
- b. What and how much do they know about emergency management law?
- c. Where do they stand on emergency management issues?

## Visual 6: Legal Counsel

---

It is crucial to seek the advice of legal counsel throughout the emergency management process:

- When developing plans and agreements.
- When implementing prevention, protection, and mitigation strategies.
- During response and recovery.



### Key Points

Emergency management legal issues are complex. **It is crucial to seek the advice of legal counsel** throughout the emergency management process:

- When developing plans and agreements.
- When implementing prevention, protection, and mitigation strategies.
- During response and recovery.
- When planning or conducting training involving the use of volunteers.

## Visual 7: Legal Basis for Emergency Management

---

- Local ordinances
- State constitutions, statutes, and Executive orders
- Tribal laws
- U.S. Constitution, Federal statutes, Executive orders, and regulations
- Case law (court decisions)
- Standards and guidelines
- Contract law principles



### Key Points

Emergency management has its basis in many different sources, including:

- Local ordinances
- State constitutions, statutes, and Executive orders
- Tribal laws
- U.S. Constitution, Federal statutes, Executive orders, and regulations
- Case law (court decisions)
- Standards and guidelines
- Contract law principles

## Visual 8: Legal Duties of Emergency Managers

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Local emergency management ordinances.

- State/tribal emergency management laws.
- Standards (NIMS, NFPA 1600, EMAP, ISO 22301, etc.).
- Laws of general application (OSHA, civil rights, contract law, common law, case law, personnel law, government ethics law).



### Key Points

The legal duties of emergency managers are based in:

- Local emergency management ordinances.
- State or tribal emergency management laws.
- Standards (NIMS; National Fire Protection Association (NFPA) 1600; EMAP; ISO 22301; etc.).
- Laws of general application (Occupational Safety and Health Administration (OSHA), civil rights, contract law, personnel law, government ethics law).

Local/tribal/state emergency management statutes and ordinances typically include a list of position responsibilities for various key players, including the emergency manager.

[NFPA 1600](http://www.nfpa.org) is available at: <http://www.nfpa.org>

## Visual 9: The Law

---

- Two Categories of law
  - Criminal
  - Civil
- Tort
- Liability
- Negligence

### Key Points

There are two broad categories of law—criminal and civil.

**Criminal Law** regulates crimes or wrongs committed against the government or society as a whole. This means that even though one person might murder another person, murder itself is considered an offense to everyone in society.

**Civil Law** regulates disputes between private parties, which can be individuals or organizations.

Let's review some additional legal concepts—tort, liability, negligence.

A tort is an action that harms another person, group, or business. It occurs when a person or group acts or fails to act without right, and thus harms another directly or indirectly. Torts are civil wrongs recognized by law as grounds for a lawsuit. These wrongs result in an injury or harm constituting the basis for a claim by the injured party.

Liability comes from common law doctrine. When one acts unreasonably or fails to act, and that act or failure to act is the legal cause of an injury to a person or property, liability ensues. There are five main types of tort liability:

- **Strict liability:** Does not require a finding of fault against the person who does harm. It only has to be proved that the injury occurred and that the defendant was responsible (e.g., liability for making and selling defective products).
- **Intentional liability:** Where a person has intentionally acted in a way that harms another (e.g., when someone intentionally hits another person)
- **Negligent liability:** Behavior that falls short of what a reasonable person would do to protect another person from foreseeable risks of harm (e.g., when a person causes an accident by failing to obey traffic rules)
- **Warrant liability:** Involves a promised service not delivered
- **Civil rights liability:** Involves the violation of a person's constitutional rights

There are four necessary elements of negligence:

- **Duty of care:** A person's legal obligation to maintain a standard of reasonable care while doing anything that could cause foreseeable harm to others. There is a duty on most persons in most situations to act with reasonable care.
- **Breach of duty:** The person's improper act or omission (failure to uphold a proper standard of care—the standard being a reasonable prudent person). A person who acts

carelessly (unreasonably, without due care) breaches the duty of care. To prove negligence, there must be proof that breach of duty actually caused an injury.

- **Cause of injury:** A cause-and-effect relationship between the negligence and the harm
- **Injury:** The damage or harm that is suffered as a result of the breach of duty. This may be property, physical injury, or mental anguish.

All of these elements must be present for there to be a finding of negligence.

## Visual 10: Negligence

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The elements of negligence are:

- Duty of care.
- Breach of duty.
- Cause of injury.
- Injury.

## Visual 11: Discussion

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What is the difference between:

- Laws
- Regulations
- Policies
- Guidelines
- Procedures

### Key Points

What is the difference between:

- Laws
- Regulations
- Policies
- Guidelines
- Procedures

Laws - The system of rules which a particular country or community recognizes as regulating the actions of its members and which it may enforce by the imposition of penalties.

Regulations - Carry out the intent of enacted legislation or the law

Policies - A course or principle of action adopted or proposed by a government, party, business, or individual.

Guidelines - A general rule, principle, or piece of advice.

Procedures - An established or official way of doing something.



## Visual 12: Government Immunity

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- Protection from legal liability, not unlimited.
- Under state laws: protections for official acts.
- Under Federal laws:
  - "Governmental function" immunity
  - "Discretionary action" immunity

### Key Points

In general, government immunity provides protection from legal liability for the governmental body when carrying out its normal functions (such as emergency response), but that protection is not unlimited.

**State law:** Within state laws, immunity is typically addressed within the state's emergency management laws. The breadth of that protection varies widely from state to state. Some states have broad immunities during emergencies for acts carried out within employees' scope of employment, whereas some states provide limited or no immunity.

**Federal law:** Under Federal laws, two tests are used to determine what activities are protected:

- **Government function:** Under this test, activities that are considered traditionally or inherently governmental in nature are immune. These would include functions normally carried out by government or that are delegated to the government by constitution or statute. Examples would be law enforcement and taxation. Activities that are for profit or have a private-sector counterpart would not be included (e.g., running a hospital).
- **Discretionary action:** Discretionary action immunity applies when the action requires using judgment to make a choice that is deemed worthy of protection through immunity. An example would be the decision to order an evacuation at a particular time. Because various risks and benefits must be weighed in such a decision, the action could be considered discretionary.

## Visual 13: Contract

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- A legally enforceable agreement between two or more parties with mutual obligations.
- Terms-Who, what, where, when, how-define the binding promises of each party to the contract.
- Failure to fulfill terms (breach of contract) can lead to legal remedies.

### Key Points

A contract is a legally enforceable agreement between two or more parties with mutual obligations. The terms of the contract (who, what, where, when, how) of the agreement define the binding promises of each party to the contract. Breach of contract (failure to fulfill the terms) can lead to legal remedies.

For a contract to be enforceable:

- The parties must have capacity to contract;
- The purpose of the contract must be lawful;
- The form of the contract must be legal;
- The parties must intend to create a legal relationship; and
- The parties must consent.

Mutual aid and assistance agreements, purchase agreements, and contracts for debris removal services are examples of contracts.

Any time a jurisdiction accepts Federal assistance, in the form of grants or other types of assistance, the jurisdiction must comply with all associated Federal requirements. Examples of Federal requirements include:

- Civil rights
- Occupational safety and health
- Environmental and historical preservation
- Contracting requirements

## Visual 14: Legal Considerations for Emergency Managers

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### Legal Considerations for Emergency Managers



### Key Points

This section presents selected legal considerations that may arise in relation to emergency management.

## Visual 15: State, Local, and Tribal Legal Authorities

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State, Local, and Tribal Legal Authorities

### Key Points

This section of the unit will focus on State, local, and tribal legal authorities.

# Visual 16: Federalism

10th Amendment:

*"The powers not delegated to the United States by the Constitution, nor prohibited by it to the States, are reserved to the States respectively, or to the people."*

Important in emergency management: Virtually all emergencies start and end locally; as scale and complexity increase, State and then Federal support may be needed.

## Key Points

"Federalism" is a governance structure in which two or more governments share powers over the same geographic area. For example, the U.S. Constitution establishes a government based on the sharing of power between the national and state (and local) governments. Each state has its own constitution, but all provisions of state constitutions must comply with the U.S. Constitution.

Under the U.S. Constitution, both the national and state governments are granted certain exclusive powers and share other powers. The 10th Amendment states that powers not specifically listed in the Constitution, like requiring drivers licenses and collecting property taxes, are among the powers "reserved" to the states:

10th Amendment:

*"The powers not delegated to the United States by the Constitution, nor prohibited by it to the states, are reserved to the states respectively, or to the people."*

Powers Reserved to National Government	Powers Reserved to State Governments
<ul style="list-style-type: none"> <li>• Coin or print money</li> <li>• Declare war</li> <li>• Establish an army and navy</li> <li>• Enter into treaties with foreign governments</li> <li>• Regulate commerce between States and international trade</li> <li>• Establish post offices and issue postage</li> <li>• Make laws necessary to enforce the Constitution</li> </ul>	<ul style="list-style-type: none"> <li>• Establish local governments</li> <li>• Issue licenses (driver, hunting, marriage, etc.)</li> <li>• Regulate intrastate (within the state) commerce</li> <li>• Conduct elections</li> <li>• Ratify amendments to the U.S. Constitution</li> <li>• Provide for public health and safety</li> <li>• Exercise powers neither delegated to the national government nor prohibited from the states by the Constitution (e.g., setting legal drinking age)</li> </ul>

The line between the powers of the U.S. government and those of the states is usually-but not always-clear. Whenever a state government's exercise of power might be in conflict with the Constitution, a battle of "states' rights" ensues that must often be settled by the Supreme Court.

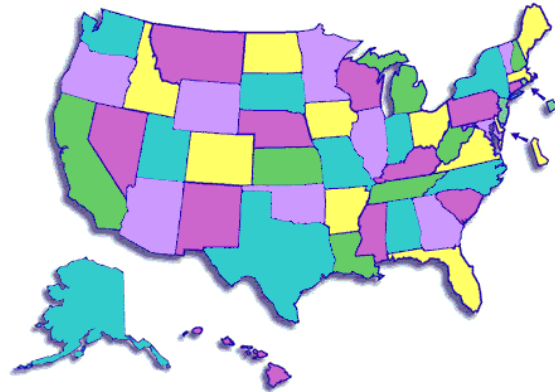
**The concept of Federalism is important in emergency management because virtually all emergencies start and end locally. As the scale and complexity of an incident increase, state and then Federal support may be needed.**

## Visual 17: Police Powers

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The inherent authority of a state government to impose restrictions on individual rights for the sake of:

- Public welfare.
- Security.
- Morality.
- Safety.



### Key Points

The 10th Amendment reserves the "police powers" to the states.

Police powers are the inherent authority of a state government to impose restrictions on individual rights for the sake of public welfare, security, morality, or safety.

## Visual 18: Local Government Authority

### Local Government Authority

- The Constitution of the United States does not mention local governments.
- Local governments are created and regulated by the states.



### Key Points

To discuss forms of local government in the United States is to speak about more than 50 different legal and political situations. The states outline the powers of municipal governments in charters. There may be:

- Special or specific charters;
- General or classified charters (in which the rules may apply to a class of cities, often grouped by population size); or
- Home Rule charters.

Indian tribal nations may have their own tribal authorities for emergency management. Many tribal nations have expanded the role of the Tribal Emergency Response Commission (TERC), originally created to satisfy Superfund Amendments and Reauthorization Act (SARA) Title III requirements. The TERC now oversees emergency management for all hazards and handles the following responsibilities:

- Designates a Local Emergency Planning Committee (LEPC) for each planning district.
- Coordinates and supervises LEPC activities.
- Reviews LEPC emergency plans and recommends needed changes.
- Following the 2013 SRIA, federally recognized tribes have a choice to either request Robert T. Stafford Act assistance or an emergency declaration through the state their tribal entity is located or to request such assistance directly to the federal government.



## Visual 19: Knowledge Review - Local Jurisdiction's Authorities

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### Knowledge Review

What determines the extent of a local jurisdiction's authorities in relation to emergency management and other matters?

Discussion  
Question

## Visual 20: In Your Jurisdiction . . .

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Discussion  
Question

In Your Jurisdiction . . .

Who has the authority to approve/sign MAAs?

With whom do you have existing MAAs?

Key Points

**In your jurisdiction, who has the authority to approve/sign MAAs? (If you don't know, where can you find out?)**



Discussion  
Question

**In your jurisdiction, with whom do you have existing MAAs? (If you don't know, where can you find out?)**

## Visual 21: Sunshine Laws

- Laws in each state govern public access to governmental meetings or records.
- Intended to increase transparency of governmental activities.
- Laws indicate who is subject to the law, who may request access, and requirements.



What do sunshine laws mean for emergency managers?

Discussion  
Question

### Key Points

#### Sunshine Laws and Other Laws Related to Information

- **FOIA:** With the passage of the Freedom of Information Act (FOIA) in 1966, Congress firmly established a right of access to Federal records, and the right to enforce that access in Federal court. FOIA incorporates a presumption of openness, based on the principle that in a democratic society, citizens must be informed in order to check corruption and ensure the government is accountable for the performance of its statutory duties.
- **Other Federal Laws:** Since enactment of FOIA, other open records laws have been passed to strengthen these goals, such as the Government in the Sunshine Act of 1976 (Public Law 94-409), which governs Federal open meetings, and the Federal Advisory Committee Act, governing meetings of councils of outside advisors to the executive branch, and numerous other statutes governing access to specific types of information.
- **Sunshine laws:** All of the states, the District of Columbia, and some territories have sunshine laws, which may cover meetings or records or both. Federally recognized tribes are exempt from such laws and may have their own laws governing access to meetings and records.

Many states have followed suit by passing their own sunshine laws, sometimes known as transparency laws, open records laws, public records laws, open meetings laws, or FOIA laws. Sunshine laws may cover, for example:

- Definition of "meeting" or "record."
  - Which meetings/records are open to the public. (For example, it might be required that a copy of the emergency plan and other information be posted on the jurisdiction's Web site or be placed in some other public accessible location.)
  - Which government bodies are subject to the laws.
  - Notification requirements.
  - Meeting process.
  - Executive sessions.
  - Who may request access; how records may be used.
- **Open meeting laws:** Open meeting laws require government meetings to be announced in advance and held publicly. Open records laws establish a "right-to-know" legal process by which requests may be made for government-held information, to be received freely or at minimal cost, barring standard exceptions.

Open meetings should allow everyone access, including those with functional needs. The Americans with Disabilities Act requires government entities to remove barriers to the full participation of people with disabilities. This would include, for example, physical access to the meeting site by a person using a wheelchair, a sign language interpreter for deaf participants, and other approaches to ensure access for everyone.

- **Shield laws:** Shield laws are especially relevant to the Public Information function.  
Shield laws:
  - Protect the relationships that reporters have with their sources.
  - Vary by state. Most protect the identity of the source and some protect the reporter's notes, outtakes, or work product.
- **Media access:**
  - In 1983, the Supreme Court ruled that protesters do not have unrestricted access to the grounds or the inside of the Supreme Court Building (U.S. v. Grace 461 U.S. 171).
  - Per this ruling, public and private organizations have successfully limited press access based upon security and operational needs. With regard to public buildings, they are known as non-public forum public property.



What do sunshine laws and other information laws mean for emergency managers?

Discussion  
Question

## Visual 22: Volunteers

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Volunteers

Who is a volunteer?

Discussion  
Question

### Key Points

Volunteers are another potential source of liability.

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## Visual 23: Volunteer Protection Act of 1997

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- Statutory immunity for affiliated volunteers against claims of negligence.
- Preempts state laws that provide less protection, but states may opt out of VPA.
- Does not exempt volunteers from liability for:
  - Gross negligence.
  - Willful, criminal, or reckless misconduct.
  - Conscious, flagrant indifference to the rights or safety of an individual.
  - Harm caused while driving a vehicle.

### Key Points

State and Federal volunteer protection statutes (codes of laws enacted by the elected members of the legislatures of Federal, state, territorial, tribal, and local governments) are designed to encourage volunteers' work by protecting them from liability for ordinary negligence.

**VPA Definition of Volunteer:** Under the Volunteer Protection Act of 1997 (VPA), a volunteer is someone performing services for a nonprofit organization or a governmental entity and who does not receive "compensation" greater than \$500 per year.

**What the VPA Covers:** The VPA *provides immunity for ordinary negligence* to volunteers (not only medical volunteers) of nonprofit organizations or governmental entities when:

- The volunteer was acting within the scope of his or her responsibilities;
- The volunteer was licensed or certified in the State where the harm occurred, *if licensure or certification was required*;
- The harm was not the result of willful action, grossly negligent behavior, etc.; and
- The harm was not caused by the volunteer's operation of a vehicle.

**What the VPA Does Not Cover:** The VPA does not exempt volunteers from liability for:

- Gross negligence. Gross negligence is a conscious and voluntary disregard of the need to use reasonable care, which is likely to cause foreseeable grave injury or harm to persons, property, or both. It is conduct that is extreme when compared with ordinary negligence, which is a mere failure to exercise reasonable care.
- Willful, criminal, or reckless misconduct.
- Conscious, flagrant indifference to the rights or safety of an individual.
- Harm caused while driving a vehicle.

## Visual 24: Volunteer Protection Act of 1997 (Continued)

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- Does NOT provide protection for:
  - Crimes of violence.
  - Acts of international terrorism.
  - Hate crimes.
  - Sexual offenses.
  - Civil rights violations.
  - Claims involving use of alcohol or drugs.
- Protects the individual, not the organization.

### Key Points

**The VPA protects the individual, not the organization.** Many nongovernmental organizations (business and nonprofit) volunteer in emergency preparedness and response efforts, but protection for nongovernmental organizations is one of the biggest gaps in emergency volunteer protection.

## Visual 25: State Laws Protecting Volunteers

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- All states - Volunteer protection statutes.
- All states - Good Samaritan statutes.
- Many states - Statutory provisions geared specifically toward volunteer health professionals (VHPs).
- Some states' emergency management statutes protect registered emergency volunteers from civil liability.
- Protections vary.



### Key Points

**Volunteer Protection Statutes:** All 50 states, the District of Columbia, and Puerto Rico have volunteer protection statutes that provide varying degrees of liability protection. Volunteer protection statutes usually limit protection to volunteers who are affiliated with government or nonprofit organizations.

**Good Samaritan Statutes:** A Good Samaritan is someone who voluntarily provides assistance to a victim at the scene of an injury or sudden emergency where there is no ready access to professional care or assistance. Good Samaritans often act independently and may or may not be affiliated with an official organization.

Good Samaritan laws reduce the barrier of liability by providing immunity from liability for ordinary negligence. All 50 States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, and some tribes have "Good Samaritan" statutes.

**VHP Statutes:** Many states have statutory provisions geared specifically toward volunteer health professionals (VHPs).

**Emergency Management Statutes:** Every state has a regime for declaring a general emergency or disaster, and such a declaration can explicitly trigger liability protections or allow the Governor to do so. Emergency management statutes may protect registered emergency volunteers from civil liability, provide emergency volunteer injury benefits, and recognize licenses, certificates, and permits from other States.

**Protections Vary:** State/tribal protections vary in whom they apply to, the breadth of protection they provide, and the requirements that must be met.



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## Visual 26: Unaffiliated Volunteers

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### Unaffiliated Volunteers

How do spontaneous volunteers fit in?

Discussion  
Question

### Key Points

**Affiliated volunteers** are attached to a recognized voluntary or nonprofit organization and are trained for specific disaster response activities.

**Spontaneous volunteers** are not part of a recognized voluntary agency and often have no formal training in emergency response.

## Visual 27: Reducing Liability With Volunteers

- Establish ongoing relationships with major volunteer groups prior to a crisis.
- Conduct public education to encourage pre-involvement and affiliation.
- Spell out volunteer roles in the EOP.
- Control access by spontaneous volunteers. Provide registration, assessment, and training.
- Know your local/tribal/state laws and regulations regarding volunteers!



### Key Points

Without provisions to register spontaneous volunteers at the scene, spontaneous volunteers are unlikely to receive liability protection or injury benefits. Strategies for reducing liability with volunteers include the following:

- Establish ongoing relationships with major volunteer groups prior to a crisis.
- Develop media and public education campaigns that encourage people to undertake pre-involvement and affiliation with existing voluntary organizations.
- Spell out volunteer roles in the Emergency Operations Plan (EOP).
- Control access by spontaneous volunteers. Provide registration, assessment, and training to enable them to become contributing members of the response force.
- Know your local/tribal/State laws and regulations on volunteers. For example:
  - What liability protections are provided for affiliated volunteers?
  - What liability protections are provided for spontaneous volunteers?
  - Are volunteers eligible for worker's compensation or other injury benefits?
  - What licensing or certification requirements apply to volunteers?
  - Is an unpaid volunteer considered a volunteer if he or she receives compensation from unrelated employment during the period of volunteer work?

## Visual 28: Evacuation

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- Authority to determine who can order evacuations resides with the state.
- FEMA authority: Homeland Security Act, PKEMRA.
- State/tribal/local legal authorities found in emergency management acts and ordinances.



### Key Points

The authority to determine who can order evacuations resides with the state. That authority may be delegated to local jurisdictions.

FEMA was given original authority for evacuations in the Homeland Security Act; PKEMRA included evacuation authority for FEMA in Sections 402(1) and 402(2).

Legal authorities are found in state/tribal/local emergency management acts and ordinances.

Potential evacuation issues include:

- Notice and warning to the whole community.
- Voluntary/mandatory evacuations.
- People who refuse to evacuate.
- Control of evacuated areas, reentry.
- Accessibility of transportation for individuals with access and functional needs.
- Evacuation of pets.
- Seizure of lost/abandoned animals.

Important information to know in your jurisdiction includes:

- What are the legal authorities to order an evacuation?
- Who has the authority to order an evacuation?
- What is required for a mandatory evacuation?
- What are the limits on enforcement?
- Who has authority to control reentry into evacuated areas?

- What provisions are there to ensure that vulnerable populations will be adequately served?
- What do local codes say about transporting and sheltering pets?

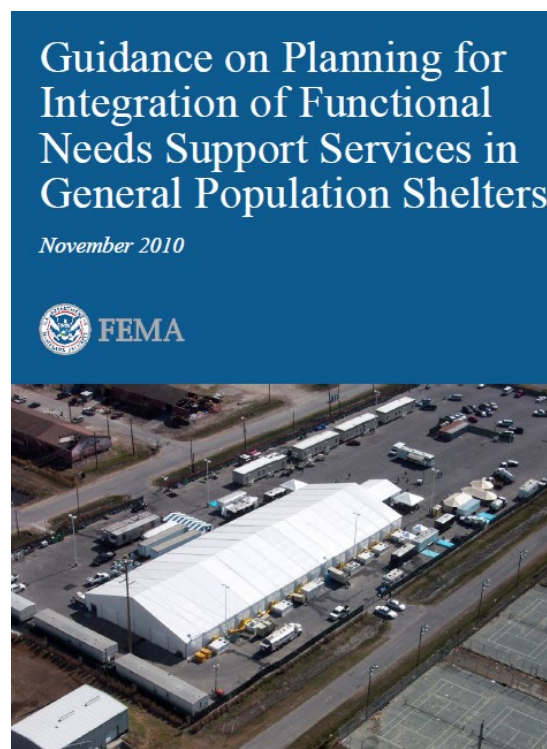
## Visual 29: Sheltering Guidance

- Various Federal laws mandate integration and equal opportunity for people with access and functional needs in general population shelters.

[Guidance for Functional Needs Support Services](#)

(FNSS) is available at:

[http://www.fema.gov/pdf/about/odc/fnss\\_guidance.pdf](http://www.fema.gov/pdf/about/odc/fnss_guidance.pdf)



### Key Points

The Stafford Act and Post-Katrina Emergency Management Reform Act (PKEMRA), along with Federal civil rights laws, mandate integration and equal opportunity for people with access and functional needs in general population shelters.

[Guidance on Planning for Integration of Functional Needs Support Services in General Population Shelters](#) was developed to provide planning guidance that can be incorporated into existing shelter plans to meet access and functional needs in general population shelters.

Functional Needs Support Services (FNSS) and the guidance provided are designed to assist in the planning and resourcing of sheltering operations (whether government, NGO, or faith- or private-based) to meet the access and functional needs of children and adults. Guidelines provided in this document will help emergency managers and shelter planners identify methods of achieving a lawful and equitable program through the delivery of FNSS for children and adults.

The document is available at: [http://www.fema.gov/pdf/about/odc/fnss\\_guidance.pdf](http://www.fema.gov/pdf/about/odc/fnss_guidance.pdf)

### Key Points

Potential legal issues:

- Privacy
- Care for vulnerable populations, accessibility
- Evacuee tracking, family reunification
- Unaccompanied minors or adults
- Unclaimed animals and lost property
- Acts of violence
- Sheltering of animals-liability issues

Potential sheltering issues include:

- Intake identifications (refusal to show ID, sexual offenders, other). Note: state laws may differ regarding registration at shelters. For example, persons coming to shelters may not be required to register. It is important to be familiar with any legal provisions that govern sheltering in your situation.
- Care for vulnerable populations.
- Accessibility of shelter facilities for individuals with access and functional needs (communication, physical access).
- Evacuee tracking systems-privacy issues.
- Family reunification.
- Unaccompanied minors or adults.
- Unclaimed animals and lost property.
- Acts of violence.
- Sheltering of animals-liability issues.

## Visual 30: Federal Authorities and Requirements

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Federal Authorities and Requirements



### Key Points

This section provides information on the Federal authorities for emergency management and explores other requirements that come into play when working under Federal legislation.

## Visual 31: Federal Legal Authority

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- Statutes
- Regulations
- Executive orders
- Presidential directives

### Key Points

Federal authority for emergency management derives from:

- **Statutes:** the primary source of law in the United States, and typically authorizes an administrative agency to adopt rules pursuant to the statute.
- **Regulation:** an official rule that says how something should be done.
- **Executive orders:** rule or order issued by the President to an Executive branch of the government and having the full force of the law.
- **Presidential directives:** official guidance used to promulgate a Presidential decision on national security matters.



## Visual 32: Primary Federal Legal Authorities

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Primary Federal legal authorities for emergency management include:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act
- 44 CFR Part 206: Implementing regulations for the Stafford Act
- Homeland Security Act
- Post-Katrina Emergency Management Reform Act
- Disaster Mitigation Act of 2000
- Sandy Recovery Improvement Act of 2013 (SRIA).

### Key Points

Primary Federal legal authorities for emergency management include:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121, et seq.
- 44 CFR Part 206, the implementing regulations for the Stafford Act.
- Homeland Security Act, Pub. L. 107-296, as amended.
- Post-Katrina Emergency Management Reform Act (PKEMRA).
- Disaster Mitigation Act of 2000 (Pub. L. 106-390).
- Sandy Recovery Improvement Act of 2013 (SRIA).

## Visual 33: Primary Federal Legal Authorities (Continued)

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Additional Federal legal authorities for emergency management include:

- Pets Evacuation & Transportation Standards (PETS) Act
- E.O. 12148, as amended
- Homeland Security Presidential Directive (HSPD)-5: Management of Domestic Incidents
- Presidential Policy Directive (PPD) 8: National Preparedness
- Jeanne Clery Act (college campuses)

### Key Points

Additional Federal legal authorities for emergency management include:

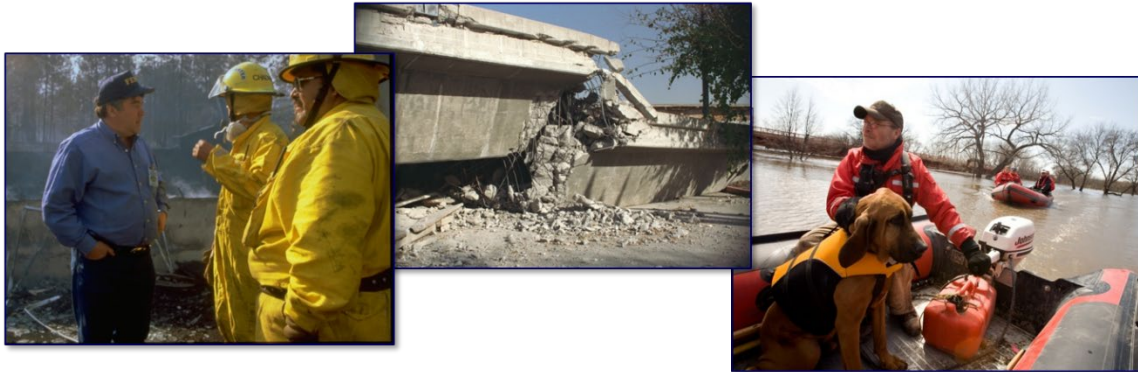
- Pets Evacuation and Transportation Standards (PETS) Act of 2006 (Pub. L. 109-308).
- Executive Order 12148.
- Homeland Security Presidential Directive 5: Management of Domestic Incidents.
- Presidential Policy Directive 8: National Preparedness.
- Jeanne Clery Act (signed 1990, amended 2008).

You will learn more about these authorities later in this unit.

## Visual 34: The Stafford Act

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Authorizes the President to provide major disaster and emergency declarations to states for events in the “United States” that overwhelm state and local capability, upon request of a governor or Federally recognized tribes.



### Key Points

The Stafford Act covers all hazards, including natural disasters and terrorist events.

- The act applies only to incidents in the “United States,” defined as the 50 states, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands (42 U.S.C. 5122(3)).
- Former Trust Territories (Federal States of Micronesia, Republic of the Marshall Islands) receive assistance through compacts, not the Stafford Act.
- Federally recognized tribes are eligible for Stafford Act or Emergency Declaration assistance through their respective states or as a direct request to the federal government (ex. nation to nation.)
- “United States” does not include other areas where the U.S. has sovereignty, such as embassies and overseas military installations.

## Visual 35: The Stafford Act (Continued)

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- Vests responsibility for emergency preparedness jointly in:
  - The Federal Government.
  - State governments.
  - Their political subdivisions.
- Gives FEMA responsibility for coordinating Federal Government response.

### Key Points

#### The Stafford Act:

- Is the primary source of authority for the Federal Government to respond to disasters and emergencies.
- Gives FEMA responsibility for coordinating government response efforts.
- Describes the programs and processes by which the Federal Government provides disaster and emergency assistance to State and local governments, tribal nations, eligible private nonprofit organizations, and individuals affected by a declared major disaster or emergency.

## Visual 36: Initial Response

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Section 403 (42 U.S.C. 5170b):

- Primary authority for initial response in major disasters.
- Authorizes the federal government to provide assistance to meet immediate threats to life and property.
- IMAT, USAR, MERS, NDMS, DMORT

### Key Points

Section 403 of the Stafford Act (U.S.C. § 5170b) is the primary authority for federal response. It authorizes the federal government to provide assistance to meet immediate threats to life and property, with the federal share being not less than 75 percent. This section also allows the use, lending, and donating of federal assets and authorizes the use of Department of Defense resources.

Prior to and during catastrophic incidents, especially those that occur with little or no notice, the state and federal governments may take proactive measures to mobilize and deploy assets in anticipation of a formal request from the state for federal assistance.

Examples of advanced teams include the following:

- **Incident Management Assistance Teams (IMATs)** are interagency, regionally based response teams that provide a forward federal presence to improve response to serious incidents. The IMATs support efforts to meet the emergent needs of state and local jurisdictions, possess the capability to provide initial situational awareness for federal decision-makers, and support the establishment of federal coordination efforts with the state.
- **Urban Search and Rescue (USAR)** task forces assist state, tribal, and local governments in rescuing victims of structural collapse incidents or assist in other search and rescue missions.
- **Mobile Emergency Response Support (MERS)** provides mobile telecommunications capabilities and life, logistics, operational, and power-generation support required for the onsite management of response activities. MERS support falls into three broad categories: (1) operational support elements, (2) communications equipment and operators, and (3) logistics support.
- **National Disaster Medical System (NDMS)** is a part of the U.S. Department of Health and Human Services (HHS) responsible for managing the Federal government's medical response to major emergencies and disasters. The overall purpose of the NDMS is to supplement an integrated National medical response capability for assisting State and Local authorities in dealing with the medical impacts of major peacetime disasters and to provide support to the military and the Department of Veterans Affairs medical systems in caring for casualties evacuated back to the U.S. from overseas armed conventional conflicts.

- **Disaster Mortuary Operational Response Team (DMORT)** consist of a team of experts in the fields of victim identification and mortuary services and are activated in response to large scale disasters in the U.S. to assist in the identification of deceased individuals, and the storage of bodies prior to being claimed. DMORTs are part of the NDMS.

## Visual 37: Major Disasters and Emergencies



Section 401 provides the requirements to be included in the Governor's request for a declaration of a major disaster.

Section 501 provides requirements to be included in the Governor's request for a declaration of an emergency.



Refer to the definitions of *major disaster* and *emergency* in the Student Manual. The comparison continues on the next visual.

Instructor  
Note

### Key Points

The Stafford Act distinguishes between major disasters and emergencies.

- **A Major Disaster** could result from a natural or human-caused event that the President determines warrants supplemental Federal aid. The event must be clearly more than state or local governments can handle alone. If declared, funding comes from the President's Disaster Relief Fund, which is managed by FEMA, and disaster aid programs of other participating Federal agencies.

The definition of a major disaster is: *“Any natural catastrophe . . . or, regardless of cause, any fire, flood, or explosion in any part of the United States which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.”*

- **An Emergency Declaration** is more limited in scope and without the long-term Federal recovery programs of a Major Disaster Declaration. Generally, Federal assistance and

funding are provided to meet a specific emergency need or to help prevent a major disaster from occurring.

The definition of an emergency is: *“Any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement state and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.”*



## Visual 38: Major Disaster vs. Emergency

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### Major Disaster

- No Monetary Cap on Aid to States
- No Pre-Disaster Declaration
- Various Cost-Share Options
- More Comprehensive Forms of Aid

### Emergency

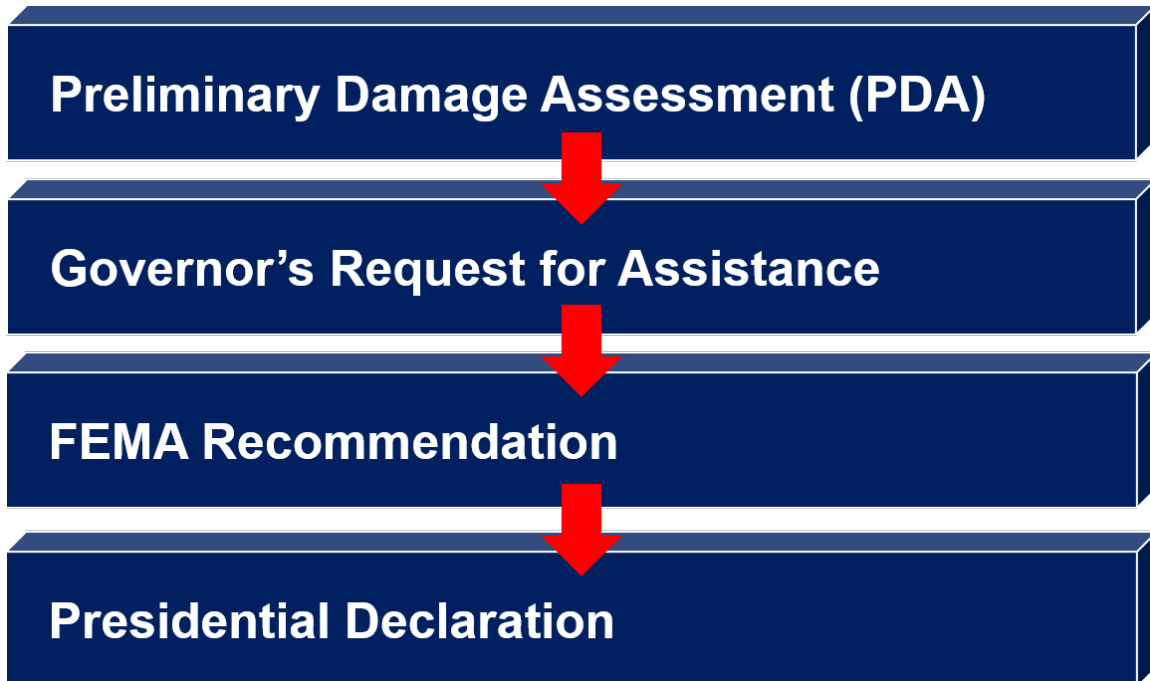
- \$5M Cap on Aid to States
- Pre-Disaster Declaration Authorized
- President May Declare Unilaterally
- Federal Share > 75%

### Key Points

Compare the key differences between a major disaster and an emergency.

## Visual 39: Requesting Stafford Act Assistance

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### Key Points

When a disaster happens it may escalate in its need for support. The steps for requesting assistance under the Stafford Act are summarized below:

- **Step 1: FEMA/Federal and state representatives complete a Preliminary Damage Assessment (PDA).** The PDA:
  - Documents the impact of the event and estimates initial damage.
  - Establishes a foundation for the Governor to request assistance.
  - Provides background for FEMA's analysis of the request.
- **Step 2: The Governor requests assistance.** The Governor's request, by law, must:
  - State that the Governor has taken appropriate action and directed execution of the state emergency operations plan.
  - Certify that the incident is of such severity and magnitude that State and local resources are inadequate.
  - Include a damage estimate.
  - Describe the state and local resources committed to response and recovery.
  - Describe the assistance being requested and agree to cost-sharing provisions.
- **Step 3: FEMA reviews the request and makes a recommendation.**

- The Governor's request is addressed to the President through the FEMA Regional Administrator.
- The FEMA regional office completes its analysis and recommendation.
- FEMA Headquarters reviews to ensure the request meets Stafford Act requirements.
- The FEMA Administrator then recommends a course of action to the President.
- **Step 4: The President makes a major disaster declaration, if warranted.**
  - The President decides whether to declare that a major disaster exists.
  - If a declaration is issued, assistance is made available under the Stafford Act.
  - There exist structured appeals processes for both denied federal assistance declarations and individual projects.

Most disasters do not rise to the level of a Presidential Declaration in that very specific criteria have to be met. Even if that criteria is met, there is no guarantee of a declaration.

## Visual 40: 501(b) Emergency Declaration

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- A Governor's request is not necessary for the President to issue an emergency declaration if the emergency involves a "Federal primary responsibility."
- Such responsibility rests with the United States because the emergency involves a subject area for which, under the Constitution or laws of the United States, the United States exercises exclusive or pre-eminent responsibility and authority.

### Key Points

Under Section 501(b), the President can declare an emergency (e.g., when an incident is imminent or when the emergency involves a "Federal primary responsibility") without having received a Governor's request. The Federal Government can pre-position resources to accelerate the response.

Examples of 501(b) declarations include:

- Bombing of the Oklahoma City Murrah Federal Building in 1995.
- Pentagon 9/11 attack in 2001.
- Space Shuttle Columbia explosion in 2003.
- Hurricane Alex (before landfall).

## Visual 41: Civil Rights

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Title VI of the Civil Rights Act of 1964, as amended, prohibits discrimination in programs and activities receiving Federal financial assistance based on:

- Race
- Color
- National origin

Title VII prohibits discrimination in any aspect of employment.



### Key Points

Title VI, 42 U.S.C. § 2000d et seq., was enacted as part of the landmark Civil Rights Act of 1964, as amended. It prohibits discrimination on the basis of race, color, or national origin in programs and activities receiving Federal financial assistance. As President John F. Kennedy said in 1963:

*Simple justice requires that public funds, to which all taxpayers of all races [colors, and national origins] contribute, not be spent in any fashion which encourages, entrenches, subsidizes or results in racial [color, or national origin] discrimination.*

If a recipient of Federal assistance is found to have been discriminated and voluntary compliance cannot be achieved, the Federal agency providing the assistance should either initiate fund termination proceedings or refer the matter to the Department of Justice for appropriate legal action.

Aggrieved individuals may file administrative complaints with the Federal agency that provides funds to a recipient, or the individuals may file suit for appropriate relief in Federal court.

Title VI itself prohibits intentional discrimination. However, most funding agencies have regulations implementing Title VI that prohibit recipient practices that have the **effect of discrimination** on the basis of race, color, or national origin.

Under Title VII it is illegal to discriminate in any aspect of employment, including: hiring and firing; compensation, assignment, or classification of employees; transfer, promotion, layoff, or recall; job advertisements; recruitment; or other terms and conditions of employment.

## Visual 42: Other Laws Protecting Civil Rights

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- Stafford Act and PKEMRA
- Rehabilitation Act of 1973, Sections 504 & 508
- Title IX of the Education Amendments of 1972
- Americans with Disabilities Act of 1990, as amended
- Age Discrimination Act of 1975
- Architectural Barriers Act of 1968
- Fair Housing Act of 1968



Job Aid: Federal Laws Protecting Civil Rights

### Key Points

Many other Federal laws include provisions protecting civil rights. They include:

- Stafford Act.
- PKEMRA.
- Rehabilitation Act of 1973, Sections 504 and 508.
- Title IX of the Education Amendments of 1972.
- Americans with Disabilities Act of 1990, as amended.
- Age Discrimination Act of 1975.
- Architectural Barriers Act of 1968.
- Fair Housing Act of 1968.

Information about these laws is provided in the job aid that follows.

## Job Aids

### Federal Laws Protecting Civil Rights

Law	Civil Rights Act of 1964
<b>Overview of Title VI</b>	Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin in programs and activities receiving Federal financial assistance.
<b>Provisions</b>	<p>If a recipient of Federal assistance is found to have been discriminated and voluntary compliance cannot be achieved, the Federal agency providing the assistance should either initiate fund termination proceedings or refer the matter to the Department of Justice for appropriate legal action.</p> <p>Aggrieved individuals may file administrative complaints with the Federal agency that provides funds to a recipient, or the individuals may file suit for appropriate relief in Federal court.</p> <p>Title VI itself prohibits intentional discrimination. However, most funding agencies have regulations implementing Title VI that prohibit recipient practices that have the <b>effect of discrimination</b> on the basis of race, color, or national origin.</p>
<b>Overview of Title VII</b>	Under Title VII it is illegal to discriminate in any aspect of employment, including: hiring and firing; compensation, assignment, or classification of employees; transfer, promotion, layoff, or recall; job advertisements; recruitment; or other terms and conditions of employment.
<b>Provisions</b>	Discriminatory practices also include: harassment on the basis of race, color, religion, sex, national origin, disability, or age. They include retaliation against an individual for filing a charge of discrimination, participating in an investigation, or opposing discriminatory practices; employment decisions based on stereotypes or assumptions about the abilities, traits, or performance of individuals of a certain sex, race, age, religion, or ethnic group, or individuals with disabilities. These practices also include denying employment opportunities to a person because of marriage to, or association with, an individual of a particular race, religion, national origin, or an individual with a disability.

<b>Law</b>	Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988 and PKEMRA
<b>Overview</b>	The Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988 (amended 2007) prohibits discrimination during disaster relief and assistance activities.
<b>Provisions</b>	<p>The Stafford Act states that "during a disaster, relief and assistance activities shall be accomplished in an equitable and impartial manner, without discrimination on the grounds of race, color, nationality, sex, age, disability, religion, English proficiency, or economic status."</p> <p>The Stafford Act applies to:</p> <ul style="list-style-type: none"> <li>• FEMA services and operations.</li> <li>• Personnel carrying out Federal assistance functions.</li> <li>• Other bodies participating in relief operations, including all private relief organizations, contractors, and volunteers.</li> </ul> <p>The Stafford Act and PKEMRA, along with Federal civil rights laws, mandate integration and equal opportunity for people with disabilities in general population shelters.</p>

<b>Law</b>	Post-Katrina Emergency Management Reform Act (PKEMRA) of 2006
<b>Overview</b>	PKEMRA extended the protections of the Stafford Act to include race, color, religion, nationality, sex, age, disability, English proficiency, and economic status. PKEMRA also made changes in the Homeland Security Act that ensured better services for disaster survivors.
<b>Provisions</b>	<p>Among other provisions, PKEMRA directed FEMA to:</p> <ul style="list-style-type: none"> <li>• Establish a Disability Coordinator and develop guidelines to accommodate individuals with disabilities.</li> <li>• Add disability and English proficiency to the list of provisions requiring nondiscrimination in relief and assistance activities.</li> <li>• Establish the National Emergency Family Registry and Locator System to reunify separated family members and assist in establishing the National Emergency Child Locator</li> </ul>



Law	Post-Katrina Emergency Management Reform Act (PKEMRA) of 2006
	<p>Center to locate missing children after a major disaster or emergency.</p> <ul style="list-style-type: none"> <li>• Coordinate and support precautionary evacuations and recovery efforts.</li> <li>• Provide transportation assistance for relocating and returning individuals displaced from their residences in a major disaster.</li> <li>• Provide rescue, care, shelter, and essential needs assistance to individuals with household pets and service animals as well as to such pets and animals.</li> <li>• Provide case management assistance to identify and address unmet needs of victims of major disasters.</li> <li>• Receive input from a National Advisory Council, including State and private-sector members, about the development and revision of the NRF and other related plans or strategies.</li> </ul>

Law	Executive Order 13166: Improving Access To Services for Persons With Limited English Proficiency
<b>Overview</b>	Executive Order 13166 improves access to federally conducted and federally assisted programs and activities for persons who, as a result of national origin, are limited in their English proficiency (LEP).
<b>Provisions</b>	<ul style="list-style-type: none"> <li>• Federally conducted and federally assisted programs must take reasonable steps to ensure meaningful access to their programs and activities by LEP persons.</li> <li>• Federal agencies conducting programs and activities must prepare a plan to improve access to the programs and activities by eligible LEP persons. The plan must be consistent with the standards set forth in the LEP Guidance issued by the Department of Justice.</li> <li>• Each agency must draft Title VI guidance specifically tailored to its recipients (federally assisted programs and activities) that is consistent with the LEP Guidance and that details how the general standards established in the LEP Guidance will be applied to the agency's recipients.</li> </ul>

<b>Law</b>	<b>Executive Order 13166: Improving Access To Services for Persons With Limited English Proficiency</b>
	<ul style="list-style-type: none"> <li>• Agencies must ensure that stakeholders, such as LEP persons and their representative organizations, recipients, and other appropriate individuals or entities, have an adequate opportunity to provide input.</li> </ul>

<b>Law</b>	<b>Rehabilitation Act of 1973, as Amended</b>
<b>Overview</b>	The Rehabilitation Act of 1973, Pub. L. 93-112, 29 U.S.C. 794 (2007), prohibits discrimination against persons with disabilities.
<b>General Provisions</b>	<ul style="list-style-type: none"> <li>• No qualified individual with a disability in the United States shall be excluded from, denied the benefits of, or be subjected to discrimination under any program or activity that either receives Federal financial assistance or is conducted by any executive agency or the United States Postal Service.</li> <li>• The act imposes nondiscrimination and accessibility requirements on all of the operations of Federal agencies, including any direct services they provide to the public or any programs that they specifically operate. This includes any direct services provided by FEMA and the operations of FEMA itself.</li> <li>• The Equal Employment Opportunity Commission (EEOC) has adopted the provisions of the Americans with Disabilities Act (ADA), as amended, as guiding principles of the Rehabilitation Act.</li> </ul>
<b>Provisions of Section 504</b>	<p>Section 504 of the Rehabilitation Act applies to all types of entities that receive Federal financial assistance, regardless of whether they are a governmental agency, a private organization, or a religious entity. It also applies to organizations and entities that receive Federal monies distributed through State or local agencies (subrecipients).</p> <p>Federal financial assistance is defined very broadly. For example, a private nonprofit organization that receives a Federal contract to provide services is covered by Section 504, as is an organization that receives free or subsidized use of Federal property, or is provided staff paid by a Federal agency.</p>

Law	Rehabilitation Act of 1973, as Amended
	<p>Section 504 requires all entities that receive Federal financial assistance to:</p> <ul style="list-style-type: none"> <li>• Effectively communicate with people who have communication disabilities including hearing, vision, or cognitive disabilities.</li> <li>• Meet accessibility standards in new construction and altered facilities.</li> <li>• Make changes to policies, practices, procedures, and structures as a reasonable accommodation for individuals with disabilities unless doing so would require a fundamental alteration of the program or constitute an undue financial and administrative burden.</li> </ul>
<b>Provisions of Section 508</b>	Requires Federal electronic and information technology to be accessible to people with disabilities. An accessible information technology system is one that can be operated in a variety of ways and does not rely on a single sense or ability of the user.

Law	Education Amendments of 1972
<b>Overview</b>	Title IX of the Education Amendments of 1972, Pub. L. 92-318, 20 U.S.C. 1681-1688 (2007), prohibits discrimination on the basis of sex in programs or activities receiving Federal financial assistance.

Law	Americans With Disabilities Act (ADA) of 1990
<b>Overview</b>	The ADA, Pub. L. 101-336, 42 U.S.C. 12101, et seq., prohibits discrimination against individuals with disabilities by State and local governments.
<b>Provisions of Title II</b>	<ul style="list-style-type: none"> <li>• Covers all programs, services, and activities of State and local governments regardless of the government entity's size or receipt of Federal funding.</li> <li>• Requires State and local governments to:</li> </ul>

Law	Americans With Disabilities Act (ADA) of 1990
	<ul style="list-style-type: none"> <li>• Give people with disabilities an equal opportunity to benefit from all of their programs, services, and activities (e.g., emergency programs, public education, employment, transportation, recreation, healthcare, social services, courts, voting, and town meetings).</li> <li>• Follow specific architectural standards in the new construction and alteration of their buildings.</li> <li>• Provide access to programs, services, and activities housed in pre-ADA buildings.</li> <li>• Ensure effective communication for people who are deaf or hard of hearing, are blind or have low vision, or have speech or other communication disabilities.</li> <li>• Does not require public entities to take actions that would result in undue financial and administrative burdens. They are required to make reasonable modifications to policies, practices, and procedures where necessary to avoid discrimination, unless they can demonstrate that doing so would fundamentally alter the nature of the service, program, or activity being provided.</li> </ul>
<b>Provisions of Title IV</b>	<ul style="list-style-type: none"> <li>• Requires that Telecommunications Relay Services (TRS) be made available to hearing- and speech-impaired individuals to the fullest extent possible and in the most efficient manner.</li> <li>• Requires that any television public announcement that is produced or funded in whole or in part by the Federal Government must be closed captioned.</li> </ul>

Law	ADA Amendments Act of 2008
<b>Overview</b>	The ADA Amendments Act of 2008 broadened the definition of disabilities.
<b>Provisions</b>	An individual with a disability is a person who has a physical or mental impairment that substantially limits one or more major life activities that an average person can perform with little or no difficulty, or has a record of such impairment, or is regarded as having such impairment. The law defines specific terms as follows:

Law	ADA Amendments Act of 2008
	<ul style="list-style-type: none"> <li>• <b>Physical impairment:</b> Includes disorders of the sense organs (talking, hearing, etc.), motor functions, and body systems such as respiratory, cardiovascular, musculoskeletal, reproductive, digestive, genito-urinary, hemic, lymphatic, skin, neurological, and endocrine systems.</li> <li>• <b>Mental impairment:</b> Includes most psychological disorders and disorders such as organic brain syndrome, learning disabilities, and emotional or mental illness. It specifically excludes various sexual behavior disorders, compulsive gambling, pyromania, and disorders due to current use of illegal drugs.</li> <li>• <b>Major life activities:</b> Include, but are not limited to, caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, breathing, learning, reading, concentrating, thinking, communicating, and working. Major life activities also include the operation of major bodily functions, such as the immune system and normal cell growth, which covers persons with HIV or cancer.</li> <li>• <b>Substantially limits:</b> The severity and duration of impairment determines whether it substantially limits a major life activity. Impairment must last for several months and significantly restrict a major life activity, but an impairment that is episodic or in remission is still a disability if it would substantially limit a major life activity when active. Similarly, an impairment is still regarded as a disability even if the individual uses medication, equipment, learned adaptive behaviors, or other mitigating measures to lessen the effects of the impairment.</li> </ul>

Law	Age Discrimination Act of 1975
<b>Overview</b>	The Age Discrimination Act of 1975 prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance.
<b>Provisions</b>	A provider may not exclude, deny, or provide different or lesser services to applicants or beneficiaries on the basis of age.

<b>Law</b>	<b>Architectural Barriers Act of 1968</b>
<b>Overview</b>	The Architectural Barriers Act of 1968, as amended, 42 U.S.C. § 4151, et seq. (2007), requires that physical access be available to facilities designed, built, altered, or leased with Federal funds.
<b>Provisions</b>	Under this law the Access Board, created by section 502 of the Rehabilitation Act of 1973, develops and maintains accessibility guidelines called the Uniform Federal Accessibility Standards (UFAS).

<b>Law</b>	<b>Fair Housing Act of 1968</b>
<b>Overview</b>	The Fair Housing Act of 1968 prohibits housing discrimination on the basis of race, color, religion, sex, disability, familial status, or national origin.
<b>Provisions</b>	<p>The Fair Housing Act:</p> <ul style="list-style-type: none"> <li>• Covers all types of housing, regardless of type of funding, including privately owned housing, housing that receives Federal financial assistance, and housing owned or operated by State and local governments.</li> <li>• Covers housing intended as a short- or long-term residence, including the following types that are often used to house persons who are displaced by disasters: shelters that house persons for more than a few days, transitional housing facilities, nursing homes, and manufactured housing.</li> <li>• Prohibits discrimination in any aspect of selling or renting housing or denial of a dwelling to a buyer or renter because of the disability of that individual, an individual associated with the buyer or renter, or an individual who intends to live in the residence.</li> <li>• Prohibits discrimination in the terms, conditions, or privileges of a rental or sale; the provision of services or facilities in connection with a dwelling; financing; zoning practices; new construction design; and advertising.</li> <li>• Requires that new multifamily housing with four or more units be designed and built to contain minimum accessibility features for persons with disabilities.</li> <li>• Requires owners of housing facilities to make reasonable</li> </ul>

Law	Fair Housing Act of 1968
	<p>exceptions to their policies and operations to afford people with disabilities equal housing opportunities.</p> <ul style="list-style-type: none"><li>• Requires landlords to allow tenants with disabilities to make reasonable access-related modifications to their private living space, and common use spaces. (The landlord is not required to pay for the changes.)</li></ul>

## Visual 43: Protecting Civil Rights

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Protecting civil rights means ensuring that one's decisions and actions afford equal opportunity and access to everyone-regardless of disability, limited English proficiency, age, economic status, or other protected status.



What are some examples of situations in which your decisions and actions could impact someone's civil rights?

Discussion  
Question

### Key Points

Protecting civil rights means ensuring that one's decisions and actions afford equal opportunity and access to everyone-regardless of disability, limited English proficiency, age, economic status, or other protected status.



## Visual 44: Occupational Safety and Health

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The Occupational Safety and Health Act (OSHA) applies standards to assure safe and healthful working conditions for workers, and provides mechanisms to assist the States in their efforts to assure safe and healthful working conditions.



### Key Points

The Occupational Safety and Health Act, 29 U.S.C. §§ 651-678 (2007), establishes and enforces standards to assure safe and healthful working conditions for working men and women, and provides mechanisms to assist the states in their efforts to assure safe and healthful working conditions.

Under OSHA, it is the employer's duty to:

- Comply with OSHA standards for health and safety in the workplace.
- Communicate hazards to which employees are exposed.

Employees have the right to:

- Access information, including standards, rules, regulations, requirements, and other records and test results related to health and safety.
- Take part in and be represented in the inspection process.

- Promote workplace safety, including bringing action against the employer without retaliation.

Two important strategies for protecting employee health and safety are to:

- Designate a safety officer who has responsibility for keeping employees informed and safe during normal activities as well as during emergencies.
- Have a system in place for reporting safety concerns in the workplace and addressing safety issues.

## Visual 45: Health Information Privacy

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Health Insurance Portability and Accountability Act of 1996 (HIPAA):

- Protects individually identifiable health information.
- Permits disclosure for patient care and other important purposes.
- Specifies safeguards to use to assure the confidentiality, integrity, and availability of electronic information.

## Visual 46: Environmental/Historical Preservation

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A number of laws require Federal agencies to protect and maintain the environment and to take into account the effect of any federally funded or assisted project on historical properties. Two important laws are:



National Environmental Policy Act (NEPA)    National Historic Preservation Act (NHPA)

### Key Points

A number of laws require federal agencies to protect and maintain the environment and to take into account the effect of any federally funded or assisted project on historical properties. Two important laws are:

- The National Environmental Policy Act (NEPA)
- The National Historic Preservation Act (NHPA)

Information about these and other environmental and historic preservation laws is provided in the following video and job aid.

## Visual 47: Video: Environmental and Historic Preservation

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<https://www.fema.gov/media-library/assets/videos/76657>



### Job Aid: Environmental and Historic Preservation Laws

#### Key Points/Video Transcript

This video provides a brief overview of environmental and historic preservation laws that impact emergency management. The narrative is provided below.

Information about NEPA, NHPA, and other laws protecting the environment and historic properties is provided in the job aid that follows.

#### **Video Transcript: Environmental Historic Preservation**

##### **Environmental and Historic Preservation:**

I am Kevin Jaynes, Regional Environmental Officer for FEMA Region VI. The Office of Environmental and Historic Preservation, or EHP, provides the guidance, expertise and innovative solutions to ensure that FEMA funded projects are legally compliant so that Applicant funding is not jeopardized.

In this video, we will discuss what you can do to facilitate the EHP review of your community's projects. Each project is unique and may be subject to different local, state, and federal environmental and historic preservation laws. The extent of FEMA's EHP review is based on the project's scope of work. Working with an EHP Specialist early in the disaster recovery process will help to ensure that your community's project applications have the required documentation and will also expedite the review process.

Once the immediate threat to life and property has passed following a disaster, FEMA and the State are legally obligated to consider the effects of the disaster recovery actions. FEMA EHP works with your community to prevent further impacting natural and cultural resources by FEMA funded activities.

(SLIDE 2) EHP Specialists review applications for compliance with numerous laws and executive orders, including: The National Environmental Policy Act; National Historic Preservation Act; Clean Water Act; and Executive Orders protecting Floodplains, Wetlands and Environmental Justice

To help facilitate a timely review of your community's projects by EHP, there are several items that you can provide to your Public Assistance Project Specialist: A clear and concise description of the damage; An accurate latitude/longitude of where work will take place; Several clear and current photographs of buildings, structures or areas to be affected by the project; The original or estimated date of construction for the structure or building; Describe if work will take place in the original pre-disaster footprint or if the project will require a new or larger footprint. Be sure to include copies of all permits or applications for permits that have been sent to Federal or State agencies. Please remember that if projects are started before EHP review is complete, FEMA funding could be jeopardized.

EHP produces a disaster-specific Greenbook with information to assist Applicants in addressing environmental and historic concerns during the disaster recovery process. You can obtain a copy of the disaster Greenbook during your Kick-off meeting or at any time from your FEMA Project Specialists.

Many disasters result in debris removal operations. It is important to know that certain requirements must be met for federal reimbursement of debris removal work.

Debris removed from public property and taken directly to a certified landfill does not require additional permits. Your Public Assistance Project Specialist will need to be given the name, address and waste license number of the facility where the debris was disposed.

Debris that will be staged, burned or buried requires coordination with the State Environmental Quality Office and State Historic Preservation Office. These coordination forms are available in the Greenbook. Please complete the forms, including the GPS location of the debris site, and send to the appropriate state agencies as indicated. Provide your project specialist with copies of the response you receive including a signature from the state agency representative. If debris will be staged within a floodplain, coordination with the local floodplain administrator is required. If you have questions, ask an EHP Specialist for assistance.

Projects involving work in or along waters of the United States or wetlands will require that the Applicant coordinate with the United States Army Corps of Engineers, or The Corp. Examples of projects that may require Corp coordination are culverts, bridges, bulkheads, piers, dredging and bank stabilization or reinforcement. If you will be performing work under a Corp Nationwide Permit, are applying for a permit, or currently hold a permit for work, please give copies of all documentation to your Project Specialist.

Each project must also comply with the Endangered Species Act. Although many projects have no effect on listed species, it is important to work with an EHP specialist and be aware of endangered and threatened species and their critical habitat in your community. The Endangered Species Act is a serious EHP law that can result in criminal prosecution for violations.

Projects involving historic or potentially historic properties will require that FEMA consult with the State Historic Preservation Office. Potential historic properties are not just limited to buildings but can also include culverts, bridges, dams, roads or other unique structures. It is important to contact a FEMA EHP Specialist early in the recovery process when projects include work on or around facilities over 45 years of age, are located in historic districts or could cause any type of ground disturbance.

## Environmental and Historic Preservation Laws

EHP Law	National Environmental Preservation Act (NEPA)
<b>Overview</b>	NEPA establishes a national policy for the protection and maintenance of the environment by providing a process that all Federal agencies must follow.
<b>Provisions</b>	<p>Because NEPA is a procedural law, each Federal agency, including FEMA, is required to write their own NEPA compliance regulations to fit their particular programs. FEMA's regulations are found at:</p> <ul style="list-style-type: none"> <li>• 44 CFR Part 10</li> <li>• DHS Management Directive 5100.1</li> <li>• 40 CFR Parts 1500-1508</li> </ul> <p>NEPA directs Federal agencies to thoroughly assess the environmental consequences of "major Federal actions significantly affecting the environment." Before FEMA can fund or implement an action that may affect the environment, agency decision makers must study the potential impacts that the proposed action and alternatives will have on the human and natural environment, and make that information available to the public.</p>

EHP Law	Executive Order 11988
<b>Overview</b>	Executive Order 11988 requires Federal agencies to avoid to the extent possible the long- and short-term adverse impacts associated with the occupancy and modification of floodplains and to avoid direct and indirect support of floodplain development wherever there is a practicable alternative.
<b>Provisions</b>	In accomplishing this objective, "each agency shall provide leadership and shall take action to reduce the risk of flood loss, to

EHP Law	Executive Order 11988
	<p>minimize the impact of floods on human safety, health, and welfare, and to restore and preserve the natural and beneficial values served by floodplains in carrying out its responsibilities" for the following actions:</p> <ul style="list-style-type: none"> <li>• Acquiring, managing, and disposing of Federal lands and facilities;</li> <li>• Providing federally undertaken, financed, or assisted construction and improvements;</li> <li>• Conducting Federal activities and programs affecting land use, including but not limited to water and related land resources planning, regulation, and licensing activities.</li> </ul>

EHP Law	Other Environmental Laws
<p><b>Overview</b></p>	<p>Other environmental laws that may impact actions by local jurisdictions include:</p> <ul style="list-style-type: none"> <li>• Clean Air Act (CAA)</li> <li>• Resource Conservation and Recovery Act (RCRA)</li> <li>• Clean Water Act (CWA)/Rivers and Harbors Act (RHA)</li> <li>• Coastal Zone Management Act (CZMA)</li> <li>• Coastal Barriers Resources Act (CBRA)</li> <li>• Wild and Scenic Rivers Act (WSR)</li> <li>• Endangered Species Act (ESA)</li> <li>• Fish and Wildlife Coordination Act (FWCA)</li> <li>• Wetlands Executive Order (Executive Order 11990)</li> <li>• Environmental Justice Executive Order (Executive Order 12898)</li> </ul>

EHP Law	National Historic Preservation Act (NHPA)
<p><b>Overview</b></p>	<p>NHPA directs Federal agencies to take into account the effect of any undertaking (a federally funded or assisted project) on historic properties.</p>



EHP Law	National Historic Preservation Act (NHPA)
<p><b>Provisions</b></p>	<p>"Historic property" is any district, building, structure, site, or object that is eligible for listing in the National Register of Historic Places because the property is significant at the national, State, or local level in American history, architecture, archeology, engineering, or culture. Typically, a historic property must be at least 50 years old and retain integrity.</p> <p>Section 106 of the NHPA requires that, before approving or carrying out a Federal, federally assisted, or federally licensed undertaking, Federal agencies take into consideration the impact that the action may have on historic properties. Section 106 also requires that Federal agencies provide the Council with the opportunity to comment on the undertaking.</p> <p>FEMA, in coordination with the State Historic Preservation Officer (SHPO)/Tribal Historic Preservation Officer (THPO) and other consulting parties, must identify historic properties that may be affected by the proposed project and assess adverse effects of the actions.</p> <p>FEMA must then obtain concurrence from the SHPO/THPO on the eligibility of the identified historic properties and the effects on them. If there are adverse effects, FEMA, in cooperation with the Subgrantee and Grantee, consults with the SHPO/THPO and other consulting parties on ways to avoid or treat adverse effects to historic properties and develops a project-specific Memorandum of Agreement with the SHPO/THPO that outlines the agreed-upon treatment measures.</p> <p>Responsibility for compliance with NHPA lies with the Federal agency funding the project or action, which in this case is FEMA. However, there may be Programmatic Agreements executed for certain disasters or in specific States that substitute a more streamlined review process in place of Section 106. In any case, Subgrantees and Grantees assist FEMA in carrying out responsibilities under the act, as appropriate.</p>

## Visual 48: Contracts

- 44 CFR Part 13.36 sets forth the standards for procurement, including full and open competition.
- Affirmative steps must be taken to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.
- FEMA finds the following four methods of procurement acceptable:
  - Small purchase procedures
  - Sealed bids
  - Competitive proposals
  - Noncompetitive proposals (very limited circumstances)



### Key Points

44 CFR Part 13.36 sets forth the standards for procurement, including full and open competition. Affirmative steps must be taken to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.

When contracting for work to be done in conjunction with FEMA-funded projects, affirmative steps must be taken to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible. FEMA finds the following four methods of procurement acceptable:

- **Small purchase procedures** procurement, an informal method for securing services or supplies that do not cost more than \$100,000 by obtaining several price quotes from different sources.
- **Sealed bids** procurement, a formal method where bids are publicly advertised and solicited, and the contract is awarded to the responsible bidder whose proposal is the lowest in price. This method is the preferred method for procuring construction contracts.
- **Competitive proposals** procurement, a method similar to sealed bid procurement in which contracts are awarded on the basis of contractor qualifications instead of on price. This method is often used for procuring architectural or engineering professional services. In addition, this method normally involves more than one source submitting an offer and is used when conditions are not appropriate for sealed bids.
- **Noncompetitive proposals** procurement, a method whereby a proposal is received from only one source. Noncompetitive proposals should only be used when the award of a

contract is not feasible under small purchase procedures, sealed bids, or competitive proposals, and one of the following circumstances applies:

- The item is available only from a single source.
- There is an emergency requirement that does not permit a delay.
- Solicitation from a number of sources has been attempted, and competition is determined to be inadequate.

**FEMA strongly discourages applicants from using a noncompetitive contract for debris removal operations. A contract may be regarded as noncompetitive if the applicant has only one responsive bidder. In this case the applicant is required to comply with 44 CFR Part 13.36(f).**

Be sure to document your bid processes. It may be necessary at a later time to demonstrate that you used fair practices in awarding the contract.

## Visual 49: Avoiding Legal Risk

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- Know the legal landscape.
- Involve legal counsel.
- Put it in writing.
- Follow and enforce the written agreements, policies, plans, and protocols.
- Safety first.
- Document!



### Key Points

There are many steps you can take to minimize your legal risk. Below are a few guidelines.

- **Know the legal landscape:**
  - Familiarize yourself with the local, state, tribal, and Federal laws that apply to emergency management.
  - Read 44 CFR, which lays out the Federal emergency management regulations.
  - Know where to find information from the emergency management perspective-what's legal, what's not-at all levels.
  - Be sure you know the hierarchy of authority, and the progression within that framework (e.g., what resources are available, and what path do you follow to obtain them?).
  - Understand how local, state, tribal, and Federal authorities and resources coalesce.
- **Involve legal counsel** from the outset-during planning-not just when trouble arises.
- **Put it in writing.** This includes plans, standard operating procedures/standard operating guidelines, mutual aid and assistance agreements, memorandums of understanding, and other contracts.
- **Follow and enforce** the written contracts, policies, plans, and protocols.
- **Always put safety (of the public, of employees) first.** Designate a safety officer to ensure workplace safety.
- **Document!** Be thorough in your recordkeeping.

## Visual 50: Potential Liability Areas

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### Key Points

Emergency management is complex. It involves many individuals, agencies, and organizations, and it affects the lives of the public at many different levels in a myriad ways.

Because of this breadth and complexity, and because of the rapidity with which many emergency response decisions must be made, there are numerous areas where actions-or acts of omission-could lead to potential legal liability.

It is not possible to cover all such areas in a short time. In this section of the unit, we will discuss five selected areas that illustrate the types of liability issues that may arise. They include planning, mutual aid and assistance agreements, sunshine laws, volunteers, and evacuation and sheltering.

### Key Points

Requirements for emergency planning come from numerous sources.

- Eligibility for grants including the Homeland Security Grant Program (HSGP), Tribal Homeland Security Grant Program (THSGP), and the Emergency Management Performance Grant (EMPG) requires all emergency management organizations to conduct a Threat Hazard Inventory and Risk Analysis (THIRA).

- All states have statutory requirements to prepare an Emergency Operations Plan (EOP).
- Environmental law requires preparation of a response plan for releases of extremely hazardous substances (e.g., Emergency Planning & Community Right-to-Know Act (EPCRA), Superfund Amendments and Reauthorization Act (SARA) Title III).
- The National Incident Management System (NIMS) establishes a national industry standard and requires several types of plans and components.
- The National Fire Protection Association's NFPA 1600 (Standard on Disaster/Emergency Management and Business Continuity Programs) requires several types of plans, specifies certain components, and imposes a duty to adhere to current laws, policies, and industry practices.

Standard operating procedures (SOPs) and standard operating guidelines (SOGs) detail how each organization will carry out critical tasks associated with the jurisdiction's strategy. They convey legal and administrative mandates to members of emergency response groups. Within an organization, SOPs provide a rule of law—a site-specific industry standard. As such, they can also be the basis for a lawsuit for negligence if they are not followed.

## Key Points

Both NIMS and NFPA 1600 recommend that jurisdictions have mutual aid and assistance agreements in place.

A mutual aid agreement (MAA) or assistance agreement is a written or oral agreement between and among agencies/organizations and/or jurisdictions that provide a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services. The primary objective is to facilitate rapid, short-term deployment of emergency support prior to, during, and/or after an incident. (Source: NIMS)

Agreements should be documented in writing in order to reduce or eliminate the possibility of misunderstandings between the participating parties.

It is critical to identify the legal authorities that authorize your jurisdiction's participation in a mutual aid agreement. These types of legal authorities may be in the form of:

- Authorizing resolutions.
- Statutes.
- Ordinances.

Make sure agreements are in place with all potential response partners and voluntary agencies and that all parties abide by the terms during mutual aid responses.

More information about mutual aid agreements is provided in the job aid that follows.

### **Mutual Aid Agreements**

#### **What Is a Mutual Aid Agreement?**

A mutual aid agreement (MAA) is a legal document that provides a formal framework for assistance between parties. A MAA typically outlines request and response procedures and liability, reimbursement, and worker's compensation procedures.

Agreements should be documented in writing in order to reduce or eliminate the possibility of misunderstandings between the participating parties.

It is critical to identify the legal authorities that authorize a jurisdiction's participation in a MAA. These types of legal authorities may be in the form of:

- Authorizing resolutions.
- Statutes.
- Ordinances.

### **Mutual Aid Agreement Contents**

Regardless of what format is used, a mutual aid agreement should include the following components:

- **Purpose and Scope:** Sometimes called a Preamble, the Purpose and Scope section sets the tone for the agreement. This section should include:
  - The need for an agreement,
  - The range of incidents in which it is applicable, and
  - The member organizations.
- **References and Authorities:** References and authorities refer to existing statutes or regulations that authorize mutual aid contracts or compacts. This section also includes a listing of any prior agreements that are mentioned in the MAA, such as those that will be superseded or will in some way affect the new agreement. By including a References and Authorities section, applicable statutes can be quickly accessed by interested parties.
- **Definitions:** Defining key terms helps avoid differences in interpretation. For example, words like "emergency" can have different meanings for different organizations. Defining terms is especially important for complex agreements that go into small levels of detail. If levels of aid are to be determined by the agreement itself, then clear definitions must be in place.
- **Effect on Existing Agreements:** Comprehensive legal review should determine if any serious conflicts exist with existing agreements. A clause should be included that states what effect the new agreement has on existing agreements. New agreements should replace older agreements in order to avoid conflict and potential disputes between parties. In general, new agreements should not prohibit future supplemental agreements between all or some of the parties to the agreement.
- **Roles and Responsibilities:** The Roles and Responsibilities section should include the roles and responsibilities of each party. This section usually contains information about who can activate the agreement.
- **Mediation/Dispute Resolution:** The Mediation/Dispute Resolution section should include information on how disputes will be resolved. This may include the use of mediation, arbitration, and/or court of jurisdiction.
- **Training and Exercises:** MAAs should include language on training and exercises, including how often training and exercises will be conducted. The agreement should mandate joint planning, training, and exercises with the same liability immunity as if it were a real emergency.
- **Liability and Insurance:** The Liability and Insurance section of a MAA should spell out the liability of all parties and provide guidance for arbitration or resolution of any claims. Legal counsel should play a lead role in drafting and reviewing all agreement language related to these issues.

In most cases, agreements should indemnify mutual aid partners from any liability from alleged negligence, except for cases of gross negligence and/or willful misconduct, occurring during a mutual aid response.

Insurance, including workers' compensation insurance, should be required of all parties, and insurers must be made aware of mutual aid requirements.

Some tribal governments may request or even require resolution of legal disputes within a Tribal Court System, particularly if the event leading to the dispute occurs within the tribe's jurisdiction.

- **Limitations:** The Limitations section of a MAA specifies the conditions under which a participating jurisdiction's obligation to provide assistance and resources may or may not be limited.
- **License, Certificate, and Permit Portability:** The License, Certificate, and Permit Portability section specifies the conditions under which a person or entity who holds a license, certificate, or other permit is deemed to be licensed, certified, or permitted in the jurisdiction requesting assistance.

In general, it is best to allow for a responder's license, certificate, or permit to be valid in the requesting jurisdiction. For example, a law enforcement official from County X should have the same arrest powers in County Y that he or she has in County X.

- **Terms and Conditions:** The purpose of this section is to specify the duration or the life expectancy of the agreement. It is important to clarify expectations of all signatories about the lifespan of the agreement and how it will be renewed.

It is recommended that the agreement have a beginning and an end date. In addition, if necessary to renew the agreement, there should be stipulations as to what actions need to take place to renew or there should be language indicating that the renewal is automatic.

- **Reimbursement:** The goal of this section is to clarify issues over reimbursement such as:
  - Who is responsible for paying for specific resources.
  - What expenses are eligible for reimbursement.
  - What triggers the reimbursement provision of the agreement. (For example, some agreements are written in such a way that for the first 24 hours of aid provided, there is no cost to the requesting jurisdiction. It is only after that initial period that reimbursement becomes an issue.)
- **Severability:** The "Severability" section of a MAA addresses how one or more of the signatories can leave the agreement while leaving the rest of the agreement intact. This section can also make provisions for cases in which an article of the agreement is found invalid. In this case, the "Severability" section will include language that ensures the rest of the agreement remains binding for the rest of the parties.



## Visual 51: Activity 5.2: Identifying Legal Issues

### Activity 5.2: Identifying Legal Issues

Instructions: Working in table groups:



Activity

- Review the assigned scenario in the student manual.
- Discuss:
  - Are there potential legal issues or Federal requirements?
  - How would you determine your legal responsibilities and limitations?
- Be prepared to present in 10 minutes.



### Activity 5.2 Worksheet

## Key points

**Purpose:** To apply the concepts from this unit in a scenario.

### Instructions:

1. Review the assigned scenario in the Student Manual
2. Discuss:
  - a. Are there potential legal issues or federal requirements?
  - b. How would you determine your legal responsibilities and limitations?
3. Be prepared to present in 10 minutes

## Activity 5.2: Scenarios

- **Scenario 1:** Following a train derailment involving several cars containing volatile chemicals, a large area needs to be evacuated. This will involve evacuation, closing of businesses in the area, and control of the perimeter. In addition to the residential and commercial properties, the affected area includes elder housing and a school.
- **Scenario 2:** At a public shelter, there is a registration system in place that allows for evacuee tracking, family reunification, checking registrants against the sexual offenders database, and other recordkeeping. Some people refuse to show identification or to give any information about themselves.
- **Scenario 3:** Following a Presidentially declared disaster, the community has responded generously with their volunteer efforts and donations. A local volunteer organization is operating a center where disaster survivors can obtain donated clothing and household

goods. Everyone is welcome as long as everyone does business in English and minority residents call in advance to make an appointment.

- **Scenario 4:** A tornado struck within the jurisdiction, and the building housing the government offices was heavily damaged and is presently unusable. Unfortunately, the mayor and the head of the department of emergency management have both been hospitalized. With the help of neighboring jurisdictions, the initial response is now over, but there is much to be done in terms of cleanup and rebuilding.
- **Scenario 5:** After the spring thaw and prolonged rains, it is predicted that the river will rise well above flood stage. Two areas of town lie along the river: a low-income residential area and the business district where many high-profile commercial properties are located. Protective measures are being planned, including the construction of dikes and sandbagging. Unfortunately, the city's limited budget will not permit both areas to be protected in this manner.

## Activity 5.2: Worksheet

1. **What potential legal issues or Federal requirements are present?**

1. **How would you determine your legal responsibilities and limitations?**

## Visual 52: Activity 5.3 - Jurisdictions Legal Authority (Pre-Work)

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**Instructions:**

1. Answer the self-assessment questions in the Activity 5.3 Worksheet located in your pre-work.
2. For any items for which you do not know the answer, make a note and bring them to the Basic Academy course.

### Key Points

**Purpose:** The purpose of this activity is to have each person think about the legal issues that may be relevant to them based on their state or local statutes.

**Instructions:**

1. Answer the self-assessment questions in the Activity 5.3 Worksheet located in your pre-work.
2. For any items for which you do not know the answer, make a note and bring them to the Basic Academy course.

## Visual 53: Unit Summary

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- Emergency management has its legal basis in
  - Local, state, tribal, and Federal laws
  - Case law
  - Standards and guidelines
  - Contract law principles
- It is important to understand legal concepts and issues in order to avoid legal vulnerability
- Seek the advice of legal counsel throughout the emergency management process
- Legal authorities vary by state, tribal nation, and local jurisdiction.
- Examples of areas of potential liability for emergency managers include planning, sunshine laws, volunteers, evacuation, and sheltering.

## Visual 54: Unit Summary (cont)

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- You need to understand your local/tribal/state legal authorities.
- Federal authority for emergency management derives from statutes, regulations, Executive orders, and Presidential directives.
- Any jurisdiction that accepts grants or other types of Federal assistance must comply with the requirements of applicable Federal laws.
- Emergency managers are not expected to be experts in all areas of emergency management law. Get advice from legal counsel!

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### Key Points

In this unit, the following key points were presented:

- Emergency management has its legal basis in local, state, tribal, and Federal laws
  - case law
  - standards and guidelines
  - contract law principles
- It is important to understand legal concepts and issues in order to avoid legal vulnerability
- Seek the advice of legal counsel throughout the emergency management process
- Legal authorities vary by state, tribal nation, and local jurisdiction.
- Examples of areas of potential liability for emergency managers include planning, sunshine laws, volunteers, evacuation, and sheltering.
- As an emergency manager, you need to understand **your** local/tribal/state legal authorities.

## Visual 55: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 6: Serving the Whole Community

## Visual 1: Partnering with the Whole Community

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### Key Points

This unit provides an introduction to understanding and identifying factors that influence individual and community resilience.



## Key Points

This unit includes the following sections:

Unit	Time
Understanding Community Complexity <ul style="list-style-type: none"> <li>• Activity 6.1 - Community Analysis (Pre-Work)</li> <li>• Activity 6.2 - Community Factors</li> <li>• Video: Prep Talk-Social Capital</li> </ul> Building Community Resilience <ul style="list-style-type: none"> <li>• Activity 6.3 - Building Resilience</li> </ul>	1 hour 30 minutes <ul style="list-style-type: none"> <li>• 20 minutes</li> <li>• 10 minutes</li> <li>• 20 minutes</li> </ul> 1 hour 30 minutes <ul style="list-style-type: none"> <li>• 20 minutes</li> </ul>
<b>Total Unit Time:</b>	<b>3 hours</b>

## Visual 2: Terminal Learning Objective

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To explain key factors in serving whole community planning, including:

- Factors that contribute to disaster complexity and resilience.
- Demographic characteristics that influence the disaster needs of community members.
- Strategies for identifying and partnering with existing community assets.



Review the unit objectives.

### Key Points

The objectives for the unit are listed below.

- Identify trends that contribute to disaster complexity.
- Define and describe resilience.
- Identify key elements in a whole community approach to enhancing resilience. Identify how individual disaster needs are influenced by demographic factors, including socioeconomic group, location and housing factors, family/household structure, and access and functional needs.
- Indicate how demographic factors may influence individual response decisions.
- Identify social vulnerability factors to consider in operational planning.
- Identify strategies for building community resilience, including:
  - Mitigation strategies.
  - Planning processes.
  - Education and communication strategies.

## Visual 3: Comprehensive Emergency Management Requires the Whole Community

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### Key Points

Disasters provide unfortunate reminders of vulnerability of communities. Disasters illustrate how disasters harm communities and individuals, and disrupt social–technical systems and community functions. Disasters also provide opportunities to change the practice of emergency management, new resources to support those changes, and incentives to become more resilient and sustainable. Whole community approach builds on mapping community assets and recovery-related capacities. The perspective includes hazards, vulnerabilities, the local economy, nonprofits, and government capacity. Engagement of the stakeholders in the "whole community," as well as having effective public sector leadership, can make a significant difference in the ineffectiveness of disaster recovery and response.

# Visual 4: Planning for Complexity

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## Key Points

## Visual 5: Activity 6.1 - Community Analysis

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Using the data you gathered in your pre-work, determine the challenges and opportunities that exist in your community.

Be prepared to brief out on the trends and key points in the data from your table.

## Visual 6: Impact of Disasters on People

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Hazards and disasters:

- Disrupt social structure.
- Interrupt essential functions of society.
- Cause physical harm to the population.



### Key Points

A hazard becomes a disaster due to its impact on people. Some people and property are impacted more than others when a disaster happens.

## Visual 7: Increase in Disaster Impacts

Disasters and their social and economic impact are increasing, due to:

- Population growth
- Land pressure
- Urbanization
- Climate change
- Political change
- Demographic trends



### Key Points

The impact of disasters is increasing because more population is affected and economic losses are higher. During the last three decades, the number of disasters has tripled but the death toll has increased less than half. (Source: Living With Risk – A Global Review of Disaster Reduction Initiatives)

- **Population growth:** An increase in population puts more people at risk.
- **Land pressure:** The increased development of land makes people, property, and crops more vulnerable to disasters and hazards.
- **Urbanization:** As areas increase the concentration of population, the potential for human and property loss increases. With urbanization (more building, more concrete), the land can't absorb melting snowpacks and spring rains, so rivers flood. Also, people who live in urban areas may be less familiar with their surroundings.
- **Climate change:** Trends in the climate, like El Nino and La Nina, can impact the number and intensity of hazards.
- **Political change:** Political instability can impact the preparedness of an area to respond to a hazard and the ability to recover.

## Visual 8: Demographic Trends

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Effects of disasters become more complex to manage because of demographic trends such as:

- Population shifts into vulnerable areas
- Socioeconomic disparities
- Increased population diversity



### Key Points

Accelerating changes in demographic trends are making the effects of disasters more complex to manage.

- **Population shifts.** More people are building more expensive infrastructure in areas that are prone to natural disasters, like coastal areas, fire-prone forests, steep mountain slopes, and riverbanks.
- **Socioeconomic disparities.** The household income change between 1999 and 2009 suggests that income inequality is increasing. (Source: U.S. Census report on Income, Poverty, and Health Insurance Coverage in the United States, 2009)

Economic disparities cause large numbers of impoverished people to be at risk. A disproportionate number of women and children die in disasters. In 2009, the number of people living in poverty was the largest in the 51 years that the poverty estimates have been published. (Source: U.S. Census report on Income, Poverty, and Health Insurance Coverage in the United States, 2009)

- **Increased population diversity.** Demographic changes that will affect disaster management activities include:
  - The growing population of people with disabilities living in communities instead of institutions.
  - Greater numbers of people living with chronic conditions (e.g., obesity and asthma).
  - A growing senior population due to the Baby Boom generation reaching their seniority.
  - Growing ethnic and linguistic diversity of the population. The U.S. Census Bureau also projects a rapid increase in the older population as well as a large increase in racial and ethnic diversity. Part of this increase is attributed to the level of net international migration.



## Visual 9: Whole Community Approach

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- Understand community complexity and patterns may change.
- Recognize community capabilities and needs.
- Foster relationships with community leaders.
- Build and maintain partnerships.
- Empower local action.
- Leverage and strengthen social infrastructure, networks, and assets.

### Key Points

- **Understand community complexity.**  
Developing a better understanding of a community involves looking at its members to learn how social activity is organized on a normal basis, which will reveal potential sources of new collective action. A realistic understanding of the complexity of a community's daily life will help emergency managers determine how they can best collaborate with and support the community to meet its true needs.
- **Recognize community capabilities and needs.**  
Appreciating the actual capabilities and needs of a community is essential to supporting and enabling local actions. By engaging in open discussions, emergency management practitioners can begin to identify the actual needs of the community and the collective capabilities (private, public, and civic) that exist to address them.
- **Foster relationships with community leaders.**  
Formal and informal community leaders, such as community organizers, local council members and other government leaders, nonprofit or business leaders, volunteer or faith leaders, and long-term residents, have valuable knowledge and can provide a comprehensive understanding of the communities in which they live.
- **Build and maintain partnerships.**  
Building relationships with multi-organizational partnerships and coalitions helps ensure the involvement of a wide range of local community members. The collective effort taps into a wider range of capabilities and provides greater opportunities to reach agreement throughout the community and influence others to participate and support activities.
- **Empower local action.**  
Government cannot manage disasters alone. Communities need to draw on their full potential to operate effectively. Empowering local action involves allowing members of the communities to lead—not follow—in identifying priorities, organizing support, implementing programs, and evaluating outcomes.
- **Leverage and strengthen social infrastructure, networks, and assets.**  
Communities need to invest in the social, economic, and political structures that make up daily life and connect them to emergency management programs. Understanding how the community operates under normal conditions (i.e., before a disaster) is critical to both immediate response and long-term recovery after a disaster.

## Key Points

It is important to remember that understanding the community is not a one-time event or analysis. Communities are constantly changing, so this process must be an ongoing effort to stay in tune with the capabilities and needs of the population.

## Visual 10: Cultural Competency is Essential for the Emergency Manager

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Cultural Competency is essential for the Emergency Manager

- Cultural Competency can be developed through:
  - Acceptance of self as a student
  - Observation
  - Asking and listening
- Wait and learn Cultural Competency is required for:
  - Trust
  - Relationships and understanding
  - Engagement
  - Collaboration and communication

## Visual 11: Cultural Knowledge, Awareness and Competence are Different

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### Cultural:

- Knowledge = familiarity with characteristics, values and belief systems of others
- Awareness = sensitivity to and understanding of personal values and beliefs and their impact on perception of others
  - awareness of cultural differences
  - awareness of how personal culture impacts perceptions of others
- Competence = knowing, understanding, and behaving in accordance with the community culture

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## Visual 12: Video: Prep Talk-Social Capital

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Social Capital in Disaster Mitigation and Recovery

<https://www.youtube.com/watch?v=SkIsNIItmi30>

### Key Points

#### Video Transcript: Social Capital in Disaster Mitigation and Recovery

**Dr. Daniel Aldrich Professor of Political Science, Public Policy and Urban Affairs Director.**

Until 2005 when my house was destroyed by Hurricane Katrina I hadn't thought so much about the concepts of resilience and recovery. What would it take for us to bounce back, what do we need in society when organizations give us the capabilities that we need to come back after a major shock. So my house is up there it's one of the little red dots on Canal Boulevard. In the year-and-a-half after Hurricane Katrina Rick Weill and I sat down and went through the entire city of New Orleans knocking on doors looking to talk to survivors there across the city, and we asked them a very simple question on a scale of one to five; one being no and five being yes; have you recovered yet, how's the recovery process going for you. We mapped those answers to broader questions of damage to homes and businesses, so those red and green dots behind me they're on a map that shows from yellow very little water to dark blue very deep water. When we began doing this research we expected that the reddish dots, the worst recovered people, would be in the darkest blue areas but in fact what we found was almost the opposite. In many cases individuals who had fantastic recoveries, those green dots that you see, they had a lot of water. In my case 11 feet of water, in other cases seven or eight feet of water. Individuals resilience and recovery wasn't a function it seems of how much water that they have, and the one thing learned since Hurricane Katrina is the power of people. We've heard already two different talks about how important communication individuals are, and being a leader. Today's talk for me has really one main point. If you come away with the idea that social ties are the critical aspect of resilience, I've done my job. Because the reality is a lot of theories that we have about recovery focus on the wrong kinds of ideas. I think the most common narrative that we hear in the media about recovery after disaster is about money. Did you have insurance? Was FEMA there for you afterwards? Were you wealthy beforehand? Did some foreign aid come in to India or to some place in Southeast Asia after that 2004 Indian Ocean tsunami? That's a pretty common narrative that we hear. we also hear a lot about governance. How well governed was the area? Was the mayor or governor or president on board during that disaster? Plenty of stories from New Orleans we can talk about later about governance. A lot of theories about also destruction. How much damage was there? We envision that a stronger more powerful disaster, a massive earthquake for example, has a slower recovery process than a smaller scale disaster like a tornado. Two other theories I hear all the time: one is about population density that somehow the dense areas and cities are slower to recover than rural areas and finally inequality that image up there is from Brazil, the Favelas where we have the left side of the image dirt, flordid shanty shacks on the right side condominiums. Those blue dots you see are individual pools. So these

are the kind of theories that sociologists, political scientists, economists like to argue drive this idea of recovery. They're all missing something really important. They're missing the idea that the core elements of recovery don't come from outside the community, outside the organization; they come from inside it and I would argue that what really drives the process is what we call social capital or social ties. There are different types of connections that we have. People who are like us, same background, same language, and ethnicity we call that a bonding social tie. Our friends, our family from different backgrounds maybe through a school or a church or synagogue or a mosque from a bocce ball club or through an opera club those are bridging ties. And occasionally we have vertical ties to individuals in positions of power. If you know the head of FEMA or the Deputy Assistant I guess maybe you know someone here in Washington, DC. How do these kind of ties make a difference during disasters. The first decision made by any survivor after disaster is whether or not to go back to a damaged home or a damaged business. There are all kinds of reasons you wouldn't want to go back. The most obvious are the financial costs that you face even with insurance and help from FEMA is often a huge gap between the actual costs and the money that you now hold, but beyond the financial costs, the psychological costs. If you lost a family member or a loved one got hurt there. Maybe the whole area nearby is destroyed, your school or home is gone. Simply being back in the same area again can trigger PTSD, sleepless nights, and depression. We also know their opportunity costs for going back. Everyday you're in a damaged city or damaged area with a business or a school, you can be someplace else, a perfectly healthy area and having that business run well. So why would you come back then with all those kind of costs? We've found around the world India, Japan, the Gulf Coast, Israel those individuals, those communities with more social ties, more of a sense of place, a sense of belonging, those individuals come back. Individuals with fewer ties, fewer connections, or less of a sense of place, those individuals often get up and go. We call this first choice exit and voice. The second brighter way that the social ties help is what we call collective action. Many of the challenges that we face post disaster cannot be solved by one individual or one family by themselves. It requires us working together. Think about Haiti after the 2011 earthquake. When that quake literally wiped out most of the government and police officers, many neighborhoods had no one nearby in uniform to help them. How would your family stay safe and keep looters away? You couldn't do it by yourself, you weren't awake all the time. You need to have help from neighbors, people in the community to build a community patrol and some neighborhoods did that. They kept away looters; they kept away people who would harm their families. Others didn't have those kinds of social ties and they couldn't do it. These are the kind of things that we need post-disaster. We need the collective action through social ties. Finally, the third way these ties help is through informal insurance or mutual aid. Most of the providers of things like food, shelter, daycare for our kids, medical assistance are often shut down for days if not weeks. In northern New Orleans where I was it was two-and-a-half months before a grocery store opened again or three months before a gas station opened again; almost half a year before daycares opened again. Where do you get assistance? Where do you get resources? If you have friends, neighbors, people that you know you could knock on their door and borrow those kind of things, have a round robin to watch the kids, get information about restarting your electricity again. Without those kind of social ties it's much more challenging to overcome these kind of problems so social ties give us this kind of informal insurance or mutual aid. I'm going to give some details now how these kind of social ties make a difference during a massive three part catastrophe. March 11th 2011 in Japan around 2:56 p.m. just after school was getting out a massive 9.0 earthquake struck offshore, so powerful that from off outer space the entire earth jumped. Now

that earthquake itself didn't do much damage there's fantastic engineering standards in Japan. Most houses, most buildings were intact but that earthquake set off two other major problems: a massive set of tsunamis; these huge waves as tall as six stories in some cases and the shutdowns of the Fukushima nuclear power plant which eventually melted down about 27 hours later. Now this disaster or these disasters killed more than eighteen thousand five hundred people across Japan. What's quite interesting is that if you look at all the cities along the coast, all the villages and towns, the variation in death rates are quite large. In most cities across the coast no one lost their lives that's the big spike you see behind me. But in those small little bumps next to it, in some cities 1% 2% even as high as 10% of the population lost their lives. So as social scientists our question is to understand why did some communities have no fatalities, others lost literally 1/10 of the population that afternoon. So we first envisioned maybe this was a function of how powerful the disaster was, so we simply mapped how tall the tsunami was versus the death rates in the communities. There's some variation that you see here that lines up, but some really strong outliers. The most powerful waves that we saw in Tanohato, 20 meters at 60 feet tall, they only lost around 2% of the population, but Onagawa, Otsuchi those communities had much shorter waves but lost a tenth of the population, and even further on reef Unatori, very short waves that lost around 9% of the population. So by itself we can't explain mortality based solely on how powerful the waves were. I spent about a year and a half in Japan doing research in this project asking individuals who survived, speaking to NGOs, local leaders, getting data on all those communities to understand what then drove the difference is in mortality. The most powerful predictor of recovery was actually social networks and social ties - communities across the coast that had more social ties. Here we're measuring this using less crime. Those communities had much lower death rates, holding everything else constant. Meaning even the same levels of demographics, of income, of education, firefighters being there, disaster preparedness, exposure to the sea height, all the factors that we could think of the best predictors, still were the social ties in those communities. Communities that had more social ties before the disaster had fewer casualties afterwards. Then we looked at the question of recovery. Who rebuilds these cities after massive devastation. This is an image of Ishinomaki two weeks and then roughly two years after that tsunami. Notice all the debris is gone but so are all the people. There's no evidence in this community even though the debris is gone there's businesses operating again or schools operating again. So I spent about another year in Japan asking questions of businesses, local leaders, educators what's driving the recovery processes, how do you know if your cities up and operating again. I spent some time in Tagajo, so here's three images two weeks, two months, and two years. Now that debris is gone, I can't tell you what that white van is still there. [Laughter] I have a theory about insurance fraud that's a different conversation, but here again we see progress over time. The debris is gone, but we don't really know are those fields productive again, are individual farmers producing again? So we measured the recovery in 14 different ways, we looked at things like business restarts, infrastructure housing rebuilds, school openings. Can you guess what the best predictor of recovery in this case was? So this is a map we can show you what happens between the first moment of the tsunami, that massive amount of damage and then two years later. The bottom axis is in a scale from 10 to 60 that's the capacity of each city that was still there during that process. So you see some of the most damaged areas that we have their, like Yamada, lost 85 percent of capacity. Almost all the schools, businesses, everything was shut down, but then two years later it bounces up. This is the vertical axis, now to around 80 percent, 90 percent. Most communities are doing pretty well two years later, some aren't doing so well so they're investigating those factors. The best predictor we had here weren't horizontal

ties that bonding and bridging ties, it was linking ties. How many connections did your city have to individuals in power in Tokyo? How many powerful politicians, representatives, people did you know that could pull those levers of power and get people to come to your community and help you out in the recovery process? So in the first stages of survival is the horizontal ties. In the process of recovery it's the vertical ties. I did one more aspect of recovery this is mental health recovery. I mentioned the Fukushima disaster in Japan a hundred and forty seven thousand people left their homes because of four hour evacuation notices in Futaba, Okuma, communities right near the nuclear power plant. Some of them have never been home since. So now in 2018, it's been almost seven years since they've seen their homes. Now in those seven years you can imagine the kind of worries that you have. If your house was less than 10 miles away from the plant that melted down, and you left there maybe a day, maybe two days later with only a bag of stuff and your kids, you could imagine all the kind of concerns, livelihood, health, are my children going to be okay, am I going to be okay, can I ever go home again, so we knew up front that individuals, these survivors from communities nearby would have a lot of worries that we didn't as normal people outside the area. So we use a simple mental health checklist called the Kessler six or K six and don't answer out loud but in your head think to yourself over the past month, how often have you felt nervous? Maybe speaking in front of all the audiences right. How often have you felt helpless or restless, depressed, so these K-six are a pretty common way of measuring mental health recovery post disaster. So the last seven years we've been asking survivors from Futaba these questions these K-6 index and comparing their results to individuals who lived further away from the nuclear power plant and individuals even more than 150 miles, 200 miles away. we had some very interesting results. We assumed that things like physical health and wealth would help improve those K-6 scores. We assumed if you had money for a psychiatrist or a counselor or could move away from the area or get a new home we figured those individuals would do better over time. The reality was as these images show we had no measurable connection between health and wealth and mental anxiety after the Fukushima meltdowns. In fact, the reality was it was a pretty sad story. If you'd been doing well physically before the disaster you were okay afterwards, but if you had any kind of physical challenges beforehand, your mental health got even worse compared to other individuals nearby. So what can alleviate these kind of concerns? The only factor that we found consistently helps reduced anxiety post a nuclear evacuation were having friends and neighbors nearby that you knew. Social connections to individuals nearby helped you feel normal again despite all the long-term concerns you may still have. So I've tried to argue so far that what's driving the recovery process, what's giving us resilience that's coming from things like social ties; friends, neighbors, and friends of friends. If this is true then what's our next steps? This is the fun part of my job. Beyond studying disasters I think through cities, communities, and organizations, what can we do now to build these kind of social ties around the world. So hopefully you recognize the guy in the red sweater, it's Fred Rogers right, now Fred has been dead unfortunately for a few years. When I was a kid he asked me to be a very good neighbor each day, right. What does that mean? It means in most of the areas around the world Washington, DC, Tokyo, Mumbai, Bangladesh people simply don't know their neighbors. So if I asked you in this audience to raise your hand if you can name 10 neighbor's last names, some hands go up, okay, that's not bad. Typically it's around 15% of individuals living in highly dense areas can name those 10 neighbor's last names. The first line of defense, really the zero responder, isn't someone wearing uniform, right, it's your neighbor, it's your friend, someone who lives nearby, so right now places like Wellington, New Zealand, Tokyo and San Francisco, we're building "get to know your neighborhood" programs.



Chances to show each other who lives nearby. How do you build those bonds by pushing individuals to think through who will be on your doorstep if your mom has a heart attack, who will be there if it's flooding and your dog needs to be rescued, these are people who live nearby. The next step up from neighbors is the neighborhood, that's the next image I have up there, we call this the block party or neighbor fest. If you live in San Francisco once a year we'll give you up to \$5,000 to hold a party in your neighborhood. Two conditions: you can't exclude anyone even the neighbor that you hate, and you also have to agree to have at least one small display about CPR or disaster preparedness. We know that many neighbors don't leave their homes nowadays. People with long driveways, especially off street parking or garages, many of us simply haven't gotten beyond even our immediate neighbors. So neighbor Fest is one way of doing this. Now in Japan because it's a Matsuri or a festival, Obon for example is one of them, a chance to get outside your immediate block, meeting people nearby who you'll be working with post-disaster. Beyond neighbor's neighborhood, we know that physical infrastructure drives recovery. It drives the social ties that we have, so the good thing about a disaster is it's a chance to rebuild neighborhoods in new ways. So right now places like Misakicho Japan, in Nepal, and in the Philippines, my team is working to help build different ways of living together. Most of us in Washington DC probably have condos or apartments. You've got a completely private space. We're building new types of living spaces with shared dining and sitting spaces, private sleeping quarters, but shared spaces to work and live together during the day attempts to build people's trust together. So these kind of policy recommendations, three more ideas quickly, one is simply getting out of your home and going to meetings that's the image you have like a focus group, PTA groups, zoning boards, local school events those are simply ways of building trust and community by leaving your area and getting to know your neighbors. We're also trying things like community currencies. That's the Toronto dollar up there. If you volunteer for an hour, we'll give you five Toronto dollars that money cannot be spent at Walmart or McDonald's or Costco - no chain stores. The money's only good at local stores, mom-and-pop stores, farmer markets, barber shops, so we incentivize volunteering. You leave your house, you get that money and you spend it at local businesses. You get to know them. The business now holds that money. So what do they do? They go to other businesses. We call this a virtuous cycle. We have more volunteering in communities like this, more trust, and more interactions over time. Finally that image from Facebook up there. Many of us are on our phones right now, right, that's social media that we have is a critical aspect especially if you're under 75, right. Those phones, those cellular devices are critical so we have new platforms that we're using right now, like Nextdoor and Facebook to make these connections more plausible and more 're helpful during disasters. You may have seen on Facebook the check in function to check in safe. We have a new one we're developing right now. We're on Facebook. If you're in a disaster you can say my kid need diapers, I need food, and individuals who live nearby will be connected to you, and you can exchange resources. This is coming really soon. Today I tried to argue several things. First of I've argued that many of us think about recovery often in terms of things like how much damage there was, or how much money we have, right, how wealthy we are. The reality I tried to argue is that disaster resilience comes not from those external factors or wealth or education, but from internal ones to the community and the organization. How connected are we, how much trust do we have in each other, how often do we work together. In the process of surviving a tsunami and in the process of mental health after tsunami those horizontal ties are critical. In the process of building back in the recovery process then, vertical ties between cities and representatives or cities and things are really critical as well. We've seen now that social media can be a critical

component of what's going on. So I would argue today if you go back to organizations with one message, here's the message: build those social ties, make those friendships.

## Visual 13: Discussion Question

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**How would your experience in a disaster be different from the people around you right now?**

**What other factors cause people to experience disasters differently?**

### Key Points

The impact of a disaster on someone with a disability, or in poor health, or impacted by age is often increased because of physical or communication barriers.

According to the U.S. Census Bureau's 2014 American Community Survey:

- Over half the population have some type of access or functional need. Those with access and functional needs include:
  - Children and adults with physical, mobility, sensory, intellectual, developmental, cognitive, or mental health disabilities.
  - Older adults.
  - People with chronic or temporary health conditions.
  - Women in late stages of pregnancy.
  - People needing bariatric equipment.
  - People with Limited English Proficiency, low literacy, or additional communication needs.
  - People with very low incomes.
  - People without access to transportation.
  - People experiencing homelessness.
  - Others.
- A total of 19% of the civilian noninstitutionalized population in the United States reported having a disability.
- A total of 58.5% of Americans over 65 have functional (hearing, vision, cognitive, ambulatory, self-care, or independent living) limitations.
- The employment rate and income of people with disabilities fall well below the national norm. This can make preparedness difficult based on the cost to keep emergency supplies, food, and water.

Most of us have experienced a temporary disability from conditions such as broken limbs, burns, post-surgery recovery, fatigue/stress, or other conditions that temporarily limit our abilities.

Many people with access and functional needs are fully capable of responding in an appropriate manner if alert systems are put in place to warn them during times of crisis or when a disaster is expected to occur. Such systems can also help them take protective action, evacuate, shelter, and recover.

However, some people may be physically unable to respond during disaster situations because of a variety of barriers. These individuals may include quadriplegics, people with Alzheimer's, or children with cognitive disorders, to name a few. Those who fall into this category must overcome extraordinary barriers just to accomplish activities of daily living, usually with

assistance, and may experience life-threatening challenges if they are not assisted during disasters.

### **How will you ensure physical, programmatic, and communication access for all?**

(Source: [Effective Emergency Management: Making Improvements for Communities and People With Disabilities](https://www.dol.gov/odep/topics/disability.htm), <https://www.dol.gov/odep/topics/disability.htm> )

## Key Points

People who have limited economic resources tend to lose more during a disaster and recover more slowly due to:

- **Lack of internal resources, such as:**
  - Savings accounts/emergency funds
  - Transportation
  - Financial support from social networks
- **Lack of insurance.** Lower income families may not have insurance or may have minimal insurance. People who rent may not have any insurance coverage for their belongings.
- **Lack of quality government services,** including poorer schools and neighborhoods that are underserved by public transportation, and less access to disaster-related resources.

## Key Points

Location and housing factors may impact how individuals experience disaster.

- **Location:** Those who live in disaster-vulnerable areas often experience greater damage and loss. With less income to spend on housing, the poor may live in locations that are more susceptible to destruction during a disaster.
- **Quality of housing:**
  - Substandard housing and mobile homes are more likely to be damaged in a disaster.
  - Renters make up a high proportion of displaced families after a major event because they have little control over the safety of their homes.
- **Availability of services:** People are affected by the availability of services such as public transportation.

## Key Points

Household composition and kin networks are important factors to predicting a household's ability to respond. Examples include:

- Being the head of a single parent household, which may limit income and make it more difficult to seek assistance.
- Having extensive caregiver responsibilities, especially when the person is responsible for both children and older family members.

- Having family members with access and functional needs requiring specialized services or facilities.

Factors such as the following may also affect the ease with which needed services can be obtained:

- Extent of disaster knowledge/experience.
- Economic resources.
- Ratio of dependents.
- Literacy or language proficiency.
- Cultural ties.

## Key Points

Households with pets may refuse to evacuate over concerns that they will not be able to take their pets with them, or they may return to a hazard area prematurely to rescue an animal left behind. Planning for pets includes determining the number in the community and how their sheltering needs will be met.

After Hurricane Katrina, the need to consider companion animals in a disaster became apparent. In 2006, the Pets Evacuation and Transportation Standards Act (PETS Act) was signed into law. The act:

- Requires that State and local emergency plans include the needs of individuals with pets and service animals before, during, and after an incident.
- Gives FEMA the authority to approve these plans.
- Allows FEMA to provide assistance to individuals with pets and service animals.
- Allows FEMA to make financial contributions to animal emergency preparedness programs and projects for the care, rescue, sheltering, and essential needs of pets.

## Key Points

Older adults:

- May have mobility limitations that affect their access to aid locations or require specialized transportation.
- May have hearing or sight limitations that need to be accounted for in warnings and educational materials. Those with cognitive impairments may need help negotiating rules, regulations, and complex forms.
- May have health conditions that limit their options for independent response actions.
- Sometimes prefer informal aid networks. Informal networks can collapse, however, if people they rely upon are also victims of the disaster, or if the networks are located a long distance away.
- Often are not able to meet financial criteria for low-interest loans.

## Key Points

The Save the Children report titled “The Unique Needs of Children in Emergencies” identifies children as a highly vulnerable segment of the population in times of disaster, because once a disaster occurs the foundations of a child’s life may suddenly collapse.

Some important considerations with children are:

- **Children are not little adults.** Because children’s minds and bodies are still developing, they are at increased risk. Children have important physical, psychological, developmental, and mental differences from adults that can and must be anticipated in the disaster planning process.
- **Children have significant developmental vulnerabilities not shared by adults.** Infants, toddlers, and young children lack the physical skills to escape from the site during an incident.
- **Children have ongoing needs that must be addressed by their parents or other caregivers.** They require direct supervision, assistance with feeding, and protection from hazards.
- **Children are a highly vulnerable population during a food or agriculture incident.** The amount of food and drink necessary for children is proportionately more than for adults.
- **Children are vulnerable to the rapid spread of infectious disease.** Young children put things in their mouths without washing first. Their immune systems are still developing so they have a more pronounced reaction to infections.

(Adapted from aap.org, “Youngest Victims: Disaster Preparedness to Meet Children’s Needs”)

## Key Points

Language and literacy factors impact the disaster experience because communication is vital to effective response activities.

- Immigrants, migrant workers, undocumented workers, tourists, and exchange students may have language or literacy barriers.
- Disaster-related materials tend to be written at high reading levels.

According to a [2008 study on PubMed.gov](https://www.ncbi.nlm.nih.gov/pubmed/19189613) (https://www.ncbi.nlm.nih.gov/pubmed/19189613), the mean readability score of online disaster and emergency preparedness resources was Grade 10.74.

## Key Points

People who immigrate to the United States also may lack:

- English language and literacy skills
- Understanding of authorities
- Expectation for government disaster help

- Education
- Documentation
- Social or extended families
- Access to private transportation

## Key Points

During a disaster, tourists similarly may be affected by lack of:

- Social or extended families in disaster location
- Transportation
- Language skills
- Understanding of government assistance

## Visual 14: Discussion Question

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**In addition to the census research you did prior to coming to class, where else did /can you find this information?**



## Visual 15: Activity 6.2: Community Factors

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Instructions: Working as a group . . .

1. Use the data you gathered in your Pre-Work Assignment 6.1
2. For your assigned area, identify specific barriers based on your data.
3. Record answers on the chart paper.

### Key Points

**Purpose:** In this activity, you will identify what barriers that may be experienced by members of the community that should be addressed in emergency planning.

1. Use the data you gathered in your Pre-Work Assignment 6.1.
2. For your assigned area, identify specific barriers based on your data.
3. Record answers on the chart paper.

(Note: Postpone talking about strategies to address the barriers, which will be the subject of an activity in the next lesson.)

### Areas:

- Public alert and warning
- Transportation and evacuation
- Education and communication
- Emergency mass care/shelter
- Recovery
- Health Care

## Visual 16: Resilience

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The ability to recover from or adjust easily to misfortune or change.



### Key Points

A community is resilient when it can return to a state of normalcy after a disaster through preparation, mitigation, and effective recovery.

Resilience is defined in Presidential Policy Directive 8 (PPD-8) as “the ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.”

The amount of time it takes to recover affects the community’s economy and its social structure. A longer recovery can increase economic and social impacts because people will leave the community permanently.

As defined in the Merriam-Webster Dictionary, resilience is the ability to recover from or adjust easily to misfortune or change.

## Visual 17: Resilient Community Characteristics

- Solid economic base
- Social and economic equity
- Help for those who need assistance
- Strong institutions
- Coordination
- Effective leadership
- Awareness of hazards and mitigation
- Good land use planning
- Continuity



### Key Points

Remember the **definition of resiliency**:

"The ability to recover from or adjust easily to misfortune or change."

Communities that want to be more resilient will:

- Implement strategies to enhance the community's economy.
- Ensure economic, social, and intergenerational equity.
- Identify proactive initiatives to need assistance.
- Build strong institutions.
- Coordinate planning among associations and organizations.
- Have effective leadership and government.
- Identify and implement hazard mitigation activities.
- Implement land use planning.
- Ensure that key roles are capable of continuing during and after an event.

The balance in the community is maintained by the "roles" and "functions" of the community members. A role is a position held within the community such as mayor, police officer, homeowner, etc. Each role is defined by the tasks associated with the role. These tasks or functions help the community to meet its basic needs and even to flourish. When roles are affected by a disaster, then the community may not be able to meet its needs because the tasks associated with that role are not completed.

Other characteristics of resilient communities include having:

- Stable family and/or social networks.
- High ratio of productive adults to dependents.
- Relative gender equality and sharing of household tasks.
- Strong emotional ties, illustrated by:
  - Commitment to each other.
  - Mutual appreciation and respect.
  - Close communication.
  - Frequent time spent together.

## Visual 18: Discussion Question

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**How can we better understand the assets the community can contribute to our emergency management process?**

## Visual 19: Building Community Resilience

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Threats and Hazards, Community Capabilities

### Key Points

It is helpful to conduct a community assessment to bring together all of the information about a community's hazard risk, specifically:

- **Threats and hazards** faced by the community.
- The **needs** of community members in managing those threats and hazards.
- The **capabilities and infrastructure** (private, public, and civic) that exist in the community to address the hazards and threats.

Collectively, this information helps develop a picture of the community's resilience.

## Visual 20: Discussion Questions

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**How are people in your community who have access and functional needs meeting their needs on a daily basis?**

**How can you partner with them to enhance or strengthen those assets?**

## Visual 21: Gathering Asset Information

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People typically meet their needs by:

- Individual effort
- Social networks/groups
- Human services and non-profit organizations
- Government assistance



### Key Points

Once you have identified the high-risk populations and areas and the capabilities required to meet their needs, look at what resources are available to mitigate and respond to the threats/hazards. Include:

- Individual effort
- Social networks/groups
- Human services and non-profit organizations
- Government assistance



## Visual 22: Taking Action

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- Create strategies
- Utilize inclusive planning processes
- Develop effective education and communication strategies

### Key Points

Use these results to identify opportunities and challenges for building community resilience, including:

- Strategies for the affected populations
- Planning processes
- Education and communication strategies

## Visual 23: Strategies (1 of 2)

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- Map homes located on vulnerable land.
- Update and enforce building codes and zoning regulations.
- Identify sources of non-governmental disaster assistance.



### Key Points

Once you have conducted the analysis, you can implement mitigation strategies to reduce the risk to vulnerable communities and people. Strategies might include:

- Map homes located on vulnerable land.
- Update and enforce building codes and zoning regulations.
- Identify sources of non-governmental disaster assistance.

## Visual 24: Strategies (2 of 2)

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- Assess barriers to services.
- Identify needed programmatic and policy changes to enhance access.
- Have accessible disaster facilities, services, and communications.
- Promote renter's and specialized insurance.
- Develop outreach to low-income and underserved populations.



### Key Points

Additional strategies include:

- Assess barriers to services.
- Identify needed programmatic and policy changes to enhance access
- Have accessible disaster facilities, services, and communications
- Promote renter's and specialized insurance (recognizing, however, that many people may not have the money to purchase it)
- Develop outreach to identify low-income and underserved populations

## Visual 25: Planning Process

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- Involve the public.
- Ensure the planning team reflects the whole community.
- Engage the community in preparedness activities.
- Tap into sources of community knowledge.
- Know what makes local groups successful.
- Be a part of your community.

### Key Points

Another output of analyzing the community's resilience is inclusion of this information in your emergency operations plan (EOP). Your EOP is for the community as a whole; to ensure that it represents the community:

- Involve the public in your planning processes.
- Ensure that the planning team reflects the people in your community.
- Engage the community in preparedness activities.
- Use the knowledge of resources in the community: long-time residents, social groups, religious groups, etc.
- Know what makes local groups and institutions a success in your community.
- Be an active part of your community.

## Visual 26: Discussion Question

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### **Who should be on a whole community inclusive planning team?**

#### Key Points

An important part of planning is involving all stakeholders in the community in the process. Knowing your community is key to identifying groups to include in the planning process.

Include:

- Civic, social, faith-based, educational, professional, aid, and advocacy organizations
- Voluntary organizations
- Immigrant and limited-English-proficiency constituents
- Older adults
- Private service providers
- Critical infrastructure operators
- Local and regional corporations

Communities need to pay special attention to evacuation planning for people with access and functional needs. For example, communities may want to set guidelines for determining when to use mandatory evacuations versus shelter in place for community members with access and functional needs.

## Visual 27: Building on Existing Strengths

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- Incorporate emergency planning discussions into the existing format of community meetings
- Identify organizations that support the community.
- Determine how you can supplement their efforts during disasters.

### Key Points

A key aspect of whole community planning is to identify and build on the strengths that already exist in the community. For example:

- Incorporate emergency planning discussions into the existing format of community meetings. Multipurpose meetings help increase participation, especially in communities where residents must travel long distances to attend such meetings.
- Identify organizations that already provide support to the community and determine how you can supplement their efforts during times of disaster when there might be a greater need. For example, if food banks distribute food on a regular basis, emergency managers can deliver additional food to the food banks to help them meet a greater demand during a disaster.
- Determine how you can supplement their efforts during disasters.

Additional information on voluntary organizations can be found on the [National Voluntary Organizations Active in Disaster \(NVOAD\) website](https://www.nvoad.org/) (<https://www.nvoad.org/>).

## Visual 28: Education and Communication

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- Tailor message and delivery to each population.
- Use a variety of media.
- Identify venues for reaching the different populations.
- Use two-way communications.
- Train staff on myths, stereotypes, culturally appropriate procedures, and identifying languages.



### Key Points

To effectively communicate with and educate the whole community:

- Tailor the message content and delivery method to each population (e.g., provide interpreters for public meetings, deliver print media and broadcasts in multiple languages).
- Use a variety of media.
- Identify venues for communicating and educating the different populations.
- Make sure the flow of information is multi-directional.
- Train staff on myths, stereotypes, culturally appropriate procedures, and identifying languages.

Additional information on developing community outreach programs is in the preparedness unit.

## Visual 29: Communicating

Distribute messages to:

- Social, cultural, and religious groups.
- Shelters for the homeless, abused persons, and runaways.
- Advocacy groups.
- Children to educate their parents.



### Key Points

When selecting how to communicate and educate your community, identify distribution methods that will ensure everyone in the community gets the message about hazards, preparedness, and mitigation. When conducting communication and education activities, ensure you include:

- Social, cultural, and religious groups.
- Shelters for the homeless, abused persons, and runaways.
- Advocacy groups.
- Children, to educate their parents.



## Visual 30: Communication Content

- Develop Web content for screen reader.
- Consider reading levels.
- Translate into appropriate languages.
- Address cultural differences.
- Use closed captioning, large print, symbols.
- Identify and address fears.



### Key Points

Your communication and education materials may need to be modified for different segments of your community. Examples of modifications include:

- Developing Web content for screen reader capability.
- Developing materials at appropriate reading levels.
- Translating materials into appropriate languages.
- Addressing cultural differences.
- Using closed captioning, large print, symbols.
- Identifying and addressing fear.

## Visual 31: Activity 6.3: Building Resilience

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Instructions: (Refer to your IAW) Working as a group . . .

1. For your assigned area, identify strategies to overcome the barriers you identified in the previous unit.
2. Be prepared to discuss your decisions with the class in 10 minutes

### Key Points

Each group will focus on the same area as in the activity in the previous unit:

- Public alert and warning
  - Transportation and evacuation
  - Education and communication
  - Emergency mass care/shelter
  - Recovery
1. Review the barriers you identified in the previous activity
  2. Identify strategies to overcome those barriers and support full participation by all members of the community. Be specific about addressing the needs of populations within the community.

## Visual 32: Unit Summary

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In this unit, the following key points were presented:

To serve the whole community, it is important to pay attention to:

- Factors that contribute to disaster complexity and resilience.
- Demographic characteristics that influence the disaster needs of community members.
- Develop strategies for identifying and partnering with existing community assets.

## Visual 33: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 7: Intergovernmental and Interagency

# Visual 1: Intergovernmental and Interagency Context of Emergency Management

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## Visual 2: Unit Structure

- Intergovernmental and Interagency Overview
- Local Roles and Responsibilities
- Tribal, State, and Territorial Roles and Responsibilities
- Federal Roles and Responsibilities
- Unit Summary: Putting It All Together

### Key Points

This unit consists of the following topics:

Unit	Time
Intergovernmental and Interagency Overview <ul style="list-style-type: none"> <li>• Introduction Scenario</li> </ul>	30 minutes <ul style="list-style-type: none"> <li>• 10 minutes</li> </ul>
Local Roles and Responsibilities <ul style="list-style-type: none"> <li>• Video: Best Practices: Baton Rouge Local Government</li> </ul>	30 minutes <ul style="list-style-type: none"> <li>• 8 minutes</li> </ul>
Tribal, State, and Territorial Roles and Responsibilities <ul style="list-style-type: none"> <li>• Video: Understanding Unique Perspectives</li> <li>• Activity 7.1 – Developing Strategies</li> <li>• Activity 7.2 – Roles and Relationships</li> </ul>	60 minutes <ul style="list-style-type: none"> <li>• 3 minutes</li> <li>• 15 minutes</li> <li>• 20 minutes</li> </ul>
Federal Roles and Responsibilities <ul style="list-style-type: none"> <li>• Case Study – Winter Storm: Putting It All Together</li> <li>• Activity 7.3 – Federal &amp; State Contacts (Pre-Work)</li> </ul>	60 minutes <ul style="list-style-type: none"> <li>• 30 minutes</li> <li>• 5 minutes</li> </ul>
<b>Total Unit Time:</b>	<b>3 hours</b>

## Visual 3: Terminal Learning Objective

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To describe the intergovernmental and interagency context of emergency management, including the roles of:

- Local, Tribal, State, and Federal government organizations
- The private sector
- Nongovernmental organizations (NGOs)



Review the Unit Objectives in the Student Manual

### Key Points

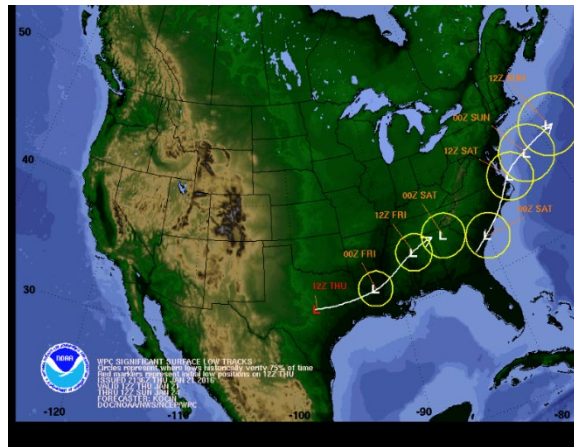
The goal of this unit is to enable you to describe the intergovernmental and interagency context of emergency management, including the roles of Local, Tribal, State, and Federal government organizations, the private sector, and nongovernmental organizations (NGOs) in the emergency management network.

The objectives for this unit are listed below.

- Explain the importance of engaging the whole community in emergency management.
- Describe the emergency management roles and responsibilities of local entities, including:
  - Nongovernmental organizations.
  - The private sector.
  - Local government.
- Describe the emergency management roles and responsibilities of tribal government.
- Describe the emergency management roles and responsibilities of State and territorial government.
- Describe the emergency management roles and responsibilities of the Federal Government.
- Apply knowledge of emergency management roles at all levels in an exercise context.



## Visual 4: Winter Storm Scenario



### Key Points

This unit provides an introduction to intergovernmental and interagency relationships in emergency management. We will begin by reviewing a brief description of the January 2016 U.S. Blizzard which brought record-breaking snowfall, blizzards, and flooding to the eastern part of the country.

The January 2016 United States blizzard was a crippling and historic blizzard that produced up to 3 feet of snow in parts of the Mid-Atlantic and Northeastern US from 22-24 January 2016. Regarding it as a "potentially historic blizzard", meteorologists indicated the storm could produce more than 2 feet of snow across a wide swath of the Mid-Atlantic region and could "paralyze the eastern third of the nation."

On January 20–22, the governors of eleven states and the mayor of Washington D.C. declared a state of emergency in anticipation of significant snowfall and blizzard conditions (i.e., a storm with "considerable falling or blowing snow" and winds in excess of 35 mph and visibilities of less than 1/4 mile for at least 3 hours.)



1. What levels of government might be involved in planning for and responding to this storm event?

Discussion  
Question

1. What types of agencies might have major roles within these levels of government?

1. What nongovernmental agencies might be involved?

## Visual 5: Intergovernmental and Interagency Overview

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### Key Points

This section provides you with an overview of the doctrine guiding partnerships and the approach for using these relationships in emergency management.

## Visual 6: Key Emergency Management Concept

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Incidents should be managed at the lowest possible jurisdictional level.

**What are the advantages of managing incidents at the lowest jurisdictional level?**



What are the advantages of managing incidents at the lowest jurisdictional level?

Discussion  
Question

### Key Points

A basic tenet of emergency management is the importance of managing incidents locally and at the lowest possible jurisdictional level.

Incidents must be managed at the lowest possible geographical, organizational, and jurisdictional level and supported by additional capabilities when needed. It is not necessary that each level be overwhelmed prior to requesting resources from another level.

Incidents typically begin and end locally, and most are wholly managed at the local level. Many incidents require unified response from local agencies, NGOs, and the private sector, and some require additional support from neighboring jurisdictions or the State. A small number require Federal support.

## Visual 7: Shared Responsibility

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Effective emergency management requires a shared effort, engaging all partners, including:

- Nongovernmental organizations
- The private sector
- Government agencies

### Key Points

Engaging all partners, including nongovernmental organizations, the private sector, and government agencies, leads to a better prepared community, more effective response, and quicker recovery.

## Visual 8: Shared Responsibilities (Continued)

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What are the primary motivations of...

- Nongovernmental organizations (NGOs)
- The private sector
- Government Agencies

## Visual 9: Local Roles and Responsibilities

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Nongovernmental and private-sector organizations.

Local governments.

### Key Points

Now that you know that effective response requires the whole community, let's look at emergency management at the local level, including:

- Nongovernmental and private-sector organizations.
- Local governments.

Communities, local jurisdictions, individuals, and households are not only responsible for response and recovery, they must also engage in preparedness and planning efforts.

## Visual 10: Discussion Question NGOs

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Discussion  
Question

Discussion Question NGOs

What are examples of nongovernmental organizations (NGOs) that assist your jurisdiction in disaster response?



## Visual 11: NGO Roles

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- Shelter
- Emergency food supplies
- Counseling services
- Specialized services for individuals with access and functional needs

### Key Points

What is the role of nongovernmental organizations in disaster response? Nongovernmental and voluntary organizations are essential partners in responding to emergencies and assist in providing:

- Sheltering, emergency food supplies, counseling services, and other vital services to support response and promote the recovery of disaster survivors.
- Specialized services that help individuals with access and functional needs, including those with disabilities.

To engage these key partners most effectively, all levels of government coordinate with voluntary agencies, existing Voluntary Organizations Active in Disaster (VOADs), community and faith-based organizations, and other entities.

For more information, refer to the [Volunteer and Donations Support Annex](https://www.fema.gov/pdf/emergency/nrf/nrf-support-vol.pdf) on the NRF Resource Center site: <https://www.fema.gov/pdf/emergency/nrf/nrf-support-vol.pdf>.

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## Visual 12: Discussion Questions Private Sector

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What role does the private sector play in incident response and recovery?



Why is private-sector involvement important?

Discussion  
Question

## Visual 13: Private Sector Roles

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Critical Infrastructure

Critical Goods and Services

### Key Points

In addition to nongovernmental and volunteer organizations, private-sector organizations are a key partner in incident management activities at all levels.

**Critical infrastructure:** The private sector is responsible for most of the critical infrastructure and key resources in the Nation. Critical infrastructure owners and operators take action to support risk management planning and make prudent investments in security measures by:

- Reassessing and adjusting continuity-of-business and emergency management plans.
- Building increased resiliency and redundancy into business processes and systems.
- Guarding against the insider threat.
- Coordinating with external organizations and industry partners.

**Critical goods and services:** Private-sector organizations provide goods and services critical to the response and recovery process, either on a paid basis or through donations. They collaborate with first responders, government at all levels, NGOs, and other agencies and organizations to provide goods and services to:

- Sustain life.
- Reduce physical and emotional distress.
- Promote recovery of disaster survivors.

For additional information about the role of the private sector, refer to the following documents on the [NRF Resource Center](https://training.fema.gov/nrfres.aspx) site (<https://training.fema.gov/nrfres.aspx>):

- Private-Sector Coordination Support Annex
- Critical Infrastructure and Key Resources Support Annex

## Visual 14: Roles of Other Organizations

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Examples of other organizations that perform regulatory, advisory, policy, or business oversight functions during incident response and recovery include:

- Transportation authorities.
- Public utility commissions.
- Water and sewer boards.
- Park commissions.
- Housing authorities.
- Public health agencies.

## Visual 15: Video: Best Practice: Louisiana Recovery and Resiliency Symposium

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<https://www.fema.gov/media-library/assets/videos/131034>

### Key Points

As you watch this video, identify the types of best practices that are applicable to all jurisdictions.

### Video Transcript: Louisiana Recovery and Resiliency Symposium

**Narrator:** Disasters disrupt people’s lives, making them feel vulnerable and depriving them of the services they rely upon. At a time of crisis, the community turns to its local government for assurance that preparations have been made to manage the incident and that their lives will return to normal as quickly as possible, with a minimum of inconvenience.

**Mayor Melvin “Kip” Holden:** Whenever there is an emergency, the population expects you to step up and be a leader. Now the question is whether or not you want to accept that role. Because when you raise that hand and take that oath of office, you know, I don’t think you ever anticipate that “Wow, this other situation may happen that’s going to necessitate that I do something a little more in depth than what I did in taking that oath.”

**Narrator:** Mayor Holden’s leadership was tested in August 2005, when Hurricane Katrina struck Louisiana. When the levees in New Orleans collapsed, 200,000 people moved into Baton Rouge. What happened 3 years later with Hurricane Gustav was even worse.

**Jay Grymes, Meteorologist:** Probably the biggest, at least in the last few years, would have to be Gustav. Certainly the most impacting tropical event for the Baton Rouge area since 1965’s Betsy. We saw more damage here in Gustav than we did in Andrew, even though maybe on a national scale Andrew is a more noteworthy storm.

**Narrator:** During a time of crisis, Mayor Holden knew that the people of Baton Rouge expected to hear from him.

**Mayor Holden:** I think the people expect for you to give them guidance. People expect for you to carry out basic services like fire, police, or EMS. People expect you to deal with flooding if there’s a flood there. People expect you to deal with whatever disaster that has come up in an economical way, making sure they are still able to carry on with their lives, and their businesses as much as they possibly can. But they really look to you to give them some comfort, give them advice, and also do the job to make their lives a lot easier.

**Chad Guillot, Assistant Director – Baton Rouge EMS:** Public safety has always been a number one priority here in Baton Rouge and that shows from the team that we put together.

**Mayor Holden:** Whenever it comes down to the police department, people want to be confident that if the lights go out in an area, that they're still safe.

**David Guillory, Assistant Director Of Public Works – Baton Rouge:** In emergency situations, it's good to have a close relationship with your city departments so everything can get back to normal as quick as possible.

**Mayor Holden:** Fire department also, especially if you have electrical lines falling down, they have to work with our Department of Public Works.

**David Guillory:** The department of public works will maintain the infrastructure so people can move on with their life as they know it, and in emergencies usually you will lose services, and the quicker you can get services back up and running the better for everyone.

**Mayor Holden:** We've had situations whereby hospitals have lost power and didn't have the backup generators.

**Connie Deleo, Hospital Designated Regional Coordinator:** When something is happening in their city, whether it be a hurricane, a flood, a tornado, they still expect that their medical conditions be addressed. And the elected officials, although they don't run the hospitals, they don't run the clinics, they are still partially responsible for making sure the members of their community get that help and treatment, and all of their medical needs are met, no matter what's going on in the community.

**Narrator:** The mayor and his staff focused on the needs of all health service providers, including hospitals and home care service providers.

**Connie Deleo:** If you're a homebound vent patient or a patient who's oxygen dependent and you have no electricity, all of a sudden you now need resources outside of your home health agency, outside of your hospice agency to help you. And what mayors or elected officials need to realize is, even when you can't get that power back on, there are people still relying on you.

**Narrator:** The mayor's office recruited a local physician to work with the medical community and help minimize health care disruption during disasters.

**Louis Minsky, M.D., Parish Medical Director:** My position is to render opinion and consultation to the administrative team and the emergency preparedness office regarding medical issues that may arise during emergency situations. After Katrina we've done a lot of planning and now every hurricane season, we're planning and prepared. A similar occurrence when we had the outbreak of swine flu last fall and H1N1 demanded that we be prepared once again. We kind of just shifted from a big hurricane to H1N1, and so we stay ready year round, with emphasis because of our experience on hurricane season.

**Narrator:** In addition to including a medical expert, the mayor offered a place in the EOC to the Hospital Designated Regional Coordinator, a State organization that is responsible for helping hospitals during disasters.

**Connie Deleo:** The mayor of this city has opened the doors of this emergency preparedness office of homeland security to the entire region so we can work here during a disaster and coordinate all of the medical operations—that's patient movement, resource movement—right from this office. During Gustav, this area of the city was hit very hard. The hospitals, all of the health care facilities in this area had to go on generator power—they all lost electricity. At the same time, a lot of home health agencies were not able to get to their patients. Through that regional coordination system in this office, what we did was we were able to relocate those

patients, either to other hospitals here in town or to other hospitals in the region, or even so far as other hospitals in other States, and we do that through that coordination system, and through this office.

**Ed Smith, Fire Chief – Baton Rouge:** He has to develop those outside relationships with the utility companies, the hospitals, the industrial corridors.

**Joanne H. Moreau, Director – MOHSEP:** You need to look at your private stakeholders, your nonprofit entities, your military personnel, your other partners that—nontraditional kinds of partners, you know, innovative ways to be able to complement limited resources with some outside of what you normally would consider.

**Mayor Holden:** The business community is looking for ways to make sure they can keep themselves going as well. You know, if there are no utilities, then they have a problem. They're also concerned about their employees getting to work. So if the employees don't show up, there's a problem. Then you have to make sure that we do not do anything that will adversely impact them, so it boils down to a team working together to make sure that we're still vibrant, because you still have an economy to deal with. And so if the businesses are down, then the bottom line at the end of the month for any city or any parish or any county is going to be your tax revenues are down.

**Joanne H. Moreau:** We have a relationship with the chamber because they represent big and small.

**Adam Knapp, President/CEO – Baton Rouge Area Chamber Of Commerce:** We actually were very happy to see they led so well. The other thing that they did was made sure that folks like the business community in the Baton Rouge area chamber had access to the Emergency Operations Center so we could pump information through that we received back to others and they would give us access to be in the same room as other leaders.

**Joanne H. Moreau:** It's really, really important to have the community engaged in the process because government can't do everything for everyone.

## Visual 16: Local Government Responsibilities

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What are your local responses related to the five Mission Areas?

### Key Points

Local governments must start with planning for emergencies and educating the community and the residents so that they are prepared and know what to do when disaster threatens.

Local governments are generally responsible for the health, welfare, and safety of their community members and focus their immediate actions to protect life and ensure public safety. Examples of specific responsibilities are listed on the visual.



## Visual 17: Agreements Between Neighboring Organizations

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- Allow neighboring organizations to support one another during an incident
- Formal documents that identify the resources that jurisdictions are willing to share during an incident
- Governed by State statutes

### Key Points

Even with involvement from households, individuals, and local government, more support may be needed from neighboring jurisdictions. This support may be obtained through mutual aid and assistance agreements that:

- Allow neighboring jurisdictions to support one another during an incident.
- Are formal documents that identify the resources that jurisdictions are willing to share during an incident.
- Are governed by State statutes.

Mutual aid and assistance agreements should include:

- Definitions of key terms used in the agreement.
- Roles and responsibilities of individual parties.
- Procedures for requesting and providing assistance.
- Procedures, authorities, and rules for allocation and reimbursement of costs.
- Notification procedures.
- Protocols for interoperable communications.
- Relationships with other agreements among jurisdictions.
- Treatment of workers' compensation, liability, and immunity.
- Recognition of qualifications and certifications.

**Note:** You will learn more about mutual aid and assistance agreements in the Preparedness module.

## Visual 18: Tribal Roles and Responsibilities

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Tribal Roles and Responsibilities

### Key Points

**Note:** Throughout this section, any reference to States also includes U.S. territories and insular areas.

Territorial governments are responsible for coordinating resources to address actual or potential incidents. Due to their remote locations, territories and insular areas often face unique challenges in receiving assistance from outside the jurisdiction quickly and often request assistance from neighboring islands, other nearby countries, States, private sector or NGO resources, or the Federal Government. Federal assistance is delivered in accordance with pertinent Federal authorities (e.g., the Stafford Act or through other authorities of Federal departments or agencies).

The first section presents information on tribal roles and responsibilities in emergency management.

## Visual 19: Understanding Unique Perspectives

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### Key Points

This video shows part of a signing ceremony involving FEMA and a tribal community. As you watch the video, identify some unique perspectives being communicated by the tribal representatives.

### Video Transcript

**Steve Golubic, FEMA Tribal Liaison:** Whenever there is damage or whenever anything bad happens within a settlement, within a reservation, tribal people believe that it's a time for healing, that Mother Earth gives all life and when something happens with Mother Earth you have to take time to heal. This ceremony today is very significant because the healing process has occurred. We're in a process now where we are moving on toward rebuilding the structures that were damaged by the floods and helping people heal.

**Adrian Pushetonequa, Tribal Chairman, Sac and Fox Tribe of the Mississippi in Iowa/Meskwaki:** Today, this year, there's a big difference seeing FEMA come into our community and assist with our displaced people, so again, I'd like to welcome FEMA for coming to our community to be with our people having seen you around in their times of distress and giving us the assistance that we need. We are very grateful for your help.

**Bill Vogel, Federal Coordinating Officer, Federal Disaster 1763 Iowa:** I just got to tell you that we feel terrible that we had any type of event that affected your tribal members and we certainly know how anxious they may be to return to their homes and we know how anxious you are to repair your infrastructure and we hope that today we will be able to provide you with that assistance.

**Steve Golubic:** We can use this signing ceremony that the Meskwaki Nation asked us to do and to participate in to show the rest of the tribes across the country that, that we are here and we are going to do whatever we can on a government-to-government basis. So it's . . . it's extremely important to be able to do that.

## Visual 20: Tribal Government

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- An Indian or Alaska Native Tribe, band, nation, pueblo, or community
- Acknowledged to exist by the Secretary of the Interior



### Key Points

Tribal governments are another part of the whole community that is critical to response.

The FEMA Tribal Policy dated June 29, 2010, defines an Indian tribal government as:

Any federally recognized governing body of an Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe under the Federally Recognized Tribe List Act of 1994, 25 U.S.C. 479a. This does not include Alaska Native corporations, the ownership of which is vested in private individuals.

- Tribes are considered sovereign nations and possess self-government.
- Tribes have a nation-to-nation relationship with the U.S. Federal Government.
- Only Congress has plenary (overriding) power over Indian affairs.
- State governance is generally not permitted within reservations.
- Federally recognized tribes choose how they interact with each level of government

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## Visual 21: Sovereignty of Tribal Governments

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- Are eligible for Federal assistance if federally recognized
- Determine how to organize their governments
- Determine who is recognized as a member of the Tribe

### Key Points

A basic tenet of sovereignty is the power of a people to govern themselves. An important aspect of working with tribal governments is a thorough understanding of their sovereignty.

The FEMA Tribal Policy addresses the sovereignty of tribal governments:

- FEMA recognizes the sovereign rights, authority, and unique status of tribal governments and is committed to working in partnership with Indian tribes on a nation-to-nation basis.
- FEMA recognizes that the tribal right of self-government flows from the inherent sovereignty of American Indian and Alaska Native tribes as nations and that federally recognized tribes have a unique and direct relationship with the Federal Government.
- FEMA recognizes that, as a sovereign government, each tribal government sets its own priorities and goals for the welfare of its membership, which include the considerations tribal governments make to fulfill their responsibilities to their nontribal residents, relatives, employees, and neighboring jurisdictions. FEMA will involve tribal governments in consultations to seek their input on policies, programs, and issues so that they may evaluate the potential impacts for their communities.

**Note:** If a tribal government is not federally recognized, it is treated like a local government.

There are tribes that are not recognized by the Federal Government but are recognized by the State

Tribes determine how to organize their governments and they also determine who is Indian. Do not assume someone is or is not an Indian based on appearance. An Indian is someone who:

- Has a quantum, or percentage, of Indian blood set by an individual tribe as the criterion for membership.
- Is recognized by that tribe as a member.

## Visual 22: Tribal Diversity

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- Each Tribe has its own unique culture
- Currently 573 federally recognized Tribes in the United States
- Reservations are as diverse in size as they are in culture
- There are over 154 different tribal languages



### Key Points

Each tribe has its own unique culture. There are currently 573 federally recognized tribes in the United States. Federal recognition is granted by the U.S. Department of the Interior. As of February 2019, 267 Tribes are currently seeking Federal recognition and the number 573 will likely grow.

Reservations are held in trust by the Federal Government for Indian people. There are 325 federally recognized reservations. This means that some tribes do NOT have a land base and members live within other jurisdictions, but still retain the rights of tribal governance. Reservations are as diverse in size as they are in culture.

There are over 154 tribal languages still in existence today in the United States.

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## Visual 23: Tribal Governments

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- Are responsible for the health, welfare, and safety of their members
- Carry out their mandates using authorities enumerated in their laws and codes

### Key Points

The responsibilities of tribal governments in emergency management are similar to those of State and local governments:

- To respond to the same range of emergencies and disasters that other jurisdictions face and to be responsible for the public safety and welfare of the members of their tribe.
- To carry out their mandates using authorities enumerated in their laws and codes. Tribes may request and provide assistance from neighboring jurisdictions under mutual aid and assistance agreements.

**Sandy Recovery Improvement Act of 2013 (SRIA)** amended the Stafford Act to authorize tribal governments to request a declaration of an emergency or major disaster. Previously tribal groups were treated as local governments and thus not permitted to directly request disaster declarations from the Federal government. They were dependent on a request being made by the Governor of the State where their territory is located.

The SRIA also authorizes the President to establish criteria to adjust the non-Federal cost share for an Indian tribal government consistent to the extent allowed by current authorities. Federal departments and agencies can work directly with tribes within existing agency authorities and resources in the absence of such a declaration.

Federal departments and agencies comply with existing laws and Executive orders mandating that the Federal Government deal with Indian tribes on a government-to-government basis, reflecting the federally recognized tribes' right of self-government as sovereign domestic dependent nations. **A tribe may, however, opt to deal directly with State and local officials.**

For more information, refer to the [Tribal Relations Support Annex](https://www.fema.gov/pdf/emergency/nrf/nrf-support-tribal.pdf) on the NRF Resource Center site (<https://www.fema.gov/pdf/emergency/nrf/nrf-support-tribal.pdf>) and the [Sandy Recovery Improvement Act](https://www.fema.gov/sandy-recovery-improvement-act-2013) at <https://www.fema.gov/sandy-recovery-improvement-act-2013>.

## Visual 24: Tribal Leadership Roles

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- Coordinate Tribal resources for prevention, protection, mitigation, response, recovery
- May amend or suspend laws
- Help their community cope with the consequences of any type of incident
- Negotiate mutual aid and assistance agreements
- Request State and/or Federal assistance

### Key Points

As authorized by tribal government, the tribal leader:

- Is responsible for coordinating tribal resources needed to prevent, protect against, respond to, and recover from incidents of all types. This also includes preparedness and mitigation activities.
- May have powers to amend or suspend certain tribal laws or ordinances associated with response.
- Communicates with the tribal community and helps people, businesses, and organizations cope with the consequences of any type of incident.
- As authorized by tribal government, the tribal leader also:
  - Negotiates mutual aid and assistance agreements with other tribes or jurisdictions.
  - Can request Federal assistance under the Stafford Act through the Governor of the State when it becomes clear that the tribe's capabilities will be insufficient or have been exceeded.
  - Can elect to deal directly with the Federal Government. The Indian tribal government Chief Executive can request a Presidential declaration under the SRIA or the tribal nation can submit under the State's request for a Presidential declaration. Federal departments or agencies can work directly with the tribe within existing authorities and resources.

Tribal lawyers may attend most council meetings and can advise on resolutions and other legal matters.



## Visual 25: Building Tribal Relationships

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- Respect Tribal protocols and processes —initiate contact with the Tribal Emergency Manager first
- Develop relationships with Tribal governments before doing business
- Each Tribe is uniquely different; learn about the Tribe in advance
- Make your motivations clear regarding partnering
- Respect Tribal sovereignty



### Building Tribal Relationships

#### Key Points

Understanding the tribal roles in the emergency management process is important, but you also must realize the importance of establishing relationships prior to an incident.

- **Respect tribal protocol and processes—initiate contact with the tribal emergency manager first.**
  - It is best to initiate contact with the tribe’s emergency manager by telephone and then set up a subsequent meeting. Ask where the emergency manager would like to meet and be willing to travel to the tribal office for the initial meeting as a courtesy.
  - If the tribe does not have an “emergency manager” ask if there is a Fire Chief or Chief of Police. First responders are often tasked with emergency management functions in absence of an actual emergency manager.
  - Listen more, talk less. Tribal cultures often have long standing traditions that are articulated verbally rather than in writing. You will probably learn the most important information by simply listening.
- **Develop relationships with the tribal governments before doing business.**
  - Don’t wait until an emergency is imminent to start contacting the tribal government.
  - Expect the relationship building process to take time. Tribal cultures tend to emphasize taking time to get to know people.
  - Understand that the current relationship with the tribal government has a history that may be long and complex. There may be long standing conflict or mistrust that must be overcome in order to build a successful relationship.
- **Each tribe is uniquely different; learn about the tribe in advance.**
  - Tribal cultures are very unique, complex and based on relationships rather than tasks or “the bottom line” as is most common in the American business model. Face-to-face meetings are usually preferred. Be prepared to follow-through on what you say - the spoken word is as good as contract in many tribal cultures.
  - Conduct research about the tribe prior to contacting them if possible—internet may be helpful here.

- **Make your intentions clear regarding partnering.**
  - Emphasize the positive aspect of any potential partnership and make sure to follow through on any statements about what you will do.
  - Don't expect decisions to be made at your first meeting. What is discussed will likely have to be taken before tribal leadership for consideration. The leadership will take time to discuss decisions amongst themselves that impact the members to be certain that it is the best possible long-term decision for the greatest good of the current tribal membership and probably for the generations to come.
- **Respect tribal sovereignty.**
  - Remember, tribal governments are sovereign nations. This means according to the U.S. Constitution and treaties signed with the U.S. Government, they have a right to interact directly with the Federal Government for resources and services.

The job aid on the next page provides additional suggestions for building tribal relationships.

Building Tribal Relationships	
<b>A Unique People</b>	<p><b>Positive relationships begin with understanding.</b> It is important to be sensitive and respectful of who tribal people are as a people and to recognize the fact that they are a sovereign nation with its own form of government. Recognize that they are a unique people. The worst thing to do would be to go in with preconceived notions of what Indian people are.</p>
<b>Family Importance</b>	<p><b>Any official relationship with a tribe begins with an introductory meeting with the tribe's elected leadership.</b> The family holds a central place in all tribal cultures. Tribal families treat distant clan members as close relatives. Family needs outweigh other concerns and commitments.</p> <p>Tribal communities show great respect for the wisdom of their elders by addressing them first in group settings and consulting them about how to proceed. Younger tribal members interpret as needed for elders with limited English.</p>
<b>Pace and Manner of Discourse</b>	<p><b>A rushed and impersonal manner may shut off conversation.</b> Tribal people carefully consider responses when answering questions and making decisions. Therefore, when working with tribal people, plan to double or triple the amount of time you would ordinarily expect to spend.</p> <p>Tribal officials, elders in particular, will want to explain what their point is, and they may take a little while to do that. It's important to respect that and not try to rush that conversation along, not try to get</p>

	Building Tribal Relationships
	<p>to the endpoint.</p> <p>Information often is shared by telling a story. Tribal people consider it an insult to provide information you may already know; as a result, they can appear reluctant to answer a question or volunteer information.</p> <p>Time must be taken to gain consensus from the tribal council and tribal elders on decisions concerning disaster assistance.</p>
<b>Economic Realities</b>	<p><b>Many tribal communities are impoverished and face many challenges.</b> Not all tribes have gaming enterprises. Stereotyping tribes as “casino tribes” is considered offensive to tribal people.</p> <p>Tribes and tribal members pay taxes on income earned on non-Indian land.</p>

## Visual 26: States and Territories

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- Have responsibility for the public health and welfare of the people in their jurisdiction
- Play a key role in obtaining and coordinating resources and capabilities

### Key Points

States and territories have responsibility for the public health and welfare of the people in their jurisdiction. State, tribal, and local governments are closest to those impacted by incidents, and have always had the lead in response and recovery.

During response, states and territories play a key role coordinating resources and capabilities throughout the state and obtaining resources and capabilities from other states. States are sovereign entities, and the Governor has responsibility for public safety and welfare.

**Note:** U.S. territories are islands under the jurisdiction of the United States which are not States of the United States. U.S. possessions can be divided into two groups:

1. Those that have their own governments and their own tax systems (Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, and The Commonwealth of the Northern Mariana Islands), and
2. Those that do not have their own governments and their own tax systems (Midway Island, Wake Island, Palmyra Island, Howland Island, Johnston Island, Baker Island, Kingman Reef, Jarvis Island, and other U.S. islands, cays, and reefs that are not part of any of the fifty states).

## Visual 27: State Responsibilities

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- Support protection and preparedness
- Deploy State resources:
  - Emergency supplies
  - National Guard and law enforcement assets
  - Specialized teams and technical assistance
  - Financial resources
- Serve as a conduit for Federal assistance
- Coordinate information sharing

### Key Points

States have significant resources of their own, including State emergency management and homeland security agencies, State police, health agencies, transportation agencies, incident management teams, specialized teams, and the National Guard.

The role of the State government in response is to supplement local efforts before, during, and after incidents.

When an incident response is beyond local capabilities, the State will provide support in a variety of ways. At the most basic level, the State role in supporting local response is to:

- Support protection and preparedness
- Deploy State resources
  - Emergency supplies
  - National Guard and law enforcement assets
  - Specialized teams and technical assistance
  - Financial resources
- Serve as a conduit for Federal assistance
- Coordinate information sharing

## Visual 28: State-to-State Assistance

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The Emergency Management Assistance Compact (EMAC):

- Allows States to request and receive assistance from other States
- Provides form and structure to the interstate mutual aid and assistance process
- Includes all 50 States, D.C, USVI, PR, and Guam

### Key Points

If additional resources are required to conduct the response, the State often requests assistance from other States by using interstate mutual aid and assistance agreements such as the Emergency Management Assistance Compact (EMAC).

Administered by the National Emergency Management Association, EMAC is a congressionally ratified organization that provides form and structure to the interstate mutual aid and assistance process. Through EMAC or other mutual aid or assistance agreements, a State can request and receive assistance from other member States.

EMAC offers a responsive and straightforward system for States to send personnel and equipment to help disaster relief efforts in other States. When resources are overwhelmed, EMAC helps to fill the shortfalls.

EMAC includes all 50 states, Washington D.C., U.S. Virgin Islands, Puerto Rico, and Guam.

More information is available from the [National Emergency Management Association, EMAC website](http://www.emacweb.org/) (<http://www.emacweb.org/>).

## Visual 29: State Role in Federal Disaster Declaration

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- May request a Presidential declaration specifying the kind of Federal assistance needed
- Is the go-between for Local and Federal governments
- Seeks disaster assistance on behalf of the affected communities
- Ensures local compliance with Federal disaster programs

### Key Points


When there is a Federal disaster declaration (which occurs less frequently in comparison to State declarations), the State:

- May request a Presidential declaration specifying the kind of Federal assistance needed.
- Is the go-between for local and Federal governments.
- Seeks disaster assistance on behalf of the affected communities.
- Ensures local compliance with Federal disaster programs.

**Note:** Additional information on requesting Federal assistance is provided in the Response module.

## Visual 30: Emergency Manager Responsibilities

### Discussion Question

 <p>Discussion Question</p>	Discussion Questions
	<b>My community expects me to ...</b>
	<b>My elected and appointed officials expect me to ...</b>
	<b>The key to my being able to succeed is ...</b>

### Key Points

#### Summary:

The Local Emergency Manager is responsible to the Chief Executive Official to:

- Coordinate the emergency planning process and work cooperatively with other Local agencies and private-sector and nongovernmental organizations
- Develop mutual aid and assistance agreements
- Develop and execute public awareness and education programs
- Conduct exercises to test plans and systems and incorporate lessons learned into the jurisdiction's emergency plan
- Involve the private sector and nongovernmental organizations in planning, training, and exercises
- Coordinate damage assessments during an incident
- Advise and inform local officials about emergency management activities during an incident
- Coordinate recovery efforts
- Coordinate mitigation planning and grants management

### Discussion Questions

**Members of my community expect me to . . .**

**My elected and appointed officials expect me to . . .**



**The key to my being able to succeed is . . .**

## Visual 31: Executive Level

Role	General Responsibility	Specialized Responsibility	Title	Agency Organization
Vision Leadership Strategic Management	Establishing strong work relationships Leads and encourages Supports mitigation efforts Understands and implements laws and regulations Ensures that plans consider the whole community Encourages community participation Communicates incident status and coordinates resources/assistance requests vertically and horizontally		President, Chief, Executive Officer (CEO), Manager, Administrator	Private Corporations, NGOs
			Mayor, City Manager, County Executive, Administrator, Supervisor, Chairperson	Local
		EMAC Request	Chairperson, Governor, Administrator	Tribal or Territorial
		EMAC Request Command the National Guard	Governor	State
			President	Federal

### Chief Elected or Appointed Official

- Establishes strong working relationships
- Leads and encourages
- Supports mitigation efforts
- Understands and implements laws and regulations
- Ensures that local plans consider the entire community
- Encourages community participation

## Key Points

Chief elected or appointed officials must have a clear understanding of their roles and responsibilities for successful emergency management and response. At times, these roles may require providing direction and guidance to constituents during an incident. On an ongoing basis, elected and appointed officials may be called upon to help shape or modify laws, policies, and budgets to aid preparedness efforts and to improve emergency management and response capabilities.

The mayor, city manager, or county official may also have ultimate responsibility for the activities listed below, depending on State and local statutes. Responsibilities and authorities vary by jurisdiction. These responsibilities are often delegated to the emergency manager if permitted by the statutes.

- **Establish strong working relationships** with local jurisdictional leaders and core private-sector organizations, voluntary agencies, and community partners. The objective is to establish relationships, coordinate, and train with local partners in advance of an incident and to develop mutual aid and/or assistance agreements for support in response to an incident.
- **Lead and encourage local leaders** to focus on preparedness by participating in planning, training, and exercises.
- Support participation in local mitigation efforts within the jurisdiction including, as appropriate, the private sector.
- **Understand and implement laws and regulations** that support emergency management and response.
- **Ensure that local emergency plans take into account the needs of:**
  - The jurisdiction, including persons, property, and structures.
  - Individuals with functional needs, including those with service animals.
  - Individuals with household pets.
- **Encourage residents to participate** in volunteer organizations and training courses.
- Communicate incident status and coordinate resources and assistance requests.

## Visual 32: Emergency Program Management

Role	General Responsibility	Specialized Responsibilities	Title	Agency Organization
Emergency Program Management	Work cooperatively with the whole community	Business continuity	Emergency Manager, Risk Manager, Safety Manager	Private Corporations, NGOs
	Conduct risk analysis Coordinate the emergency planning process to address the five mission areas	Continuity of operations/Continuity of government (COOP/COG)	Homeland Security/Emergency Management Director/Coordinator	Local
	Develop mutual aid contracts, contingency contracts		Homeland Security/Emergency Management Director/Coordinator	Tribal or Territorial
	Develop and execute public awareness and education programs Conduct training and exercises		State Homeland Security/Emergency Management Agency Director/Administrator	State
	Conduct incident assessments Support response operations in coordination with the IC/UC Coordinate recovery efforts Coordinate grants management Ensure continuous program quality		FEMA Administrator, FEMA Regional Administrator	Federal

	improvement			
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## Emergency Program Management

- Work cooperatively with the whole community
- Conduct risk analysis
- Coordinate the emergency planning process to address the five mission areas
- Develop mutual aid contracts, contingency contracts
- Develop and execute public awareness and education programs
- Conduct trainings and exercises
- Conduct incident assessments
- Support response operations in coordination with the IC/UC
- Coordinate recovery efforts
- Coordinate grants management
- Ensure continuous program quality improvement

## Key Points

All States have laws mandating establishment of a State emergency management agency and the emergency plans coordinated by that agency.

The Director of the State emergency management agency:

- Ensures that the State is prepared to deal with large-scale emergencies.
- Coordinates the State response in any incident. This includes supporting local governments as needed or requested and coordinating assistance with other States and/or the Federal Government.
- If local resources are not adequate, authorities can seek additional assistance from the county emergency manager or the State Director of Emergency Management. The State emergency management agency may dispatch personnel to the scene to assist in the response and recovery effort.
- If a jurisdiction requires resources beyond those available within the State, local agencies may request certain types of Federal assistance directly in non-Stafford Act situations. For example, the Environmental Protection Agency or U.S. Coast Guard may assess or mitigate oil or chemical spills without waiting for requests from State, tribal, or local officials.

## Visual 33: Departmental or Committee Support

Role	General Responsibilities	Specialized Responsibilities	Title	Agency Organization
Departmental or Committee Emergency Program Support	Support agency responsibilities as they pertain to the five mission areas  Participate in preparedness activities (planning, training, exercising)  Integrate resources and capabilities  Develop internal policies and procedures		Department Manager/Administrator	Private Corporations, NGOs
			Department Manager/Administrator	Local
			Department Manager/Administrator	Tribal or Territorial
		State HS Advisor - chairs the committee that councils the Governor on HS issues. Coordinates the Stakeholder Preparedness Report	State Homeland Security Advisor  State Department/Agency Head with ESF/emergency roles/responsibilities	State
		DHS - coordinates Federal resources to support all five mission areas  Other departments support the five mission areas with resources as outlined in the frameworks	Secretary of the Department of Homeland Security  Other Federal agencies with emergency program roles and responsibilities	Federal

## Key Points

- **Counsel:** The State Homeland Security Advisor serves as counsel to the Governor on homeland security issues and may serve as a liaison between the Governor's office, the State homeland security structure, DHS, and other organizations both inside and outside of the State.
- **Committee:** The advisor often chairs a committee comprised of representatives of relevant State agencies, including public safety, the National Guard, emergency management, public health, and others charged with developing prevention, protection, response, and recovery strategies. Some committees may also include private-sector entities.
- **Strategies:** The State Homeland Security Advisor is also responsible for developing prevention, protection, response, and recovery strategies. This includes preparedness activities associated with these strategies.

## Department/Agency Heads

- Participate in planning process
- Integrate resources and capabilities
- Develop internal policies and procedures
- Train personnel
- Participate in interagency training and exercises
- Respond according to emergency plans

## Key Points

Local department/agency heads are responsible for:

- Participating in the planning process to build specific capabilities.
- Integrating resources and capabilities into a workable plan to safeguard the community.
- Developing internal policies and procedures to meet response and recovery needs safely.
- Training personnel.
- Participating in interagency training and exercises.
- Responding according to emergency plans when an incident occurs.

## Visual 34: Emergency Support Functions (ESFs)

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- Primary operational-level mechanism to provide assistance
- Organized around functional capabilities (e.g., firefighting, public health, search and rescue, etc.)

### Key Points

Emergency Support Functions (ESFs) are activated because no single agency or organization could possibly provide all of the resources needed to respond to the diverse demands of any disaster.

The Federal Government and many State and local governments organize much of their resources and capabilities—as well as those of certain private-sector and nongovernmental organizations—under 15 ESFs. The ESFs are:

- The primary operational-level mechanism to provide assistance.
- Organized around functional capabilities (e.g., firefighting, public health, search and rescue, etc.).

ESFs are not based on the capabilities of a single department or agency, and the functions for which they are responsible cannot be accomplished by any single department or agency. Instead, Federal ESFs are groups of organizations that work together to deliver core capabilities and support an effective response.

ESFs vary by State. It is important to know what agencies are in charge of the various ESFs in your State.



## Visual 35: ESF Lead General Duties

- Have authority to commit agency assets
- Approve and implement mission assignments
- Maintain situational awareness and report on ESF operations
- Represent agency on task forces and ad hoc groups
- Serve as technical experts

### Key Points

ESFs perform the general duties listed on the visual.

Emergency Support Functions	
ESF	Scope
<p><b>ESF #1 – Transportation</b>                      ESF Coordinator: Department of Transportation</p>	<ul style="list-style-type: none"> <li>• Aviation/airspace management and control</li> <li>• Transportation safety</li> <li>• Restoration and recovery of transportation infrastructure</li> <li>• Movement restrictions</li> <li>• Damage and impact assessment</li> </ul>
<p><b>ESF #2 – Communications</b>                      ESF Coordinator: Department of Homeland Security (National Communications System)</p>	<ul style="list-style-type: none"> <li>• Coordination with telecommunications and information technology industries</li> <li>• Restoration and repair of telecommunications infrastructure</li> <li>• Protection, restoration, and sustainment of national cyber and information technology resources</li> <li>• Oversight of communications within the Federal response structures</li> </ul>
<p><b>ESF #3 – Public Works and Engineering</b>                      ESF Coordinator: Department of Defense (U.S. Army Corps of Engineers)</p>	<ul style="list-style-type: none"> <li>• Infrastructure protection and emergency repair</li> <li>• Infrastructure restoration</li> <li>• Engineering services and construction management</li> <li>• Emergency contracting support for life-saving and life-sustaining services</li> </ul>
<p><b>ESF #4 – Firefighting</b></p>	<ul style="list-style-type: none"> <li>• Support to wildland, rural, and urban firefighting</li> </ul>

	Emergency Support Functions
ESF Coordinator: Department of Agriculture (U.S. Forest Service)	<p>operations</p> <ul style="list-style-type: none"> <li>• Coordination of Federal firefighting activities</li> </ul>
<p><b>ESF #5 – Information and Planning</b></p> <p>ESF Coordinator: DHS (FEMA)</p>	<ul style="list-style-type: none"> <li>• Collects, analyzes, processes, and disseminates information about a potential or actual incident</li> <li>• Conducts planning activities</li> </ul>
<p><b>ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services</b></p> <p>ESF Coordinator: Department of Homeland Security (Federal Emergency Management Agency)</p>	<ul style="list-style-type: none"> <li>• Mass care</li> <li>• Emergency assistance</li> <li>• Disaster housing</li> <li>• Human services</li> </ul>
<p><b>ESF #7 – Logistics</b></p> <p>ESF Coordinators: General Services Administration and Department of Homeland Security (Federal Emergency Management Agency)</p>	<ul style="list-style-type: none"> <li>• Comprehensive, national incident logistics planning, management, and sustainment capability</li> <li>• Resource support (facility space, office equipment and supplies, contracting services)</li> </ul>
<p><b>ESF #8 – Public Health and Medical Services</b></p> <p>ESF Coordinator: Department of Health and Human Services</p>	<ul style="list-style-type: none"> <li>• Public health</li> <li>• Medical surge support including patient movement</li> <li>• Behavioral health services</li> <li>• Mass fatality management</li> </ul>
<p><b>ESF #9 – Search and Rescue</b></p> <p>ESF Coordinator: Department of Homeland Security (Federal Emergency Management Agency)</p>	<ul style="list-style-type: none"> <li>• Structural collapse (urban) search and rescue</li> <li>• Maritime/coastal/waterborne search and rescue</li> <li>• Land search and rescue</li> </ul>
<p><b>ESF #10 – Oil and Hazardous Materials Response</b></p>	<ul style="list-style-type: none"> <li>• Oil and hazardous materials response (chemical, biological, radiological, etc.)</li> </ul>

	Emergency Support Functions
ESF Coordinator: Environmental Protection Agency	<ul style="list-style-type: none"> <li>• Environmental short- and long-term cleanup</li> </ul>
<b>ESF #11 – Agriculture and Natural Resources</b> ESF Coordinator: Department of Agriculture	<ul style="list-style-type: none"> <li>• Nutrition assistance</li> <li>• Animal and plant disease and pest response</li> <li>• Food safety and security</li> <li>• Natural and cultural resources and historic properties protection</li> <li>• Safety and well-being of household pets, service animals, working animals, and livestock</li> </ul>
<b>ESF #12 – Energy</b> ESF Coordinator: Department of Energy	<ul style="list-style-type: none"> <li>• Energy infrastructure assessment, repair, and restoration</li> <li>• Energy industry utilities coordination</li> <li>• Energy forecast</li> </ul>
<b>ESF #13 – Public Safety and Security</b> ESF Coordinator: Department of Justice	<ul style="list-style-type: none"> <li>• Facility and resource security</li> <li>• Security planning and technical resource assistance</li> <li>• Public safety and security support</li> <li>• Support to access, traffic, and crowd control</li> </ul>
<b>ESF #14 – Long-Term Community Recovery</b> Superseded by the National Disaster Recovery Framework	<p>Long-Term Community Recovery was superseded by the National Disaster Recovery Framework (NDRF). For guidance on long-term community recovery, please refer to the NDRF. <a href="http://www.fema.gov/national-disaster-recovery-framework">http://www.fema.gov/national-disaster-recovery-framework</a>.</p>
<b>ESF #15 – External Affairs</b> ESF Coordinator: Department of Homeland Security	<ul style="list-style-type: none"> <li>• Emergency public information and protective action guidance</li> <li>• Media and community relations</li> <li>• Congressional and international affairs</li> <li>• Tribal and insular affairs</li> </ul>

## Visual 36: Activity 7.1: Developing Strategies

### Activity 7.1: Developing Strategies

Instructions: (Refer to your IAW) Working as a team . . .



#### Activity

1. Identify a strategy for:
  - Keeping elected/appointed officials informed and engaged
  - Encouraging cooperation across departments and agencies within your jurisdiction
  - Fostering effective relationships with organizations
2. Select a spokesperson and be prepared to present your strategies in 10 minutes

### Key Points

**Instructions:** Refer to your IAW. Working as a team ...

Identify a strategy for each of the following.

- **Keeping elected and appointed officials informed and engaged.**
- **Encouraging cooperation across departments and agencies within your jurisdiction.**
- **Fostering effective relationships with organizations.**

Select a spokesperson and be prepared to present your strategies in 10 minutes.

## Visual 37: Activity 7.2: Roles and Relationships

### Activity 7.2: Roles and Relationships

#### Instructions:



#### Activity

1. Complete the following statements:
  - The most important role of State emergency management is to . . .
  - Local and tribal governments can build relationships with State government by . . .
2. Record your answers on chart paper.
3. Be ready to present your work in 10 minutes.

### Key Points

Working in your teams . . .

1. Complete the statements on the next page.
2. Record your answers on chart paper.
3. Select a spokesperson and be prepared to present your work in 10 minutes

### Activity 7.2: Roles and Relationships

**The most important role of State emergency management is to . . .**

**Local and Tribal governments can build relationships with State government by . . .**

## Visual 38: Federal Government's Role

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To empower and support Emergency Managers to make decisions and take coordinated action.

### Key Points

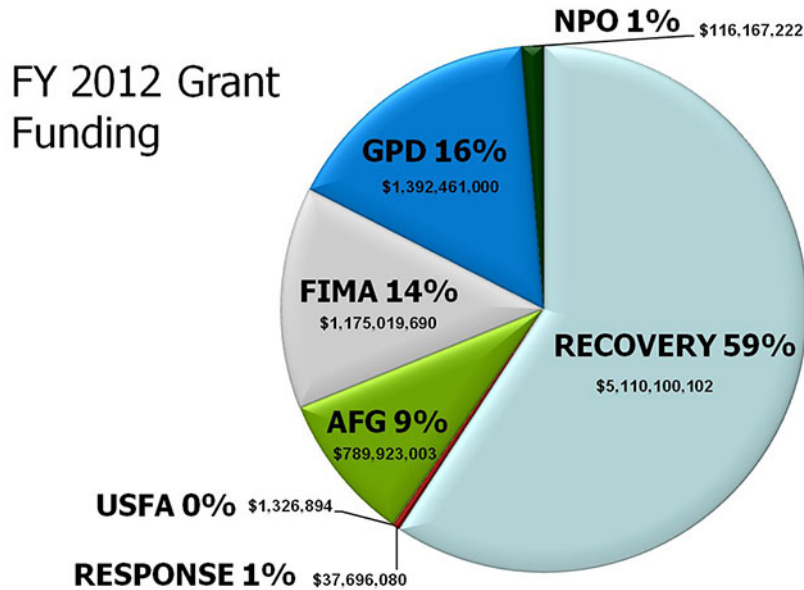
The Federal Government is most successful when it works with State and tribal governments to empower and support them to make decisions and take coordinated action.

FEMA's mission is helping people before, during, and after disasters.

- **Initiative 1:** Foster a Whole Community Approach to Emergency Management Nationally
- **Initiative 2:** Build the Nation's Capacity To Stabilize and Recover From a Catastrophic Event
- **Initiative 3:** Build Unity of Effort and Common Strategic Understanding Among the Emergency Management Team
- **Initiative 4:** Enhance FEMA's Ability To Learn and Innovate as an Organization

The [Strategic Plan](http://www.fema.gov/media-library/assets/documents/160940) can be accessed at [www.fema.gov/media-library/assets/documents/160940](http://www.fema.gov/media-library/assets/documents/160940).

# Visual 39: FEMA Grant Funding



## Key Points

FEMA awards numerous types of grants to assist in developing the capacity to prevent, protect against, prepare for, mitigate the effects of, respond to, and recover from disasters of all kinds. FEMA awarded 4,383 grants for a total of \$8.6 billion for FY 2012.

Directorate	Number of Awards	Amount
Assistance to Firefighters Grants (AFG)	2,352	\$798,923,003
Federal Insurance and Mitigation Administration (FIMA)	629	\$1,175,019,690
Grant Programs Directorate (GPO)	393	\$1,392,461,000
National Preparedness	16	\$116,167,222

Directorate	Number of Awards	Amount
Directorate (NPD)		
Recovery Directorate (Recovery)	898	\$5,110,100,102
Response Directorate (Response)	48	\$37,696,080
Response Directorate (Response)	47	\$1,326,894
<b>Total:</b>	4,383	\$8,631,693,991



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## Visual 40: Types of Federal Assistance

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- Agencies' Own Authorities
- Federal-to-Federal Assistance
- Stafford Act

### Key Points

When an incident occurs that exceeds or is anticipated to exceed State, Tribal, or Local resources, the Federal Government may provide resources and capabilities to support the State response.

Federal support to States and local jurisdictions takes many forms.

- **Agencies' Own Authorities:** Not all Federal response efforts come with Stafford Act funding and the full array of Stafford Act staffing. Some types of assistance—such as the EPA providing decontamination of hazardous material cleanup without regard to declaration status—are performed by Federal departments or agencies under their own authorities and do not require Presidential approval. Finally, Federal departments and agencies may provide immediate lifesaving assistance to States under their own statutory authorities without a formal Presidential declaration.
- **Federal-to-Federal Support:** Federal departments and agencies execute interagency or intra-agency reimbursable agreements, in accordance with the Economy Act or other applicable authorities. Additionally, a Federal department or agency responding to an incident under its own jurisdictional authorities may request DHS coordination to obtain additional Federal assistance.
- **Stafford Act:** The most widely known authority under which assistance is provided for major incidents is the Stafford Act, but there are also occasions on which agencies conduct some response under their own authorities outside of the Stafford Act.

## Visual 41: National Operations Center (NOC)

*DHS Secretary*

NOC Components	
<b>Watch</b>	<ul style="list-style-type: none"> <li>• Multiagency operations 24/7</li> <li>• Monitors national picture</li> <li>• Puts incident in national context</li> </ul>
<b>Intel and Analysis</b>	<ul style="list-style-type: none"> <li>• Provides threat information, analysis, and intelligence</li> <li>• Monitors national intel picture</li> </ul>
<b>Planning Element</b>	<ul style="list-style-type: none"> <li>• Provides national-level planning recommendations to the Secretary</li> <li>• Provides staff support to the domestic readiness policy setting</li> </ul>
<b>NOC-National Infrastructure Coordination Center (NICC) (DHS)</b>	<ul style="list-style-type: none"> <li>• Monitors critical infrastructure.</li> <li>• Supports government and industry partners.</li> </ul>
<b>National Response Coordination Center</b>	

### Key Points

**National Operations Center (NOC):** The Department of Homeland Security NOC is the primary national hub for domestic incident management operational coordination and situational awareness. The NOC is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private-sector reporting. The NOC facilitates homeland security information sharing and operational coordination with other Federal, State, local, tribal, and nongovernment EOCs.

The NOC includes the following elements:

- **The NOC – Interagency Watch (NOC-Watch):** The NOC-Watch is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private-sector reporting. The NOC-Watch facilitates homeland security information sharing and operational coordination with other Federal, State, local, tribal, and nongovernmental EOCs.

- **Intelligence and Analysis (NOC-I&A):** NOC-I&A is responsible for interagency intelligence collection requirements, analysis, production, and product dissemination for DHS. The NOC-I&A provides threat information, analysis, and intelligence to all levels of government. One example of an information gathering effort is the Nationwide Suspicious Activity Reporting Initiative (NSI). You will learn more about NSI in Unit 8.
- **Interagency Planning Element (NOC-Planning):** NOC-Planning conducts strategic-level operational incident management planning and coordination.
- **National Infrastructure Coordination Center (NOC-NICC):** The NOC-NICC monitors the Nation's critical infrastructure (CI) on an ongoing basis. The NOC-NICC supports government and private-sector partners to protect and restore critical infrastructure.

## Key Points

**National Response Coordination Center (NRCC):** The NRCC provides national emergency management coordination, conducts operational planning, deploys national resources, and collects and disseminates incident information as it builds and maintains national situational awareness. The National Response Coordination Staff does the following:

- Maintains situational awareness of specific potential threats or incidents.
- Activates and deploys national teams. Deploys initial response resources and other disaster commodities when required.
- Coordinates with other national operations centers.
- Coordinates support and situational reporting with the Regional Response Coordination Center.
- Collects, validates, analyzes, and distributes incident information.
- Coordinates with the affected region(s) to identify and report initial requirements for Federal assistance.
- Develops National Support Plans to source and address identified resource shortfalls.

**Regional Response Coordination Centers (RRCCs):** Each of FEMA's regional offices maintains an RRCC that:

- Coordinates Federal field response efforts until operational control is assumed at the field level, including:
  - Contacting the State Emergency Operations Center(s) to identify capabilities and anticipate shortfalls to determine initial response requirements.
  - Implementing processes for collecting, analyzing, and disseminating incident information to all appropriate parties.
- Provides a central location for the coordination of response and recovery efforts.
- Develops and issues operations orders to activate individual Emergency Support Functions (ESFs) and regional Incident Management Assistance Teams (IMATs).

After the FCO has assumed control of the field operations, the Regional Response Coordination Staff will:

- Maintain situational awareness of the incident.

- Develop and implement regional catastrophic plans as needed to source and address identified resource shortfalls for complex or multiple incidents.

Contact information for the [FEMA regional offices](#) is available at <https://www.fema.gov/regional-contact-information>.

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## Visual 42: Joint Field Office (JFO)

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- Joint Field Office (JFO)
- Unified Coordinating Group (UCG)
- Federal Coordinating Officer (FCO)
- State Coordinating Officer (SCO)
- Governors Authorized Representative (GAR)
- Disaster Recovery Center (DRC)

### Key Points

The Joint Field Office (JFO) is:

- The primary Federal incident management field structure used to coordinate Federal, State, tribal, and local governments and private-sector businesses and nongovernmental organizations (NGOs) with primary responsibility for response and short-term recovery. Personnel from Federal and State departments and agencies, other jurisdictional entities, and private-sector businesses and NGOs may be requested to staff various levels of the JFO, depending on the requirements of the incident.
- Organized, staffed, and managed in a manner consistent with NIMS principles.
- Led by the Unified Coordination Group.

The Unified Coordination Group may consist of the Federal Coordinating Officer (FCO), State Coordinating Officer (SCO), tribal/local government representatives, other senior officials (e.g., the Senior Health Official or Senior Federal Law Enforcement Official if assigned), and nongovernmental/private-sector representatives.

Within the Unified Coordination Group, the FCO is the primary Federal official responsible for coordinating, integrating, and synchronizing Federal response activities.

In the JFO Structure there are matching positions to the ICS. The matching positions show Federal and Local/State interconnectivity between counterparts. This interconnectivity helps ensure joint planning and the development of objectives.

### Key Points

By authority and direction of Public Law 93-288, as amended, the President appoints the FCO to manage the Federal response, recovery, and mitigation operations for each Presidentially declared disaster or emergency. The FCO executes Stafford Act authorities, including the commitment of FEMA resources and mission assignment of other Federal departments or agencies.

In all cases, the FCO represents the FEMA Administrator in the field to discharge all FEMA responsibilities for the response and recovery efforts underway. For Stafford Act events, the FCO is the primary Federal representative with whom the State Coordinating Officer and other State, tribal, and local response officials interface to determine the most urgent needs and set objectives for an effective response in collaboration with the Unified Coordination Group.

The FCO is responsible for the following activities:

- Government and Intergovernmental Coordination:
  - Establishes the Federal presence as the President's representative at the disaster site.
  - Coordinates the relationships among Federal, State, and local personnel in concert with the SCO.
  - Advises the Governor on the status of the Federal response.
  - Establishes response and recovery operations with the SCO.
  - Alerts, coordinates, and directs other Federal agencies to support the State in identifying and meeting disaster needs.
  - Establishes an effective communications network with State and local agencies.
- Assessment of Disaster Needs:
  - Assesses damage and identifies and prioritizes needs in collaboration with the SCO.
  - Identifies the full range of programs and resources required to carry out the immediate response and long-term recovery.
- Establishment of a JFO and DRCs:
  - In coordination with the SCO, the FCO:
    - Establishes a JFO and DRCs.
    - Coordinates and monitors assistance programs.
    - Disseminates information.
    - Advises individuals, families, and businesses concerning available assistance.
    - Locates JFO and Recovery Center sites, to the extent feasible, in areas most heavily affected by the disaster.
    - Identifies staffing and other resource requirements.
    - Establishes an environment of compassion, assurance, efficiency, and expediency in all disaster assistance activities.
- Program Delivery:
  - Coordinates the administration of relief, including activities of:
    - State and local governments.
    - The American Red Cross, Salvation Army, Mennonite Disaster Service, and other voluntary relief organizations that agree to operate under the FCO's advice and direction.
  - Through the reimbursable mission assignment mechanism, requests the DRM to task other Federal agencies to provide lifesaving and other emergency services, and to otherwise support disaster operations. FCOs are granted DRM authority by the Regional Administrator.
  - Works with the DRM and Regional Administrator to implement appropriate financial controls to coordinate and monitor Federal program and administrative activities.
  - Coordinates activities of Federal agencies:

- Undertakes appropriate action to ensure that all Federal agencies are carrying out their appropriate disaster assistance roles under their own legislative authorities and operational policies.
- Works with Federal agencies to establish individual agency program goals and monitors agencies' progress toward achieving those goals.

## Key Points

**Governor's Authorized Representative (GAR):** The GAR is designated in the FEMA/State Agreement after the President declares a major disaster under the provisions of the Stafford Act.

- The GAR provides executive oversight and direction of the disaster or emergency response and recovery on behalf of the Governor. The GAR executes all the necessary documents on behalf of the State. Each State's GAR will respond to the desires of the Governor.
- The GAR is responsible for the following activities:
  - Implementing the State's Emergency Plan.
  - Activating State departments and agencies.
  - Executing the Governor's emergency decisions.
  - Directing the activities of the State Coordinating Officer.
  - Establishing strategic response and recover strategies.
  - Ensuring that the State maintains control.

**State Coordinating Officer (SCO):** Following a Stafford Act declaration, the Governor of the affected State appoints an SCO to coordinate State disaster assistance efforts with those of the Federal Government.

- The SCO is identified in the Governor's request for an emergency or a major disaster declaration.
- The SCO provides operational oversight and direction of the disaster or emergency on behalf of the GAR. The SCO converts the GAR's strategic guidance into tactical plans, executes them on behalf of the State, and responds to the desires of the Governor.
- The SCO is responsible for the following activities:
  - Interfacing with the FCO.
  - Directing activities for State departments and agencies.
  - Integrating State, Federal, local, tribal, and voluntary agencies' actions.
  - Coordinating response and recovery operations.
  - Establishing priorities.

The GAR and the SCO may be the same person or different people.

The designation may be permanent or may occur at the time of the emergency.

A minimum number of alternate or assistant GARs and SCOs should be designated so that 24-hour operations can be conducted.

## Visual 43: Winter Storm Scenario



NWS Photo 2016

### Case Study: Putting It All Together

#### Instructions:



#### Activity

1. Review the effect from the January 2016 blizzard.
2. For the assigned role, identify:
  - What departments from your organization would be involved in the storm response.
  - Resources or capabilities the departments could provide.
3. Record your answers and be prepared to participate in a class discussion.

## CASE STUDY: PUTTING IT ALL TOGETHER

#### Effects:

- Seven states observed snowfall in excess of 30 inches with accumulations peaking at 42 inches in Glengary, WV.
- The storm ranked as a Category 5 "extreme" event for the Northeast on the regional snowfall index and a Category 4 for the Southeast.
- Approximately 103 million people were affected by the storm with 33 million people under blizzard warnings.
- At least 55 people were killed in storm-related incidents: 12 in VA, 9 in PA, 6 in NJ, 6 in NY, 6 in NC, 4 in SC, 3 in MD, 3 in Washington, D.C., 1 each in AK, DE, GA, KY, MA, and OH.



- The governors of DE, GA, KY, MD, NY, NJ, NC, VA, PA, TN, WV, and the mayor of Washington, D.C. declared a state of emergency.
- Total economic losses are estimated between \$500 million and \$3 billion.
- Public transportation systems in Washington, DC; Richmond, VA; Philadelphia, PA; and New York City were closed. Many roads, including main interstates, were closed. More than 13,000 flights were cancelled in relation to the storm. A travel ban was instituted in many areas including New York City and Newark, NJ.
- Thousands of National Guardsmen were placed on standby and many were activated to help with response and recovery activities.
- States deployed millions of gallons of brine and thousands of tons of road salt to lessen the storm's effect on roadways.
- Throughout the affected region, over 631,000 people lost power: 270,000 in NJ; 147,000 in NC; 66,000 in GA; 55,000 in VA; 47,000 collectively in DE and MD; and nearly 30,000 in SC.
- Schools and government offices remained closed through 26 January in Washington, D.C., as well as schools in Baltimore, MD, and Philadelphia, PA.
- Side streets in the D.C. area were unplowed through 26 January and through 27 January, Washington, D.C. police issued \$1,078,000 worth of parking tickets and \$65,600 in fines for vehicles parked or abandoned on snow emergency routes; at least 656 vehicles were towed.
- President Obama declared DE, MD, NJ, PA, VA, and Washington, D.C. major disaster areas for Public Assistance. Preliminary estimates placed the total cost of assistance at \$168M.
- Strong winds coupled with prolonged onshore flow resulted in a major coastal flood threat for several states. Record-high waves prompted the evacuation of several communities in NJ and DE.
- 21 – 22 January brought severe thunderstorms with damaging winds and hail (up to 2.75” diameter to portions of LA, MS, AL, and FL. Five tornadoes and straight-line winds affected across MS.
- Snow fell across several southeastern states (AK, TN, KY, WV) which had downed power lines/electrical outages and traffic problems.

## Roles

- Federal
- State
- Local
- Tribal
- NGO
- Private

## Visual 44: Activity 7.3 – Federal and State Contacts (Pre-Work)

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Instructions: Working individually...

- Complete the Federal and State contact worksheet in your Pre-Work.

### Key Points

**Instructions:**

Working individually, complete the Federal and State contacts worksheet in your pre-work.

## Visual 45: Unit Summary

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The following key points were presented in this unit:

1. Explain the importance of engaging the whole community in emergency management.
2. Describe the emergency management roles and responsibilities of local entities, including:
  - Nongovernmental organizations.
  - The private sector.
  - Local government.
3. Describe the emergency management roles and responsibilities of tribal government.
4. Describe the emergency management roles and responsibilities of State and territorial government.
5. Describe the emergency management roles and responsibilities of the Federal Government.
6. Apply knowledge of emergency management roles at all levels in an exercise context.

### Key Points

The following key points were presented in this unit:

- Engaging all partners leads to a better-prepared community, more effective response, and quicker recovery
- Incidents should be managed at the lowest possible jurisdictional level

Local emergency management is a partnership of:

- Individuals and households
  - Nongovernmental organizations
  - The private sector
  - Elected or appointed officials
  - Emergency management professionals and public servants
- Establishing relationships with tribal leaders includes understanding the protocols and respecting the sovereignty of the tribe.
  - State and territorial governments:
    - Supplement and facilitate local efforts before, during, and after incidents.
    - Provide direct and routine assistance to their local jurisdictions through emergency management program development.
    - Coordinate with tribal leaders, other States, and Federal officials.
    - Must be prepared to provide rapid support and resources.

The Federal Government:

- Provides needed resources, data, intelligence, and leadership

- Supports the whole community in preventing, protecting against, mitigating, responding to, and recovering from all threats and hazards

## Visual 46: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

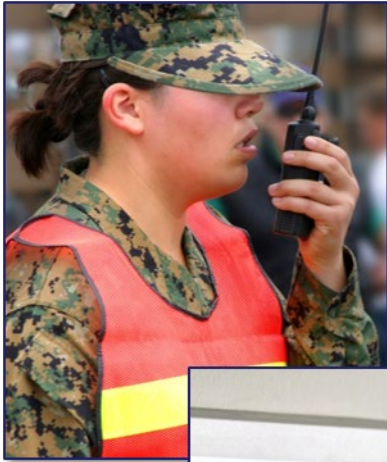
Please provide your feedback on this unit.

# Unit 8: Prevention and Protection

# Visual 1: Prevention and Protection

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Mission Areas: Prevention and Protection



## Key Points

This unit presents information about planning frameworks, guiding principles, core capabilities and critical tasks, and planning considerations for each mission area.

This unit contains the following sections:

Unit	Time
Mission Areas: Prevention and Protection <ul style="list-style-type: none"><li>• Activity 8.1 – Prevention and Protection Roles and Responsibilities</li><li>• Video - NIPP</li><li>• Activity 8.2 - Prevention and Protection Policies, Plans, and Procedures (Pre-Work)</li></ul>	1 hour <ul style="list-style-type: none"><li>• 10 minutes</li><li>• 2 minutes</li><li>• 10 minutes</li></ul>
<b>Total Unit Time:</b>	<b>1 hour</b>



## Visual 2: Terminal Objective

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To describe key aspects of the Prevention and Protection mission areas, including:

- The nature of the missions.
- Guiding principles.
- Planning issues.



Review the unit objectives.

### Key Points

The goal of this unit is to enable you to describe key aspects of the Prevention and Protection mission areas, including the nature of the missions, guiding principles, and planning issues.

The objectives for this unit are listed below.

- Indicate how prevention and protection support preparedness.
- Explain the guiding principles for prevention and protection.
- Identify planning issues for prevention and protection.

## Visual 3: "Imminent Threat"

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A terrorist threat is considered imminent if intelligence or operational information warns of a credible, specific, and impending terrorist threat or ongoing attack against the United States that is sufficiently specific and credible to recommend implementation of additional measures to thwart an attack.

### Key Points

As stated earlier, prevention involves ensuring we are optimally prepared to prevent an imminent terrorist attack. In this context, "imminent" has a specific meaning:

A terrorist threat is considered imminent if intelligence or operational information warns of a credible, specific, and impending terrorist threat or ongoing attack against the United States that is sufficiently specific and credible to recommend implementation of additional measures to thwart an attack.

(Source: National Prevention Framework)

## Visual 4: Prevention vs. Protection

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**What is the difference between the two?**

### Prevention vs. Protection (Continued)

Prevention involves ensuring we are optimally prepared to prevent an imminent terrorist attack.

Protection involves safeguarding the homeland against acts of terrorism and manmade or natural disasters.

#### **“Prevent Terrorism, Protect Us”**

Prevention and Protection are two closely related mission areas:

- Prevention involves ensuring we are optimally prepared to prevent an imminent terrorist attack.
- Protection involves safeguarding the homeland against acts of terrorism and manmade or natural disasters.

(Source: National Preparedness Goal)

A good way to remember the difference is “Prevent Terrorism, Protect Us.”

## Visual 5: Mission Area: Prevention and Protection

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Mission Area: Prevention

### Key Points

Let's begin with the Prevention and Protection mission area.

## Visual 6: Types of Threats

What are some examples of threats that would fall within the Prevention mission area?

### Key Points

Examples of each type of threat are listed in the following table:

Threat Type	Examples	
<b>Natural</b>	<ul style="list-style-type: none"> <li>• Animal disease outbreak</li> <li>• Earthquake</li> <li>• Flood</li> <li>• Human pandemic outbreak</li> <li>• Hurricane</li> </ul>	<ul style="list-style-type: none"> <li>• Space weather</li> <li>• Tsunami</li> <li>• Volcanic eruption</li> <li>• Wildfire</li> </ul>
<b>Technological/Accidental</b>	<ul style="list-style-type: none"> <li>• Biological food contamination</li> <li>• Chemical substance spill or release</li> </ul>	<ul style="list-style-type: none"> <li>• Dam failure</li> <li>• Radiological substance release</li> </ul>
<b>Human-Caused</b>	<ul style="list-style-type: none"> <li>• Aircraft as a weapon</li> <li>• Armed assault</li> <li>• Biological terrorism attack (non-food)</li> <li>• Chemical/biological food contamination terrorism attack</li> </ul>	<ul style="list-style-type: none"> <li>• Chemical terrorism attack (non-food)</li> <li>• Cyber attack against data</li> <li>• Cyber attack against physical infrastructure</li> <li>• Explosives terrorism attack</li> <li>• Nuclear terrorism attack</li> <li>• Radiological terrorism attack</li> </ul>

## Visual 7: Guiding Principles

- **Engaged Partnerships:** The whole community has a key role to play in terrorism prevention through engaged partnerships.
- **Scalability, Flexibility, Adaptability:** Preventing a terrorist attack requires a unified effort in a time-constrained environment.
- **Readiness To Act:** Core capabilities must be scalable, flexible, and adaptable and executed as needed to address the full range of threats as they evolve.



### Guiding Principles for Prevention

#### Key Points

The desired end-state of the Prevention mission area is a Nation optimally prepared to prevent an imminent terrorist attack within the United States.

To achieve this end-state, the Framework sets out three principles that guide development and execution of the core capabilities for Prevention: Engaged Partnerships; Scalability, Flexibility, and Adaptability; and Readiness To Act.

These principles are described in the following table.

#### Guiding Principles for Prevention

Principle	Description
<b>Engaged Partnerships</b>	<b>The whole community has a key role to play in terrorism prevention through engaged partnerships.</b> The prevention of terrorism is a shared responsibility among the various Federal, State, local, and nonprofit and private-sector entities that comprise the whole community. Each level of government must play a prominent role in building capabilities, developing plans, and conducting exercises in preparation for preventing an imminent terrorist attack. In addition, individuals, nonprofit and private-sector entities and international partners can all provide critical assistance.
<b>Scalability, Flexibility, and Adaptability</b>	<b>Core capabilities must be scalable, flexible, and adaptable and executed as needed to address the full range of threats as they evolve.</b> Depending on the

Principle	Description
	nature, scope, or location of the threat, officials from all levels of government may elect to execute some or all core capabilities covered in the Framework. The coordinating structures outlined in the Framework can be tailored and leveraged to marshal the appropriate core capabilities to defeat the threat.
<b>Readiness To Act</b>	<b>Preventing a terrorist attack requires a unified effort in a time-constrained environment.</b> Therefore, to be prepared to prevent terrorism, the whole community must preemptively build and maintain the appropriate core capabilities prior to a threat, and proactively deliver core capabilities in a coordinated fashion once a threat is identified.

## Visual 8: Guiding Principles

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**Resilience, Scalability, Sustainability:** Executing scalable and sustainable activities to reduce the impact and duration of events.

**Risk-Informed Culture:** Building on vigilance, situational awareness, information sharing, and risk-informed decision making.

**Shared Responsibility:** Sharing responsibility through engaged partnerships and integrated processes.

### Key Points

The following principles guide Protection mission activities and related core capabilities:

- **Resilience, Scalability, and Sustainability.** Effective Protection capabilities, mission activities, plans, programs, policies, and practices together minimize the risks from all threats and hazards through:
  - Increasing resilience by reducing the impact and/or duration of disruptive events on organizations and communities.
  - Executing scalable and sustainable capabilities and activities to meet unforeseen, unmet, and evolving needs of varying geographic scope, complexity, and intensity, without compromising the ability to address continuing and future needs.
- **Risk-Informed Culture.** A risk-informed culture supports Protection activities and capabilities and requires:
  - Vigilance and situational awareness through a comprehensive understanding of current, evolving, and emerging threats and hazards and the relative risk they pose.
  - Information sharing and risk-informed decision making through sharing appropriate, accessible, and timely information to allow for the ongoing analysis of risks and assessment of effective practices.
- **Shared Responsibility.** Protection is most effective as a shared responsibility within:
  - Engaged partnerships to exchange ideas, approaches, and effective practices; facilitate security planning and resource allocation; establish effective coordinating structures among partners; and build public awareness.
  - Integrated processes across all levels of government and with private-sector partners to more effectively achieve the shared vision of a safe and secure Nation.



## Visual 9: Discussion: Protection Activities

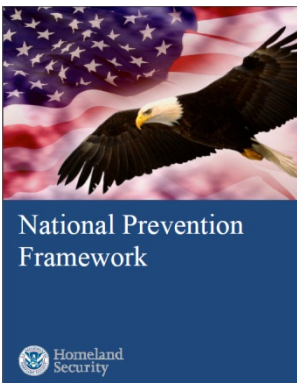
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How does prevention and protection support preparedness?

## Visual 10: National Prevention Framework

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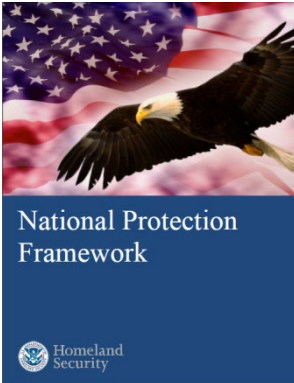
Describes what the whole community must do upon discovery of an imminent threat in order to thwart an initial or follow-on terrorist attack.

### Key Points

The National Prevention Framework describes what the whole community—from observant citizens to senior leaders in government—must do upon discovery of intelligence or information regarding an imminent threat to the homeland in order to thwart an initial or follow-on terrorist attack.

## Visual 11: National Protection Framework

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Provides the unifying principles and strategies required to safeguard the Nation against acts of terrorism and human-caused or natural disasters.

### Key Points

The National Protection Framework, will:

- Provide the unifying principles and strategies required to safeguard the Nation against acts of terrorism and human-caused or natural disasters.
- Describe the core capabilities, roles and responsibilities, and coordinating structures that facilitate the protection of individuals, communities, and the Nation as a whole.
- Focus on Protection activities that take place during both steady-state and enhanced steady-state conditions.
  - **Steady-state activities** take place during routine, normal, day-to-day operations.
  - **Enhanced steady-state activities** are those that take place during temporary periods of heightened alert when a threat is believed to be imminent, during periods of incident response, or in support of planned events in which additional, or enhanced, Protection activities are needed.

## Visual 12: Planning Assumptions

---

- Capabilities of the whole community will play a critical role in preventing an imminent terrorist attack.
- A terrorist attack will occur with little or no warning and involve multiple geographic areas.
- Multiple, near simultaneous terrorist attacks will exceed the capabilities of any one entity.



### Key Points

Assumptions for prevention planning include the following:

- The capabilities of individuals and households, communities and community organizations, private and nonprofit sector entities, and local, State, tribal, and territorial government entities will play a critical role in preventing an imminent terrorist attack.
- A terrorist attack will occur with little or no warning and involve multiple geographic areas.
- Multiple, near-simultaneous terrorist attacks will exceed the capabilities of any one entity.

## Visual 13: Planning Considerations

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Provisions for:

- Rapidly integrating resources and personnel
- Managing multiple, geographically dispersed attacks of an extended nature
- Simultaneously executing prevention plans with other plans



### Key Points

Plans should also do the following:

- Include specific provisions for the rapid integration of resources and personnel.
- Account for multiple, geographically dispersed attacks of an extended nature.
- Explain how Prevention plans may be executed simultaneously with other plans.

### Key Points

Local, State, tribal, territorial, Federal, and private-sector planning efforts supporting the National Prevention Framework should address the following:

- Collaboration with all relevant stakeholders
- Understanding the situation expected during the intended operation
- A detailed concept of operations that explains how Prevention operations during an imminent threat will be executed in a coordinated fashion
- A description of critical tasks
- A description of roles and responsibilities
- Resource and personnel requirements

Note: Planning looks different from Federal to local.

## Visual 14: Emergency Operations Plan (EOP) Planning Considerations

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- Using available resources to avert threats and hazards.
- Estimating resources available from the whole community, with emphasis on innovative and nongovernmental solutions.
- Sharing resources available through mutual aid agreements
- Coordinating with planning partners to identify the most efficient and effective ways to invest in capability development
- Accounting for past resource depletion rates to identify potential resource gaps over time .



### Key Points

Planning partners should consider the following:

- Coordinating planning activities across the whole community to ensure that required resources are and will be available when needed, particularly if those resources can be used to avert a threat or hazard.
- Estimating available resources from the whole community. Considering the full range of resources helps to maximize unity of effort and reduce costs and time of delivery. Emphasis should be placed on innovative and nongovernmental solutions.
- Entering into mutual aid agreements to share resources.
- Coordinating and analyzing requirements using common planning assumptions, risk assessments, and/or scenarios. This coordination helps planners to identify which investments in capabilities will most effectively address the threat or hazard and to use resources most efficiently.
- Taking into consideration resource depletion rates incurred in previous or multiple events to identify potential gaps in resources over time.

## Visual 15: Agency Specific Planning

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- Focus on agency's tasks in a separate section of the EOP
- Includes lead and support agency sections and hazard-specific procedure



### Key Points

#### Agency Specific Planning:

- Focus on agency's tasks in a separate section of the EOP
- Includes lead and support agency sections and hazard-specific procedure

Separate lead and support agency sections discuss the emergency functions completed by individual departments, agencies, and nongovernmental partners. Each individual agency section still needs to refer to other agency sections to ensure coordination with their respective emergency management strategies. The hazard-specific procedures section addresses the unique preparedness, response, and recovery strategies relevant to each department or agency for specific disaster types. The hazard-specific procedures can immediately follow each agency section or be attached as a separate chapter to the plan. This format allows EOP users to review only those procedures specific to their agency without having to review other agencies' response tasks. The individual sections still reference the unique relationships that need to exist with other agencies during a disaster; however, they do not contain details on the other departments' or agencies' strategies. If needed, the plan users can go to the other departments' or agencies' sections and review their procedures to understand the bigger picture. The level of detail provided in each section varies according to the needs of the specific department or agency. Agencies or departments with detailed SOPs/SOGs may not need much information in their portion of the plan, while others may need to provide more details in the EOP.

# Visual 16: Protection Mission Activities

Community and Infrastructure Protection  
 Transportation and Transborder Security  
 Protection of Key Leadership and Events



Protection Mission Activities

## Key Points

The Protection mission activities can be grouped into three categories: Community and Infrastructure Protection, Transportation and Transborder Security, and Protection of Key Leadership and Events.

The mission activities listed on the visual are described in the table on the next page.

## Protection Mission Activities

	Community and Infrastructure Protection
<b>Agriculture and Food</b>	Defend agriculture and food networks and systems from all-hazards threats and incidents.



	Community and Infrastructure Protection
<b>Critical Infrastructure Protection</b>	Protecting the physical, cyber, and human elements of critical infrastructure. This includes actions to deter the threat, reduce vulnerabilities, and minimize the consequences associated with a terrorist attack, natural disaster, or manmade disaster.
<b>Defense Against WMD Threats</b>	Protect against threats associated with WMD and related materials and technologies including their malicious acquisition, movement, and use.
<b>Cybersecurity</b>	Secure the cyber environment against or from damage, unauthorized use, or malicious exploitation while protecting infrastructure, civil rights, individual privacy, and other civil liberties.
<b>Health Security</b>	Secure the population in the face of health threats or incidents with potentially negative health consequences.

	Transportation and Transborder Security
<b>Border Security</b>	Secure air, land, and sea borders against the illegal flow of people and goods while facilitating the flow of lawful travel and commerce.
<b>Immigration Security</b>	Secure the Nation from illegal immigration through effective, efficient immigration systems and processes that respect human rights.
<b>Maritime Security</b>	Secure maritime infrastructure, resources, and the marine transportation system from terrorism and other threats and hazards and securing the homeland from an attack from the sea, while enabling legitimate travelers and goods to efficiently move without fear of harm, violation of civil rights, reduction of civil liberties, or disruption of commerce.
<b>Transportation Security</b>	Secure transportation systems against terrorism and other threats and hazards while enabling legitimate travelers and goods to move without significant disruption of commerce, undue fear of harm, violation of civil rights, or loss of civil liberties.

	Protection of Key Leadership and Events
	Protect key leadership from hostile acts by terrorists and other malicious actors and ensuring security at events of national significance.

## Visual 17: Core Capabilities for Protection

- Intelligence and Information Sharing
- Interdiction and Disruption
- Screening, Search, and Detection
- Access Control and Identity Verification
- Cybersecurity
- Physical Protective Measures
- Risk Management for Protection Programs and Activities
- Supply Chain Integrity and Security
- Planning
- Public Information and Warning
- Operational Coordination



### Critical Tasks for Protection

### Key Points

Completing critical tasks, such as those listed in the following table, helps the jurisdiction build the identified capabilities for protection.

### Examples of Critical Tasks for Protection

Core Capability	Examples of Critical Tasks
<b>Intelligence and Information Sharing</b>	<ul style="list-style-type: none"> <li>• Monitor, detect, and analyze threats and hazards to public safety, health, and security, which includes:               <ul style="list-style-type: none"> <li>• Participation in local, State, tribal, territorial, regional, and national education and awareness programs.</li> <li>• Participation in the routine exchange of security information—including threat assessments, alerts, attack indications and warnings, and advisories—among partners.</li> </ul> </li> <li>• Develop or identify and provide access to mechanisms and procedures for intelligence and information sharing between the public, private sector, and government Protection partners.</li> <li>• Using intelligence processes, produce and deliver</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>relevant, timely, accessible, and actionable intelligence and information products to others as applicable, to include partners in the other mission areas.</p> <ul style="list-style-type: none"> <li>• Adhere to appropriate mechanisms for safeguarding sensitive and classified information.</li> </ul>
<b>Interdiction and Disruption</b>	<ul style="list-style-type: none"> <li>• Interdict conveyances, cargo, and persons associated with an imminent threat or act.</li> <li>• Prevent movement and operation of terrorists into or within the United States and its territories.</li> <li>• Render safe CBRNE threats.</li> <li>• Implement public health measures to mitigate the spread of disease threats abroad and prevent disease threats from crossing national borders.</li> <li>• Disrupt terrorist financing or conduct counter-acquisition activities to prevent weapons, precursors, related technology, or other material support from reaching its target.</li> <li>• Enhance visible presence of law enforcement to deter or disrupt threats from reaching potential target(s).</li> <li>• Employ wide-area search and detection assets in targeted areas in concert with Local, State, Tribal, and Territorial personnel or other Federal agencies (depending on the threat).</li> </ul>
<b>Screening, Search, and Detection</b>	<ul style="list-style-type: none"> <li>• Locate persons and criminal or terrorist networks associated with a potential threat.</li> <li>• Develop and engage an observant Nation (individuals, families, and communities; Local, State, Tribal, and Territorial government; and private-sector partners).</li> <li>• Screen persons, baggage, mail, cargo, and conveyances using technical, nontechnical, intrusive, and nonintrusive means. Consider additional measures for high-risk persons, conveyances, or items.</li> <li>• Conduct physical searches.</li> <li>• Conduct CBRNE search and detection operations. <ul style="list-style-type: none"> <li>• Conduct ambient and active detection of CBRNE agents.</li> </ul> </li> </ul>

Core Capability	Examples of Critical Tasks
	<ul style="list-style-type: none"> <li>• Operate safely in a hazardous environment.</li> <li>• Conduct technical search and detection operations.</li> <li>• Consider deploying Federal teams and capabilities to enhance Local, State, Tribal, and Territorial efforts, including use of incident assessment and awareness assets.</li> <li>• Conduct bio-surveillance of medical threats and hazards.</li> </ul>
<b>Access Control and Identity Verification</b>	<ul style="list-style-type: none"> <li>• Verify identity to authorize, grant, or deny physical and cyber access to physical and cyber assets, networks, applications, and systems that could be exploited to do harm.</li> <li>• Control and limit access to critical locations and systems to authorized individuals carrying out legitimate activities.</li> </ul>
<b>Cybersecurity</b>	<ul style="list-style-type: none"> <li>• Implement physical protections, countermeasures, and policies to protect physical and cyber assets, networks, applications, and systems that could be exploited to do harm.</li> <li>• Secure, to the extent possible, unclassified Federal Government networks and critical infrastructure (e.g., financial systems, power grid systems, water systems, transportation networks), through risk assessment, mitigation, and incident response capabilities.</li> <li>• Share actionable cyber threat information with domestic and international government and private-sector partners, before a cyber incident occurs.</li> <li>• Implement risk-informed guidelines, regulations, and standards to ensure the security, reliability, integrity, and availability of critical information, records, and communications systems and services through collaborative cybersecurity initiatives and efforts.</li> <li>• Detect malicious activity and conduct technical and investigative-based countermeasures, mitigation activities, and operations against malicious actors to counter existing and emerging cyber-based threats.</li> </ul>

Core Capability	Examples of Critical Tasks
<p><b>Physical Protective Measures</b></p>	<ul style="list-style-type: none"> <li>• Identify and prioritize assets, systems, networks, and functions that need to be protected.</li> <li>• Identify needed physical protections, countermeasures, and policies through a risk assessment of key operational activities and infrastructure.</li> <li>• Develop and implement security plans, including business continuity plans, that address identified security risks.</li> <li>• Develop and implement risk-based physical security measures, countermeasures, policies, and procedures.</li> <li>• Implement security training for workers, focused on awareness and response.</li> <li>• Develop and implement biosecurity and biosafety programs and practices.</li> <li>• Leverage Federal acquisition programs, as appropriate, to ensure maximum cost efficiency, security, and interoperability of procurements.</li> </ul>
<p><b>Risk Management for Protection Programs and Activities</b></p>	<ul style="list-style-type: none"> <li>• Gather required data in a timely and accurate manner to effectively identify risks.</li> <li>• Obtain and use appropriate threat, vulnerability, and consequence tools to identify and assess threats, vulnerabilities, and consequences.</li> <li>• Conduct vulnerability assessments and risk analyses of appropriate assets, systems, networks, functions, and their interdependencies and shared vulnerabilities.</li> <li>• Build the capability within communities to analyze and assess risk and resilience.</li> <li>• Identify, implement, and monitor risk management plans.</li> <li>• Update risk assessments to reassess risk based on changes in the following areas: the physical environment, aging infrastructure, new development, new mitigation projects and initiatives, post-event verification/validation, new technologies or improved methodologies, and better or more up-to-date data.</li> <li>• Validate, calibrate, and enhance risk assessments by relying on experience, lessons learned, and knowledge</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>beyond raw data or models.</p> <ul style="list-style-type: none"> <li>• Use risk assessments to design exercises for Protection activities and to determine the feasibility of Mitigation projects and initiatives.</li> <li>• Engage in a peer-to-peer mentoring structure that promotes effective practices.</li> </ul>
<p><b>Supply Chain Integrity and Security</b></p>	<ul style="list-style-type: none"> <li>• Integrate security processes into supply chain operations to identify items of concern and resolve them as early in the process as possible.</li> <li>• Use risk management principles to identify, mitigate vulnerabilities of, and protect key assets, infrastructure, and support systems.</li> <li>• Implement physical protections, countermeasures, and policies to secure and make resilient key nodes, methods of transport between nodes, and materials in transit.</li> <li>• Use verification and detection capabilities to identify goods that are not what they are represented to be, are contaminated, are not declared, or are prohibited; and to prevent cargo from being compromised or misdirected as it moves through the system.</li> <li>• Use layers of defense to protect against a diverse range of traditional and asymmetric threats. These layers include: intelligence and information analysis; appropriate use of technology; effective laws, regulations, and policies; properly trained and equipped personnel; and effective partnerships.</li> </ul>
<p><b>Planning</b></p>	<ul style="list-style-type: none"> <li>• Initiate a flexible planning process that builds on existing plans.</li> <li>• Establish partnerships, facilitate coordinated information sharing between partners, and enable planning and protection of critical infrastructure within the jurisdiction.</li> <li>• Implement measures to identify and prioritize critical infrastructure and determine risk.</li> <li>• Conduct vulnerability assessments, perform risk analyses, identify capability gaps, and coordinate protective measures on an ongoing basis in conjunction</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>with the private sector and local, State, tribal, territorial, and Federal organizations and agencies.</p> <ul style="list-style-type: none"> <li>• Implement protection, resilience, and continuity plans and programs, train and exercise, and take corrective actions.</li> <li>• Develop and implement progress measures and communicate adjustments and improvements to applicable stakeholders and authorities.</li> </ul>
<p><b>Public Information and Warning</b></p>	<ul style="list-style-type: none"> <li>• Establish mechanisms and provide the full spectrum of support necessary for appropriate and ongoing information sharing among all levels of government, the private sector, nongovernmental organizations, and the public.</li> <li>• Promptly share actionable measures with the public and among all levels of government, the private sector, and nongovernmental organizations.</li> <li>• Leverage all appropriate communication means, such as the Integrated Public Alert and Warning System (IPAWS), National Terrorism Advisory System (NTAS), and social media sites and technology.</li> </ul>
<p><b>Operational Coordination</b></p>	<ul style="list-style-type: none"> <li>• Collaborate with all relevant Protection partners.</li> <li>• Establish clear lines and modes of communication among participating organizations and jurisdictions.</li> <li>• Define and communicate clear roles and responsibilities relative to courses of action.</li> <li>• Integrate and synchronize actions of participating organizations and jurisdictions to ensure unity of effort.</li> <li>• Determine jurisdictional priorities, objectives, strategies, and resource allocations.</li> <li>• Coordinate across and among all levels of government and with critical nongovernmental and private-sector partners to protect against potential threats, conduct law enforcement investigations, and/or engage in enforcement and protective activities based on jurisdictional authorities.</li> <li>• Coordinate with appropriate partners in other mission</li> </ul>



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Core Capability	Examples of Critical Tasks
	areas.

## Visual 18: Core Capabilities for Prevention

- Intelligence and Information Sharing
- Screening, Search, and Detection
- Interdiction and Disruption
- Forensics and Attribution
- Planning
- Public Information and Warning
- Operational Coordination



### Critical Tasks for Prevention

### Key Points

Core capabilities for the Prevention mission area are listed on the visual. Completing critical tasks helps the jurisdiction build the identified capabilities for prevention. Examples of critical tasks are listed in the table below.

### Examples of Critical Tasks for Prevention

Core Capability	Examples of Critical Tasks
Intelligence and Information Sharing	<ul style="list-style-type: none"> <li>• <b>Planning and Direction:</b> Establish the intelligence and information requirements of the consumer.               <ul style="list-style-type: none"> <li>• Rapidly reprioritize law enforcement and intelligence assets, as necessary and appropriate.</li> <li>• Engage with public- and private-sector partners in order to determine what intelligence and information assets may be available for reprioritization.</li> <li>• Request additional intelligence requirements through avenues such as law enforcement deployment, questioning of witnesses and suspects, increased surveillance activity, and community policing and outreach.</li> </ul> </li> <li>• <b>Collection:</b> Gather the required raw data to</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>produce the desired finished intelligence and information products.</p> <ul style="list-style-type: none"> <li>• Gather/collect information via law enforcement operations, suspicious activity reporting, surveillance, community engagement, and other activities and sources as necessary.</li> <li>• <b>Exploitation and Processing:</b> Convert raw data into comprehensible information.</li> <li>• <b>Analysis and Production:</b> Integrate, evaluate, analyze, and prepare the processed information for inclusion in the finished product.</li> <li>• <b>Dissemination:</b> Deliver finished intelligence and information products to the consumer and others as applicable. <ul style="list-style-type: none"> <li>• Develop appropriately classified/unclassified products to disseminate threat information to local, State, tribal, territorial, Federal, international, private and nonprofit sector, and public partners.</li> </ul> </li> <li>• <b>Feedback and Evaluation:</b> Acquire continual feedback during the intelligence cycle that aids in refining each individual stage and the cycle as a whole.</li> <li>• <b>Assessment:</b> Continually assess threat information to inform continued Prevention operations and ongoing Response activities.</li> </ul>
Screening, Search, and Detection	<ul style="list-style-type: none"> <li>• Locate persons and networks associated with imminent terrorist threats.</li> <li>• Develop and engage an observant Nation (i.e., individuals; families; communities; local, State, tribal, and territorial partners; and industry).</li> <li>• Screen inbound and outbound persons, baggage, mail, cargo, and conveyances using technical, nontechnical, intrusive, and nonintrusive means. <ul style="list-style-type: none"> <li>• Apply additional measures for high-risk persons, conveyances, or items.</li> </ul> </li> </ul>

Core Capability	Examples of Critical Tasks
	<ul style="list-style-type: none"> <li>• Conduct physical searches.</li> <li>• Conduct chemical, biological, radiological, nuclear, and explosives (CBRNE) surveillance search and detection operations.                             <ul style="list-style-type: none"> <li>• Conduct ambient and active detection of CBRNE agents.</li> <li>• Operate in a hazardous environment.</li> <li>• Conduct technical search/detection operations.</li> <li>• Conduct nontechnical search/detection operations.</li> <li>• Consider deployment of Federal teams and capabilities to enhance local, State, tribal, and territorial efforts including use of incident assessment and awareness assets.</li> </ul> </li> <li>• Conduct medical surveillance.</li> <li>• Search databases and other intelligence sources.</li> <li>• Employ wide-area search and detection assets in targeted region in concert with state and local personnel or other Federal agencies (depending on threat).</li> </ul>
Interdiction and Disruption	<ul style="list-style-type: none"> <li>• Interdict conveyances, cargo, and persons associated with an imminent terrorist threat or act.</li> <li>• Prevent terrorist entry into the United States and its territories.</li> <li>• Prevent movement and operation of terrorists within the United States.</li> <li>• Disrupt terrorist travel.</li> <li>• Render safe and dispose of CBRNE hazards in multiple locations and in all environments consistent with established protocols.</li> <li>• Disrupt terrorist financing or prevent other material support from reaching its target.</li> <li>• Prevent terrorist acquisition and transfer of CBRNE materials, precursors, and related</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>technology.</p> <ul style="list-style-type: none"> <li>• Conduct antiterrorism operations in the United States.</li> <li>• Conduct tactical counterterrorism operations in the United States, potentially in multiple locations and in all environments.</li> <li>• Strategically deploy assets to deter or disrupt threats from reaching potential target(s).</li> </ul>
Forensics and Attribution	<ul style="list-style-type: none"> <li>• Conduct site exploitation for intelligence collection.</li> <li>• Conduct crime scene examination.</li> <li>• Conduct forensic evidence analysis, including biometric and DNA analysis.</li> <li>• Conduct CBRNE material analysis.</li> <li>• Conduct digital media and network exploitation.</li> <li>• Assess capabilities of perpetrating terrorists with known terrorist capabilities and methods of operation.</li> <li>• Deploy investigators, technicians, and technical attribution assets to identify perpetrator(s), conspirator(s), and sponsorship.</li> <li>• Interview witnesses, potential associates, and/or perpetrators.</li> <li>• Analyze intelligence and forensics results to refine/confirm attribution leads.</li> <li>• Interpret and communicate attribution results, confidence levels, and their significance to national decision makers.</li> </ul>
Planning	<ul style="list-style-type: none"> <li>• Initiate a time-sensitive, flexible planning process that builds on existing plans and incorporates real-time intelligence.</li> <li>• Make appropriate assumptions to inform decision makers and counterterrorism professionals' actions to prevent imminent attacks on the homeland.</li> </ul>

Core Capability	Examples of Critical Tasks
	<ul style="list-style-type: none"> <li>• Evaluate current intelligence and coordinate the development of options as appropriate.</li> <li>• Identify possible terrorism targets and vulnerabilities.</li> <li>• Identify law enforcement, intelligence, diplomatic, private-sector, economic, and/or military options designed to prevent, deter, or disrupt imminent terrorist attacks in the homeland.</li> <li>• Present courses of action to decision makers to prevent, deter, or disrupt imminent attacks in the homeland.</li> </ul>
Public Information and Warning	<ul style="list-style-type: none"> <li>• Increase public awareness of indicators of terrorism and terrorism-related crime, leveraging the “If You See Something, Say Something”™ public awareness program.</li> <li>• Refine and consider options to release pre-event information publicly, and take action accordingly.</li> <li>• Ensure disclosing public information does not compromise ongoing prevention operations such as intelligence gathering and surveillance.</li> <li>• Share prompt and actionable messages, to include NTAS alerts, with the public and other stakeholders, as appropriate, to aid in the prevention of imminent or follow-on terrorist attacks.</li> <li>• Review post-event public message plan and consider publicly releasing pre-event information to mitigate the effects of a successful attack on the populace.</li> <li>• Leverage all appropriate communication means such as the Integrated Public Alert and Warning System (IPAWS) and social media.</li> </ul>
Operational Coordination	<ul style="list-style-type: none"> <li>• Collaborate with all relevant stakeholders.</li> <li>• Ensure clear lines and modes of communication among participating organizations and</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>jurisdictions, both horizontally and vertically.</p> <ul style="list-style-type: none"><li>• Facilitate effective intelligence and information sharing.</li><li>• Define and communicate clear roles and responsibilities relative to courses of action.</li><li>• Integrate and synchronize actions of participating organizations and jurisdictions to ensure unity of effort.</li><li>• Determine priorities, objectives, strategies, and resource allocations.</li><li>• Coordinate activities across and among all levels of government and with critical nonprofit and private-sector partners to prevent imminent terrorist threats and/or conduct law enforcement investigative and response activities after an act of terrorism.</li></ul>

## Visual 19: Activity 8.1: Roles & Responsibilities

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**Instructions:** In table groups:

1. Identify ways your assigned segment of the whole community can contribute to prevention and protection.
2. Be prepared to present your findings in 5 minutes

### Key Points

**Purpose:** The purpose of this activity is to think about how different segments of your community can contribute to prevention.

**Instructions:**

1. The instructors will assign each table group one of the following segments of the community:
  - a. Individuals, families, and households
  - b. Private and nonprofit sectors (private entities, nongovernmental organizations, and community organizations)
  - c. Local government (elected officials and agencies)
  - d. State, Tribal, Territorial, and Insular Area governments
  - e. Federal Government
2. In your table groups, identify ways your assigned segment of the whole community can contribute to prevention and protection. Be prepared to present your findings in 5 minutes.



## Visual 20: Critical Infrastructure

### Definition:

Systems and assets—whether physical or virtual—so vital to the United States that the incapacity or destruction of such may have a debilitating impact on national security, economic security, public health or safety, environment, or any combination of these matters.



### Critical Infrastructure Sectors

### Key Points

**Critical infrastructure** refers to systems and assets—whether physical or virtual—so vital to the United States that the incapacity or destruction of such may have a debilitating impact on national security, economic security, public health or safety, environment, or any combination of these matters across any Federal, State, Regional, Territorial, or Local jurisdiction. Critical infrastructure includes key resources, which are publicly or privately controlled resources essential to the minimal operations of the economy and government. (Source: National Infrastructure Protection Plan [NIPP])

Homeland Security Presidential Directive 7 (HSPD-7) established U.S. policy for enhancing critical infrastructure protection by establishing a framework for the Department of Homeland Security's (DHS) partners to identify, prioritize, and protect the critical infrastructure in their communities from terrorist attacks.

The directive identified critical infrastructure sectors and, for each sector, designated a Federal Sector-Specific Agency to lead protection- and resilience-building programs and activities. HSPD-7 allows for DHS to identify gaps in existing critical infrastructure sectors and to establish new sectors to fill these gaps.

## Critical Infrastructure Sectors

- Food and Agriculture
- Financial Services
- Chemical
- Commercial Facilities
- Communications
- Critical Manufacturing
- Dams
- Defense Industrial Base
- Emergency Services
- Energy
- Government Facilities
- Healthcare and Public Health
- Information Technology
- Transportation Systems
- Nuclear Rea

Additional information about each critical infrastructure sector and key resource can be found online.

## Visual 21: Discussion Question

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**What are some examples of critical infrastructure?**

## Visual 22: Video: The NIPP

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### Key Points

The National Infrastructure Protection Plan (NIPP) is an important resource that supports the Protection mission area. This video presents information on the goal of the NIPP.

### Video Transcript: The National Infrastructure Protection Plan: Building a Safer, More Secure, and More Resilient America

Critical infrastructure, such as water, energy, electricity, and petroleum products, represent day-to-day goods and services that are part of the life of every single American.

Critical infrastructures provide the foundation for the Nation's ability to maintain our way of life.

Protecting the critical infrastructure and key resources of the United States is essential to the Nation's security, public health and safety, economic vitality, and way of life. Disruption of America's critical infrastructure could significantly interrupt the functioning of government and business alike and produce cascading effects far beyond the targeted sector and physical location of the incident. Direct terrorist attacks and natural, manmade, or technological hazards could produce catastrophic losses in terms of human casualties, property destruction, and economic effects, as well as profound damage to public morale and confidence.

The National Infrastructure Protection Plan is the path forward toward building and enhancing protective measures for the critical infrastructure and key resources that sustain commerce and communities throughout the United States.

## Visual 23: Purpose of the NIPP

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To build a safer, more secure, and more resilient America by enhancing protection of the Nation's critical infrastructure and key resources by:

- Preventing, deterring, neutralizing, or mitigating the effects of deliberate efforts by terrorists to destroy, incapacitate, or exploit critical infrastructure; and
- Strengthening national preparedness, timely response, and rapid recovery in the event of an attack, natural disaster, or other emergency.

### Key Points

Achieving the NIPP goal requires:

- **Building partnerships:** The NIPP defines critical infrastructure partners as those Federal, State, regional, territorial, local, or tribal government entities; private-sector owners and operators and representative organizations; academic and professional entities; and certain not-for-profit and private volunteer organizations that share in the responsibility for protecting the Nation's critical infrastructure. The NIPP provides the framework that defines the processes and mechanisms that allow these partners to work collaboratively to integrate critical infrastructure protection and resiliency efforts, set goals and objectives, and focus resources according to risk.
- **Sharing information:** The NIPP information-sharing approach allows distribution and access to information to enable decentralized decision making and actions.
- **Implementing a long-term risk management program:** To ensure an effective, efficient risk management program over the long term, the NIPP relies on building national awareness; enabling education, training, and exercise programs; conducting research and development and using technology; developing, protecting, and maintaining data systems/simulations; and continuously improving the NIPP.
- **Effectively using resources for critical infrastructure protection, restoration, and recovery:** Metrics provide a basis to establish accountability, document actual performance, facilitate diagnosis, promote effective management, and provide a feedback mechanism to decision makers.

Review the NIPP website at <https://www.dhs.gov/cisa/national-infrastructure-protection-plan>.

## Visual 24: Discussion: Protection Activities

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What are some examples of critical infrastructure protection activities?

### Key Points

In the context of the NIPP, protection includes actions to mitigate the risk to critical assets, systems, networks, or their interconnecting links resulting from exposure, injury, destruction, incapacitation, or exploitation. This includes actions to:

- Deter the threat.
- Mitigate vulnerabilities.
- Minimize consequences associated with a terrorist attack or other incident.

## Visual 25: Other Supporting Resources

- Sector-Specific Plans
- Comprehensive National Cybersecurity Initiative (CNCI)
- National Strategy for Global Supply Chain Security



### Supporting Resource Descriptions

### Key Points

In addition to the NIPP, the following resources support the Protection mission area:

### Supporting Resource Descriptions

Resource	Description
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Resource	Description
<p><b><u>Sector-Specific Plans</u></b> (<a href="https://www.dhs.gov/2015-sector-specific-plans">https://www.dhs.gov/2015-sector-specific-plans</a>)</p>	<p>These plans detail the application of the NIPP risk management framework to the unique characteristics and risk landscape of each of the NIPP critical infrastructure sectors and provide the means by which the NIPP is implemented within the sectors.</p>
<p><b>Comprehensive National Cybersecurity Initiative (CNCI)</b> (<a href="https://obamawhitehouse.archives.gov/issues/foreign-policy/cybersecurity/national-initiative">https://obamawhitehouse.archives.gov/issues/foreign-policy/cybersecurity/national-initiative</a>)</p>	<p>The CNCI consists of a number of mutually reinforcing initiatives designed to help secure the United States in cyberspace.</p>
<p><b>National Strategy for Global Supply Chain Security</b> (<a href="https://www.dhs.gov/national-strategy-global-supply-chain-security">https://www.dhs.gov/national-strategy-global-supply-chain-security</a>)</p>	<p>This resource is focused on the worldwide network of transportation, postal, and shipping pathways, assets, and infrastructures (including communications and information infrastructures). It provides strategic guidance to departments and agencies within the U.S. Government and identifies priorities to collaboration stakeholders.</p>



## Visual 26: Activity 8.2: Prevention/Protection Policies, Plans, and Procedures (Pre-Work)

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### Instructions:

Answer the self-assessment questions

1. Check-In:
  - a. For any items for which you do not know the answer, make a note and bring them to the Basic Academy course.
  - b. For any items that you marked “No”, make a note and bring them to the Basic Academy course

### Key Points

**Purpose:** The purpose of this activity is reflect and assess your jurisdictions prevention and protection policies, plans, and procedures.

### Instructions:

1. Answer the self-assessment questions in your pre-work.
2. Check-In:
  - a. For any items for which you do not know the answer, make a note and bring them to the Basic Academy course.
  - b. For any items that you marked “No,” make a note and bring them to the Basic Academy course

## Visual 27: Unit Summary

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- Prevention relates to preventing imminent terrorist threats.
- Protection relates to safeguarding against all types of threats.
- The two mission areas have overlapping capabilities required for success.
- All segments of the community have important roles in prevention and protection.

## Visual 28: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 9: Mitigation

## Visual 1: Mission Area: Mitigation

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Mission Area: Mitigation

### Key Points

Welcome to Mission Area: Mitigation.

## Key Points

This unit is divided into the following sections:

Unit	Time
Mitigation-What and Why <ul style="list-style-type: none"> <li>• Video: Voices of Experience</li> <li>• Oakland Hill Case Study</li> <li>• Activity 9.1 – Critical Mitigation Tasks in Your Community (Pre-Work)</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 3 minutes</li> <li>• 30 minutes</li> <li>• 5 minutes</li> </ul>
Mitigation-Roles and Responsibilities <ul style="list-style-type: none"> <li>• Video: Simple Mitigation Methods</li> <li>• Activity 9.2 – Identifying Roles</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 2 minutes</li> <li>• 20 minutes</li> </ul>
Hazard Mitigation Planning <ul style="list-style-type: none"> <li>• Activity 9.3 – Community Involvement</li> <li>• Activity 9.4 – Jurisdiction Mitigation Efforts (Pre-Work)</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 30 minutes</li> <li>• 5 minutes</li> </ul>
<b>Total Unit Time:</b>	<b>3 hours</b>

## Visual 2: Terminal Objective

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To describe key aspects of the Mitigation mission area, including:

- How mitigation supports preparedness.
- Roles and contributions of mitigation partners at all levels.
- The mitigation planning process.
- Strategies for building local support for mitigation.



Review the unit objectives.

### Key Points

The goal of this unit is to enable you to describe key aspects of the Mitigation mission area, including how mitigation supports preparedness, roles and contributions of mitigation partners at all levels, the mitigation planning process, and strategies for building local support for mitigation.

The objectives for the unit are listed below.

- Explain the purpose and importance of mitigation.
- Describe core concepts of the National Mitigation Framework.
- Identify the major provisions of the Disaster Mitigation Act of 2000.
- Identify the roles and contributions of all mitigation partners, including individuals and households, private sector, nonprofit sector, and local, tribal, State, and Federal Government.
- Describe Federal mitigation programs, including the National Flood Insurance Program (NFIP) and the Unified Hazard Mitigation Assistance (UHMA) Program.
- Explain the importance of predisaster hazard planning.
- Identify the steps in a mitigation planning process.
- Identify categories of mitigation measures.
- Identify strategies for building local support for mitigation.

## Visual 3: Mitigation

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What does the term “mitigation” mean to you?



Four pictures from left to right, a group of people looking at a map, a truck moving a small house, cross beams and cement, and a window with protective shutters



## Visual 4: Definition: Mitigation

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Individuals, the private sector, communities, critical infrastructure, and the Nation as a whole are made more resilient when the consequences and impacts, the duration, and the financial and human costs to respond to and recover from adverse incidents are all reduced.

### Key Points

Mitigation refers to those capabilities necessary to reduce loss of life and property by lessening the impact of disasters. It is focused on the premise that individuals, the private sector, communities, critical infrastructure, and the Nation as a whole are made more resilient when the consequences and impacts, the duration, and the financial and human costs to respond to and recover from adverse incidents are all reduced.

(Source: National Preparedness Goal)

Mitigation requires systemically anticipating and adjusting to trends that could endanger the future of the community. Appropriate choices made beforehand can manage or reduce long-term risk and potentially reduce response requirements. Mitigation during the recovery phase helps strengthen and build a more resilient community to withstand future disasters.

Mitigation capabilities include, but are not limited to:

- Community-wide risk reduction projects.
- Efforts to improve the resilience of critical infrastructure and key resource lifelines. Risk reduction for specific vulnerabilities from natural hazards or acts of terrorism. Initiatives to reduce future risks after a disaster has occurred.

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## Visual 5: Video: Voices of Experience

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### Key Points

In this video you will hear several people describe their experiences with hazard mitigation and tell how they and their communities benefited.

As you watch, think about the range of hazards these communities faced, the mitigation strategies they used, and the benefits they reaped.

### Video: Voices of Experience Transcript

#### **Video Transcript: Mitigation: Voices of Experience**

**Speaker from Kemah, Texas:** Basically what we had here was winds over 100 miles an hour—somewhere around 110, 112 miles an hour—a 12-foot storm surge above the mean sea level, and then on top of that, we also had wave action above 12 feet. If I had not made the improvements to the house, the house would be gone, as many of my neighbors' houses are that were on the ground. The fact that improvements were made saved my house. . . . And so I would urge anybody that has the wherewithal to make the improvements now, get their house elevated if they're in this kind of a situation, and save themselves a whole lot of grief further down the road.

**Speaker from the Florida Panhandle:** Ivan was a storm unlike any other storm that we had in Pensacola. It did major damage to the area.

It was, almost everywhere you looked, it was blue tarps for roofs and people standing looking like they didn't know what they wanted to do next cause they had no place to go.

Immediately we started talking about what are ways we can prevent this kind of destruction in the future, and overwhelmingly we were recommended to looking at a residential mitigation program.

It was a blessing that we have this program in the area and more people should take advantage of it.

They not only learned a lesson, they saw an opportunity to make things stronger for the next time, they took advantage of it. They're going to be much more ready the next time around.

**Speaker from Ottawa, Illinois:** We feel that our strongest point was in the long-term buyout effort in an area that we call The Flats. For the past 9 years we've purchased more than 60 properties, almost 70 properties, that were at one time repetitive loss properties. Now they're gone and we have a beautiful park.

We upgraded our floodplain ordinance to include things like compensatory storage, so that if they're in the floodplain and they want to build in the floodplain, for every shovelful of dirt they put in they have to take 1-1/2 out from the same property.

Those people that have flood insurance policies in the floodplain are entitled to a 25 percent discount, and if we get to a Class 2, they are going to be entitled to a 40 percent discount. That makes the taxpayer happy. It's a tangible, real deal.

**Speaker from San Simeon, California:** About 6 months after, coincidentally, after we finished our seismic retrofit for earthquake preparedness, there was a 6.5 magnitude earthquake. And it tested the integrity of our building, more so than I'd ever dreamed it would be tested. I knew the building was going to hold up, I felt good about it. About 20 feet away from our building across the alley, our neighboring property owner's building came to the ground and two people lost their lives.

There is no question in my mind, subsequent the earthquake, that our seismic retrofit absolutely saved lives and I was very glad that I did it. It definitely paid off.

## Visual 6: National Mitigation Framework

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- Provides guidance for mitigation planning.
- Identifies:
  - Guiding principles for mitigation.
  - Core capabilities required to strengthen resilience at a local level.
  - Mitigation roles for the whole community.

### Key Points

The National Mitigation Framework provides guidance for mitigation planning, including:

- Guiding principles for mitigation
- Core capabilities and critical tasks required to strengthen resilience at a local level
- Mitigation roles for the whole community

Comprehensive mitigation includes strategies for all community systems, including:

- **Economic:** Strategies to support a prosperous, more competitive, and resilient economy and to restore economic vitality following an incident
- **Health and Social Services:** Strategies for providing health and social services to promote the health, independence, and well-being of the whole community
- **Housing:** Strategies for building more resilient housing and incorporating mitigation activities as part of new construction or rebuilding activities
- **Infrastructure:** Strategies to provide and strengthen essential infrastructure and services, including transportation infrastructure and modes, to reduce vulnerability and increase resilience
- **Natural and Cultural Resources:** Strategies to conserve, protect, and restore natural and cultural assets of the community

## Visual 7: Guiding Principles for Mitigation

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- **Resilience & sustainability:** Decisions based on the long-term view
- **Leadership & locally focused implementation:** Community-led mitigation
- **Partnerships & inclusiveness:** Collective actions of many groups
- **Risk-conscious culture:** Shared risk awareness and planning

## Visual 8: Core Capabilities for Mitigation

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- Threats and hazard identification
- Risk and disaster resilience assessment
- Planning
- Community resilience
- Public information and warning
- Long-term vulnerability reduction
- Operational coordination



Examples of critical tasks for building these capabilities are listed in the Student Manual.

### Key Points

Completing critical tasks helps the jurisdiction build the identified capabilities for mitigation.

## Visual 9: Disaster Mitigation Act of 2000

- Provides the legal basis for FEMA mitigation planning requirements.
- Amended the Stafford Act.
- Encourages local emergency plans.
- Adds incentives for increased coordination and integration of mitigation activities.



Two men looking at a home being elevated

### Key Points

Title I establishes predisaster hazard mitigation funding to assist State, tribal, and local governments with implementing effective hazard mitigation measures. Effective mitigation measures are those designed to ensure the continued functionality of critical services and facilities after a hazardous event.

Title II emphasizes the need for State, tribal, and local governments to coordinate mitigation planning and implementation efforts closely. Streamlining hazard planning and analysis at multiple governmental levels leads to the implementation of cost-effective mitigation actions based on sound hazard identification and risk assessment.

Section 322 authorizes up to 7 percent of Hazard Mitigation Grant Program (HMGP) funds available to a State for the development of State, tribal, and local mitigation plans.

### The Disaster Mitigation Act of 2000

In the past, Federal legislation provided funding for disaster relief, recovery, and some hazard mitigation planning. The Disaster Mitigation Act of 2000 (DMA 2000) (Public Law 106-390) improves this planning process. DMA 2000 reinforces the importance of mitigation planning and emphasizes planning for disasters before they occur. As such, this act establishes a predisaster hazard mitigation program and new requirements for the national postdisaster Hazard Mitigation Grant Program (HMGP).

Section 322 of the act specifically addresses mitigation planning at the State and local levels. It identifies new requirements that allow HMGP funds to be used for planning activities, and increases the amount of HMGP funds available to States that have developed a comprehensive, enhanced mitigation plan prior to a disaster. States and communities must have an approved mitigation plan in place prior to receiving postdisaster HMGP funds. Local and tribal mitigation plans must demonstrate that their proposed mitigation measures are based on a sound planning

process that accounts for the risk to and the capabilities of the individual communities. State governments have certain responsibilities for implementing Section 322, including:

- Preparing and submitting a standard or enhanced State mitigation plan
- Reviewing and updating the State mitigation plan every 3 years
- Providing technical assistance and training to local governments to assist them in applying for HMGP grants and in developing local mitigation plans, and
- Reviewing and approving local plans if the State is designated a managing State and has an approved enhanced plan.

DMA 2000 is intended to facilitate cooperation between State and local authorities, prompting them to work together. It encourages and rewards local and State predisaster planning and promotes sustainability as a strategy for disaster resistance. This enhanced planning network better enables local and State governments to articulate accurate needs for mitigation, resulting in faster allocation of funding and more effective risk reduction projects.



## Visual 10: What Does Mitigation Require?

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Mitigation requires:

- **Identifying threats/hazards** faced by the community.
- **Understanding the risks** associated with the threats/hazards.
- **Avoiding or reducing risks** to reduce long-term vulnerability.

### Key Points

Effective mitigation begins with **identifying the threats and hazards** we face and determining the associated vulnerabilities and risks. Sound assessment requires risk information based on credible science, technology, and intelligence, validated by experience.

**Understanding the risks** makes it possible to develop strategies and plans to manage them.

Managing risks from threats and hazards requires decision making to accept, avoid, reduce, or transfer those risks. **Avoiding and reducing** risks are ways to reduce the long-term vulnerability of a community and build individual and community resiliency.

Comprehensive mitigation includes strategies for all community systems, including:

- **Economic:** Strategies to support a prosperous, more competitive, and resilient economy and to restore economic vitality following an incident
- **Health and Social Services:** Strategies for providing health and social services to promote the health, independence, and well-being of the whole community
- **Housing:** Strategies for building more resilient housing and incorporating mitigation activities as part of new construction or rebuilding activities
- **Infrastructure:** Strategies to provide and strengthen essential infrastructure and services, including transportation infrastructure and modes, to reduce vulnerability and increase resilience
- **Natural and Cultural Resources:** Strategies to conserve, protect, and restore natural and cultural assets of the community

## Visual 11: Avoiding and Reducing Risk (1 of 5)



### Key Points

Avoiding and reducing risks are ways to reduce the long-term vulnerability of a community and build individual and community resiliency. Mitigation is done proactively (before disasters), and after disasters, as part of recovery and rebuilding.

Mitigation is done proactively (before disasters), and after disasters, as part of recovery and rebuilding. Mitigation is done on all levels—Federal, State, Local, Tribal, and by individuals, families, and businesses. We'll look at just a few examples. Use your imagination to think of others.

Examples of mitigation for high winds (tornadoes, hurricanes) include:

- Installing hurricane shutters.
- Building safe rooms, as part of initial construction or as a retrofit.
- Installing roof reinforcements.
- Boarding up windows before a major storm arrives.

## Visual 12: Avoiding and Reducing Risk (2 of 5)

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### Examples: Flood Mitigation



### Key Points

Examples of flood mitigation include:

- Using flood-resistant materials or floodproofing to keep water out.
- Moving structures out of the floodplain, or acquiring and demolishing vulnerable properties.
- Elevating buildings and, in coastal areas, installing break-away walls.
- Elevating outdoor utilities such as air conditioning units above the base flood elevation.
- Elevating indoor appliances and utilities such as hot water tanks.
- Strapping fuel tanks in place.
- Raising feeding areas of farm animals to ensure their food supply after flooding.
- Revising zoning ordinances and building codes.
- Installing storm water controls, retrofitting bridges, building flood walls, and other local flood reduction efforts.

## Visual 13: Avoiding and Reducing Risk (3 of 5)

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### Examples: Earthquake Mitigation



### Key Points

Examples of earthquake mitigation include:

- Using earthquake-resistant construction practices
- Retrofitting a foundation with earthquake straps and bolts to prevent movement in the event of an earthquake
- Anchoring household furnishings to prevent their falling during an earthquake

## Visual 14: Avoiding and Reducing Risk (4 of 5)

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### Examples: Wildfire Mitigation



### Key Points

Examples of ways to reduce the risk of wildfires include:

- Using fire-resistant construction techniques and materials.

Controlling vegetation that can act as fuel for wildfires. One community found that goats provided a simple and cost-effective way to keep vegetation down. Review the Firewise USA program at <https://www.nfpa.org/Public-Education/By-topic/Wildfire/Firewise-USA>.

- Installing automatic sprinkler systems to reduce dry vegetation around residences.

## Visual 15: Avoiding and Reducing Risk (5 of 5)

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### Examples: Mitigation for Technological and Adversarial Hazards



### Key Points

Examples of mitigation for technological and adversarial hazards include:

- Ensuring the resilience of infrastructure.
- Reducing vulnerability of critical facilities and data through access control and security systems and other types of deterrence measures.

## Visual 16: Building a Resilient Community

**Mitigation helps build resilient communities.**



How could the community from the opening case study have been more resilient?

### Key Points

Mitigation helps build disaster-resilient communities.

**Discussion Question: How could the community from the opening case study have been more resilient?**

Resilience refers to the ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.

(Source: Presidential Policy Directive/PPD-8)

Resilient communities proactively protect themselves against hazards, build self-sufficiency, and become more sustainable. Resilience is the capacity to absorb severe shock and return to a desired state after a disaster. It involves technical, organizational, social, and economic dimensions. It is fostered not only by government, but also by individual, organization, and business actions.

(Source: National Mitigation Framework)

An essential characteristic of resilient communities is decreased vulnerability to potential hazardous events. Mitigation planning enables communities to become resilient. The result is a safer community based on:

- Partnerships among community organizations and businesses, as well as with surrounding communities and jurisdictions
- Prevention of losses from future hazardous situations
- Protection of residents and their property

## Visual 17: Long-Term Economic Benefits

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- Retain existing businesses.
- Safer, smarter, and stronger businesses
- Promote economic development.
- Address environmental concerns that reflect hazard constraints and opportunities.
- Incorporate hazard reduction into capital improvements and infrastructure elements.
- Protecting your personal and business investment.

### Key Points

Economic vitality is essential to resilience. Mitigation planning for economic stability is an investment that pays off in long-term economic benefits that sustain the community. Effective recovery from a significant hazardous situation should involve:

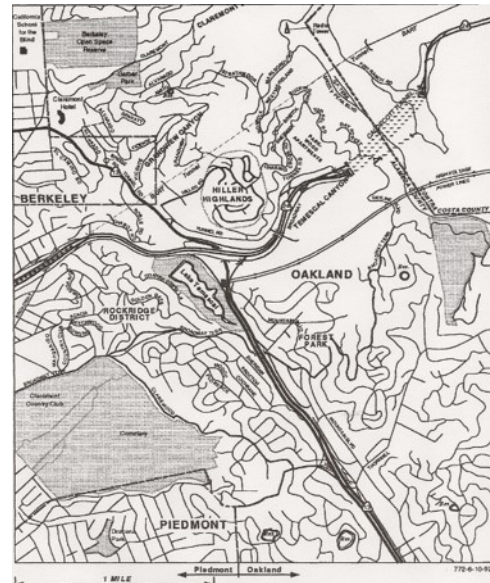
- Retain existing businesses.
- Safer, smarter, and stronger businesses
- Promote economic development.
- Address environmental concerns that reflect hazard constraints and opportunities.
- Incorporate hazard reduction into capital improvements and infrastructure elements.
- Protecting your personal and business investment.



## Visual 18: Oakland Hills Case Study

### Instructions:

- Review the case study in your Student Manual
- Be prepared to answer the following:
  - What mitigation steps should have been taken after the 1970 fire to possibly reduce the loss of subsequent fires?
  - What role does public pressure play in mitigation efforts?
  - Why is hazard mitigation an important function of emergency management?



### Key Points

Read the following case study and then be prepared to answer the discussion questions below.

### Case Study

One of the highest-dollar fire losses in United States history occurred in the East Bay Hills, within the California cities of Oakland and Berkeley, between October 19 and 22, 1991. Twenty-five lives were lost and more than 3,000 structures were destroyed by a wildland-urban interface fire in one of the most heavily populated metropolitan areas in the United States. The wind had threatened to drive the fire across the entire city of Oakland.

Many of the Oakland Hills roads (Oakland Hills is part of Oakland) are narrow and steep. That, along with the flammable landscaping, is part of the neighborhood's charm. But, then and now, the terrain can make it difficult for emergency crews to respond quickly, especially if fire crews are trying to make their way up the hills while people are trying to evacuate on the same roads.

In 1991, fire trucks had to wind their way up steep, narrow roads to get to the fire in the hills. Residents trying to evacuate found themselves stuck on the winding roads, crowded with parked cars. Eleven of the fire's victims died in traffic jams on Charing Cross Road. The body of Oakland Police Officer John Grubensky was found, along with five civilian fatalities, at a narrow point on Charing Cross Road. It appeared that the cars were jammed at this point by a collision in the narrowest part of the road, and the occupants were unable to escape the advancing flames.

The East Bay Hills have been the scene of a number of wildland-urban interface fires over the past 90 years. There had been fires in 1923, 1931, 1933, 1937, 1940, 1946, 1955, 1960, 1961, 1968, 1970, 1980, and 1990 before the 1991 fire. The coastal region was particularly vulnerable

in the fall of 1991, after five years of drought, several months with no recorded precipitation, and reduced efforts to control wildland interface hazards due to State and Local budget limitations.

The circumstantial factors surrounding the major incidents have been remarkably similar. The Santa Ana wind condition, preceding periods of unusual dryness, wood-shingle roofs, high-burn-rate natural fuels, lack of separation between the natural fuels and structures, lack of natural fuel controls, poor access, limited water supplies, and difficult terrain have all been recognized as factors in the previous fires. The most remarkable similarities can be seen from comparisons of the 1923 and 1970 fires with the 1991 fire. All three fires originated in the hills and spread into developed areas, pushed by Diablo winds, and each one continued to spread until the wind abated.

In 1923, the fire originated in the Wildcat Canyon. This fire consumed 640 structures to the north of the University of California Berkeley campus. Wood-shingle roofs, the wind, and dry weather were cited as the major factors in this conflagration. Recommendations were made after the fire to limit the use of wood roof coverings and to control the natural fuel conditions in the hills.

The 1970 East Bay Hills fire originated on the eastern slope of the hills, near Fish Ranch Road, just over the ridge from Temescal Canyon. It spread rapidly up the slope and jumped over Grizzly Peak Boulevard on a front 300 to 400 feet wide. All of the homes that were rebuilt in this area were destroyed again in the 1991 fire, along with dozens of additional homes that had been constructed in the intervening years. The 1970 fire followed virtually the same path as the early stages of the 1991 fire, and the losses were attributed to exactly the same factors: Wind, weather, natural fuels, lack of separation between structures and natural fuels, unlimited use of wood shingles, terrain, access, and water supply were all identified as major factors in both fires.

There has been considerable public pressure both for and against the adoption of Local ordinances or regulations that would change the character of the East Bay Hills. Deed restrictions in some areas prohibit the removal of trees or alteration to the natural ground cover. Proponents of safety have demanded a full review of all regulations before any permits are issued to rebuild. Many homeowners expressed their desire to rebuild “exactly the way it was,” without restrictions on construction materials or fuel separations. The vocal residents wanted to restore the character of the area without governmental restrictions. The same residents expressed fears that widened roads would bring unwanted traffic to the area and demanded compensation for any property taken to make improvements.

The factors that set the stage for this disaster were identified long before the fire occurred, and the potential consequences had been predicted by fire officials. Nevertheless, their warnings went unheeded, and the measures that could have reduced the risks were not implemented. More than \$1 billion in damage resulted from a fire that exceeded the worst expectations of the most concerned fire professionals. It was a fire that demonstrated how natural forces may be beyond the control of human intervention, and it should have caused a renewed look at the risk of wildland-urban interface fire disasters.

Investigations that followed the 1970 fire recommended regulatory restrictions to mitigate some of the risk factors, but the area was permitted to be rebuilt and additional development was allowed to occur without action on the recommendations.

### **Discussion Questions:**

1. What mitigation steps should have been taken after the 1970 fire to possibly reduce the loss of subsequent fires?

2. What role does public pressure play in mitigation efforts?
3. Why is hazard mitigation an important function of emergency management?

After the 1991 fire, there was evidence of effective hazard mitigation: two schools that remained standing after the fires. The Hillcrest and Kaiser Elementary schools, built of fire-resistant brick and concrete, with clear separation space by the playgrounds and parking lots and fireproofing, survived, while surrounding homes were totally destroyed.

The 1991 Hazard Mitigation Report, prepared under the aegis of FEMA as a result of the Presidential Disaster Declaration for the East Bay Hills Fire, identified several recommendations to reduce the risk of future fires in the area. The recommendations include requirements that would address fuel management, fuel separations, roofing materials, roadways, and water supplies. These points are all recommended for implementation as the fire area is rebuilt and for application to other areas when feasible.

In this unit, you will have an opportunity to study mitigation and the benefits of good hazard mitigation practices.

U.S. Fire Administration/Technical Report Series: The East Bay Hills Fire Oakland-Berkeley, California USFA-TR-060/October 1991

Schools Stand as Islands in East Bay Destruction, Freedburg, L., San Francisco Chronicle, October 23, 1991.

[The Oakland North](https://oaklandnorth.net/2011/10/19/after-oakland-hills-fire-residents-build-off-the-wall-homes/) (https://oaklandnorth.net/2011/10/19/after-oakland-hills-fire-residents-build-off-the-wall-homes/), retrieved May 30, 2016

## Visual 19: Activity 9.1 – Critical Mitigation Tasks in Your Community (Pre-Work)

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### Instructions:

1. Have students answer the following questions in their pre-work:
  - a. What are some threats/hazards in my community?
  - b. What are some risks in my community?
  - c. Where are some areas in which my community could be more resilient?
2. Review the list of critical tasks for mitigation in the pre-work.
3. Identify the three most important threats/hazards/risks for mitigation in your jurisdiction.
4. Complete the table with steps you'll take to mitigate these threats/hazards.

## Visual 20: You Can't Do It Alone

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**Why can't hazard mitigation be accomplished in isolation?**

**Who is responsible for hazard mitigation?**

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## Visual 21: What Mitigation Involves

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- **Partnership:** Individuals, business, community, and government working together for a brighter future.
- **Investment:** Commitment to devote human and financial capital to strengthen a community.
- **Expertise:** Tapping the capabilities of diverse disciplines to create more resilient communities.
- **Action:** Working together to make plans a reality.

### Key Points

Mitigation has several key facets, including:

- **Partnership:** Reducing the impact of natural disasters requires collaboration. When communities, businesses, and government work together, risk can be understood. From that understanding, the best decisions can be made, and actions taken, to reduce or eliminate risk. Individuals, businesses, community, and government working together for a brighter future.
- **Investment:** Creating resilient communities requires investment—not just in bricks and mortar, but in technology, in application of proven principles of floodplain management, in stronger building codes and smarter development, in building strong relationships with communities, and much more. Ultimately, mitigation requires commitment to devoting human and financial capital to strengthen the community and prevent hazards from becoming disasters. Commitment to devote human and financial capital to strengthen a community.
- **Expertise:** By incorporating the latest advances in building design and technology, and by applying lessons learned from prior disasters, we can create safer, stronger, more resilient communities. This requires the expertise of professionals in a variety of disciplines. Tapping the capabilities of diverse disciplines to create more resilient communities.
- **Action:** All the knowledge, planning, and experience only matter when put into action by individuals, households, businesses, communities, and all levels of government. Working together to make plans a reality.

FEMA is only one part of the Nation’s mitigation team. The whole community makes up the mitigation team. That team includes:

- Individuals, families, and households
- The private sector (large and small businesses, industry, utilities, academic institutions, etc.)
- The nonprofit sector, including community, faith-based, and nongovernmental organizations
- Local government
- State, Tribal, Territorial, and insular area governments
- Federal Government

## Visual 22: Mitigation Roles – What Can You Do?

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- Individuals & Households
- Private Sector
- Nonprofit Sector

### Examples:

- Myrtle Grove Marina
- Central Florida
- ARC & Cub Scouts



## Key Points

Individuals, families, and households can obtain insurance; ensure that a tornado safe room or shelter is quickly and easily accessible; take measures to harden their properties against hazard damage; and when necessary after a disaster, rebuild in safe areas.

The private sector has a responsibility to:

- Support and comply with zoning and land-use regulations
- Use disaster-resistant building practices
- Provide expertise.
- Take precautions to safeguard property and products, such as:
  - Moving paperwork, machinery, and products that can be damaged by floodwaters to higher floors
  - Storing backup computer files away from the main location of the business
- Support mitigation efforts through:
  - Investment in hazard mitigation projects
  - Donations of materials, funding, and services
  - Assistance to homeowners

**The nonprofit sector** often acts as advocates for citizens and can be important in public outreach, information sharing, and getting support for the mitigation actions developed in the mitigation plan.

**Example:** The Myrtle Grove Marina Estates subdivision in Louisiana provides homeowners with bylaws recommending coastal construction principles. By following these recommendations and incorporating a few extra hurricane resistance techniques, residents building new homes in the area can afford added hurricane protection. The 100 percent mitigated community sustained no damage from Hurricane Katrina.

**Example:** In Central Florida, building merchants and suppliers donated materials and resources to enable vocational high school students to build mitigation house models in the classrooms. The models were built with 2” by 6” lumber in lieu of 2” by 4” to withstand powerful wind uplift. They had metal hurricane ties that connected the roof, walls, and foundation together, reinforcing the structure. This transferred the load from the roof, to the wall, to the foundation. The models were put on display at the local building supply store along with brochures and handouts for the public.

**Example:** In 2008, the American Red Cross (ARC) and the Cub Scouts in Little Rock, AR participated in an effort to acquaint children with disaster safety principles. Programs were conducted in school rooms and at summer camps on getting ready for disaster. The objective in making the Cub Scouts an integral part of the safety initiative was to heighten parental awareness of the need to be more proactive in preparing their children, who are often home alone.



## Visual 23: Video: Simple Mitigation Methods

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### Key Points

In this video you will hear how one family made simple mitigation changes to their home.

### Video Transcript: Simple Mitigation Methods

**Debra Jenkins:** My husband is the master of all trades. He takes the simple things and makes them become good things.

**Lester Simmons:** We had an old fence out there. I tore it down. And I took that wood and built these platforms for the washer and dryer and table.

**Debra Jenkins:** When he put everything up on platforms and when he put the little ball . . . what is it, a flood guard . . . put that in his little drain to keep the water from rising as high as it was. I'm like, here we go again, Mr. Fixer is on it again, you know, he's got another brilliant idea, which has really helped our basement. I mean, we lost a lot, but we also saved a lot.

**Lester Simmons:** So now, if I get some water in there, if I get more than 4 inches, I'm in trouble. But if I get 2 inches, 3 inches, I'm okay. . . . As I just get to know which room is out, I just, you know, can look there and find the circuit breaker.

**Debra Jenkins:** In my basement I'm not a very good person when it comes to turning off water and turning the hot and the cold, so he color-coded everything for me so I would know. He put the labels on the fuse box so I would know what to turn off and turn on.

**Lester Simmons:** I believe I saved my home by going on the Internet, searching, try to find something to stop my drain. I also found I could build some platforms to set my washer and dryer and other stands on.

**Debra Jenkins:** I thank him a lot. I thank him all the time for my house. Most of my things in my house are due to his making. Just about everything. He redid the whole basement himself.

## Visual 24: Local Government Role

- Develop collaborative partnerships to develop mitigation capabilities.
- Develop and maintain a mitigation plan.
- Take risk-reduction measures.
- Participate in the National Flood Insurance Program.



### Key Points

Local governments must do everything possible to protect their citizens from hazard risks, including enacting and enforcing building codes and zoning ordinances, making the public aware of hazards and risk reduction measures, and complying with regulations designed to reduce losses.

The means used to achieve risk reduction include:

- Floodplain management ordinances that guide development in the floodplain.
- Mitigation projects that reduce risk to existing structures.
- Disaster-resistant building practices that make new structures resistant to events that pose the greatest risks to the community.
- Participation in the National Flood Insurance Program.

## Visual 25: Local Government Role (Continued)

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- Post-disaster: Identify additional mitigation activities
- Submit mitigation project applications to State
- Manage approved mitigation projects
- Part of the assessment process

### Key Points

When a disaster occurs, there are other opportunities to mitigate hazard risks, particularly if your community has a FEMA-approved or FEMA-approvable hazard mitigation plan and is ready to implement some or all of the actions in the hazard mitigation strategy.

Your community's hazard mitigation plan may identify post-disaster resources to fund certain mitigation activities. It is important for communities to be aware of the roles of Federal, State, and Local governments in disaster recovery, and the resources available for local hazard mitigation after a Presidential disaster declaration.

## Visual 26: Emergency Manager's Responsibilities

- Participate in planning team.
- Identify hazards, risk, and existing mitigation measures.
- Propose additional mitigation measures.
- Coordinate with other goals.
- Identify incentives and resources.
- Create/maintain a mitigation plan.
- Increase public awareness.
- Grant writing / program management.



### Key Points

The emergency manager plays a unique role in helping to mitigate the community's hazards.

Mitigation involves the coordination of resources needed to identify hazards, develop a mitigation strategy, and implement the strategy. This includes building and/or coordinating a mitigation planning team, developing and/or maintaining the plan, and finding the resources to implement the mitigation strategy.

An emergency manager has eight primary mitigation responsibilities:

- To participate in a mitigation planning team
- To identify community hazards and hazard risk
- To identify existing mitigation measures
- To propose additional mitigation measures
- To coordinate with other community goals
- To identify incentives and resources
- To create/maintain a mitigation plan
- To increase public awareness

## Visual 27: Role of Elected Officials

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What is the role of elected and appointed officials in mitigation?

### Key Points

**Example:** In the spring of 2009, while vast areas of North Dakota remained inundated for weeks by floodwaters, the city of Cogswell stayed dry because of steps that had been taken in previous years. The mayor and other elected officials were instrumental in obtaining funding to acquire flood-prone properties and convert them to open space, move a lift station, and improve drainage. Please review the [National Mitigation Framework](https://www.fema.gov/national-mitigation-framework) (<https://www.fema.gov/national-mitigation-framework>).

## Visual 28: State/Tribal Government Role

- Provide technical assistance on Federal and state regulations to reduce hazard losses.
- Develop a State or tribal hazard mitigation plan.
- Encourage year-round dialogue on mitigation issues.
- Provide technical assistance to communities.

The Missouri State EMA partnered with electric cooperatives, businesses, the NWS, and FEMA to provide NOAA transmitters and maximize radio alert coverage of every community in Missouri.



### Key Points

State, tribal, territorial, and insular area governments are responsible for the public safety, security, health, and welfare of the people who live in their jurisdictions. These levels of government serve an integral role as a conduit for vertical coordination between Federal agencies and local governments.

The State is required to uphold Federal regulations intended to reduce hazard losses. The State also must provide resources to achieve these goals and emphasize to its constituents the importance of substantial risk reduction.

The Stafford Act, Section 409, requires each State to conduct an evaluation of existing natural hazards statewide, and the risks that they pose. This evaluation, the State hazard mitigation plan, helps to identify beneficial hazard mitigation measures. States use the hazard mitigation planning process to set short- and long-range mitigation goals and objectives.

If kept current, the State hazard mitigation plan will capture evolving risks to State populations and resources, prioritize types of mitigation measures, and serve as a ready-made wish list when HMGP or other (State, local, private, Federal, etc.) funds are available.

The States play an important role in determining the appropriate planning area for local hazard mitigation planning efforts. Given the diversity of State and local planning authorities throughout the Nation, DMA 2000 defines "local government" broadly and provides the States with flexibility to determine how local governments will be involved in the hazard mitigation planning process.

**Example:** The Missouri State Emergency Management Agency partnered with electric cooperatives, private businesses, the National Weather Service, and FEMA to provide the State with NOAA all-hazards weather transmitters and maximize radio alert coverage of every community in Missouri.

## Visual 29: State/Tribal/Territorial Hazard Mitigation Officer

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- The Hazard Mitigation Officer manages the State's or tribe's mitigation program and coordinates planning activities.
- The SHMO/THMO manages the Hazard Mitigation Grant Program and serves as FEMA's mitigation liaison.

**Communities should contact the SHMO/THMO for guidance in mitigation planning.**

### Key Points

The State or Tribal Hazard Mitigation Officer is usually responsible for managing the State's or tribe's mitigation program, coordinating the mitigation team or council, and conducting planning activities.

After a disaster, the State Hazard Mitigation Officer (SHMO) manages the HMGP and serves as FEMA's mitigation liaison.

The Tribal Hazard Mitigation Officer (THMO) is responsible for identifying projects and developing a mitigation plan and may work with the SHMO.

Communities should contact the SHMO/THMO for guidance in mitigation planning.

## Visual 30: Federal Role

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FEMA partners with State, tribal, and local governments and the private sector to:

- Assess hazards and identify risk reduction opportunities.
- Develop and implement hazard mitigation strategies.
- Educate the public.
- Promote hazard mitigation planning.

FEMA partnered with hardware stores in Puerto Rico to educate the public about mitigation.



### Key Points

**Example:** In Arecibo, Puerto Rico, FEMA partnered with local hardware stores to provide an opportunity for customers to talk face-to-face with experienced personnel about building requirements, regulations, and preventive measures to mitigate damages to property and life. FEMA is emphasizing alertness among communities that have been affected by natural disasters to be ready for all types of emergencies.



## Visual 31: Federal Role (Continued)

FEMA supports and encourages local mitigation efforts by:

- Providing grants to fund pre-disaster and post-disaster hazard mitigation projects
- Assessing the performance of ongoing hazard mitigation activities
- Assisting communities in administering the National Flood Insurance Program (NFIP)

### Key Points

FEMA supports and encourages local mitigation efforts by:

- Providing grants to fund pre-disaster and post-disaster hazard mitigation projects
  - *Note: The Sandy Recovery Improvement Act of 2013 (SRIA) authorizes FEMA to provide up to 25 percent of the estimated costs for eligible hazard mitigation measures before they are incurred.*
- Assessing the performance of ongoing hazard mitigation activities
- Assisting communities in administering the National Flood Insurance Program (NFIP)

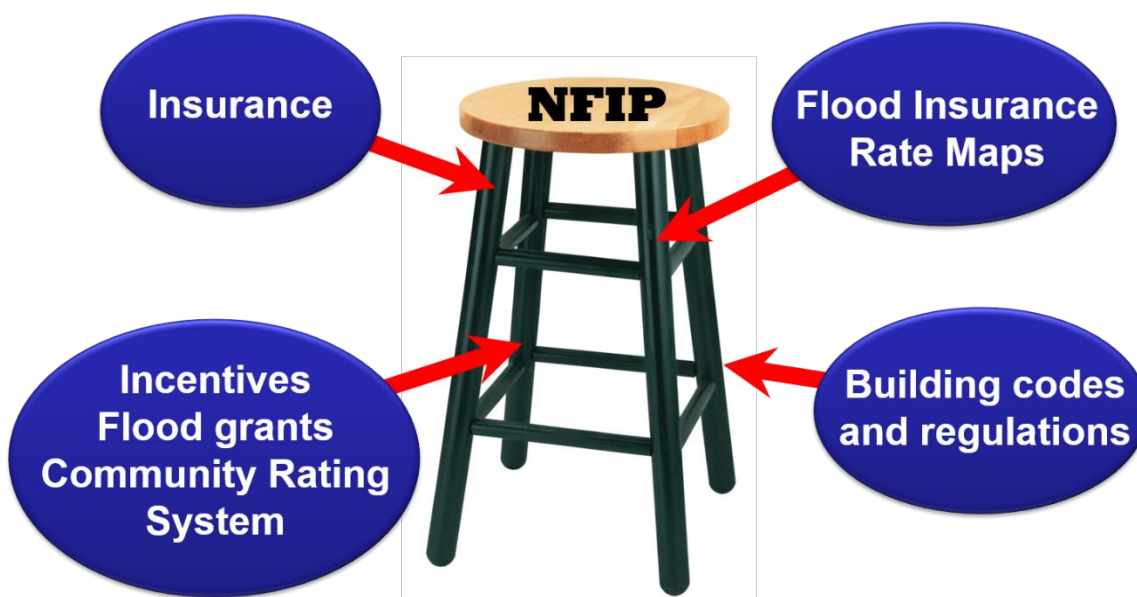
The Federal, State, and Local NFIP roles are summarized below:

### Federal, State, and Local NFIP Roles

Entity	Roles
<p style="text-align: center;"><b>Federal NFIP Role</b></p>	<ul style="list-style-type: none"> <li>• National program oversight</li> <li>• Risk identification (mapping)</li> <li>• Establishing development/building standards</li> <li>• Providing affordable flood insurance coverage</li> </ul>
<p style="text-align: center;"><b>State NFIP Role</b></p>	<ul style="list-style-type: none"> <li>• State program oversight</li> <li>• Establishing development/building standards</li> <li>• Providing technical assistance to Local communities/agencies</li> <li>• Evaluating and documenting floodplain management activities</li> </ul>

Entity	Roles
<b>Local NFIP Role</b>	<ul style="list-style-type: none"><li>• Adopting/enforcing Local floodplain management ordinances that comply with Federal/State laws</li><li>• Issuing or denying development/building permits</li><li>• Inspecting development and maintaining records</li><li>• Providing development oversight</li></ul>

## Visual 32: Comprehensive Floodplain Management



### Key Points

**The NFIP is a Federal program enabling property owners to purchase affordable flood insurance. Flood insurance provides an alternative to disaster assistance.**

The NFIP balances four related program areas:

- **Flood Insurance:** Provision of low-cost insurance for property owners in participating communities.
- **Flood Hazard Identification:** For example, Digital Flood Insurance Rate Maps (DFIRMs).
- **Floodplain Management:** Regulations such as building codes and zoning.
- **Incentives:** Flood grants, Community Rating System, and other incentives.

## Visual 33: Flood Insurance vs. Disaster Assistance

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- Disaster assistance:
  - Is in the form of loans (must be repaid with interest) and grants.
  - Requires a Presidential declaration for most programs.
- Flood insurance is a payment on a claim; there is no payback requirement.
- Flood insurance claim does NOT require a Presidential declaration.

### Key Points

It is important to understand the difference between flood insurance and disaster assistance.

Following a disaster, insurance payments can help property owners return to normal more quickly.

Many property owners mistakenly believe that Federal disaster assistance will be available to cover damages from a flood, but it is usually a loan that must be repaid with interest and is available only when a Federal declaration of disaster has been issued.

In contrast, flood insurance guarantees that policyholders receive a claim check for the amount of their covered losses and helps them recover faster than those without flood insurance. A property owner does not need to live in a flood zone to qualify for flood insurance.

Disaster assistance is almost always a lower amount than a flood insurance payment, and it must be repaid. Disasters are declared in only 50 percent of flooding events.

## Visual 34: No Adverse Impact (NAI)

---

- NAI is a floodplain management principle.
- Under NAI, the actions of one property owner are not allowed to adversely affect the rights of other property owners.
- NAI promotes local accountability for developing and implementing a comprehensive strategy and plan that:
  - Identifies acceptable levels of impact.
  - Specifies appropriate measures to mitigate those adverse impacts.

### Key Points

[No Adverse Impact \(NAI\) Floodplain Management](#) is a managing principle supported by the Association of State Floodplain Managers.

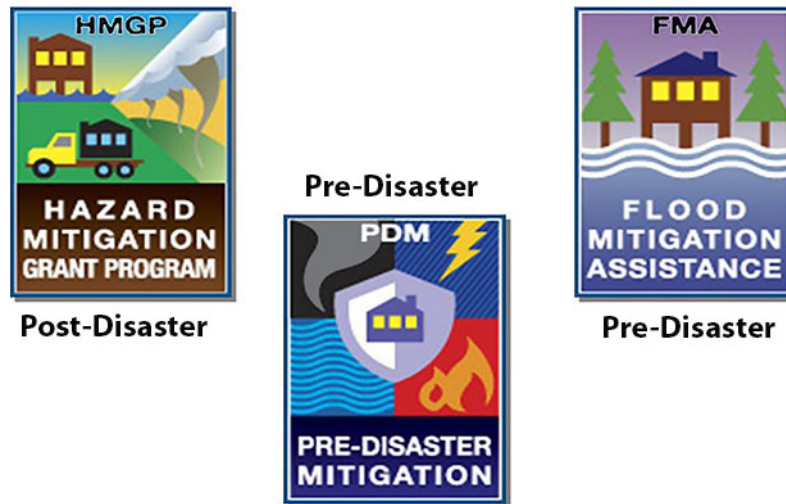
NAI floodplain management takes place when the actions of one property owner are not allowed to adversely affect the rights of other property owners. Adverse effects or impacts can be measured in terms of increased flood peaks, increased flood stages, higher flood velocities, increased erosion and sedimentation, or other impacts the community considers important.

NAI promotes local accountability for developing and implementing a comprehensive strategy and plan. Communities can use the NAI approach in developing and implementing floodplain management plans that:

- Identify acceptable levels of impact.
- Specify appropriate measures to mitigate those adverse impacts.

NAI criteria can be extended to entire watersheds as a means to promote the use of regional retention/detention or other storm water techniques to mitigate damage from increased runoff from urban areas.

## Visual 35: Hazard Mitigation Assistance (HMA)



### Key Points

Federal mitigation programs include three grant programs under the Hazard Mitigation Assistance (HMA) program:

- Hazard Mitigation Grant Program (HMGP)
- Pre-Disaster Mitigation (PDM)
- Flood Mitigation Assistance (FMA)

There are two broad categories of HMA grants – Pre-Disaster (or Non-Disaster) and Post-Disaster. HMGP is a post-disaster funding program and PDM and FMA are pre-disaster funding programs.

All pre-disaster programs are funded by FEMA and administered by the State. State, Local, and Tribal governments apply for these grants via a national evaluation. Normally there is a cost share involved, such as 75 percent Federal and 25 percent Applicant.

If an Applicant's project is consistent with the Local or State hazard mitigation plan, there is a greater likelihood that it will be approved.

These grant programs fund a range of mitigation activities and have many similar requirements.

## Visual 36: Hazard Mitigation Planning

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- Is the first step in the mitigation process
- Is required to receive project funding
- Identifies potential projects relative to hazard risk

### Key Points

In the next section we will discuss the process for mitigation planning.

**Note:** Grants are beyond the scope of this course. Most grants are run through the State, so work with your State liaison for more information.

## Visual 37: Hazard Mitigation Grant Program (HMGP)

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- Presidential major disaster declaration funds long-term measures
- Covers all hazards
- Requested by Governor for entire State or specific areas

### Key Points

The Hazard Mitigation Grant Program (HMGP) is an all-hazards grant program that:

- Is available during the immediate recovery period after a Presidential major disaster declaration under the Stafford Act.
- Funds long-term measures that reduce future disaster risk-both mitigation planning and projects.
- Must be requested by the Governor, either for the entire State or for specific areas and may include up to 20% of the total estimated cost of a disaster for states with FEMA designated "Enhanced" Mitigation plans.

HMGP is authorized by Section 404 of the Stafford Act.

The Sandy Recovery Improvement Act of 2013 (SRIA) authorizes a pilot project to allow FEMA to provide up to 25% of the estimated costs for eligible hazard mitigation measures **before** they are incurred, with a maximum HMGP ceiling of \$10 million.



## Visual 38: Projects Commonly Funded by HMGP

---

- Acquisition of real property
- Elevation of flood-prone structures
- Localized flood control projects
- Post-disaster building retrofits
- Installation of safe rooms



### Hazard Mitigation Assistance Summary

## Key Points

Projects commonly funded by the HMGP include:

- Acquisition of real property: Owners must be willing to sell, and property must be demolished or relocated to convert land to open space use.
- Retrofitting structures: Activities that minimize damage from high winds, earthquake, flood, wildfire, or other natural hazards.
- Elevation of flood-prone structures.
- Postdisaster building retrofits based on building codes.
- Localized flood control projects: Certain ring levees and floodwall systems designed specifically to protect critical facilities.

**Example:** Following a 1996 severe ice storm, Dakota Energy, a nonprofit cooperative, used funds available through the FEMA Hazard Mitigation Grant Program (HMGP) to bury a 5.5-mile segment of line in Beadle County just west of Huron. The project reduced long-term risk to homes and farms served by the main feeder line. The cost of the burying the line was approximately \$11,570 per mile, for a total cost of \$57,850. The HMGP paid 75 percent of the cost, or \$43,387, while Dakota Energy paid the remaining \$14,463. The project was part of a larger strategy to bury select power lines.

## Visual 39: Pre-Disaster Mitigation (PDM)

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- All-hazards grant program, not tied to disasters.
- Funds both mitigation planning and projects.

### Key Points

Pre-Disaster Mitigation (PDM):

- Is an all-hazards grant program.
- Funds both mitigation planning and projects.
- Is authorized by Section 203 of the Stafford Act.
- Provides funds that are awarded annually on a nationally competitive basis.

**Example:** In 2008, Clark County, WI, received a \$14,700 PDM grant to update their 2005 hazard mitigation plan over a 2-year period.

Collaboration among the emergency manager, regional planner, community leaders, and Local Emergency Planning Committee (LEPC) contributed to the success of the project.

The LEPC, made up of professionals from various departments and community stakeholders (including sheriffs, fire, highway, public health, and hospital officials), reviewed and established the priorities for the county and helped to steer the direction of the planning. Input was received from mayors and village presidents regarding their vulnerabilities. The plan was approved in October 2010.

## Visual 40: Flood Mitigation Assistance (FMA)

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Funds both mitigation planning and projects (floods only).

- Goal is to reduce or eliminate claims under NFIP.
- Properties must have NFIP insurance coverage.

**With the help of an FMA grant and other FEMA grants, Cleveland, IL, bought 31 properties in the floodplain of the Rock River, which frequently floods, enabling residents to relocate to safer areas.**

### Key Points

The Flood Mitigation Assistance (FMA) program was created as part of the National Flood Insurance Reform Act (NFIRA) of 1994 (42 U.S.C. 4101) with the goal of reducing or eliminating claims under the National Flood Insurance Program (NFIP).

FEMA provides FMA funds to help States and communities implement measures that reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other structures insured under the NFIP.

Three types of FMA grants are available to States and communities:

- **Planning Grants** to update Flood Mitigation Plans. Only NFIP-participating communities with approved Flood Mitigation Plans can apply.
- **Project Grants** to implement measures to reduce flood losses, such as elevation, acquisition, or relocation of NFIP-insured structures.
- **Management Cost Grants** for the State to help administer the FMA program and activities.

**Example:** Cleveland, IL, carried out a property acquisition program with the help of an FMA grant and other FEMA grants. They bought 31 properties in the floodplain of the Rock River, which frequently floods, focusing initially on helping those in harm's way to have an alternative to flooding, especially those who were elderly or ill.

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## Visual 41: Activity 9.2: Identifying Roles

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**Instructions:** Working in table groups:

1. Introduce the activity and refer the students to the problem descriptions in the Student Manual.
2. Assign each table group one of the five problems described on the following pages.
3. Have groups write on chart paper:
  - a. A list of the possible consequences if the problem is not addressed
  - b. The potential roles of individuals, private sector, and Local/Tribal, State, and Federal governments in addressing the problem
4. Be prepared to present your results in 10 minutes.

### Problem 1:

Emergency response personnel in Fire Station #3 would be in danger if the fire station were in the path of a tornado, because there is no basement. The fire station was built of masonry in 1880, and is a historic structure. The station is 1 of 10 stations in the community and serves an older neighborhood with a large elderly population. The station, which is situated on publicly owned property with no other structures within 100 feet, is located in a floodplain.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

### Problem 2:

In the Laurel Valley Subdivision, 20 newer homes with an average value of \$350,000 flood whenever the area receives more than one-half inch of rain for 3 or more consecutive hours. New development in the area has reduced the ground capacity to absorb the rain. Flooding occurs an average of twice a year. On average, flood depth is 6 inches above first floor elevations. The area is low lying.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

### Problem 3:

Computer simulation studies showed that in the event of a major earthquake, Moffitt Hospital would negatively react with the Medical Science Building and could pose significant risk of the hospital's partial collapse. Deficiencies must be corrected within a short deadline imposed by the State legislature. The hospital will be decommissioned if it does not comply with structural performance criteria.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

## Problem 4:

The main administrative office space for the town of Ocean City is located in the historic Town Hall. The existing windows and doors do not meet county protocols for hurricane- and impact-resistant systems.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

## Problem 5:

Waikoloa Village on the Big Island of Hawaii is a community of about 5,000 people located on the slopes of Mauna Kea above the Kohala Coast. The community is at high risk from wildfires. The village is located in a rather remote location, surrounded by brush and grass, with a single road used for both entry and exit. The site was used by the U.S. Army during World War II, which left unexploded munitions buried on the property.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

## Visual 42: Predisaster

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- Meets the community's needs.
- Achieves multiple objectives.
- Increases funding eligibility.
- Guides postdisaster recovery.
- Promotes public participation.
- Is required as a condition of receiving Federal disaster mitigation assistance.



### Key Points

Predisaster hazard planning is the key element in building an effective mitigation program. Predisaster planning emphasizes actions to be taken before a disaster occurs to reduce or prevent future damages.

Effective planning forges partnerships that will bring together the skills, expertise, and experience of a broad range of groups to achieve a common vision for the community or State. It can also ensure that the most appropriate and equitable mitigation projects will be undertaken.

## Visual 43: Mitigation Planning Process



### Key Points

The mitigation planning process includes four phases:

#### Organize Resources

- Assess community support
- Build the planning team
- Engage the public

#### Assess Risks

- Identify hazards
- Profile hazard events
- Inventory assets
- Estimate losses

#### Develop a Mitigation Plan

- Establish goals/objectives
- Identify/prioritize actions
- Prepare the strategy
- Document the process

#### Implement the Plan and Monitor Progress



- Adopt the plan
- Implement the recommendations
- Evaluate results
- Revise the plan

Mitigation planning is not a linear process. With the exception of the risk assessment, most tasks can be completed in any order that works for the community, particularly when you are working on building support in your community.

## Visual 44: Issues Affecting Mitigation

---

**What are some examples of community groups that would be considered mitigation stakeholders?**

**What kinds of interests or concerns might these groups have that could affect the mitigation planning effort?**

## Visual 45: Who Can Help

- State/Tribal Hazard Mitigation Officer
- Floodplain Managers
- Public Works Personnel
- Engineers
- Planning and Zoning Department
- Transportation Departments
- Businesses
- Academic Institutions



### Key Points

Experts at the Federal, State, tribal, and local level can be valuable sources of technical assistance with mitigation planning and implementation.

## Visual 46: Need for Community Involvement

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Hazard mitigation planning is most successful when it:

- **Increases** public and political support for mitigation programs.
- **Results in actions** that also support other important community goals and objectives.
- **Influences** the community's or State's decision making to include hazard reduction considerations.

## Visual 47: Building Support

- Tap into issues people already care about.
- Find out how other communities built support.
- Emphasize the costs of disaster and the savings provided by mitigation.
- Underscore incentives.
- Highlight the human aspects.

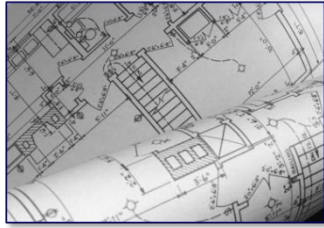


### Key Points

Strategies for building support for mitigation include:

- **Tap into interests:** The interests of all stakeholders and the general public have to be considered and met to gain support for mitigation actions. Identify self-interests in mitigation for a variety of sectors of the community or State to obtain broad support. Identify a variety of potential funding and technical resources to support the planning process and be ready to provide this information to others.
- **Experience:** Unless your community or State has experienced a recent disaster, local elected officials might not be very familiar with local hazards and the associated risks. Identifying leaders in other communities who were successful in developing and/or implementing mitigation plans can help bring peers together to benefit from experience.
- **Costs and benefits:** Elected officials like to hear about the economic benefits associated with public actions, so provide as much information as possible on the costs of a disaster and how mitigation actions can reduce those costs to individuals, businesses, communities, States, and the Federal Government, particularly for a type of disaster that recently affected your community or a nearby community.
- **Incentives:** Capitalizing on regulations such as those implementing the Disaster Mitigation Act of 2000, which require States and local communities to have approved plans to be eligible for postdisaster mitigation funding, can serve as an entry point of discussion with elected officials. Underscore individual incentives, such as lower insurance rates.
- **Find a champion:** Having a prominent and well-respected community business leader, elected official, or agency head to serve as an advocate for initiating the planning process will help you enlist the support of other officials and community leaders. This also increases the "human" aspect of loss reduction by associating it with a recognizable personality.

# Visual 48: Categories of Mitigation Measures



**Prevention**



**Property Protection**



**Public Education & Awareness**



**Natural Resource Protection**



**Structural Projects**



## Mitigation Measures

### Key Points

Mitigation measures fall into the following categories:

- Prevention
- Property Protection
- Public Education and Awareness
- Natural Resource Protection
- Structural Projects

Descriptions and examples are provided on the next page.

### Mitigation Measures

Mitigation Measures	Description	Examples
<b>Prevention</b>	Government administrative or regulatory	<ul style="list-style-type: none"> <li>• Planning and</li> </ul>

Mitigation Measures	Description	Examples
	actions or processes that influence the way land and buildings are developed and built. These actions also include public activities to reduce hazard losses.	zoning <ul style="list-style-type: none"> <li>• Building codes</li> <li>• Capital improvement programs</li> <li>• Open space preservation</li> <li>• Storm water management regulations</li> </ul>
<b>Property Protection</b>	Actions that involve the modification of existing buildings or infrastructure to protect them from a hazard, or removal from the hazard area.	<ul style="list-style-type: none"> <li>• Acquisition</li> <li>• Elevation</li> <li>• Relocation</li> <li>• Structural retrofits</li> <li>• Flood proofing</li> <li>• Storm shutters</li> <li>• Shatter-resistant glass</li> </ul>
<b>Public Education &amp; Awareness</b>	Actions to inform and educate citizens, elected officials, and property owners about potential risks from hazards and potential ways to mitigate them.	<ul style="list-style-type: none"> <li>• Outreach projects</li> <li>• Real estate disclosure</li> <li>• Hazard information centers</li> <li>• School-age and adult education programs</li> </ul>
<b>Natural Resource Protection</b>	Actions that, in addition to minimizing hazard losses, also preserve or restore the functions of natural systems.	<ul style="list-style-type: none"> <li>• Sediment and erosion control</li> <li>• Stream corridor restoration</li> <li>• Watershed management</li> </ul>

Mitigation Measures	Description	Examples
		<ul style="list-style-type: none"><li>• Forest and vegetation management</li><li>• Wetland restoration and preservation</li></ul>
<b>Structural Projects</b>	Actions that involve the construction of structures to reduce the impact of a hazard.	<ul style="list-style-type: none"><li>• Storm water controls (e.g., culverts)</li><li>• Floodwalls</li><li>• Seawalls</li><li>• Retaining walls</li><li>• Safe rooms</li></ul>

Source: Local Multi-Hazard Mitigation Planning Guidance (FEMA, July 2008)



## Visual 49: Implementation Strategy for the Plan

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- **How** the mitigation actions will be funded
- **Who** is responsible for which actions
- **When** the actions are to be completed

### Key Points

The implementation strategy is an essential part of the hazard mitigation plan. The implementation strategy identifies:

- **How** the hazard mitigation actions will be funded-Determine resources to implement the actions.
- **Who** is responsible for which actions-Identify parties, define responsibilities, and confirm partners.
- **When** the actions are to be completed-Lay out the timeframe for implementing the actions. Be realistic with the timeframe; don't set unrealistic expectations.

## Visual 50: Building on Other Initiatives



### Examples:

- Comprehensive and other community-oriented planning activities
- Capital improvement plans
- Floodplain remapping or updating
- Existing mitigation plans and other emergency management plans
- Postdisaster recovery planning

### Key Points

Identify existing processes such as comprehensive planning that can be expanded to include the development of a mitigation plan or include hazard mitigation elements.

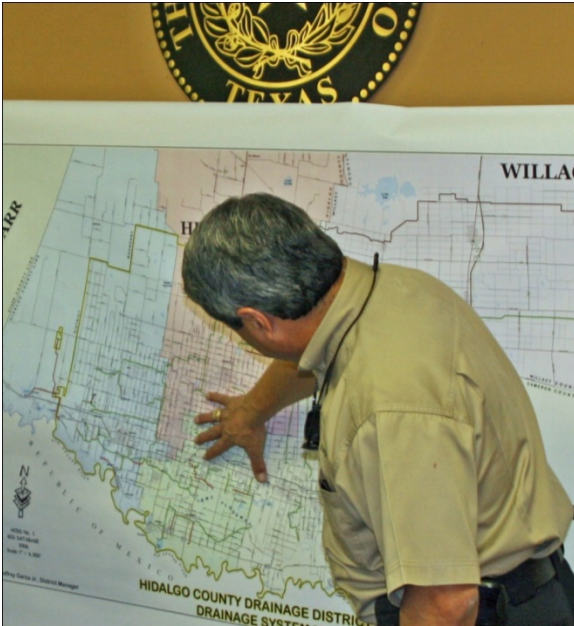
Create support by expanding current planning initiatives to include mitigation concepts, policies, and activities. Examples include:

- Comprehensive and other community-oriented planning activities.
- Capital improvement plans.
- Floodplain remapping or updating. (Remember, the floodplain map becomes obsolete and needs to be updated.)
- Existing mitigation plans and other emergency management plans.
- Post-disaster recovery planning.

Many of these opportunities are best used after mitigation actions are identified in Phase 3 of the planning process. However, knowing early on that you can use these tools to further support planning can lend momentum to early planning efforts. In addition, these tools are efficient as mechanisms for implementing mitigation actions identified in Phase 3 of the planning process.

## Visual 51: Celebrate Success!

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Keep the community informed about the incremental progress and success of the program.

### Key Points

Throughout the process, keep the community updated and involved. Once the plan has been approved, stakeholders should be informed of your success. Refer to <https://www.fema.gov/media-library/assets/documents/24118> for the FEMA Local Mitigation Plan Review Crosswalk Tool.

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## Visual 52: Activity 9.3: Community Involvement

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Instructions: In table groups . . .

1. Review the scenario and develop a 2-3-minute opening to your meeting with your assigned community group
2. Prepare the opening statement and any support graphics/information on chart paper
3. Outline the rest of your strategy for keeping the group engaged following the meeting

### Key Points

Working in table groups . . .

1. You have been asked to make a presentation to a particular group (listed below) to explain mitigation opportunities and needs in your community.
2. Your table group will be assigned one of the groups listed. Your goal is to educate the group members on the importance of mitigation and to motivate them to take action following the meeting.
3. Review the scenario and develop a 5-minute opening to your meeting with your assigned community group
4. Prepare the opening statement and any support graphics/information on chart paper.
5. Outline the rest of your strategy for keeping the group engaged following the meeting.

### Scenario

#### Community Groups:

- Individuals and households
- Local merchants and business owners
- Community-based nonprofit organizations
- Elected officials
- Government agencies

#### Scenario:

Your community sits at the confluence of two rivers that have a long history of flooding. Two residential areas have repeatedly sustained flood damage over the years.

The first area, Swampy Acres, is in an area that is in the floodplain of both rivers. There are seven properties that flood nearly every few years, causing heavy damage.

The second area, Scenic View, is near one of the rivers. Homes in this area have sustained moderate damage twice in the last 20 years.

Grant money is available for mitigating the flood hazard in two ways: (1) purchasing the properties in Swampy Acres and turning this natural floodplain into a public park, and (2) conducting a public education campaign to encourage homeowners in Scenic View to undertake mitigation measures on their properties.

## Visual 53: Unit Summary

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- Mitigation refers to those capabilities necessary to reduce loss of life and property by lessening the impact of disasters.
- Mitigation planning leads to safer and more resilient communities.
- Mitigation breaks the cycle of hazard-related damage and rebuilding.



### Key Points

This unit presented the following key points:

- Mitigation refers to those capabilities necessary to reduce loss of life and property by lessening the impact of disasters.
- Mitigation planning leads to safer and more resilient communities.
- Mitigation breaks the cycle of hazard-related damage and rebuilding.
  - Hazards such as hurricanes, tornadoes, earthquakes, wildfire, and floods are faced by people throughout the country.
  - Mitigation activities and programs can help communities and individuals become more disaster resistant and break the damage-rebuilding cycle through information sharing, better planning, and stronger building.
- All levels of government; the private and nonprofit sectors; and the general public all have important roles to play in mitigation.
- The National Flood Insurance Program balances four related program areas: flood hazard identification, floodplain management, flood insurance, and incentives.
- The Unified Hazard Mitigation Assistance (UHMA) Program includes an array of grant programs to assist communities and home owners with mitigation efforts.
- Hazard mitigation planning is required for Federal disaster mitigation assistance.
- Mitigation plans:
  - Can be designed to achieve multiple objectives.
  - Increase funding eligibility.
  - Are used to guide post-disaster recovery.
- Hazard mitigation is most successful when it engages the whole community and supports other important community goals and objectives.

## Visual 54: Activity 9.4: Jurisdiction Mitigation Efforts (Pre-Work)

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Instructions: Working individually...

1. Answer the self-assessment questions in the pre-work.

## Visual 55: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 10: Response



## Visual 1: Mission Area: Response

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Mission Area: Response

### Key Points

Welcome to the Response in Emergency Management unit.

This unit reviews the key response concepts and terminology used within the National Response Framework (NRF) and National Incident Management System (NIMS) but is not a substitute for comprehensive training.

Additional information on NIMS training requirements is at the [NIMS Resource Center](https://www.fema.gov/national-incident-management-system) at (<https://www.fema.gov/national-incident-management-system>).

## Visual 2: Unit Structure

- Response Overview
- Initial Response Actions
- Planning for Response
- Resource Management

### Key Points

This unit is divided into the following sections:

Unit	Time
Initial Response Actions <ul style="list-style-type: none"> <li>• Activity 10.1 – Initial Actions</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 15 minutes</li> </ul>
Planning for Response <ul style="list-style-type: none"> <li>• Activity 10.2 – Incident Action Plan</li> <li>• Activity 10.3 – Emergency Operations Planning (Pre-Work)</li> <li>• Video: An Effective Planning Process?</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 20 minutes</li> <li>• 5 minutes</li> <li>• 30 seconds</li> </ul>
Resource Management <ul style="list-style-type: none"> <li>• Activity 10.4 – Resource Planning</li> <li>• Activity 10.5 – Tracking and Reporting</li> <li>• Activity 10.6 – Jurisdiction Response Preparedness (Pre-Work)</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 15 minutes</li> <li>• 20 minutes</li> <li>• 5 minutes</li> </ul>
<b>Total Unit Time:</b>	<b>3 hours</b>

## Visual 3: Terminal Objective

To describe key aspects of the Response mission area, including:

- Emergency operations planning.
- Initial response actions.
- Resource management.



Refer to the unit objectives.

### Key Points

The goal of this unit is to enable you to describe key aspects of the Response mission area, including emergency operations planning, initial response actions, resource management, and managing complex incidents.

The objectives for the unit are listed below.

- Describe core concepts of the National Response Framework (NRF).
- Describe features and advantages of using the Incident Command System (ICS) for incident response.
- Describe key roles in incident response.
- Identify elements of effective decision making during incident response.
- Identify factors that impact activation of the Emergency Operations Center (EOC).
- Differentiate between an EOC Action Plan and an Incident Action Plan.
- Identify the principles of emergency planning.
- Identify the steps in the emergency planning process.
- Identify the steps in resource management planning.

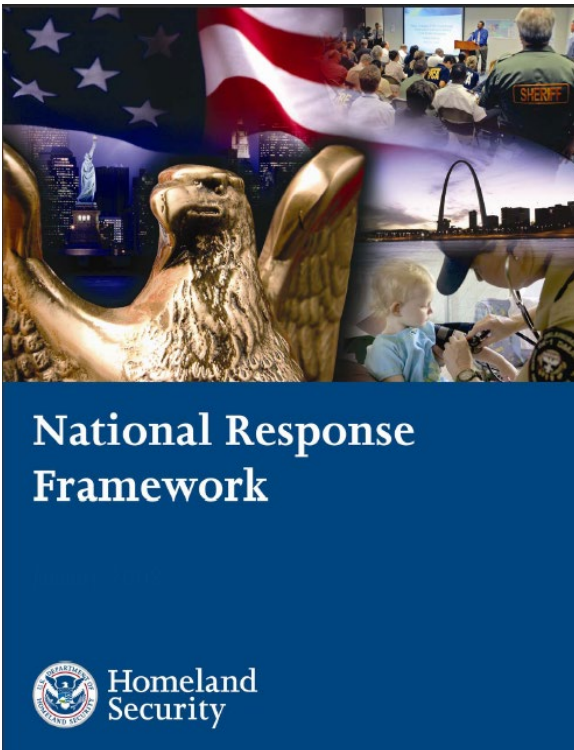
- Describe the process for managing resources during an incident.
- Describe the process for requesting Federal assistance.

## Visual 4: Discussion Question

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**How does Emergency Management support effective response?**

## Visual 5: National Response Framework



A guide to how the Nation responds to all types of disasters and emergencies regardless of size or complexity.

### Key Points

Doctrine and guidance for response operations at all levels are provided by the National Response Framework (NRF) and the National Incident Management System (NIMS).

The NRF is an essential component of the National Preparedness System. It serves as a guide to how the Nation responds to all types of disasters and emergencies—from the smallest incident to the greatest catastrophe.

The NRF is built on scalable, flexible, and adaptable concepts identified in NIMS to align key roles and responsibilities across the Nation. Elements from the NRF can be implemented at any level and at any time. The NRF is not just limited to Federal agencies; it also describes how communities, States, Tribal nations, and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response.

The NRF describes specific authorities and best practices for managing incidents that range from the serious but purely local to large-scale terrorist attacks or catastrophic natural disasters.

**A basic premise of the NRF and NIMS is that all incidents begin and end locally.**

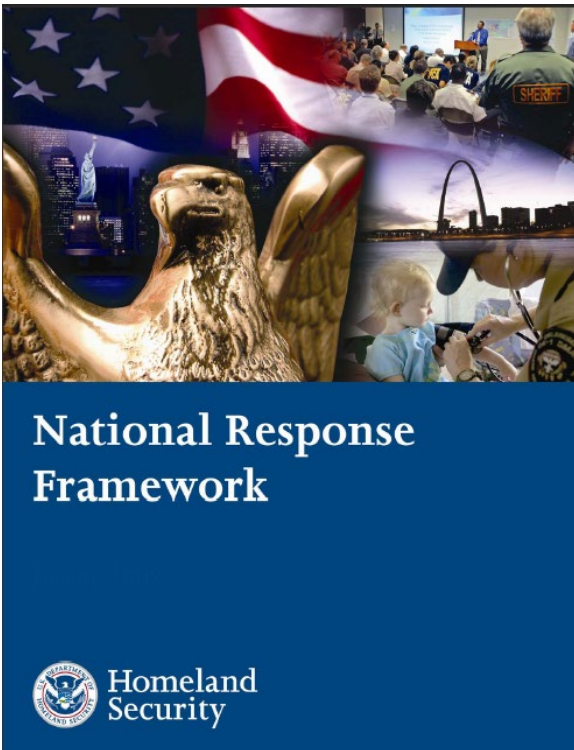
These guiding documents do not take command away from State, Tribal, and Local authorities. Rather, they provide a framework to enhance the ability of responders, including the private sector and nongovernmental organizations, to work together more effectively.

The Federal Government supports State, Tribal, and Local authorities when their resources are overwhelmed or are expected to be overwhelmed. Federal departments and agencies respect the

sovereignty and responsibilities of Local, Tribal, and State governments while rendering assistance. The intention of the Federal Government in these situations is not to command the response, but rather to support the affected Local, Tribal, and/or State governments.

FEMA has established a resource center to help those responsible for emergency management understand how the NRF works. For more information, visit the NRF Resource Center ([https://www.fema.gov/media-library-data/20130726-1914-25045-8516/final\\_national\\_response\\_framework\\_20130501.pdf](https://www.fema.gov/media-library-data/20130726-1914-25045-8516/final_national_response_framework_20130501.pdf)).

## Visual 6: Guiding Principles



- Engaged Partnerships
- Tiered Response
- Scalable, Flexible, and Adaptable Operational Capabilities
- Unity of Effort Through Unified Command
- Readiness To Act

### Key Points

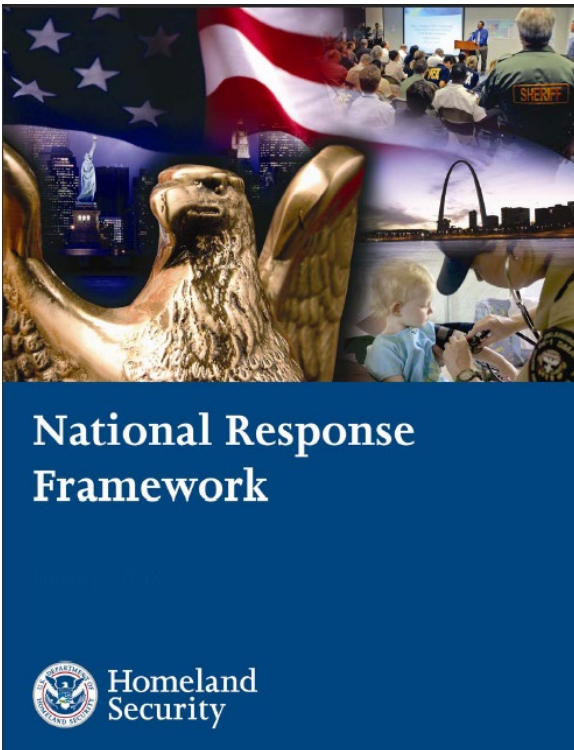
Response doctrine defines basic roles, responsibilities, and operational concepts for response across all levels of government and with the private sector and nongovernmental organizations. It is important to remember that the overarching objective of response activities is life safety, followed by protecting property and the environment.

The Framework establishes the following response doctrine:

- **Engaged partnerships:** Leaders at all levels must communicate and actively support engaged partnerships to develop shared goals and align capabilities so that none allows the other to be overwhelmed in times of crisis.
- **Tiered response:** Incidents must be managed at the lowest possible jurisdictional level and supported by additional response capabilities when needed.
- **Scalable, flexible, and adaptable operational capabilities:** As incidents change in size, scope, and complexity, the response must adapt to meet requirements.
- **Unity of effort through unified command:** Response is a team effort. Effective unified command is indispensable to all response activities and requires clear understanding of the roles and responsibilities of each participating organization.
- **Readiness to act:** Effective incident response requires readiness to act balanced with an understanding of risk. From individuals, families, and communities to local, State, and Federal agencies, national response depends on the instinct and ability to act.



## Visual 7: Core Capabilities for Response



The NRF identifies capabilities necessary to:

- Save lives.
- Protect property and the environment.
- Meet basic human needs.
- Stabilize the incident.
- Restore basic services and community functionality, and establish a safe and secure environment moving toward the transition to recovery.

### Key Points

Once an incident occurs, efforts focus on saving lives, protecting property and the environment, and preserving the social, economic, cultural, and political structure of the jurisdiction. Depending on the size, scope, and magnitude of an incident, Local, State, Tribal, and Territorial, and insular area governments, and, in some cases, the Federal Government, may be called into action.

The NRF identifies core capabilities for response - a list of the activities that generally must be accomplished in incident response, regardless of which levels of government are involved.

Fifteen core capabilities have been identified as necessary for successful response. Review the examples of critical tasks in the following table to better understand what each capability encompasses.

### Examples of Critical Tasks for Response

Core Capability	Examples of Critical Tasks
<b>Planning</b>	<ul style="list-style-type: none"> <li>• Develop at the Federal level and in the States and Territories operational plans that adequately identify</li> </ul>

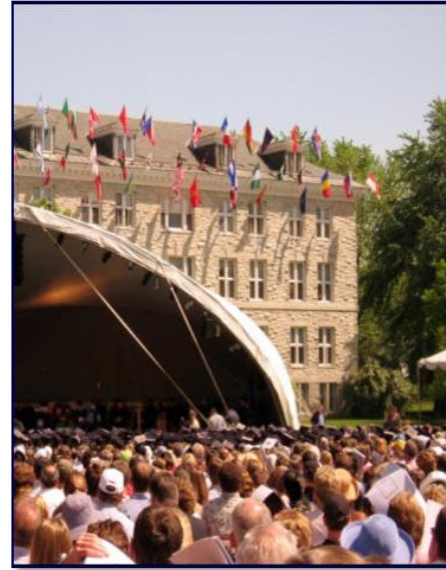
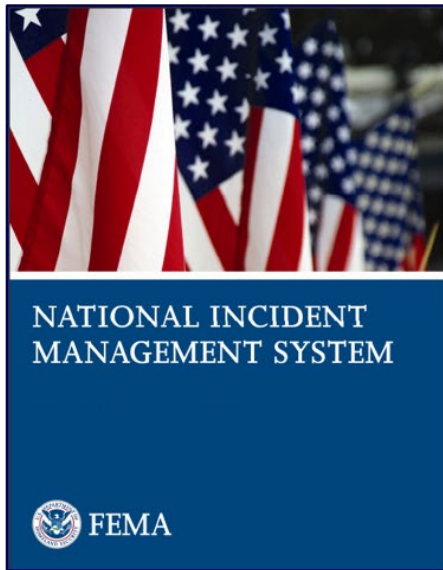
Core Capability	Examples of Critical Tasks
	<p>critical objectives based on the planning requirements, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the objectives, and are implementable within the timeframe contemplated in the plan using available resources.</p>
<p><b>Public Information and Warning</b></p>	<ul style="list-style-type: none"> <li>• Using all means necessary, including accessible tools, inform all affected segments of society of critical lifesaving and life-sustaining information to expedite the delivery of emergency services and aid the public to take protective actions.</li> <li>• Deliver credible messages to inform ongoing emergency services and the public about protective measures and other life-sustaining actions and facilitate the transition to recovery.</li> </ul>
<p><b>Operational Coordination</b></p>	<ul style="list-style-type: none"> <li>• Mobilize all critical resources and establish command, control, and coordination structures within the affected community and other coordinating bodies in surrounding communities and across the Nation and maintain, as needed, throughout the duration of an incident.</li> <li>• Enhance and maintain National Incident Management System (NIMS)-compliant command, control, and coordination structures to meet basic human needs, stabilize the incident, and transition to recovery.</li> </ul>
<p><b>Critical Transportation</b></p>	<ul style="list-style-type: none"> <li>• Establish physical access through appropriate transportation corridors and deliver required resources to save lives and to meet the needs of disaster survivors.</li> <li>• Ensure that basic human needs are met, stabilize the incident, transition into recovery for an affected area, and restore basic services and community functionality.</li> </ul>
<p><b>Environmental Response/Health and Safety</b></p>	<ul style="list-style-type: none"> <li>• Conduct health and safety hazard assessments and disseminate guidance and resources, to include deploying hazardous materials teams, to support environmental health and safety actions for response personnel and the affected population.</li> <li>• Assess, monitor, perform cleanup actions, and provide</li> </ul>

Core Capability	Examples of Critical Tasks
	resources to meet resource requirements and to transition from sustained response to short-term recovery.
<b>Fatality Management Services</b>	<ul style="list-style-type: none"> <li>Establish and maintain operations to recover a significant number of fatalities over a geographically dispersed area.</li> </ul>
<b>Fire Management and Suppression</b>	<ul style="list-style-type: none"> <li>Provide structural, wildland, and specialized firefighting capabilities to manage and suppress fires of all types, kinds, and complexities while protecting the lives, property, and the environment in the affected area.</li> </ul>
<b>Infrastructure Systems</b>	<ul style="list-style-type: none"> <li>Decrease and stabilize immediate infrastructure threats to the affected population, to include survivors in the heavily damaged zone, nearby communities that may be affected by cascading effects, and mass care support facilities and evacuation processing centers with a focus on life sustainment and congregate care services.</li> <li>Reestablish critical infrastructure within the affected areas to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery.</li> </ul>
<b>Mass Care Services</b>	<ul style="list-style-type: none"> <li>Move and deliver resources and capabilities to meet the needs of disaster survivors, including individuals with access and functional needs and others who may be considered to be at risk.</li> <li>Establish, staff, and equip emergency shelters and other temporary housing options (including accessible housing) for the affected population.</li> <li>Move from congregate-care to non-congregate-care alternatives, and provide relocation assistance or interim housing solutions for families unable to return to their pre-disaster homes.</li> </ul>
<b>Mass Search and Rescue Operations</b>	<ul style="list-style-type: none"> <li>Conduct search-and-rescue operations to locate and rescue persons in distress, based on the requirements of State and local authorities.</li> <li>Initiate community-based search-and-rescue support</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>operations across a wide geographically dispersed area.</p> <ul style="list-style-type: none"> <li>• Ensure the synchronized deployment of local, regional, national, and international teams to reinforce ongoing search-and-rescue efforts and transition to recovery.</li> </ul>
<p><b>On-Scene Security, Protection, and Law Enforcement</b></p>	<ul style="list-style-type: none"> <li>• Establish a safe and secure environment in an affected area.</li> <li>• Provide and maintain on-scene security and meet the protection needs of the affected population over a geographically dispersed area while eliminating or mitigating the risk of further damage to persons, property, and the environment.</li> </ul>
<p><b>Operational Communications</b></p>	<ul style="list-style-type: none"> <li>• Ensure the capacity to communicate with both the emergency response community and the affected populations and establish interoperable voice and data communications between Local, State, Tribal, Territorial, and Federal first responders.</li> <li>• Reestablish sufficient communications infrastructure within the affected areas to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.</li> </ul>
<p><b>Public and Private Services and Resources</b></p>	<ul style="list-style-type: none"> <li>• Mobilize and deliver governmental, nongovernmental, and private-sector resources inside and outside the affected area to save lives, sustain lives, meet basic human needs, stabilize the incident, and transition to recovery, to include moving and delivering resources and services to meet the needs of disaster survivors.</li> <li>• Enhance public and private resource and services support for an affected area.</li> </ul>
<p><b>Public Health, healthcare, and Emergency Medical Services</b></p>	<ul style="list-style-type: none"> <li>• Deliver medical countermeasures to exposed populations.</li> <li>• Complete triage and initial stabilization of casualties and begin definitive care for those likely to survive their injuries.</li> <li>• Return medical surge resources to pre-incident levels, complete health assessments, and identify recovery</li> </ul>

Core Capability	Examples of Critical Tasks
	processes.
<b>Situational Assessment</b>	<ul style="list-style-type: none"><li>• Deliver information sufficient to inform decision making regarding immediate lifesaving and life-sustaining activities, and engage governmental, private, and civil-sector resources inside and outside the affected area to meet basic human needs and stabilize the incident.</li><li>• Deliver enhanced information to reinforce ongoing lifesaving and life-sustaining activities, and engage governmental, private-, and civil-sector resources inside and outside the affected area to meet basic human needs, stabilize the incident, and transition to recovery.</li></ul>

## Visual 8: Why Use ICS?



### Key Points

There are numerous reasons to use ICS. For example, ICS:

- **Establishes a Common Doctrine.** Having a common doctrine allows for emergency management personnel from many different jurisdictions to work together. The use of ICS is recommended by the National Incident Management System. NIMS provides a systematic, proactive approach guiding departments and agencies at all levels of government, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life and property, and harm to the environment.
- **Is Based on Proven Best Practices.** ICS works! It saves lives! Life safety is the top priority for ICS response.

In addition to the NIMS mandate, the following laws require the use of ICS:

- The Superfund Amendments and Reauthorization Act (SARA) of 1986 established Federal regulations for handling hazardous materials. SARA directed the Occupational Safety and Health Administration (OSHA) to establish rules for operations at hazardous materials incidents.
- OSHA rule 1910.120, effective March 6, 1990, requires all organizations that handle hazardous materials to use ICS. The regulation states: "The Incident Command System shall be established by those employers for the incidents that will be under their control and shall interface with other organizations or agencies who may respond to such an incident."

Note that jurisdictions are not mandated to use ICS, just required as condition of certain grants and funding. The Environmental Protection Agency (EPA) requires States to use ICS at hazardous materials incidents.

According to the National Integration Center, "institutionalizing the use of ICS" means that government officials, incident managers, and emergency response organizations at all jurisdictional levels must adopt ICS. Actions to institutionalize the use of ICS take place at two levels:

- **Policy Level:** At the policy level, institutionalizing ICS means government officials (i.e., Governors, mayors, county and city managers, tribal leaders, and others) must:
  - Adopt ICS through executive order, proclamation, or legislation as the jurisdiction's official incident response system.
  - Direct that incident managers and response organizations in their jurisdictions train, exercise, and use ICS in their response operations.
- **Organizational Level:** At the organizational/operational level, evidence that incident managers and emergency response organizations are institutionalizing ICS would include the following:
  - ICS is being integrated into functional and system-wide emergency operations policies, plans, and procedures.
  - ICS training is planned or underway for responders, supervisors, and command-level officers.
  - Responders at all levels are participating in and/or coordinating ICS-oriented exercises that involve responders from multiple disciplines and jurisdictions.

ICS is based on 14 proven management characteristics that contribute to the strength and efficiency of the overall system. The 14 features of ICS are described below:

#### **Standardization:**

- **Common Terminology:** Using common terminology helps to define organizational functions, incident facilities, resource descriptions, and position titles.

#### **Command:**

- **Establishment and Transfer of Command:** The command function must be clearly established from the beginning of an incident. When command is transferred, the process must include a briefing that captures all essential information for continuing safe and effective operations.
- **Chain of Command and Unity of Command:** Chain of command refers to the orderly line of authority within the ranks of the incident management organization. Unity of command means that every individual has a designated supervisor to whom he or she reports at the scene of the incident. These principles clarify reporting relationships and eliminate the confusion caused by multiple, conflicting directives. Incident managers at all levels must be able to control the actions of all personnel under their supervision.
- **Unified Command:** Unified Command (UC) is an ICS application used when more than one agency has incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the UC, often the senior person from agencies and/or disciplines participating in the UC, to establish a common set of objectives and strategies and a single Incident Action Plan. Unified Command

allows agencies with different legal, geographic, and functional authorities and responsibilities to work together effectively without affecting individual agency authority, responsibility, or accountability.

### **Planning/Organizational Structure:**

- **Management by Objectives:** Includes establishing overarching objectives; developing and issuing assignments, plans, procedures, and protocols; establishing specific, measurable objectives for various incident management functional activities; and directing efforts to attain the established objectives.
- **Modular Organization:** The Incident Command organizational structure develops in a top-down, modular fashion that is based on the size and complexity of the incident, as well as the specifics of the hazard environment created by the incident.
- **Incident Action Planning:** Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the contexts of both operational and support activities.
- **Manageable Span of Control:** Span of control is key to effective and efficient incident management. Within ICS, the span of control of any individual with incident management supervisory responsibility should range from three to seven subordinates.

### **Facilities and Resources:**

- **Incident Locations and Facilities:** Various types of operational locations and support facilities are established in the vicinity of an incident to accomplish a variety of purposes. Typical predesignated facilities include Incident Command Posts, Bases, Camps, Staging Areas, Mass Casualty Triage Areas, and others as required.
- **Comprehensive Resource Management:** Resource management includes processes for categorizing, ordering, dispatching, tracking, and recovering resources. It also includes processes for reimbursement for resources, as appropriate. Resources are defined as personnel, teams, equipment, supplies, and facilities available or potentially available for assignment or allocation in support of incident management and emergency response activities.

### **Communications/Information Management:**

- **Integrated Communications:** Incident communications are facilitated through the development and use of a common communications plan and interoperable communications processes and architectures.
- **Information and Intelligence Management:** The incident management organization must establish a process for gathering, sharing, and managing incident-related information and intelligence.

### **Professionalism:**

- **Accountability:** Effective accountability at all jurisdictional levels and within individual functional areas during incident operations is essential. To that end, the following principles must be adhered to:
  - **Check-In:** All responders, regardless of agency affiliation, must report in to receive an assignment in accordance with the procedures established by the Incident Commander.



- **Incident Action Plan:** Response operations must be directed and coordinated as outlined in the IAP.
- **Unity of Command:** Each individual involved in incident operations will be assigned to only one supervisor.
- **Span of Control:** Supervisors must be able to adequately supervise and control their subordinates, as well as communicate with and manage all resources under their supervision.
- **Resource Tracking:** Supervisors must record and report resource status changes as they occur. (This topic is covered in a later unit.)
- **Dispatch/Deployment:** Personnel and equipment should respond only when requested or when dispatched by an appropriate authority.

By using management best practices, ICS helps to ensure:

- The safety of responders, workers, and others
- The achievement of response objectives
- The efficient use of resources

## Visual 9: Emergency Manager's Response Role

What are Emergency Management Response Roles?



### Key Points

Additionally, the Emergency Manager:

- Provides overall coordination and support to the on-scene command
- Coordinates dissemination of warnings and emergency public information
- Maintains situational awareness during an emergency
- Coordinates issuance of a proclamation of emergency
- Carries out the legally mandated responsibilities of the Local or Tribal government
- Coordinates collection of initial damage assessment data
- Coordinates critical resources
- Coordinates emergency relief and assistance to individuals
- Advises policymakers and elected officials
- Documents administrative and financial information
- Initiates disaster recovery planning

**Discussion Question: Are there additional responsibilities you would add to those listed on these two visuals?**


## Visual 10: Discussion: Response Roles

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Review the scenario.

**What roles are assumed by the Incident Commander?**

**What roles are assumed by the emergency manager?**

	What roles are assumed by the Incident Commander?
	
Discussion Question	What roles are assumed by the emergency manager?

### Key Points

**Scenario:** Flash floods are continuing within the jurisdiction.

- Although evacuations were ordered, several residents refused to leave. There are people trapped in cars and structures.
- There is extensive damage to critical infrastructure including contamination of the water supply, downed power lines, and damaged roads. There is growing concern about the quality of the jurisdiction's water supply. Perimeter control and security in the business district are needed.

## Visual 11: Understanding Command and Coordination

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**Command:** The act of directing, ordering, or controlling, by virtue of explicit statutory, regulatory, or delegated authority

**Coordination:** The process of providing support to the command structure. May include incident prioritization, critical resource allocation, communications systems integration, and information exchange

### Key Points

Command is the act of directing, ordering, or controlling, by virtue of explicit statutory, regulatory, or delegated authority at the field level.

At an incident scene, the Incident Commander has the authority to assume command.

Coordination is the process of providing support to the command structure and may include incident prioritization, critical resource allocation, communications systems integration, and information exchange.

# Visual 12: Initial Incident Management

- Effective management is critical
- Ineffective incident management or inaction can:
  - Result in loss of life and property
  - Make the responders' job more difficult
  - Extend the length of the response operation
  - Require more resources



## Key Points

The response to any incident should begin with a qualified person assuming leadership and establishing command of the incident. Leadership means providing purpose, direction, and motivation for responders working to accomplish difficult tasks under dangerous, stressful circumstances.

During crisis, effective leaders establish a command presence, maintain awareness of the evolving situation, determine priorities, and make effective decisions.

## Potential Consequences of Voluntary Evacuation Decision

Potential Consequence	Description
Emergency rescue may be needed.	Farmers and ranchers who choose not to evacuate now may be in a position of needing to evacuate later, when evacuation will be

Potential Consequence	Description
	more dangerous or impossible. How will the decision about how and when to effect an emergency rescue be made?
Increased risk for emergency responders.	Emergency responders who may later be required to assist with emergency rescues will potentially be placed at risk. Who will make the decision to send responders into the fast-moving waters? When will that decision be made?
Response resources not available elsewhere.	Response resources deployed for emergency rescues may cause resource shortfalls elsewhere. How does one weigh the overall benefit of deploying resources for emergency rescues versus the cost of those resources not being available for other purposes (which may also involve life-saving efforts)?
Increased cost of emergency rescue.	The overall cost for the response will increase if response resources must be deployed to assist with emergency rescues. While cost will not be an issue where the potential loss of life is involved, the decision not to require evacuation will affect later decisions about how to cover the overall costs of the emergency.

## Visual 13: What is At Stake?

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The ability to make sound, timely decisions during an emergency is critical. Effective decision making can:

- Avert tragedy.
- Help manage incidents.
- Build community trust and support.
- Help the community recover from an event more quickly.



# Visual 14: Keys of Effective Decision Making

Three key elements are essential for effective decision making:

- Clarity of values
- Quality of information
- Analytical approach



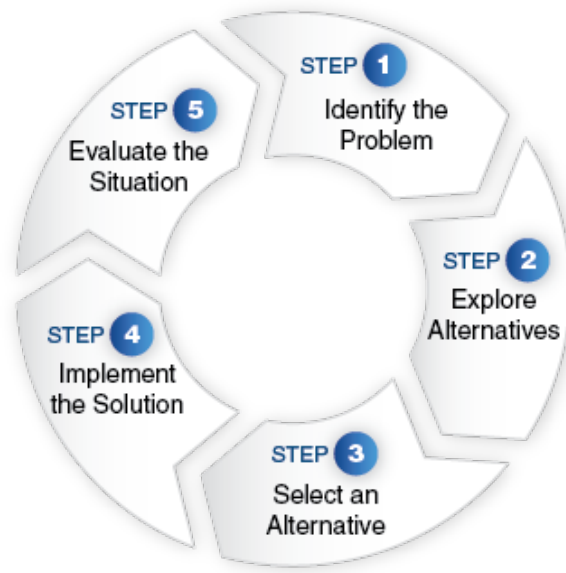
## Key Elements for Effective Decision Making

The following key elements are essential for effective decision making

<p>Clarity of Values</p>	<p>Many factors may influence decision making, including political, safety, financial, environmental, and ethical factors.</p> <p>Unless you have a clear view of your values-what you want to achieve, preserve, prevent-and keep them in mind at each step in the process, it can become difficult to balance these factors in a meaningful way.</p> <p>Although priorities may shift, and how you implement strategies may change over time, the underlying values must be clear.</p>
<p>Quality of Information</p>	<p>Data used in decision making must be accurate and reliable. The old standby, “Garbage In = Garbage Out” (GIGO), is especially true in decision making. You can’t start with faulty or inadequate information and hope to reach the best decisions.</p>



	<p>Failure to verify information can lead to poor decisions-sometimes with serious consequences.</p> <p>Thoroughly screen the information used in making decisions!</p> <p>Tips for Ensuring Quality Information:</p> <ul style="list-style-type: none"> <li>• Do your research: Use the Internet, books, libraries, and people as sources of information. Find out if others have tried to solve this problem or a related problem. Build on lessons learned.</li> <li>• Use trusted sources as the primary sources of information, but talk to secondary sources as well. They can help build a broader picture.</li> <li>• Validate your information: Is it true? Is it accurate? Differentiate fact from rumor.</li> <li>• Collate and cross-check against baseline data and against reports received from other sources. Carefully review conflicting opinions, and reconcile any discrepancies.</li> </ul>
<p>Analytical Approach</p>	<p>It is helpful to have a defined process that leads to a solution or a decision. The process needn't be complex-in fact, in many cases simpler is better.</p> <p>There are many different decision-making models to choose from. A commonly used five-step process is shown below.</p>



Although this process is circular, the steps are not necessarily completed in sequence. For example, knowledge gained during one step might send you back to a prior step before moving forward.

The steps of the process will be described in more detail in this lesson.

## Visual 15: Emergency Operations Planning

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Emergency Operations Planning



### Key Points

Let's begin with emergency operations planning-development of the Emergency Operations Plan (EOP).

## Visual 16: Different Types of Planning

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### Emergency Operations Planning

- Occurs in advance of incidents
- Lays out the structure for carrying out a response, for any incident

### Incident Planning

- Occurs at the time of an incident
- Focuses on managing the particular event

## Key Points

There are two different types of planning that prepare jurisdictions to manage incidents:

- **Emergency Operations Planning:** This kind of planning occurs well in advance of any particular incidents. It lays out the structure carrying out a response, no matter what the incident.
- **Incident Planning:** This kind of planning occurs when an incident actually happens. It focuses on managing the particular event.

In this unit we'll look briefly at both.

## Visual 17: Planning: Fundamentals

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- Accounts for time, uncertainty, risk, and experience.
- Tells what to do, how to do it, and how to get support, when necessary.
- Is a tool for managing risk.

### Key Points

Planning for response involves conducting a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.

Planning:

- **Accounts for time, uncertainty, risk, and experience.** These factors define the starting point for planners to apply concepts and methods to create solutions to identified problems. Plan execution involves judgment and, because the situation may be extremely fluid, should allow responders some degree of latitude for accomplishing their objectives.
- **Tells those with operational responsibilities what to do, why to do it, and how to get support when necessary.** Plans (including standard operating procedures and other plan attachments and addenda) must explain roles, responsibilities, and procedures clearly. There can be no ambiguity during an emergency response.
- **Helps to manage risk.** Planning is a tool that allows for systematic risk management to reduce or eliminate future risk.

Planning is one component of the preparedness system. Through the application of the preparedness system, planners can organize, equip, train, exercise, evaluate, and take corrective action at any point and in any phase of emergency management.

## Visual 18: Common Operating Picture

Means that personnel from all organizations at all locations have the same information.

- Is based on situation awareness of:
  - Current status and evolving situation.
  - Availability and location of resources.
  - Needed resources.



### Key Points

Decisions made at all levels of the incident response structure and the EOC must be based on a common operating picture.

A common operating picture is established and maintained by gathering, collating, synthesizing, and disseminating incident information to all appropriate parties.

Achieving a common operating picture allows all personnel at all locations—such as those at the EOC and the Incident Command Post, or within a Multiagency Coordination Group—to have the same critical information about the incident, including:

- Current status and evolving situation.
- Availability and location of resources.
- Needed resources.

## Visual 19: Situation Assessment

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- What has happened?
- What is happening now?
- What is likely to happen next?
- What factors affect the response?
- What resources are needed and available?



### Key Points

A clear understanding of an incident or event is critical to establishing priorities and determining incident objectives. Failing to assess the situation will lead to poor tactical decisions. However, taking too much time to assess the situation will cause a loss of command and control.

The EOC manager and/or on-scene Incident Commander must use his or her expertise and experience to perform a rapid assessment of the situation by addressing the following questions and concerns to assess the situation:

- **What has happened?**
  - What initially happened to create the emergency?
  - How long has it been since the initial event?
  - What may have caused the emergency?
  - Do you suspect criminal activity?
- **What is happening now?**
  - Are there injuries or safety concerns?
  - Is immediate intervention needed to save lives?
  - What are the risks to emergency responders?
  - Are crowds and bystanders at risk?
  - Are there routes to gain access to the incident scene?
- **What is likely to happen next?**

- Is the situation stable or getting worse?
- Is there a possibility that secondary incidents could occur?
- Are there continuing threats or hazards?
- Can these and any other safety considerations be handled with resources on scene or en route?
- **What factors affect the response?**
  - Is the weather or wind affecting the response?
  - Is the time of day a factor? Is it getting dark?
  - Are responders familiar with the incident scene or building layout?
  - Are there hazardous materials or other dangers near the incident scene?
  - Are there security concerns?
  - Does evidence need to be preserved?
- **What resources are needed and available?**
  - What resources will be required?
  - Are those resources immediately available or will they be delayed?
  - How should the available resources be best deployed now?

The first responder to arrive must assume command and size up the situation by determining:

- Nature and magnitude of the incident.
- Hazards and safety concerns.
  - Hazards facing response personnel and the public
  - Evacuation and warnings
  - Injuries and casualties
  - Need to secure and isolate the area
- Initial priorities and immediate resource requirements.
- Location of Incident Command Post and Staging Area(s).
- Entrance and exit routes for responders.



## Visual 20: Overall Priorities

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Initial decisions and objectives are established based on the following priorities:

1. Life Safety
2. Incident Stabilization
3. Property and Environmental Conservation



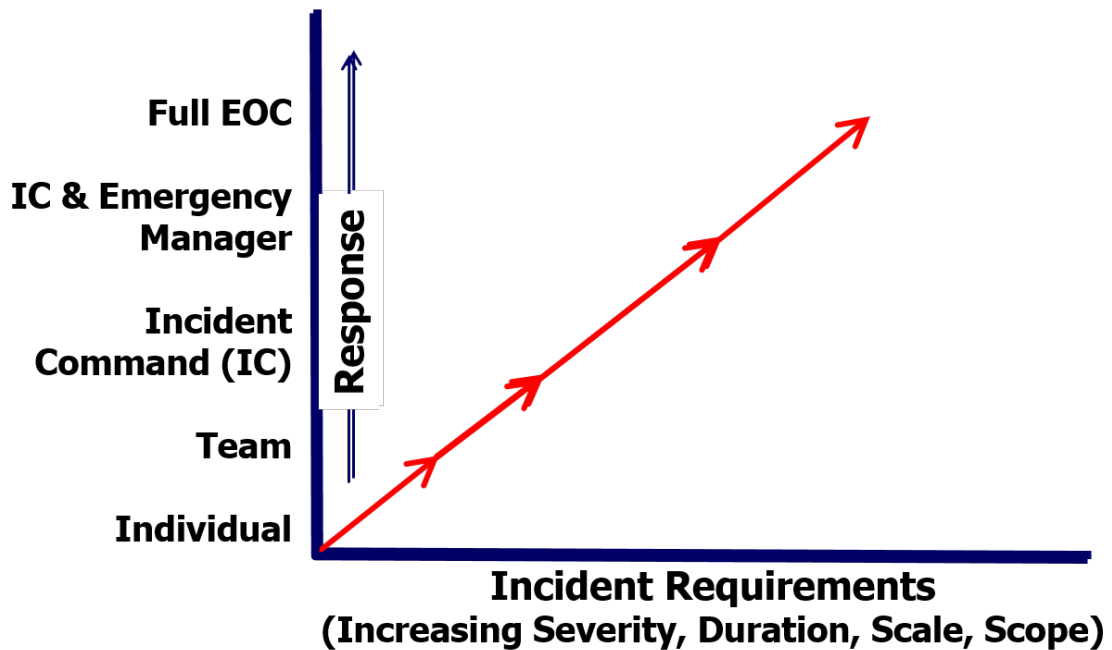
### Key Points

After an assessment of the incident has been made, the next step in initial incident management is to determine priorities and establish incident objectives. Incident objectives are used to ensure that everyone within the organization has a clear understanding of what needs to be accomplished.

Initial decisions and objectives are established based on the following priorities:

- **First Priority:** Life Safety
- **Second Priority:** Incident Stabilization
- **Third Priority:** Property and Environmental Conservation

## Visual 21: EOP/EOC Activation



### Key Points

The graph on the visual depicts scalable EOC activation in a no-notice incident. As an incident becomes more severe, of longer duration, and of a larger scale and broader scope, incident requirements also increase. When this happens, the level of response and the level of EOC activation also expands.

## Visual 22: EOC Activation: Examples

EOC activation phases, or levels, vary by jurisdiction. Here are three examples:

Phase 1 – Normal/ Monitoring Operations

Phase 1A – Assessment/ Watch

Phase 2 – Enhanced

Operations (minimum)

Phase 3 – Full Activation

Phase 4 – Recovery

Level 0 – Normal Daily Operations

Level 1 – Limited (e.g., one agency)

Level 2 – Multiple Agencies and Relevant Support Staff

Level 3 – Agencies plus Elected Officials

Level 3 – Normal Operations

Level 2 – Limited Activation

Level 1 – Full Activation



Check with your local/tribal/State organizations.

Note

### Key Points

The EOC is activated (opened for business) according to predetermined phases, levels, or triggers. The degree of activation reflects the severity or complexity of the incident. The purpose of preidentifying phases or levels is to assist others in knowing the amount of staffing committed to the incident and which communications plan to use in coordinating with the EOC. The EOC manager (or designee—usually the duty officer) determines EOC activation phase on a case-by-case basis.

Jurisdictions vary widely in how they approach EOC activation.

- They may refer to phases or levels.
- They may number the phases/levels from low to high or high to low, and the number may vary (e.g., three, four, or five different phases/levels).
- In very large, active jurisdictions, the EOC may never actually close—just increase or decrease staffing as needed. In smaller jurisdictions, the EOC may go inactive between incidents.

Three examples are shown on the visual. **It is important to know how your jurisdiction works. Check with your local/tribal/State organizations.**

## Visual 23: EOC Initial Activities

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The visual lists examples of the initial EOC activities, including:

- Activating EOC and team members
- Requesting a declaration of emergency based on local ordinances/authorities
- Conducting initial damage assessment (at this stage, the assessments may be drive-by estimates; more detailed assessments will come later)
- Mobilizing resources based on requests from the Incident Command
- Determining additional resource needs and sources, including citizens, infrastructure owners/operators, etc.
- Conducting initial briefings with key leaders

## Visual 24: Activity 10.1: Initial Actions

Instructions: Working as a team . . .

1. Review the continuation of the flooding scenario.
2. Identify the following:
  - EOC activation level
  - EOC participants
  - Major EOC activities being undertaken
  - Information being exchanged between EOC and Incident Commander
3. Select a spokesperson and be prepared to present your work with the class.

### Key Points

**Scenario:** It is several hours after the flash floods began. Soon it will be dark and temperatures are falling.

- Shelters have opened and a large portion of the jurisdiction is without power.
- Mutual aid is arriving from several surrounding communities.
- There are rumors of missing students from the community college.
- Media representatives are arriving at the scene and the EOC.

Activity Sheet
EOC activation level: <ul style="list-style-type: none"> <li>• Partial</li> <li>• Full</li> </ul>
EOC participants:
Major EOC activities being undertaken:

### Activity Sheet

Information being exchanged between EOC and Incident Commander:

Critical information each party should communicate to the other in order to establish and maintain a common operating picture:

### Sample EOC Activation Checklist

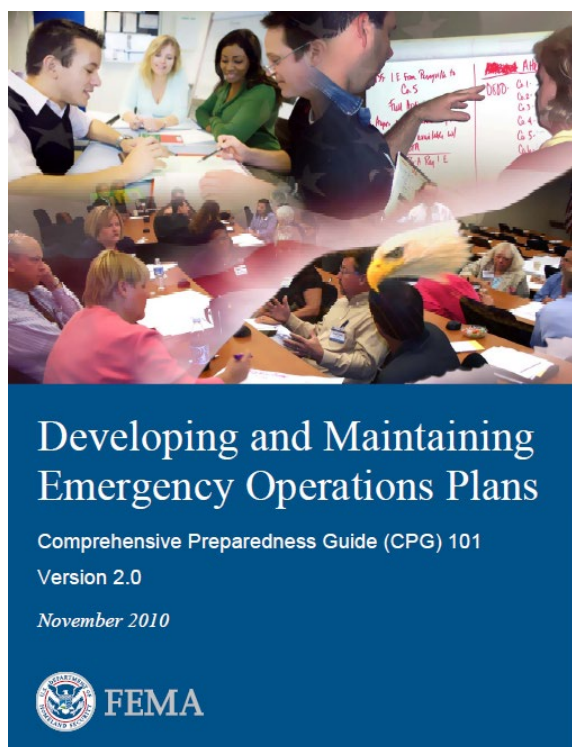
- Execute the Emergency Operations Plan.
- Announce the activation of the EOC.
- Verify radios and other communications equipment are turned on and functioning properly.
- Advise radio nets of activation status as required by the situation.
- Verify computers are turned on and functioning properly.
- Obtain initial briefing from the on-scene Incident Commander to gain situation awareness and identify resource needs.
  
- Contact staff and appropriate agencies regarding activation of the EOC and advise upper levels of government of activation status.
- Activate warning/spotter organization as necessary.
- Establish initial EOC support objectives.
  
- Brief EOC personnel on the situation as they arrive.
- Brief elected/appointed officials on the status of the event and the response.
- Assign security to EOC entrances as necessary.
- Initiate an EOC briefing by the EOC manager (conducted within 30 minutes of activation).
- Note search, rescue, and evacuation concerns.
- Summarize resources status including resource needs and sources.
- Anticipate duration of the incident (planning horizon) and consider the need for 24-hour staffing.
- Check weather forecast.

- Present initial incident objectives.
- Discuss public information issues and whether a Joint Information Center is required.
- Announce the length of EOC operational periods.
- Direct development of written incident objectives (ICS Form 202) and an EOC support plan in the next operational period.
- Direct development of an incident map.
- Direct preparation of the initial situation report and press statements for distribution.
- Activate mutual aid agreements, as needed.
- Get schedule for periodic EOC and media briefings.

## Visual 25: Planning Guidance

Comprehensive Preparedness Guide (CPG) 101:

- Provides a practical application of the planning principles.
- Applies to tactical, operational, and strategic planning.
- Is adaptable to:
  - All government levels.
  - Private entities and NGOs.
- Captures and codifies current procedures.



### Key Points

Comprehensive Preparedness Guide (CPG) 101 (Version 2 November 2010 or later editions) provides a practical application of the planning principles described on the preceding pages. CPG 101 employs a detailed planning process that leads to more complete, more accurate, and more relevant emergency plans.

The CPG 101 method is applicable to:

- Tactical planning.
- Operational planning.
- Strategic planning.



**The CPG 101 method is also adaptable to all levels of government, as well as nongovernmental organizations. The process described in the planning guide captures and codifies current procedures.**

## Visual 26: Command vs. Coordination Plans

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### Incident Action Plan

Focuses on **tactical** objectives, for example:

- Rescuing trapped persons.
- Establishing perimeter control.
- Extinguishing fires.
- Providing emergency food and shelter.
- Collecting evidence.

### EOC Action Plan

Focuses on **coordination** objectives, for example:

- Coordinating information.
- Coordinating resources.
- Coordinating public information.
- Coordinating policy decisions.

## Key Points

EOCs develop coordination plans to support the achievement of the objectives identified in the Incident Action Plan. The visual presents a comparison of the types of plans.

The tactical objectives and resource needs identified in the Incident Action Plan serve as the basis for the EOC Action Plan. On longer incidents, the operational periods and planning cycles must be developed in coordination between the Incident Commander and EOC manager. In addition, the EOC manager must be aware of the operational period established at the scene so that he or she can provide trend information, forecasts, or other relevant information when tactical objectives are being established.

## Visual 27: Incident vs. EOC Objectives

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### Incident Examples

- To rescue trapped victims.
- To establish shelters.
- To create a perimeter.
- To establish traffic controls.
- To inspect buildings and bridges for damage.

### EOC Examples

- To issue alerts and warnings.
- To prioritize response for populated impacted areas.
- To locate critical resources.
- To coordinate release of information to the media.

### Key Points

The most important part of the planning process is the development of objectives.

- **Incident Action Plan.** The objectives in an Incident Action Plan will focus on tactics.
- **EOC Plan.** The objectives in an EOC Plan will focus on support and coordination.

**Whenever possible, objectives should be S M A R T:**

<b>S</b>	Specific
<b>M</b>	Measureable
<b>A</b>	Achievable
<b>R</b>	Realistic
<b>T</b>	Time Bound

## Visual 28: EOP Content

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- Assignment of responsibility for specific actions.
- How authorities and activities will be coordinated among entities.
- Strategies for protecting people and property.
- Resource lists and resource agreements.
- Response agreements with other jurisdictions.
- Preparedness and mitigation efforts that will be employed for the most common or high-risk hazards.

### Key Points

Content that should be included in an EOP is listed on the visual.

An EOP is a public document, although some parts of the plan may contain sensitive information and may not be suitable for release to the public.

Some States require a Comprehensive Emergency Management Plan (CEMP), which is similar. Some States have templates to be used in creating the plan.

EOPs also must comply with the Americans with Disabilities Act.

## Visual 29: EOP Organization

Common EOP sections:

- **Basic Plan:** Broad, overarching information relevant to the EOP as a whole
- **Supporting Annexes:** Methods, procedures, and actions of critical operational functions
- **Hazard-Specific Annexes:** Response strategies for specific hazards



### Key Points

Various formats are available and adaptable for all jurisdictions. Sections common to each of these formats are described in the following table.

Section	Purpose	Description
<b>Basic Plan</b>	Provides broad, overarching information relevant to the EOP as a whole.	Includes a description of expected hazards, basic agency roles and responsibilities, and an explanation of how the plan will be kept current. Some information included in the basic plan is required by law. Other information will be identified through completing the hazard analysis as repetitive tasks become consolidated.
<b>Supporting Annexes</b>	Add specific information and direction to the EOP. Document the methods, procedures, actions, and responsibilities for	Includes functional, support, emergency phase, or agency-focused annexes, which are variations of functional annexes tailored to the EOP

Section	Purpose	Description
	performance of critical operational functions during emergency operations.	format used by the jurisdiction.
<b>Hazard-, Threat-, or Incident- Specific Annexes</b>	Focus on special planning needs generated by specific hazards.	Contains unique and regulatory response details that apply to a single hazard. Depending upon the EOP's structure, hazard-specific information may be included in functional annexes rather than stand-alone hazard-specific annexes.

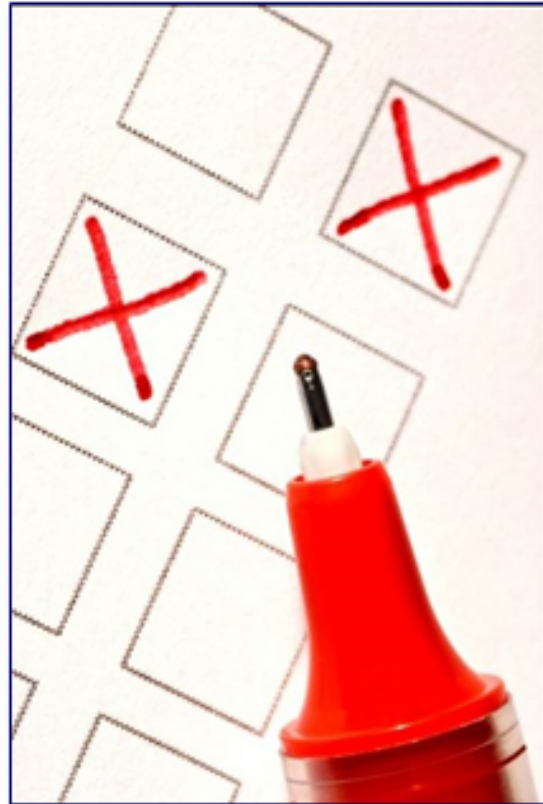
Note the distinction between an EOP and standard operating procedures (SOPs). The EOP presents the larger "picture" of how specific actions should occur in every incident. SOPs are agency-specific and present actual procedures that personnel from specific agencies must follow in specific situations. SOPs should be included in the EOP by reference unless otherwise required.

## Visual 30: Basic Plan

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Provides an overview of the emergency management and response program by:

- Documenting emergency response policies.
- Describing the response organization.
- Assigning tasks.



### Key Points

The basic plan section in each format type provides an overview of the jurisdiction's emergency management and response program by:

- Documenting emergency response policies.
- Describing the response organization.
- Assigning tasks.

The basic plan guides the development of the supporting operational and function-based annexes of the EOP. Note that the content of each section of the plan should be presented in a consistent organizational structure. The elements included for the content of the basic plan should be incorporated into the annexes, as appropriate.

## Basic Plan Content Elements

- Introductory Material
- Purpose, Scope, Situation, and Assumptions
- Concept of Operations
- Organization and Assignment of Responsibilities
- Direction, Control, and Coordination
- Information Collection and Dissemination
- Communications
- Administration, Finance, and Logistics
- Plan Development and Maintenance (Basic Plan)
- Authorities and References

## Key Points

The standard elements of the basic plan content are:

- Introductory Material (basic plan only):
  - Cover Page
  - Promulgation Document
  - Approval and Implementation Page
  - Record of Changes
  - Record of Distribution
  - Table of Contents
- Purpose, Scope, Situation, and Assumptions
- Concept of Operations
- Organization and Assignment of Responsibilities (by position, not name)
- Direction, Control, and Coordination
- Information Collection and Dissemination
- Communications
- Administration, Finance, and Logistics
- Plan Development and Maintenance (basic plan only)
- Authorities and References

A checklist that describes each element of the basic plan is provided on the following pages.

### CPG 101 Basic Plan Content Guide Checklist

*This component of the EOP provides an overview of the jurisdiction's incident management program and its ability to prepare for, respond to, and recover from*



## CPG 101 Basic Plan Content Guide Checklist

*incidents/disasters/emergencies.*

### **Promulgation Document/Signature Page**

This component is a signed statement formally recognizing and adopting the plan as the jurisdiction's all-hazards EOP.

- Include a Promulgation Statement signed by the jurisdiction's senior elected or appointed official(s). (**Note:** This statement must be updated each time a new senior elected or appointed official takes office.)

### **Approval and Implementation**

The approval and implementation page introduces the plan, outlines its applicability, and indicates that it supersedes all previous plans.

- Include a delegation of authority for specific modifications that can be made to the plan and by whom they can be made WITHOUT the senior official's signature.
- Include a date and ensure that the page is signed by the senior official(s) (e.g., elected/appointed officials, fire chief, police chief, and emergency manager).

### **Record of Changes**

The record of changes is usually a table that (at a minimum) has fields that show a change number, the date of the change, and the name of the person who made the change. Other relevant information could be considered.

### **Record of Distribution**

The record of distribution is usually a table with fields that indicate the title and the name of the person receiving the plan, the agency to which the receiver belongs, the date of delivery, and the number of copies delivered.

### **Table of Contents**

This item outlines the plan's format, key sections, attachments, charts, etc.

- List/identify the major sections/chapters and/or key elements within the EOP.

### **Purpose, Scope, Situation, Assumptions**

This section explains the plan's intent, whom it involves, and why it was developed.

#### Purpose

Describe the purpose for developing and maintaining an EOP (e.g., coordinate local agency SOPs, define incident-specific procedures, outline roles and limitations).

#### Scope

Describe at what times or under what conditions this plan would be activated (e.g., major county disaster versus minor local emergency; major statewide disaster; terrorist attack

### CPG 101 Basic Plan Content Guide Checklist

within the local community, county, or State).

#### Situation Overview

This section provides a brief overview of the steps taken by the jurisdiction to prepare for disasters.

#### Hazard Analysis Summary

This section summarizes the major findings identified from a completed hazard analysis of each hazard likely to affect the jurisdiction. **Note:** The hazard analysis information can be presented as a tab to the EOP or maintained as a part of the local mitigation plan. In either case, this section needs to provide an overview of the analysis process and its results and then refer to the tab or the mitigation plan.

- Summarize/identify the hazards that pose a unique risk to the jurisdiction and would result in the need to activate this plan (e.g., threatened or actual natural disasters, technological incidents, acts of terrorism, or other human-caused emergencies).
- Summarize/identify the probable high-risk areas (population, infrastructure, and environmental) that are likely to be affected by the defined hazards (e.g., medical facilities, types/numbers of critical infrastructure facilities in floodplains or near chemical facilities).
- Summarize/identify the likelihood that the defined hazards have occurred and will continue to occur within the community (e.g., historical frequency, probable future risk, national security threat assessments).
- Describe how the intelligence from threat analysis via State/local fusion centers, joint terrorism task forces, national intelligence organizations, etc., has been incorporated into the jurisdiction's hazard analysis.
- Describe how critical infrastructure/key resource protection activities have been incorporated into the vulnerability and impact analysis.
- Describe how agricultural; food supply; cyber security; chemical, biological, radiological, and/or nuclear explosive events; and pandemics (those located/originating in the community, as well as a nonlocal, nationwide, or global event) have been assessed and incorporated into the jurisdiction's hazard analysis.
- Describe the assumptions made and the methods used to complete the jurisdiction's hazard analysis, including what tools or methodologies were used to complete the analysis (e.g., a State's hazard analysis and risk assessment manual, mitigation plan guidance, vulnerability assessment criteria, consequence analysis criteria).
- Include maps that show the high-risk areas that are likely to be affected by the identified hazards (e.g., critical infrastructure within defined floodplains, earthquake fault zones, vulnerable zones for hazardous materials facilities/routes, or ingestion zones for nuclear powerplants).
- Describe/identify the hazards that could originate in a neighboring jurisdiction

### CPG 101 Basic Plan Content Guide Checklist

and could create hazardous conditions in the jurisdiction (e.g., watershed runoff, chemical incident, riot/terrorist act).

- Describe/identify the unique time variables that may influence the hazard analysis and preplanning for the emergency (e.g., planned or seasonal events, how quickly the event occurs, the time of day that the event occurs).

#### Capability Assessment

Describe the process used by the jurisdiction to determine its capabilities and limits in order to prepare for and respond to the defined hazards. Note: The jurisdiction may wish to address this topic as part of the hazard-specific sections. This decision would allow the jurisdiction to address the unique readiness issues and limitations for each specific hazard. In this case, this section should provide an overview of the jurisdiction's abilities and then refer the reader to the hazard-specific sections for more detailed information.

- Summarize the jurisdiction's prevention, preparedness, mitigation, response, and recovery capabilities involving the defined hazards.
- Describe the jurisdiction's limitations on the basis of training, equipment, or personnel.
- Describe the methods used and agencies involved in a formal capability assessment, including how often to conduct the assessment.
- Describe methods used and nongovernmental organizations (business, not-for-profit, community, and faith based) involved in formal community capability assessment, including how often to conduct the assessment.

#### Mitigation Overview

This section covers the actions taken in advance to minimize the impact that is likely to result from an emergency, including short- and long-term strategies. Note: Specific mitigation plans/guidance documents may be available from State emergency management agencies, the Federal Emergency Management Agency (FEMA), or the Department of Homeland Security (DHS).

- Provide a brief overview of the mitigation programs used locally to reduce the chance that a defined hazard will affect the jurisdiction (e.g., moving facilities out of floodplain, install surveillance cameras), including short- and long-term strategies.
- Identify potential prevention, preparedness, and mitigation strategies for high-risk targets.
- Describe the procedures used to develop jurisdiction-specific protection plans, including critical infrastructure systems and facilities, transportation security, food chain, food and medical production/supply, and cyber security.
- Describe the procedures used to educate and involve the public in the mitigation

### CPG 101 Basic Plan Content Guide Checklist

programs (e.g., public education programs, jurisdiction fundraisers for mitigation activities).

- Describe the process and agencies used to develop mitigation plans and how these are coordinated with local, State, tribal, and Federal agencies/plans.

#### Planning Assumptions

This section identifies what the planning team assumed to be facts for planning purposes in order to make it possible to execute the EOP.

### **Concept of Operations**

- Describe who has the authority to activate the plan (e.g., emergency management agency office, chief elected official, State official, fire/police chief).
- Describe the process, templates, and individuals involved in issuing a declaration of emergency for a given hazard and how the declaration will be coordinated with neighboring jurisdictions and the State.
- Describe how legal questions/issues are resolved as a result of preparedness, response, or recovery actions, including what liability protection is available to responders.
- Describe the process by which the emergency management agency office coordinates with all appropriate agencies, boards, or divisions within the jurisdiction.
- Describe how emergency plans take into account populations with functional needs and service or working animals.
- Describe how emergency plans take into account companion and farm animal care (e.g., for functional-needs populations or agricultural education programs in jurisdictions).
  - Identify other response/support agency plans that directly support the implementation of this plan (e.g., hospital plans, facility plans).

### **Organization and Assignment of Responsibilities**

- Describe how roles and responsibilities will be determined for unaffiliated volunteers and how to incorporate these individuals into the emergency operation.
- Describe/identify what mutual aid and assistance agreements are in place for the quick activation and sharing of resources during an emergency. Examples of agreements that may exist include the following:
  - Agreements between response groups (e.g., fire and police, emergency medical/ambulance).

### CPG 101 Basic Plan Content Guide Checklist

- Agreements for additional resources/assistance between neighboring jurisdictions' response forces (e.g., fire, police, EMS).
- Agreements for providing and receiving additional resources through the Emergency Management Assistance Compact.
- Agreements for alert and notification and dissemination of emergency public information.
- Resource agreements (e.g., outside assistance, personnel, equipment).
- Agreements between medical facilities inside and outside the jurisdiction (e.g., using facilities, accepting patients).
- Evacuation agreements (e.g., use of buildings, restaurants, homes as shelters/lodging, relocation centers; transportation support), including agreements between jurisdictions for the acceptance of evacuees.

**Note:** Actual mutual aid and assistance agreements should not be included in the plan in their entirety. The EOP should only identify that the agreement exists and briefly summarize who is covered by the agreement, what goods or services are covered, and what limitations apply, if any.

**Note:** Mutual aid and assistance may also be addressed separately in each section of the EOP if the jurisdiction believes that such placement will help to better explain how that mutual aid/assistance directly supports a specific procedure.

- Describe how the jurisdiction maintains a current list of available National Incident Management System (NIMS) Typed Resources and Credentialed Personnel.
- Describe how all tasked organizations maintain current notification rosters, standard operating procedures, and checklists to carry out their assigned tasks.
- Provide a matrix that summarizes which tasked organizations have the primary lead versus a secondary support role for each defined response function.
  - Describe the jurisdiction's policies regarding public safety enforcement actions required to maintain the public order during a crisis response, including teams of enforcement officers needed to handle persons who are disrupting the public order, violating laws, requiring quarantine, etc.

#### **Direction, Control, and Coordination**

This section describes the framework for all direction, control, and coordination activities.

- Identify who has tactical and operational control of response assets.
  - Discuss multijurisdictional coordination systems and processes used during an emergency.

## CPG 101 Basic Plan Content Guide Checklist

### Information Collection and Dissemination

- Identify intelligence position (e.g., fusion center liaison) requirements for the emergency operations center's planning section.
- Describe plans for coordination between the planning section and the jurisdiction's fusion center.
- Describe information dissemination methods (e.g., verbal, electronic, graphics) and protocols.
- Describe critical information needs and collection priorities.
- Describe long-term information collection and dissemination strategies.
  - Describe collaboration with the general public, to include sector-specific watch programs.

### Communications

This section describes the response organization-to-response organization communication protocols and coordination procedures used during emergencies and disasters.

- Describe the framework for delivering communications support and how the jurisdiction's communications integrate into the regional or national disaster communications network.
- Identify and summarize separate interoperable communications plans.

### Administration, Finance, and Logistics

#### Administration

This section describes administrative procedures used during an emergency operation.

*Documentation* is an administrative process used by a jurisdiction to document the response to and recovery from a disaster. **Note:** This information can also be discussed for each emergency response function or for the specific hazards.

- Describe the process and agencies used to document the actions taken during and after the emergency (e.g., incident and damage assessment, incident command logs, cost recovery).
- Describe/summarize the reasons for documenting the actions taken during both the response and recovery phases of the disaster (e.g., create historical records, recover costs, address insurance needs, develop mitigation strategies).
- Include copies of the reports that are required (e.g., cost recovery, damage assessment, incident critique, historical record).
- Describe the agencies and procedures used to create a permanent historical record of the event (after-action report) and include information identifying the actions

### CPG 101 Basic Plan Content Guide Checklist

taken, resources expended, economic and human impacts, and lessons learned as a result of the disaster.

*After-action review* is an administrative process used by the jurisdiction to review and discuss the response in order to identify strengths and weaknesses in the emergency management and response program.

- Describe the reasons and need to conduct an after-action review (e.g., review actions taken, identify equipment shortcomings, improve operational readiness, highlight strengths/initiatives).
- Describe the methods and agencies used to organize and conduct an after-action review of the disaster, including how recommendations are documented to improve readiness (e.g., change plans/procedures, acquire new or replace outdated resources, retrain personnel).
- Describe the links and connections between the processes used to critique the response to an emergency/disaster and the processes used to document recommendations for the jurisdiction's exercise program.
- Describe how the jurisdiction ensures that the deficiencies and recommendations identified during an after-action review are corrected/completed.

#### Finance

This section describes finance procedures used to recover the costs incurred during an emergency operation.

- Describe/identify the various programs that allow local political jurisdictions and their response/support agencies to recover their costs (e.g., Small Business Administration, FEMA Public Assistance Program).
- Describe the procedures agencies follow to document the extraordinary costs incurred during response and recovery operations (e.g., personnel overtime, equipment used/expended, contracts initiated).
- Describe/identify the programs and how the jurisdiction assists the general public to recover their costs and begin rebuilding (e.g., Small Business Administration, unemployment, worker's compensation).
- Describe the methods used to educate responders and local officials about the cost recovery process.
- Describe the impact and role that insurance has in recovering costs (e.g., self-insured, participation in the National Flood Insurance Program, homeowner policies).

#### Logistics

This section describes the logistics and resource management mechanisms used to identify and acquire resources in advance of and during an emergency operation, especially to overcome gaps possibly identified in a capability assessment.

### CPG 101 Basic Plan Content Guide Checklist

- Describe/identify the procedures and agencies involved in using the existing hazard analysis and capability assessment to identify what resources are needed for a response to a defined hazard, including using past incident critiques to identify/procure additional resources.
- Describe/identify the steps taken to overcome the jurisdiction's identified resource shortfalls, including identifying the resources that are only available outside the jurisdiction (e.g., hazardous materials; water rescue; search and rescue teams; chemical, biological, radiological, nuclear, or high-yield explosive) and the procedures to request those resources.
- Provide a brief summary statement about specialized equipment, facilities, personnel, and emergency response organizations currently available to respond to the defined hazards. **Note:** A tab to the plan or a separate resource manual should be used to list the types of resources available, amounts on hand, locations maintained, and any restrictions on use.
  - Describe the process used to identify private agencies/contractors that will support resource management issues (e.g., waste haulers, spill contractors, landfill operators). Identify existing memorandums of agreement or understanding and contingency contracts with these organizations.

#### Plan Development and Maintenance

This section describes the process used to regularly review and update the EOP.

- Describe how this plan was coordinated with the EOPs from adjoining/intrastate regional jurisdictions to include local political subdivisions that develop their own EOPs in accordance with State statute.
- Describe the process used to review and revise the plan each year or more often, if changes in the jurisdiction warrant (e.g., changes in administration or procedures, newly added resources/training, revised phone contacts or numbers).
- Describe the responsibility of each organization/agency (governmental and nongovernmental) to review and submit changes to its respective portion(s) of the plan.
- Identify/summarize to whom the plan is distributed, including whether it is shared with other jurisdictions. Include a plan distribution list. **Note:** This list can be included as a tab to the plan.
- Describe/identify how or where the plan is made available to the public.
- Summarize the process used to submit the plan for review, coordination, and/or evaluation by other jurisdictions/organizations.
- Include a page to document when the changes are received and entered into the plan.

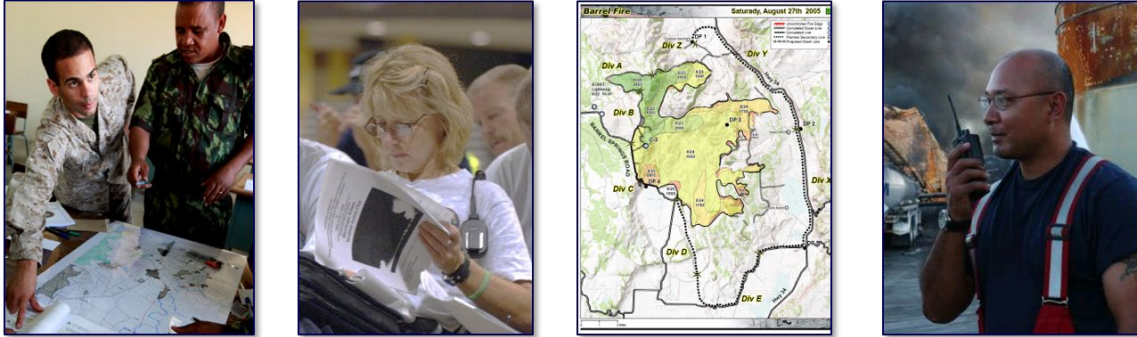


## CPG 101 Basic Plan Content Guide Checklist

### Authorities and References

- Identify/describe the local, State, and Federal laws that specifically apply to the development and implementation of this plan, including (but not limited to) the following:
  - Local and regional ordinances and statutes.
  - State laws or revised code sections that apply to emergency management and homeland security.
  - State administrative code sections that define roles, responsibilities, and operational procedures.
  - State Attorney General Opinions.
  - Federal regulations and standards (e.g., Stafford Act, FEMA Policy, Patriot Act, National Fire Protection Association 1600).
- Identify/describe the reference manuals used to develop the plan and/or help prepare for and respond to disasters or emergencies, including (but not limited to) the following:
  - General planning tools.
  - Technical references.
  - Computer software.
  - Identify/define the words, phrases, acronyms, and abbreviations that have special meanings with regard to emergency management and are used repeatedly in the plan.

## Visual 31: Incident Action Plan Contents



### Key Points

An effective Incident Action Plan includes the following:

- **Event status.** The plan should describe the current status of the incident response and the conditions affecting the response.
- **Objectives.** The plan should include detailed objectives for the upcoming operational period. Listing the incident objectives:
  - Communicates what will be achieved during the operational period.
  - Allows commanders to measure progress.
- **Site map.** An incident site map may be a hand-drawn sketch of the area or a printed map created using geographic information system data. Items typically shown on an incident site map include:
  - Hazards.
  - Restricted areas.
  - Roads in incident area.
  - Work locations.
  - Locations of incident facilities.
- **Communications.** The plan may also include a communications plan that encompasses:
  - Procedures responders use to communicate with one another.
  - Information on how to contact key personnel.
  - Assignment of radio frequencies.
- **Resources.** The plan should anticipate resource needs for the upcoming operational periods. Anticipating resource needs allows the offsite operations center time to identify suitable resources and provide any support necessary for those resources. Identified resource needs should consider:
  - Current responders' need to rest or be released for different assignments.

- Resources available for assignment.
- **Assignments.** One of the most important sections of the plan is the incident assignments. The plan should provide detailed information on the organizational structure, designation of supervisors, and tactical assignments for each group or team of operations personnel, including:
  - Work location.
  - Work assignments.
- **Safety.** The plan can also include messages from the Safety Officer or Incident Command on safety concerns related to the tactics and resources being deployed, such as:
  - Risks such as weather conditions, special hazard areas, or incident stress.
  - Protective measures for identified risks.

## Visual 32: Emergency Planning Process

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### Key Points

Chapter 4 of CPG 101 presents the following steps as an operational planning process appropriate for all levels of plans:

- Step 1: Form a Collaborative Planning Team
- Step 2: Understand the Situation
- Step 3: Determine Goals and Objectives
- Step 4: Plan Development
- Step 5: Plan Preparation, Review, & Approval
- Step 6: Plan Implementation & Maintenance

For detailed information about these steps, refer to CPG 101.

## Visual 33: Activity 10.2: Emergency Operations Planning (in IAW)

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### Instructions:

In your IAW, answer the questions relating to emergency operations planning in your jurisdiction.

## Visual 34: Incident Planning

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### Incident Planning



### Key Points

Next, we'll take a look at incident planning.

The Incident Command System (ICS) emphasizes orderly and systematic planning. The incident planning process allows the organization to divide incident objectives into tactical assignments for specific operational periods.

The planning process is an integral part of ICS. It provides a formalized mechanism of maintaining a big-picture approach to incident management and supports incident safety, effective resource management, and the achievement of manageable objectives. It is a collaborative process that includes both the emergency operations center (EOC) and Incident Command to ensure all key issues are addressed.

## Visual 35: Benefits of Effective Incident Planning

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- Enhances safety and reduces risk.
- Communicates objectives and assignments.
- Identifies needed resources.
- Facilitates communications and problem solving.
- Allows EOC managers and Incident Commanders to evaluate progress and make needed changes.
- Documents actions taken and resources used.


## Visual 36: Video: An Effective Planning Process?

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Watch the video.

This video shows rescue workers attaching hooks to a sinking bus and then sailing away. Once hooked, a crane on top of a bridge attempts to lift the bus out of the water below. The bus is too heavy and begins to sink again, bringing the crane down with it from on top of the bridge.

Do you think an effective planning process was used?

	Key Points
	Watch the video (no sound included).
	<b>Do you think an effective planning process was used?</b>
Discussion Question	<b>What were the likely points of failure in the planning process? What was needed?</b>

### Video: An Effective Planning Process Transcript

#### Video Description:

This video shows rescue workers attaching hooks to a sinking bus and then sailing away. Once hooked, a crane on top of a bridge attempts to lift the bus out of the water below. The bus is too heavy and begins to sink again, bringing the crane down with it from on top of the bridge.



## Visual 37: Results of Effective Planning

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- Collaborative approaches for achieving the objectives.
- Achievable within the time period.
- Feasible using available resources.
- Adaptable to changing conditions.
- Designed to reduce risks.



### Key Points

When an effective incident action planning process is used, the resulting plans are:

- **Collaborative approaches for achieving the objectives.** Complex problems may require collaboration among personnel with varying types of expertise. The failure to consult technical experts during a critical incident can lead to devastating consequences.
- **Achievable within the time period.** Plans should have a set time for achieving the objectives. The objectives used should be achievable in the time covered by the plan.
- **Feasible using available resources.** Plans should consider the resources that can be deployed to the scene. The planning process should identify the additional resources that will be needed. The operations center can help locate and deploy the resources. However, the plan must consider the likelihood that the resources will arrive in time to implement the tactics.
- **Adaptable to changing conditions.** Plans should consider backup strategies if the conditions change or resources are not available. The most effective plans consider the worst-case scenarios and have additional strategies if the conditions change.
- **Designed to reduce risks.** Plans should consider the risks and develop strategies to reduce the potential risks.

# Visual 38: Activity 10.3: Incident Action Plan Review (Pre-Work)

**Instructions:**

1. Review the sample Incident Action Plan
2. Answer the questions provided
3. Select a spokesperson and be prepared to present your work

**Questions:**

1. How would the EOC use the information provided on the ICS form?
2. Is there enough information for situational awareness, and the ability to operate an EOC?
3. What information is missing? Where would you go to get this information?

Sample Incident Action Plan			
<b>Incident Support Objectives</b>	1. Incident Name <i>Central City Flood</i>	2. Date Prepared <i>7/28/2011</i>	3. Time Prepared <i>03:30</i>
4. Operational Period (Date and Time) <i>7/29/2011 06:00</i>			
5. Current Status			
<ul style="list-style-type: none"> <li>• Nursing home evacuation proceeding slowly. EMS is strapped between the evacuation and normal calls for service.</li> <li>• Public Works monitoring water intake at the Treatment Plant for signs of chemical contamination. None detected as yet.</li> <li>• DPW reports water levels reaching 2-3 feet deep in many locations in floodplain.</li> <li>• DPW sandbagged around WWTP. Currently no impact to plant operations.</li> <li>• Sandbag supplies starting to run low as public continues to request additional bags.</li> <li>• ARC Shelters are activated. Salvation Army feeding responders at Fire Station #1.</li> </ul>			
6. Objectives for Incident Support			
<ul style="list-style-type: none"> <li>• Coordinate with nongovernmental organizations to arrange shelter capability for up to 200 residents within 24 hours.</li> <li>• Conduct an assessment to identify unmet needs of evacuated residents within the next 3 hours.</li> <li>• Activate a call-in center to respond to inquiries about disaster services and family</li> </ul>			

<p>Sample Incident Action Plan</p>			
<p>reunification within 2 hours.</p> <ul style="list-style-type: none"> <li>• Deliver food and water response personnel to the staging area.</li> <li>• Request the deployment of a liaison officer from law enforcement officials to the EOC.</li> <li>• Develop materials and talking points for media briefing scheduled for 12:00 at the Joint Information Center.</li> </ul>			
<p>7. Weather Forecast for Operational Period</p>			
<p><i>Continued rain for the next 24-48 hours. Wind out of the southwest at 3-5 mph with a high of 78 degrees.</i></p>			
<p>8. General Safety Message</p>			
<p><i>If personnel are required to leave the EOC for any reason, they must keep good situational awareness, and stay out of floodwaters and well clear of all downed wires.</i></p>			
<p>9. Attachments: <i>Incident Map, EOC Assignment List, Organizational Structure, Communications Plan</i></p>			
<p>10. Prepared by (PS) <i>Kim Seward</i></p>		<p>11. Approved by (EOC Manager) <i>Bill Roxo</i></p>	

## Visual 39: Resource Management Preparedness

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### Resource Management Preparedness



### Key Points

Part of resource management occurs before an incident occurs. Prior to an incident, resources are inventoried and categorized by kind and type, including their size, capacity, capability, skills, and other characteristics. In addition, training and exercises are conducted to ensure that resources will be ready to respond.

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## Visual 40: NIMS Resource Management Concepts

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NIMS establishes a standardized approach for resource management based on:

- Consistency.
- Standardization.
- Coordination.
- Use.
- Information management.
- Credentialing and certification.

### Key Points

During an incident, getting the right resources to the right place at the right time depends on having done effective planning up front.

### Key Points

Resource management provides a **consistent** method for identifying, acquiring, allocating, and tracking resources.

Identify the resources needed to meet incident objectives.

- Acquire needed resources according to priority.
- Track resource availability and status.

### Key Points

Resource management includes **standardized** systems for classifying resources to improve the effectiveness of mutual aid and other assistance agreements.

Resource management includes standardized systems for classifying resources by:

- Category
- Type
- Kind

### Key Points

Resource management includes **coordination** to facilitate the integration of resources for optimal benefit.

The multiagency coordination system is responsible for coordinating support to the incident(s). This may include prioritizing incidents for the purpose of allocating scarce resources, mobilizing resources, ensuring interagency and interjurisdictional coordination, and making policy decisions to support incidents (but not decisions reserved for the command functions).

- Allocate scarce resources.
- Mobilize resources.
- Ensure interagency and interjurisdictional coordination.
- Make policy decisions to support incidents

## Key Points

Resource management planning efforts incorporate **use** of all available resources from all levels of government, nongovernmental organizations, and the private sector, where appropriate.

Resource management planning efforts incorporate use of all available resources from:

- All levels of government.
- Nongovernmental organizations.
- The private sector.

## Key Points

The ability to manage resources effectively depends on communications and information management being effectively integrated into the resource management system.

Effective resource management depends on the thorough integration of communications and information management elements into resource management organizations, processes, technologies, and decision support.

(Source: NIMS)

## Key Points

A critical element of NIMS preparedness is the use of national standards that allow for common or compatible structures for the qualification, licensure, and certification of emergency management/response personnel. Standards:

- Help ensure that personnel possess the minimum knowledge, skills, and experience necessary to execute incident management and emergency response activities safely and effectively.
- Typically include training, experience, credentialing, validation, and physical and medical fitness.

Note that the baseline criteria for voluntary credentialing will be established by the National Integration Center.

## Key Points

We all count on having the right tools to do the job. Being able to certify equipment is a critical component of preparedness. Equipment certification:

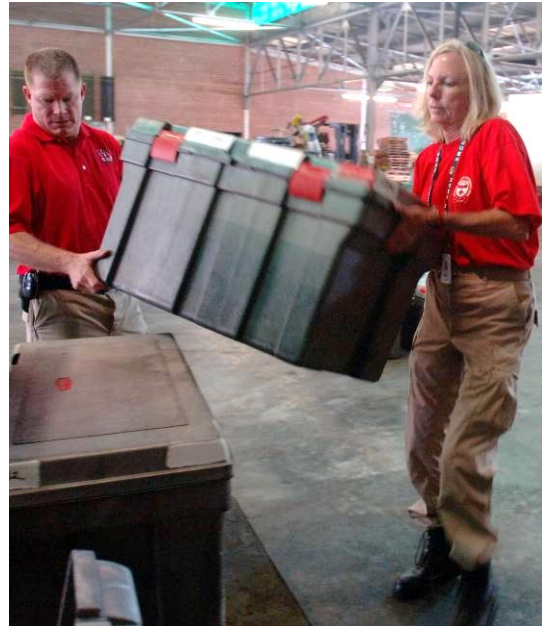
- Helps ensure that the equipment acquired will perform to certain standards (as designated by organizations such as the National Fire Protection Association or National Institute of Standards and Technology).
- Supports planning and rapid fulfillment of needs based on a common understanding of the abilities of distinct types of equipment.

## Visual 41: What Is Resource Management?

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Provides a system for identifying available resources at all jurisdictional levels.

- Enables timely, efficient, and unimpeded access to needed resources.



### Key Points

NIMS defines resource management as a system for identifying available resources at all jurisdictional levels to enable timely, efficient, and unimpeded access to resources needed to prepare for, respond to, or recover from an incident.

Resources include:

- Personnel.
- Equipment.
- Supplies.
- Facilities.



## Visual 42: Resource Management Planning

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Resource management policies, procedures, and inventories should be documented in the jurisdiction's EOP.

Planning processes should include:

- Identifying resource needs based on the threats and vulnerabilities.
- Developing alternative strategies to obtain needed resources.

## Visual 43: Managing Resources: Overview

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### Key Points

Resource management **during an incident** is a finite process, as shown in the figure on the visual, with a distinct beginning and ending specific to the needs of the particular incident. Resources (such as personnel, equipment, or supplies) are needed to support critical incident objectives. The flow of resources must be fluid and adaptable to the requirements of the incident.

NIMS promotes the use of a standardized seven-step cycle for managing resources.

It is important to remember that resource management activities must occur on a continual basis to ensure that resources are ready for mobilization.

The remainder of this unit presents each of the resource management steps.

## Visual 44: Step 1: Identify Requirements

Step 1 includes identifying:

- What and how much is needed.
- Where and when it is needed.
- Who will be receiving or using it.



### Key Points

When an incident occurs, personnel who have resource management responsibilities should continually identify, refine, and validate resource requirements. This process includes identifying:

- What and how much is needed.
- Where and when it is needed.
- Who will be receiving or using it.

Resource availability and requirements constantly change as the incident evolves. Coordination among all response partners should begin as early as possible, preferably prior to incident response activities.

## Visual 45: Step 2: Order and Acquire

When resource requests cannot be fulfilled locally:

- Standardized resource-ordering procedures are used.
- Requests are forwarded first to an adjacent locality or substate region and then to the State.
- Allocation decisions are based on protocol and possibly the resource demands of other incidents.



### Key Points

Typically, incidents will have an initial commitment of resources assigned.

As incidents grow in size and/or complexity, more tactical resources may be required and the Incident Commander may augment existing resources with additional personnel and equipment.

Dispatch organizations service incidents on a first-come, first-served basis with the emergency response resources in the dispatch pool. Ordinarily, dispatchers have the authority to activate first-tier mutual aid and assistance resources.

Standardized resource-ordering procedures are used when requests for resources cannot be fulfilled locally. Typically, these requests are forwarded first to an adjacent locality or substate region and then to the State.

Decisions about resource allocation are based on organization or agency protocol and possibly the resource demands of other incidents.

Mutual aid and assistance resources will be mobilized only with the consent of the jurisdiction that is being asked to provide the requested resources. Discrepancies between requested resources and those available for delivery must be communicated to the requestor.

### Key Points

Resource ordering activities of the incident command organization include the following:

- Command develops incident objectives and approves resource orders and demobilization.
- Operations identifies, assigns, and supervises the resources needed to accomplish the incident objectives.
- Planning tracks resources and identifies resource shortages.
- Logistics orders resources.
- Finance and Administration procures and pays for the resources and reports costs.

Note: The Operations Section determines resource needs. Logistics first determines if the resource is available within the jurisdiction. If not, Logistics coordinates with Finance and Administration to procure the needed resource either through mutual aid or purchased through a contract.

## Key Points

During less complex incidents, where only one jurisdiction or agency is primarily involved, the resource order is typically prepared at the incident, approved by the Incident Commander, and transmitted from the incident to the jurisdiction or agency ordering point.

## Key Points

Those responsible for managing resources, including public officials, should recognize that reaching around the official resource coordination process within the Multiagency Coordination System supporting the incident creates serious problems, including liability issues.

In other words, even if you think it is helpful, never send resources to the scene that have not been requested through the established system.

Requests from outside the established system for ordering resources can put responders at risk, and at best typically lead to inefficient use and/or lack of accounting of resources.

## Key Points

Mutual aid can be activated in one of three ways:

- Notification through dispatch, in which the party requesting mutual aid contacts assisting parties directly;
- Notification through the local or State emergency management agency (EMA), which then contacts assisting parties; or
- Direct contact between authorized officials, either orally or in writing.

Self-dispatch is unacceptable. Unsolicited aid effectively violates the terms and conditions of a mutual aid and assistance agreement.

## Key Points

Often FEMA sends liaisons to the State EOC prior to, or just following, an incident. These liaisons provide any needed assistance in completing the declaration process.

The declaration process consists of four steps:

- A Preliminary Damage Assessment (PDA) is conducted to determine the extent of damage caused by the event.
- If damage exceeds local and State capabilities, the Governor sends a request for disaster assistance to FEMA.

- FEMA addresses the request and recommends approval or denial of the Governor's request.
- The President issues a Presidential declaration for approved requests.

A Presidential disaster declaration makes local, tribal, and State governments eligible to receive disaster assistance.

There are three types of disaster declarations:

- Fire management assistance declarations
- Emergency declarations
- Major disaster declarations

Refer to 44 CFR §206.35 and §206.36 for further information on the declaration process.

## Key Points

The diagram summarizes the resource request flow. Starting at the bottom:

- The Incident Command/Unified Command determine resource requirements based on incident objectives, strategies, and tactics. If the on-scene resources are not adequate, the Incident Command/Unified Command may request additional resources.
- The local EOC coordinates the activation and deployment of needed resources.
- Mutual aid and assistance agreements are used to fulfill needs that exceed those resources available within the jurisdiction. If additional resources are still required, the local EOC may request additional assistance from the State EOC.
- The State EOC fulfills the requests using State resources or may activate additional levels of mutual aid and assistance agreements.
- If additional or specialized resources or capabilities are needed, Governors may request Federal assistance; however, NIMS is based on the concept that local jurisdictions retain command, control, and authority over response activities for their jurisdictional areas.

## Visual 46: Step 3: Mobilize

Mobilization notifications should include:

- Date, time, and place of departure.
- Mode of transportation to the incident.
- Estimated date and time of arrival.
- Reporting location.
- Anticipated incident assignment.
- Anticipated duration of deployment.
- Resource order number.
- Incident number.
- Applicable cost and funding codes.



### Key Points

Incident resources mobilize as soon as they are notified through established channels.

Mobilization notifications should include:

- The date, time, and place of departure
- Transportation to the incident
- Estimated date and time of arrival
- Reporting location (address, contact name, and phone number)
- Anticipated incident assignment
- Anticipated duration of deployment
- Resource order number
- Incident number
- Applicable cost and funding codes

When resources arrive on scene, they must be formally checked in.

### Key Points

Mobilization procedures should detail how staff should expect authorized notification, and designate who will physically perform the call-out. Procedures should also describe the agency's policy concerning self-dispatching and freelancing.

Backup procedures should be developed for incidents in which normal activation procedures could be disrupted by utility failures, such as an earthquake or hurricane.

Mobilization procedures must be augmented with detailed checklists, appropriate equipment and supplies, and other job aids such as phone trees or pyramid re-call lists so that activation can be

completed quickly. As you observed in the video, teams must be deployed with sufficient resources and logistical support.



## Visual 47: Step 4: Track and Report

Resource tracking is a standardized, integrated process conducted prior to, during, and after an incident to:

- Provide a clear picture of where resources are located.
- Enable staff to prepare to receive resources.
- Protect the safety and security of personnel, equipment, and supplies.
- Enable resource coordination and movement.



### Key Points

Resources are tracked using established procedures continuously from mobilization through demobilization.

### Key Points

As soon as the incident is discovered and reported, and often even before responders are dispatched, volunteers, victims, and spectators will converge at the scene. When responders arrive, they must separate first spectators and then volunteers from disaster survivors, and secure a perimeter around the incident.

Securing a perimeter allows the incident response organization to:

- Ensure safety of responders and the public.
- Establish resource accountability.
- Provide security and force protection.

It is important to have advance procedures in place for:

- Establishing controlled points of access for authorized personnel.
- Distinguishing agency personnel who have been formally requested from those who self-dispatched.
- Verifying the identity, qualifications, and deployment authorization of personnel with special badges.
- Establishing affiliation access procedures to permit critical infrastructure owners and operators to send in repair crews and other personnel to expedite the restoration of their facilities and services.

## Key Points

The Incident Command System uses a simple and effective resource check-in process to establish resource accountability at an incident.

The Planning Section Resources Unit establishes and conducts the check-in function at designated incident locations. If the Resources Unit has not been activated, the responsibility for ensuring check-in will be with the Incident Commander or Planning Section Chief. Formal resource check-in may be done on an ICS Form 211, Check-In List.

Information collected at check-in is used for tracking, resource assignment, and financial purposes, and includes:

- Date and time of check-in.
- Name of resource.
- Home base.
- Departure point.
- Order number and resource filled.
- Resource Leader name and personnel manifest (if applicable).
- Other qualifications.
- Travel method.

Depending on agency policy, the Planning Section Resources Unit may contact the dispatch organization to confirm the arrival of resources, personnel may contact their agency ordering point to confirm their arrival, or the system may assume on-time arrival unless specifically notified otherwise.

## Key Points

There are many resource-tracking systems, ranging from simple status sheets to sophisticated computer-based systems. Regardless of the system used, it must:

- Account for the overall status of resources at the incident.
- Track personnel into and out of the incident scene.
- Be able to handle day-to-day resource tracking, and also be flexible enough to track large numbers of multidisciplinary resources that may respond to a large, rapidly expanding incident.
- Have a backup mechanism in the event that on-scene tracking breaks down.

The more hazardous the tactics being implemented on the incident, the more important it is to maintain accurate resource status information.

Types of resource status-keeping systems include:

- **Manual Recordkeeping on Forms.** The following ICS forms can be used for resource tracking: the resources summary of the Incident Briefing (ICS Form 201), Check-In List (ICS Form 211), and Assignment List (ICS Form 204).
- **Card Systems.** Several versions are available that allow for maintaining status of resources on cards. One of these systems has different-colored T-shaped cards for each

kind of resource. The cards are formatted to record various kinds of information about the resource. The cards are filed in racks by current location.

- **Magnetic Symbols on Maps or Status Boards.** Symbols can be prepared in different shapes, sizes, and colors with space to add a resource designator. The symbols are placed on maps or on boards indicating locations designated to match the incident.
- **Computer Systems.** A laptop computer can be used with a simple file management or spreadsheet program to maintain information on resources. These systems can be used to compile check-in information and then be maintained to reflect current resource status.

**Examples of computer-based systems will be discussed in the Technology unit.**

## Visual 48: Step 5: Recover/Demobilize

- **Recovery** involves the final disposition of all resources.
- **Demobilization** is the orderly, safe, and efficient return of an incident resource to its original location and status.



### Key Points

The next phases of the resource management cycle include resource recovery, demobilization, and reimbursement.

- **Recovery** involves the final disposition of all resources, including those located at the incident site and at fixed facilities. During this process, resources are rehabilitated, replenished, disposed of, and/or returned.
- **Demobilization** is the orderly, safe, and efficient return of an incident resource to its original location and status. It can begin at any point of an incident, but should begin as soon as possible to facilitate accountability of the resources. The demobilization process should coordinate between incident(s) and multiagency coordination systems for the reassignment of resources if necessary, and to prioritize critical resource needs during demobilization.

### Key Points

Managers should plan and prepare for the demobilization process at the same time that they begin the resource mobilization process. Early planning for demobilization facilitates accountability and makes the transportation of resources as efficient as possible—in terms of both costs and time of delivery. Indicators that the incident may be ready to implement a demobilization plan include:

- Fewer resource requests being received.
- More resources spending more time in staging.
- Excess resources identified during the planning process.
- Incident objectives have been accomplished.

After the incident is controlled and tactical resources are beginning to be released, the incident management organization should begin to monitor the number of support and management staff

that are assigned. Below are some typical workload considerations to consider when planning for demobilization.

- **Public Information Officer**

Press interest may taper off toward the end of the incident, especially when tactics turn from life safety to cleanup. As the incident demobilizes, the need for interagency coordination of information may also decline. While it is important that the press continue to have a contact at the incident, it may be possible for the Public Information Officer to scale back operations.

- **Safety Officer**

As the number of tactical operations at an incident decreases, the demand on the Safety Officer will also decline. However, some incidents require post-incident debriefings that will require the input of the Safety Officer. While the workload may level out, it may remain until the end of the incident.

- **Liaison Officer**

As cooperating and assisting agency resources are demobilized, the Liaison Officer's job will become less complex. The Liaison Officer is also likely to be involved in interagency post-incident review activities that may require continued presence at the incident and involvement after final demobilization.

- **Operations Section**

The Operations Section Chief should be able to reduce support staff such as Deputies and Staging Area Managers as the Operations Section is demobilized.

- **Planning Section**

In the Planning Section, the later workload falls on the Demobilization and Documentation Units. The Demobilization Unit will develop the Demobilization Plan and monitor its implementation. The Documentation Unit will package all incident documentation for archiving with the responsible agency or jurisdiction. Both of these processes are finished late in the incident.

- **Logistics Section**

The Supply Unit and the Facilities Unit play major roles as the incident winds down. The Facilities Unit will need to demobilize the incident facilities, such as the Command Post and Incident Base. The Supply Unit must collect, inventory, and arrange to refurbish, rehabilitate, or replace resources depleted, lost, or damaged at the incident.

- **Finance and Administration Section**

Many of the activities of the Finance and Administration Section continue well after the rest of the organization has been demobilized. Much of the paperwork needed to document an incident is completed during or after demobilization.

## Key Points

When planning to demobilize resources, consideration must be given to:

- **Safety.** Organizations should watch for "first in, last out" syndrome. Resources that were first on scene should be considered for early release. Also, these resources should be evaluated for fatigue and the distance they will need to travel to their home base prior to release.

- **Cost.** Expensive resources should be monitored carefully to ensure that they are released as soon as they are no longer needed, or to see if their task can be accomplished in a more cost-effective manner.

## Key Points

Incident personnel are considered under incident management and responsibility until they reach their home base or new assignment. In some circumstances, this may also apply to contracted resources. For reasons of liability, it is important that the incident organization mitigate potential safety issues (such as fatigue) prior to letting resources depart for home.

## Visual 49: Step 6: Reimburse

- Reimbursement provides a mechanism to recoup funds.
- Processes for reimbursement play an important role in establishing and maintaining the readiness of resources.



### Key Points

Reimbursement provides a mechanism to recoup funds expended for incident-specific activities. Consideration should be given to reimbursement agreements prior to an incident.

Processes for reimbursement play an important role in establishing and maintaining the readiness of resources.

### Key Points

Preparedness plans, mutual aid agreements, and assistance agreements should specify reimbursement terms and arrangements for:

- Collecting bills and documentation.
- Validating costs against the scope of the work.
- Ensuring that proper authorities are secured.
- Using proper procedures/forms and accessing any reimbursement software programs.

Note: The administration module provides additional information on financial management and recordkeeping.

## Visual 50: Step 7: Inventory

Resource management uses various resource inventory systems to assess the availability of assets provided by jurisdictions.



### Key Points

#### Maintaining Current Data

Preparedness organizations should inventory and maintain current data on their available resources. The data are then made available to communications/dispatch centers, Emergency Operations Centers, and other organizations within the Multiagency Coordination System.

Resources identified within an inventory system are not an indication of automatic availability. The jurisdiction and/or owner of the resources have the final determination on availability.

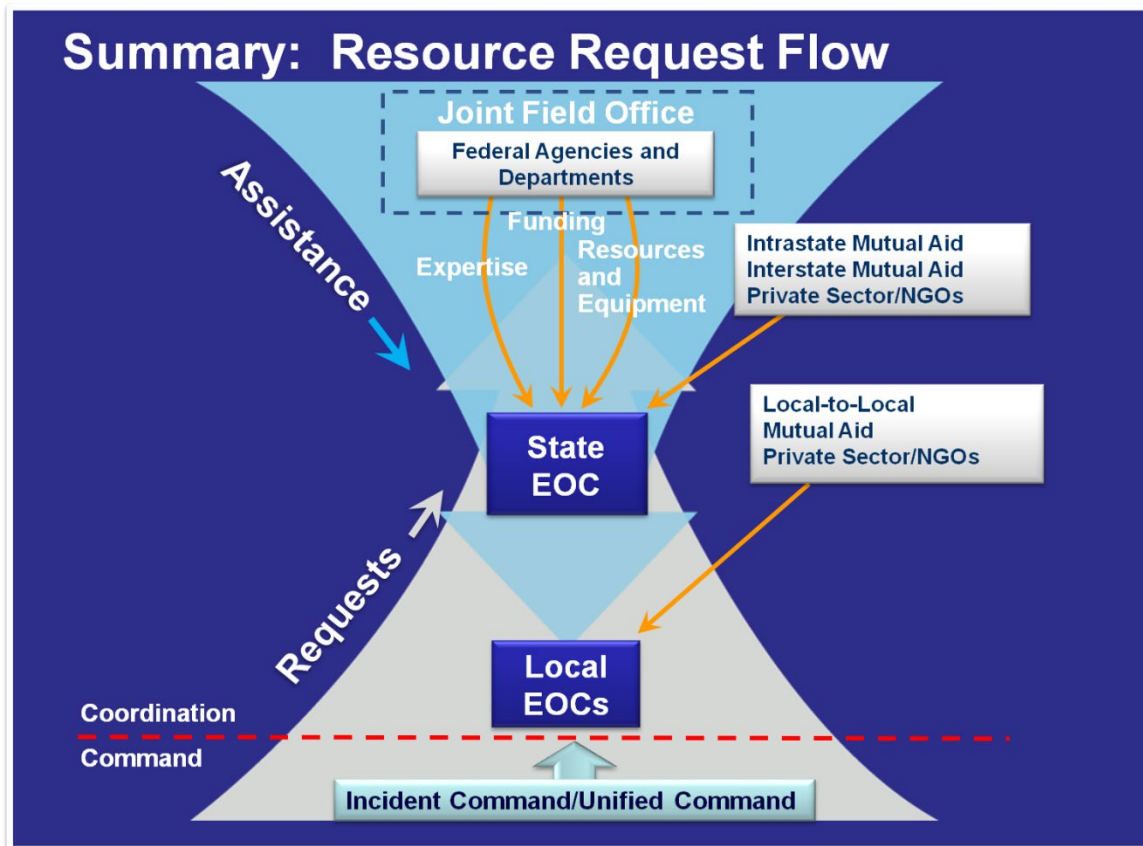
#### Inventory Systems

Inventory systems for resource management should be adaptable and scalable and should account for the potential of double-counting personnel and/or equipment. In particular, resource summaries should clearly reflect any overlap of personnel across different resource pools. Personnel inventories should reflect single resources with multiple skills, taking care not to overstate the total resources.

For example, many firefighters also have credentials as emergency medical technicians (EMTs). A resource summary, then, could count a firefighter as a firefighter or as an EMT, but not as both. The total should reflect the number of available personnel, not simply the sum of the firefighter and EMT counts.



## Visual 51: Summary: Resource Request Flow



Description of Resource Request flow diagram: Starts at the top with Joint Field Office. Below this is Federal Agencies and Departments with three arrows pointing down to State EOC. These arrows represent Expertise, Funding, and Resource and Equipment. Another arrow goes from State EOC to Local EOCs. A box points to State EOC that says: Intrastate Mutual Aid, Interstate Mutual Aid, and Private Sector/NGOs. Another box points to Local EOCs that says: Local-to-Local, Mutual Aid, and Private Sector/NGOs. There is a dotted line after Local EOCs that represents Coordination on the top and Command on the bottom. One last box points to Local EOCs that says: Incident Command/Unified Command. On the left of the diagram is says Assistance with an arrow pointing down and Requests with an arrow pointing up.

## Visual 52: Activation of Mutual Aid

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Mutual aid can be activated through:

- Dispatch.
- Local or State emergency management agency (EMA).
- Direct contact between authorized officials.



## Visual 53: Overview: Requesting Federal Assistance

### Agencies' Own Authorities

### Federal-to-Federal Assistance

### Stafford Act



### Requesting Federal Assistance

	Requesting Federal Assistance
<b>Preliminary Damage Assessment (PDA)</b>	<p>The Preliminary Damage Assessment is the first step in the declaration process. Teams include representatives from FEMA, other Federal agencies, and the State. The teams survey the impacted area soon after the event.</p> <p>The purpose of the Preliminary Damage Assessment is to document the event impact and estimate the cost of the initial damage.</p> <p>Measures such as numbers of deaths, injuries, infrastructure damaged and destroyed, and housing units damaged and destroyed are used to judge the magnitude of the event. Findings are cited in the Governor's request, and are used by FEMA to analyze the request.</p>
<b>Governor's Request for Assistance</b>	<p>After the Preliminary Damage Assessment provides documentation of the event impact, the Governor prepares a request for assistance. The request states that the Governor has taken appropriate action and directed execution of the State emergency operations plan (EOP).</p> <p>The request must include the following elements:</p> <ul style="list-style-type: none"> <li>• Certification that State, territorial, tribal government, and local resources are inadequate.</li> <li>• Estimate of the damage.</li> <li>• Type(s) of assistance requested. The request may include one or more of the three major disaster assistance programs.</li> </ul>
<b>FEMA Recommendation</b>	<p>The next step in the declaration process is the FEMA recommendation to the President.</p> <p>The request is addressed to the President through the FEMA</p>

	Requesting Federal Assistance
	<p>Regional Administrator.</p> <p>The Regional Office refers to preliminary damage estimates to analyze the request. Following the analysis, the Regional Administrator either recommends approval or denial of the request.</p> <p>FEMA Headquarters ensures that the request meets Stafford Act requirements, and the FEMA Administrator recommends a course of action to the President.</p>
<b>Presidential Declaration</b>	<p>The final step in the declaration process is the Presidential declaration.</p> <p>Assistance programs become available as of the date the declaration is issued and the FEMA-State Agreement is signed.</p> <p>A Federal Coordinating Officer (FCO) is designated by and reports to the Regional Administrator.</p>

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## Visual 54: Activity 10.4: Resource Planning

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### Instructions:

1. Review the scenario.
2. Working as a team, answer the questions about planning for the described event.
3. Be prepared to present your ideas in 15 minutes.

### Key Points

#### **Instructions:**

1. Review the scenario.
2. Working as a team, answer the questions about planning for the described event.
3. Be ready to present your ideas in 15 minutes.

#### **Scenario:**

Your jurisdiction is planning a Fourth of July celebration that includes the following:

- July 3 – July 5: The Fire Department’s annual three-day carnival will begin each day at 10:00 a.m. and end each evening with a concert and fireworks. In conjunction with the carnival, the 4-H Club is sponsoring a craft fair and livestock show.
- July 4: A parade honoring a returning war hero is scheduled to begin at 9:30 a.m., ending in a noon rally. The rally will include speeches from your U.S. Senator, the Governor, and Department of Defense officials. Press reports have indicated that the Senator is about to announce her intention to run for President in the fall primaries.

The carnival and rally will be held on the County Fairgrounds. The mile-long parade route begins at the County Courthouse. The County is in the middle of a heat wave that is forecast to continue. Large crowds are projected.

You are in the EOC one week prior to this event with a group of department heads. The Mayor has asked the group to develop plans for how the event will be managed

#### Questions:

1. What resources do you anticipate needing in support of this event?
2. What kinds of resources could you obtain from private partners?
3. What kinds of resources could you get from NGOs?
4. What kinds of State and Federal resources would be available?
5. How do you get resources in your community/jurisdiction?
6. Does your community/jurisdiction have a resource guide? If so, where do you get it?
7. How does your community/jurisdiction handle resource typing?

## Visual 55: Managing Resources During an Incident

### Managing Resources During an Incident



### Key Points

During an incident, getting the right resources to the right place at the right time can be a matter of life and death. Resource management involves coordinating and overseeing the application of tools, processes, and systems that provide incident managers with timely and appropriate resources during an incident.

Generally, resource coordination activities take place within the emergency operations center (EOC). As incidents grow in size or complexity, other entities may be established to prioritize and coordinate resource allocation and distribution.

## Visual 56: Discussion Question

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**Identify sources for acquiring the critical resources.**

**What immediate actions should the EOC take to acquire the resources?**

### Key Points

Instructions: Using the critical resource needs identified in the previous activity answer the questions.

## Visual 57: Activity 10.5: Tracking and Reporting

---

### Instructions:

1. Read the scenario information
2. Answer the following questions:
  - a. Identify the critical resource needs?
  - b. What are the new resource management challenges?
  - c. How will you track resources and report on their status?
  - d. What support do you anticipate providing to the incident?
3. Summarize your responses on chart paper
4. Be prepared to share with the class

### Key Points

**Scenario:** You are the EOC manager. The severe weather stalled over the region, bringing far more rainfall than predicted. The jurisdiction has been experiencing continued flash flooding and severe weather during the past week. Major rivers are projected to crest above flood stage. There is increasing damage to homes, roads, and bridges. Concern about potential landslides is growing. Rapidly rising water levels in the Roaring River have caused dam failure at a hydroelectric power plant upstream from Central City. The resulting flood has caused potential loss of life and property damage. Communications with first responders in some areas have been lost.

### Questions:

**Identify the critical resource needs?**

**What are the new resource management challenges?**

**How will you track resources and report on their status?**

**What support do you anticipate providing to the incident?**



## Visual 58: Activity 10.6: Jurisdiction Response Preparedness (Pre-Work)

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### Instructions:

1. In your pre-work, complete the checklist to assess your current response preparedness.

## Visual 59: Unit Summary

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- The National Response Framework identifies core capabilities required to effectively carry out the response mission.
- ICS is a standardized management tool for meeting the demands of small or large emergency and nonemergency situations.
- CPG 101 provides a process for developing emergency operations plans.
- Effective operational planning results in plans that are collaborative, achievable, feasible, adaptable, and designed to reduce risks.
- An EOC Action Plan identifies support objectives for helping achieve the tactical objectives in the Incident Action Plan.
- An operational period briefing provides staff with information about the incident situation and the resources allocated to the incident.
- Resources include personnel, teams, facilities, equipment, and supplies.
- Resource planning should include:
  - Identifying resource needs based on the threats and hazards.
  - Developing alternative strategies to obtain needed resources.
- Well-developed resource management plans are the foundation for the successful flow of resources during an incident.

## Visual 60: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 11: Recovery

# Visual 1: Recovery

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Mission Area: Recovery



## Key Points

This unit provides an overview of the Recovery mission area and the role of emergency management in disaster recovery operations.

## Unit Structure

- Disaster Recover operations
- Recovery Programs
- Emotional Recovery

## Key Points

This unit is divided into the following sections.

Unit	Time
Disaster Recovery Operations <ul style="list-style-type: none"> <li>• Case Study: Joplin</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 10 minutes</li> </ul>
Recovery Programs	1 hour
Emotional Recovery <ul style="list-style-type: none"> <li>• Video: Oakville, Iowa's Recovery</li> <li>• Activity 11.1: Community Healing</li> <li>• Activity 11.2: Recovery Policies, Plans, and Procedures (Pre-Work)</li> </ul>	1 hour <ul style="list-style-type: none"> <li>• 3 minutes</li> <li>• 15 minutes</li> <li>• 5 minutes</li> </ul>
<b>Total Unit Time</b>	<b>3 hours</b>

## Visual 2: Terminal Learning Objective

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To describe key aspects of the Recovery mission area, including:

- Disaster recovery operations.
- Federal recovery programs.
- Emotional recovery.



Review the unit objectives.

### Key Points

The goal of this unit is to enable you to describe key aspects of the Recovery mission area, including disaster recovery operations, Federal recovery programs, and emotional recovery strategies for the community.

The objectives for the unit are listed below.

- Identify core principles for recovery.
- Identify the steps in the disaster recovery process.
- Describe the purpose of a predisaster recovery plan.
- Identify and describe typical disaster recovery operations.
- Identify Individual Assistance programs and the sequence of delivery.
- Describe types of Public Assistance provided by FEMA, including general program eligibility factors.
- Identify actions to promote emotional healing in the community after a disaster.

## Visual 3: Recovery

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**Those capabilities necessary to assist communities affected by an incident in recovering effectively.**

Recovery is focused on a timely restoration, strengthening, and revitalization of:

- Infrastructure.
- Housing.
- Sustainable economy.
- Health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

**When does recovery start?**

**How long does recovery take?**

### Key Points

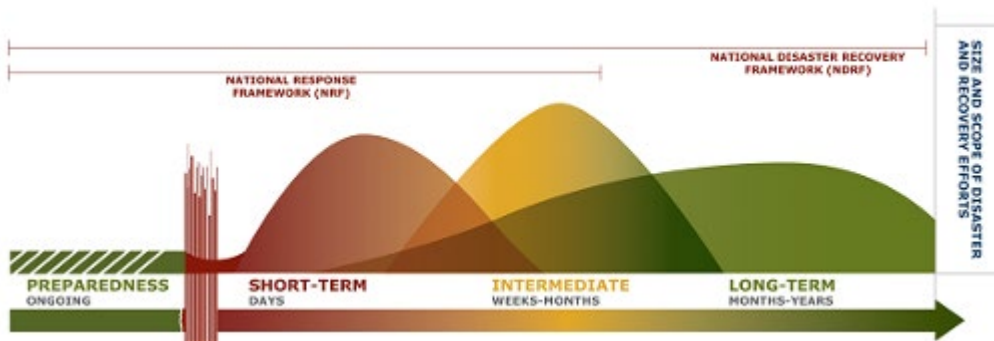
The term recovery refers to those capabilities necessary to assist communities affected by an incident to recover effectively, including, but not limited to:

- Rebuilding infrastructure systems.
- Providing adequate interim and long-term housing for survivors.
- Restoring health, social, and community services.
- Promoting economic development.
- Restoring natural and cultural resources.

(Source: National Preparedness Goal)



# Visual 4: Recovery Continuum



## Key Points

The recovery process is a sequence of interdependent and often concurrent activities that progressively advance a community toward a successful recovery. However, decisions made and priorities set early in the recovery process by a community will have a cascading effect on the nature and speed of the recovery progress.

Four periods and their duration are shown in the graphic:

- Preparedness (ongoing, before the disaster)
- Short-term recovery (days)
- Intermediate recovery (weeks to months)
- Long-term recovery (months to years)

The vertical dimension shows the size and scope of disaster and recovery efforts.

Examples of activities that occur in each period are listed on the next page.

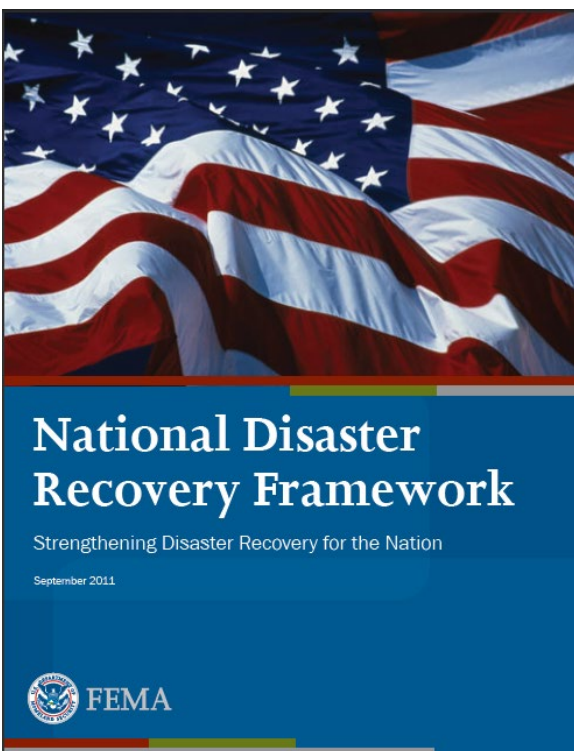
## Recovery Continuum

Pre-disaster Preparedness	Short-Term Recovery	Intermediate Recovery	Long-Term Recovery
<p>Examples include:</p> <ul style="list-style-type: none"> <li>• Predisaster recovery planning</li> <li>• Mitigation</li> </ul>	<p>Examples include:</p> <ul style="list-style-type: none"> <li>• Mass Care/Sheltering:</li> <li>• Provide</li> </ul>	<p>Examples include:</p> <ul style="list-style-type: none"> <li>• Housing:                             <ul style="list-style-type: none"> <li>• Provide accessible interim</li> </ul> </li> </ul>	<p>Examples include:</p> <ul style="list-style-type: none"> <li>• Housing:                             <ul style="list-style-type: none"> <li>• Develop permanent housing</li> </ul> </li> </ul>

Pre-disaster Preparedness	Short-Term Recovery	Intermediate Recovery	Long-Term Recovery
<p>planning and implementation</p> <ul style="list-style-type: none"> <li>• Community capacity and resilience building</li> <li>• Conducting disaster preparedness exercises</li> <li>• Partnership building</li> <li>• Articulating protocols in disaster plans for services to meet the emotional and health care needs of adults and children</li> </ul>	<p>integrated mass care and emergency services.</p> <ul style="list-style-type: none"> <li>• Debris:                             <ul style="list-style-type: none"> <li>• Clear primary transportation routes</li> </ul> </li> <li>• Business:                             <ul style="list-style-type: none"> <li>• Establish temporary or interim infrastructure to support business reopenings</li> <li>• Reestablish cash flow</li> </ul> </li> <li>• Emotional/Psychological:                             <ul style="list-style-type: none"> <li>• Identify adults &amp; children who would benefit from counseling or behavioral health services and begin treatment</li> </ul> </li> <li>• Public Health and Health</li> </ul>	<p>housing solutions</p> <ul style="list-style-type: none"> <li>• Debris/Infrastructure:                             <ul style="list-style-type: none"> <li>• Initiate debris removal</li> <li>• Plan immediate infrastructure repair and restoration</li> </ul> </li> <li>• Business:                             <ul style="list-style-type: none"> <li>• Support reestablishment of businesses where appropriate</li> <li>• Support the establishment of business recovery one-stop centers</li> </ul> </li> <li>• Emotional/Psychological:                             <ul style="list-style-type: none"> <li>• Engage support networks for ongoing care</li> </ul> </li> <li>• Public Health and Health Care:</li> </ul>	<p>solutions</p> <ul style="list-style-type: none"> <li>• Infrastructure:                             <ul style="list-style-type: none"> <li>• Rebuild infrastructure to meet future community needs</li> </ul> </li> <li>• Business:                             <ul style="list-style-type: none"> <li>• Implement economic revitalization strategies</li> <li>• Facilitate funding to business rebuilding</li> </ul> </li> <li>• Emotional/Psychological:                             <ul style="list-style-type: none"> <li>• Follow up for ongoing counseling, behavioral health, and case management services</li> </ul> </li> <li>• Public Health and Health Care:                             <ul style="list-style-type: none"> <li>• Reestablishment of disrupted health care facilities</li> </ul> </li> </ul>

Pre-disaster Preparedness	Short-Term Recovery	Intermediate Recovery	Long-Term Recovery
	<p>Care:</p> <ul style="list-style-type: none"> <li>• Provide emergency and temporary medical care and establish appropriate surveillance protocols</li> <li>• Mitigation Activities:                             <ul style="list-style-type: none"> <li>• Assess and understand risks and vulnerabilities</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Ensure continuity of care through temporary facilities</li> <li>• Mitigation Activities:                             <ul style="list-style-type: none"> <li>• Inform community members of opportunities to build back stronger</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Mitigation Activities                             <ul style="list-style-type: none"> <li>• Implement mitigation strategies</li> </ul> </li> </ul>

## Visual 5: Recovery Framework



- Core recovery principles
- Roles and responsibilities of recovery coordinators and other stakeholders
- Coordinating structure that facilitates communication and collaboration among all stakeholders
- Guidance for predisaster and postdisaster recovery planning
- Overall process by which communities can capitalize on opportunities to rebuild stronger, smarter, and safer

### Key Points

The **National Disaster Recovery Framework (NDRF)** is a guide to promote effective recovery, particularly for those incidents that are large scale or catastrophic.

The NDRF provides guidance that enables effective recovery support to disaster-impacted States, tribes, and local jurisdictions. It provides a flexible structure that enables disaster recovery managers to operate in a unified and collaborative manner. It also focuses on how best to restore, redevelop, and revitalize the health, social, economic, natural, and environmental fabric of the community and build a more resilient Nation.

The NDRF defines:

- Core recovery principles.
- Roles and responsibilities of recovery coordinators and other stakeholders. A coordinating structure that facilitates communication and collaboration among all stakeholders.
- Guidance for pre-disaster and post-disaster recovery planning.
- The overall process by which communities can capitalize on opportunities to rebuild stronger, smarter, and safer.

These elements improve recovery support and expedite recovery of disaster-impacted individuals, households, businesses, and communities. While the NDRF speaks to all who are

impacted or otherwise involved in disaster recovery, it concentrates on support to individuals and communities.

The NDRF:

- Captures resources, capabilities, and best practices for recovering from a disaster.
- Recognizes that significant challenges confront all recovery efforts, from a relatively localized incident to a large-scale disaster that demands substantial resources.
- Address disasters of all kinds and sources, whether a major Presidentially declared disaster or a non-Presidentially declared incident.
- Seeks to establish an operational structure and to develop a common planning framework.
- Is a companion document to the National Response Framework (NRF), which was introduced in Unit 1 and primarily addresses actions during disaster response.
- Replaces and expands upon the NRF Emergency Support Function #14 (ESF #14) - Long-Term Community Recovery.

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## Visual 6: Recovery Core Principles

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- Individual and Family Empowerment
- Leadership and Local Primacy
- Pre-disaster Recovery Planning
- Partnerships and Inclusiveness
- Public Information
- Unity of Effort
- Timeliness and Flexibility
- Resilience and Sustainability
- Psychological and Emotional Recovery

### Key Points

The Recovery Core Principles serve as a guideline for all recovery activities and programs. The principles are briefly described as follows:

- **Individual and Family Empowerment** - Individuals and households are encouraged to engage in their own recovery.
- **Leadership and Local Primacy** - It is important to remember that all disasters are local; therefore, local governments must be partners in all recovery actions taken on their behalf.
- **Predisaster Recovery Planning** - Individuals, households, and local governments can enhance their recovery from disaster by taking preparedness measures such as developing a Predisaster Recovery Plan, using disaster-resistant building practices, and participating in or conducting training and exercise programs.
- **Partnerships and Inclusiveness** - Successful recovery involves the support and involvement of all stakeholders within the community and with outside entities that are assisting in recovery operations.
- **Public Information** - The public must be kept informed of the status of recovery operations if they are to support and participate in recovery activities.
- **Unity of Effort** - The combined efforts of all stakeholders will help achieve an effective recovery.
- **Timeliness and Flexibility** - There is no established timeframe for recovery to be accomplished. It depends on the makeup of the community, the nature and complexity of the incident, and the combined efforts of all stakeholders.
- **Resilience and Sustainability** - Successful recovery incorporates mitigation actions and best practices to help ensure the future viability of the community. It also involves the ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.
- **Psychological and Emotional Recovery** - Disaster recovery isn't just about restoring places and things. It also involves the actions to help individuals and households cope with stress, illness, and uncertainty resulting from the disaster.

## Visual 7: Critical Tasks for Recovery

The National Preparedness Goal identifies preliminary targets in building recovery capabilities related to:

- Planning
- Public Information and Warning
- Operational Coordination
- Economic Recovery
- Health and Social Services
- Housing
- Infrastructure Systems
- Natural and Cultural Resources



See the Core Capabilities and Critical Tasks Chart.

### Key Points

Review the Critical Tasks chart on the following pages.

### Critical Tasks for Recovery

Core Capability	Critical Tasks
<p><b>Planning</b></p>	<ul style="list-style-type: none"> <li>• Convene the core of an inclusive planning team (identified pre-disaster), which will oversee disaster recovery planning.</li> <li>• Complete an initial recovery plan that provides an overall strategy and timeline, addresses all core capabilities, and integrates socioeconomic, demographic, accessibility, and risk assessment considerations, which will be implemented in accordance with the timeline contained in the plan.</li> </ul>
<p><b>Public Information and Warning</b></p>	<ul style="list-style-type: none"> <li>• Reach all populations within the community with effective recovery-related public information messaging and communications that are accessible to people with disabilities and people with limited English proficiency, protect the health and safety of the affected population, help manage expectations, and ensure stakeholders have a clear understanding of available assistance and their</li> </ul>

Core Capability	Critical Tasks
	<p>roles and responsibilities.</p> <ul style="list-style-type: none"> <li>Support affected populations and stakeholders with a system that provides appropriate, current information about any continued assistance, steady state resources for long-term impacts, and monitoring programs in an effective and accessible manner.</li> </ul>
<b>Operational Coordination</b>	<ul style="list-style-type: none"> <li>Establish tiered, integrated leadership, and inclusive coordinating organizations that operate with a unity of effort and are supported by sufficient assessment and analysis to provide defined structure and decision-making processes for recovery activities.</li> <li>Define the path and timeline for recovery leadership to achieve the jurisdiction's objectives that effectively coordinates and uses appropriate Federal, State, and local assistance, as well as nongovernmental and private sector resources. This plan is to be implemented within the established timeline.</li> </ul>
<b>Economic Recovery</b>	<ul style="list-style-type: none"> <li>Conduct a preliminary assessment of economic issues and identify potential inhibitors to fostering stabilization of the affected communities.</li> <li>Ensure the community recovery and mitigation plan(s) incorporates economic revitalization and removes governmental inhibitors to post-disaster economic sustainability, while maintaining the civil rights of citizens.</li> <li>Return affected areas to a sustainable economy within the specified timeframe in the recovery plan.</li> </ul>
<b>Health and Social Services</b>	<ul style="list-style-type: none"> <li>Restore basic health and social services functions. Identify critical areas of need for health and social services, as well as key partners and at-risk individuals (such as children, those with disabilities and others who have access and functional needs, and populations with limited English proficiency) in short-term, intermediate, and long-term recovery.</li> <li>Complete an assessment of community health and social service needs and develop a comprehensive recovery timeline.</li> </ul>

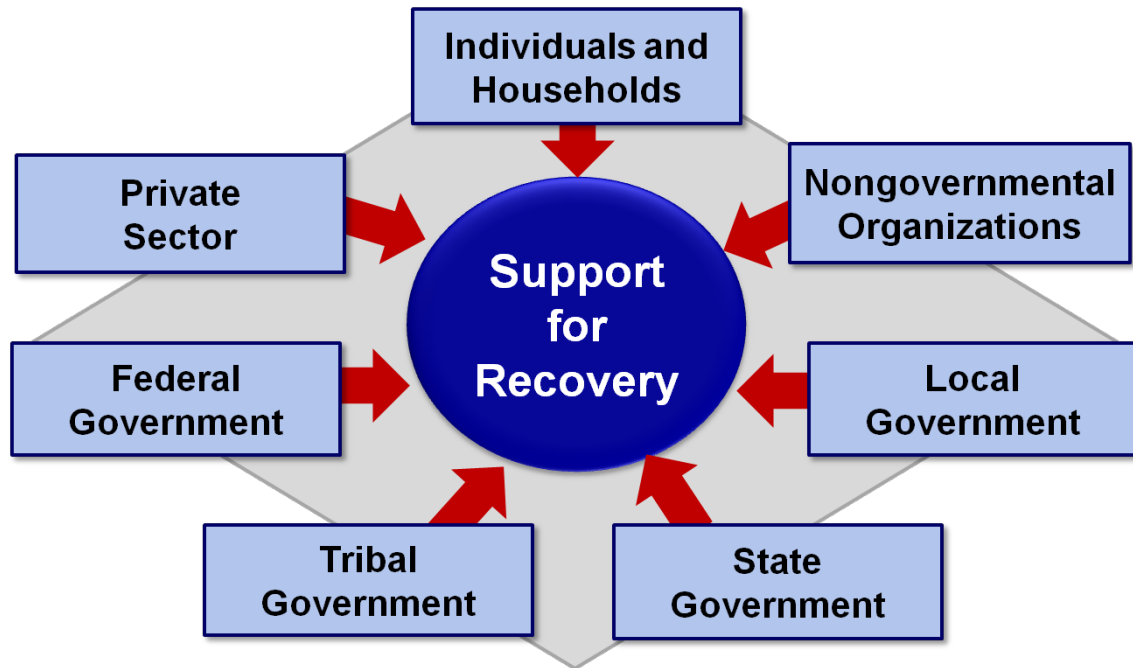


Core Capability	Critical Tasks
	<ul style="list-style-type: none"> <li>• Restore and improve the resilience and sustainability of the health and social services networks to meet the needs of and promote the independence and well-being of community members in accordance with the specified recovery timeline.</li> </ul>
<b>Housing</b>	<ul style="list-style-type: none"> <li>• Assess preliminary housing impacts and needs, identify currently available options for temporary housing, and plan for permanent housing.</li> <li>• Ensure community housing recovery plans continue to address interim housing needs, assess options for permanent housing, and define a timeline for achieving a resilient, accessible, and sustainable housing market.</li> <li>• Establish a resilient and sustainable housing market that meets the needs of the community, including the need for accessible housing within the specified time frame in the recovery plan.</li> </ul>
<b>Infrastructure Systems</b>	<ul style="list-style-type: none"> <li>• Restore and sustain essential services (public and private) to maintain community functionality.</li> <li>• Develop a plan with a specified timeline for redeveloping community infrastructures to contribute to resiliency, accessibility, and sustainability.</li> <li>• Provide systems that meet the community needs while minimizing service disruption during restoration within the specified timeline in the recovery plan.</li> </ul>
<b>Natural and Cultural Resources</b>	<ul style="list-style-type: none"> <li>• Implement measures to protect and stabilize records and culturally significant documents, objects, and structures.</li> <li>• Mitigate the impacts to and stabilize the natural and cultural resources and conduct a preliminary assessment of the impacts that identifies protections that need to be in place during stabilization through recovery.</li> <li>• Complete an assessment of affected natural and cultural resources and develop a timeline for addressing these impacts in a sustainable and resilient manner.</li> <li>• Preserve natural and cultural resources as part of an overall community recovery that is achieved through the coordinated efforts of natural and cultural resource experts and the recovery team in accordance with the</li> </ul>

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Core Capability	Critical Tasks
	specified timeline in the recovery plan.

## Visual 8: Whole Community Partnership



### Key Points

The responsibility of preparing for disaster recovery begins with the individual and builds to the larger responsibility of the community and local government. Community planning efforts are supported by voluntary, faith-based, and community organizations; local, State, and tribal governments, the Federal Government; and the private sector.

The "Whole Community" approach to recovery encompasses two key concepts:

- Ensuring that response and recovery actions are driven by the actual needs of the entire affected community and the conditions on the ground, including the population demographics and geographic location.
- Ensuring that we leverage and rely upon the resources of the entire emergency management team to the greatest extent possible in meeting these needs.

## Visual 9: Recovery Leadership

- Local Disaster Recovery Manager (LDRM)
- State/Tribal Disaster Recovery Coordinator (SDRC/TDRC)
- Federal Disaster Recovery Coordinator (FDRC)



### Key Points

#### **Local/State/Tribal Leadership Roles:**

The National Disaster Recovery Framework (NDRF) recommends that State governors as well as local government and tribal leaders prepare as part of their disaster recovery plans to appoint Local Disaster Recovery Managers (LDRMs) and State/Tribal Disaster Recovery Coordinators (SDRCs/TDRCs) to lead disaster recovery activities for the jurisdiction.

The role of these positions is to organize, coordinate, and advance the recovery at the local, State, or tribal level. The experience and skill sets of these individuals should include a strong basis in community development and good knowledge of the community's demographics. Their primary role is to manage and coordinate the redevelopment and building of community. The LDRMs and TDRCs serve as the jurisdiction's primary point of contact with the SDRC.

#### **Federal Leadership Role:**

In large-scale disasters and catastrophic incidents where a Federal role may be necessary, the Federal Disaster Recovery Coordinator (FDRC) is a focal point for incorporating recovery and mitigation considerations into the early decision-making processes. The FDRC monitors the impacts and results of such decisions and evaluates the need for additional assistance and adjustments where necessary and feasible throughout the recovery. In these situations, the FDRC works as a deputy to the Federal Coordinating Officer (FCO) for all matters concerning disaster recovery.

Additional detail about these positions is provided in the [NDRF document](http://www.fema.gov/recoveryframework/), available at: <http://www.fema.gov/recoveryframework/>.

## Visual 10: Recovery Support Functions (RSFs)

- Community Planning and Capacity Building
- Economic
- Health and Social Services
- Housing
- Infrastructure Systems
- Natural and Cultural Resources

### Key Points

The Recovery Support Functions (RSFs) are six groupings of core recovery capabilities, described below, that provide a structure to facilitate problem solving, improve access to resources, and foster coordination among State and Federal agencies, nongovernmental partners, and stakeholders.

RSF	Mission
<b>Community Planning and Capacity Building</b>	To support and build recovery capacities and community planning resources of local, State, and tribal governments needed to effectively plan for, manage, and implement disaster recovery activities in large, unique, or catastrophic incidents.
<b>Economic</b>	To integrate the expertise of the Federal Government to help local, State, and tribal governments and the private sector sustain and/or rebuild businesses and employment, and develop economic opportunities that result in sustainable and economically resilient communities after large-scale and catastrophic incidents.
<b>Health and Social Services</b>	To provide Federal Government assistance to locally led recovery efforts in the restoration of the public health, health care, and social services networks to promote the resilience, health, and well-being of affected individuals and communities.
<b>Housing</b>	To address predisaster and postdisaster housing issues and coordinate and facilitate the delivery of Federal resources and activities to assist local, State, and tribal governments in the rehabilitation and reconstruction of destroyed and damaged housing, whenever feasible, and development of other new accessible, permanent housing options.

RSF	Mission
<b>Infrastructure Systems</b>	To facilitate the integration of the capabilities of the Federal Government to support local, State, and tribal governments and other infrastructure owners and operators in their efforts to achieve recovery goals relating to the public engineering of the Nation's infrastructure systems.
<b>Natural and Cultural Resources</b>	To integrate Federal assets and capabilities to help State and tribal governments and communities address long-term environmental and cultural resource recovery needs after large-scale and catastrophic incidents.

The RSFs bring together the core recovery capabilities of Federal departments and agencies and other supporting organizations—including those not active in emergency response—to focus on community recovery needs. The RSFs work closely with local, State, and tribal governments to identify underserved populations.

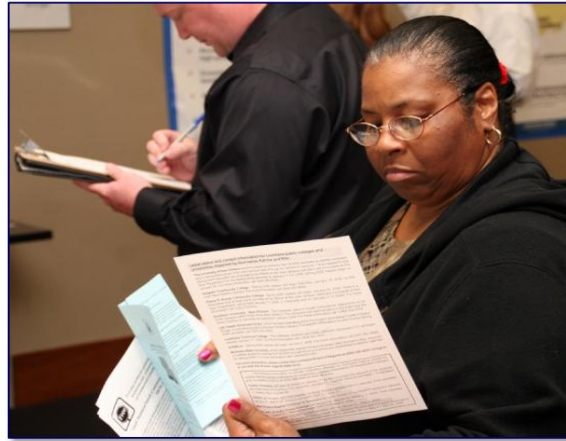
Through the RSFs, relevant stakeholders and experts are brought together during steady-state planning and when activated postdisaster to identify and resolve recovery challenges. Together, the RSFs help facilitate local stakeholder participation and promote intergovernmental and public-private partnerships.

The RSF coordinating structure is **scalable** and adaptable to meet different levels and types of needs, as well as specific recovery requirements of large to catastrophic incidents. Each RSF has a predesignated coordinating agency that works with the Federal Disaster Recovery Coordinator to promote communication and collaboration among its members.

More detailed descriptions of the RSFs and their roles and responsibilities are provided in the NDRF document and also at <https://www.fema.gov/recovery-support-functions>.

## Visual 11: Pre-disaster

A pre-disaster recovery plan identifies activities, priorities, and roles and responsibilities required for the community to recover from disaster.



### Checklist for Pre-disaster Recovery Planning

## Key Points

Both pre-disaster and post-disaster recovery planning are critical for communities to develop resilience and for successful and timely recovery.

Pre-disaster recovery planning involves a State or community articulating a process for how it organizes and manages its recovery, establishes relationships among stakeholders, and develops methods for prioritizing recovery decisions and land use considerations. Elements of a pre-disaster recovery planning and coordination system may include the following:

- Assessment
- Communication and outreach
- Stakeholders
- Partnerships
- Guiding principles and recovery priorities
- Organizational framework
- Concept of operations
- Process for post-disaster recovery planning
- Exercise
- Planning considerations

## Visual 12: Post-disaster

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- Post-disaster community recovery planning puts complex decisions in the context of the disaster and forms the foundation for allocating resources.
- The planning process provides the benchmark to measure the community's progress toward a successful outcome.



### Key Points

Post-disaster planning is a discrete process that produces a document or series of documents for the disaster at hand that results in integrated recovery and reconstruction programs, actions, and recovery. This post-disaster recovery plan is based on the strategy and process laid out in the pre-disaster plan. Post-disaster plans guide funding for a wide variety of public sector and nongovernmental investments.

Elements of post-disaster planning include:

- Assessment.
- Leadership.
- Support.
- Communication and outreach.
- Existing guidance documents.
- Building consensus.
- Recovery issues.
- Recovery vision and goals.
- Strategy.
- Plan writing.
- Implementation.
- Funding.
- Update.



## Visual 13: Factors in a Successful Recovery

- Effective decision-making and coordination.
- Integration of community recovery planning processes.
- Well-managed recovery.
- Proactive community engagement, public participation, and public awareness.
- Well-administered financial acquisition.
- Organizational flexibility.
- Resilient rebuilding.

### Key Points

Experience shows that the presence of these factors in a community can help ensure a successful recovery. Priorities are based on realities.

	Factors in a Successful Recovery
<b>Effective Decision Making and Coordination</b>	<ul style="list-style-type: none"> <li>• <b>Roles and responsibilities for all stakeholders</b> defined by recovery leadership</li> <li>• <b>A decision-making process</b> that involves examining recovery alternatives, addressing conflicts, and making informed and timely decisions</li> <li>• <b>Metrics established</b> for tracking progress, ensuring accountability, and reinforcing realistic expectations among stakeholders</li> <li>• <b>Involvement of governments and voluntary, faith-based, and community organizations</b> in tracking progress, ensuring accountability, and making adjustments to ongoing assistance.</li> </ul>
<b>Integration of Community Recovery Planning Processes</b>	<ul style="list-style-type: none"> <li>• <b>Community engagement in pre-disaster recovery planning</b> and other recovery preparedness, mitigation, and community resilience-building work</li> <li>• <b>Individual, business, and community preparation and resilience building</b> that improve the speed and quality of post-disaster recovery decisions</li> <li>• <b>A public-private partnership under the National Infrastructure Protection Plan (NIPP)</b> that facilitates broad coordination and information sharing among all levels of government and private sector owners and</li> </ul>

	Factors in a Successful Recovery
	<p>operators of critical infrastructure</p> <ul style="list-style-type: none"> <li>• <b>Processes and criteria for identifying and prioritizing</b> key recovery actions and projects developed by the community</li> <li>• <b>An organizational framework</b> involving key sectors and stakeholders to manage and expedite recovery planning and coordination</li> <li>• <b>Revision of existing State and Local emergency response contingencies</b> to incorporate recovery planning best practices and other preparedness, mitigation, and community resilience-building work</li> </ul>
<b>Well-Managed Recovery</b>	<ul style="list-style-type: none"> <li>• <b>Well-established pre-disaster partnerships</b> at the Federal, State, Local, and Tribal levels, including those with the private sector and nongovernmental organizations (NGOs)</li> <li>• <b>Coordination of traditional public and NGO assistance programs</b> to accelerate the recovery process and avoid duplication of efforts</li> <li>• <b>Interface with outside sources of help</b>, such as surrounding governments, foundations, universities, nonprofit organizations, and private sector entities</li> <li>• <b>Readily available surge staffing and management structures</b>, such as code enforcement, planning, communications, grant writing, and management, to support the increased workload during recovery</li> <li>• <b>Guidance provided for the transition</b> from response operations, to recovery, to a new normal state of community functioning, including the shift of roles and responsibilities</li> <li>• <b>Compliance with architectural standards</b> and programmatic accessibility during recovery.</li> </ul>
<b>Proactive Community Engagement, Public Participation, and Public Awareness</b>	<ul style="list-style-type: none"> <li>• <b>Collaboration among stakeholders</b> to maximize the use of available resources to rebuild housing, infrastructure, schools, businesses, and the social-historical-cultural fabric of the impacted community in a resilient manner and to provide health care, access, and functional support services</li> </ul>

	Factors in a Successful Recovery
	<ul style="list-style-type: none"> <li>• <b>Representation of all community perspectives</b> in all phases of disaster and recovery planning, and transparency and accountability in the process.</li> <li>• <b>Creation of post-disaster recovery plans that can be implemented quickly</b> and incorporation of Local opinions so that community needs are met in a holistic manner</li> <li>• <b>Accessible public information</b> to keep everyone—including those with functional needs or limited English proficiency—informed throughout the recovery process</li> <li>• <b>Continuous and accessible public information campaigns</b> to increase public confidence. Such campaigns should address the various recovery programs; the community’s commitment to short, intermediate, and long-term recovery; and the overall recovery progress</li> </ul>
<b>Well-Administered Financial Acquisition</b>	<ul style="list-style-type: none"> <li>• <b>Understanding of and access to broad and diverse funding sources</b> to finance recovery efforts.</li> <li>• <b>Knowledge of and professional administration of external programs.</b></li> <li>• <b>Collaboration among funders and resource providers</b> to provide program flexibility and implement financial planning.</li> <li>• <b>Development and maintenance of adequate financial monitoring and accounting systems</b> for new and large levels of investment, including systems that detect and deter fraud, waste, and abuse.</li> <li>• <b>Maximum use of local businesses</b> in Federal recovery expenditures to promote local economic development.</li> </ul>
<b>Organizational Flexibility</b>	<ul style="list-style-type: none"> <li>• <b>Scalable and flexible organizational structures</b> for coordinating recovery assistance.</li> <li>• <b>Evolving and adaptive recovery structures</b> at all government levels to address the changing landscape of post-disaster environments and facilitate the application of laws, regulations, and policies in the context of disaster.</li> <li>• <b>Functional and effective intergovernmental relations</b></li> </ul>

	Factors in a Successful Recovery
	<p>that contribute to the efficiency of the recovery process.</p> <ul style="list-style-type: none"><li>• <b>Flexible staffing and management structures</b> to enhance the adaptability of the governmental structure.</li><li>• <b>Increased pre-disaster partnerships</b> to reduce or avoid the challenges of establishing new partnerships in a post-disaster environment.</li></ul>
<b>Resilient Rebuilding</b>	<ul style="list-style-type: none"><li>• <b>Sustainable rebuilding</b> that addresses ecological, economic, and local capacity considerations.</li><li>• <b>Rebuilding in a manner that reduces or eliminates risk</b> from future disasters and avoids unintended negative environmental consequences.</li><li>• <b>Adoption of stronger building codes and land use ordinances.</b> Vulnerable structures are retrofitted, elevated, or removed from harm.</li><li>• <b>Incorporation of risk-reduction strategies into governance and local decision-making.</b></li></ul>

## Visual 14: Discussion: Successful Recovery

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What does successful community recovery look like?

**Discussion Question:** What characteristics would indicate to you that a community has successfully recovered from a disaster?

**Discussion Question:** Reviewing the Critical Tasks for Recovery from Visual 11.7 what critical tasks did the Joplin recovery process do well, and looking at other disasters you may be familiar with, how did these other municipalities come up short?

**Discussion Question:** Reviewing the keys to Joplin’s success versus other disasters, how did Joplin effectively utilize the Recovery Core Principles from Visual 11.6?

**Discussion Question:** How important were the Recovery Support Functions from Visual 11.10 in the successful and timely recovery in Joplin? What were their roles?

### WHAT IS SUCCESSFUL RECOVERY?

Keys to a successful recovery in Joplin:

1. The community was resilient and immediately began to resolve their problems without waiting for assistance.
2. The community expedited debris removal, and neighbors helped neighbors.
3. A decision was made immediately to have schools reopen on time, 3 months after the tornado, allowing residents to get “back into their routine.”
4. Government regulations that normally slow processes were waived by executive orders of the governor.
5. A community recovery committee was organized to assist with the recovery planning.
6. Government took the lead on public projects and allowed the charitable organizations and private sector to take the lead on response and recovery.
7. Businesses and residents were quickly advised of the intention to rebuild in a timely fashion, thus keeping most of the population close and willing to return.

8. Businesses used peer-to-peer connections to assist each other through shared space, shared resources, and employment opportunities for residents.
9. Effective use of social media connected people with needs to volunteers and supplies to meet the needs.
10. Insurance companies responded quickly and began writing checks to help displaced residents with basic sustainment.

Comparison to Katrina in New Orleans and other recent disasters:

1. The community was reliant on government, and the government promoted some of this reliance.
2. Due to water remaining in many areas, debris removal was delayed. New Orleans was evacuated for a month.
3. Many schools have never reopened; however, Tulane University did work with other universities to give opportunities to their students.
4. Regulations in many cases impeded rebuilding by requiring people to build to the latest codes, which many times insurance would not cover.
5. Planning was developed through government and the public sector.
6. The government tried to oversee all processes. The private sector and charitable organizations were successful with their coordination, recovery, and rebuilding processes.
7. Businesses and residents were caught in the middle of a waiting game. When and what would be rebuilt? Businesses did not want to rebuild if the residents were not returning; residents did not want to return until they knew there would be businesses to support their basic needs.
8. Some businesses worked together and for the greater good, but there was a divide between the affected and the unaffected business community.
9. Social media was not applicable to the extent it was in 2011.
10. Insurance companies were slow to respond, and, in fact, many lawsuits were filed for failures by the insurance industry.

## Visual 15: Joplin Case Study

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### Instructions:

- Review the case study
- Be prepared to answer the discussion questions later in the unit



### Key Points

When looking at past examples of disaster recovery, we need to remember several critical issues from this unit: the Critical Tasks for Recovery, the Recovery Core Principles, the Recovery Support Functions, and the roles each plays for a successful disaster recovery process.

In this case study we will compare and contrast the May 22, 2011, Joplin, Missouri, tornado with various other disaster events. Rather than a direct comparison between Joplin's successful recovery process and any one single event, we will list and potentially discuss multiple events, such as Katrina; Sandy; the 2008 flooding in Cedar Rapids, Iowa; the April 2011 tornados in Alabama; and the earthquake in Haiti. As a group, we may also discuss other events you are familiar with and have direct knowledge about that may not have had as successful a recovery process as Joplin, and then discuss how future events can follow the lesson learned from Joplin or these other events for successful recovery outcomes.

Natural disasters can have a devastating effect on a community. A community's ability to come together to rebuild and rebound will be directly related to its disaster recovery planning and processes. Disaster recovery is dependent upon the whole community coming together, as they did in Joplin, to reclaim their community from the disaster. If it takes too long to recover, either businesses or households may decide to relocate permanently.

### Situation:

On May 22, 2011, a supercell thunderstorm led to an EF-5 tornado, which tore a path three-quarters of a mile wide and 6 miles long through Joplin, Missouri, leaving 161 people deceased and causing nearly \$3 billion in damage in its path. Buildings, including St. John's Regional Medical Center, churches, and four schools—including the only high school—were severely damaged or destroyed. Buses, cars, and the helicopter from St. John's were all picked up and

thrown across the landscape, many into other structures. Parking blocks formerly embedded with steel rods into parking surfaces were ripped from the ground and hurled hundreds of yards.

The aftermath was described as a blank canvas, ready to be painted with a new town. Joplin had been through previous tornados and disasters, but nothing to the extent of this event.

The tornado left an area of 20 square miles devastated, leaving 1.5 million cubic yards of debris behind. Between 5,000 and 7,000 homes were destroyed along with 525 businesses. Residents, businesses, community leaders, charitable organizations, and volunteers from around the world quickly began the process of rebuilding Joplin.

Joplin residents immediately began debris removal. Local churches, who had experience with volunteer coordination, took the lead in coordinating the massive efforts. Neighbors from unaffected neighborhoods descended on damaged neighborhoods to help with removal of debris. The Governor, by way of executive order, suspended many regulations to expedite the recovery process. The city accommodated the needs of its business community and residents by trying to relax processes. The city also created a Citizen Advisory Recovery Team as an advisory board for the rebuilding process. The private sector took ownership of the response and recovery for private projects and the government took responsibility for public sector projects. Returning to a place of normalcy and routine as quickly as possible was the goal and was key in helping this recovery process. The tornado occurred just hours after the high school graduation on May 22. Quickly thereafter, the Superintendent announced that schools would open on time for the next school year. This set the tone for the community and schools reopened on time on August 17 in temporary locations, with 98 percent of the students returning to the school district. Coordination and collaboration throughout the whole community led to this successful recovery process.

### **Joplin Case Study Stats**

As of February 2018, Joplin has spent about \$100 million on recovery projects — two-thirds of the federal assistance.

Some Recovery projects include:

Among the city's 54 disaster recovery projects are:

- Repair of 28 miles of sidewalk, 22 miles of streets and 14 miles of curb — \$49 million.
- Repair of 23 miles of sanitary sewer — \$21 million.
- Rehabilitation of South Main Street and East 20th Street — \$16 million.
- JHAP and JHRP, which provided down payment and closing cost assistance for the purchase of 580 houses in the tornado zone and also provided funding toward repairs of some houses — \$17.5 million.
- Construction of Murphy Trail and Mohaska Trail — \$1.2 million.
- Assistance to Joplin Schools to build the Early Childhood Center — \$5 million.
- Construction of a new Senior Center — \$5.2 million.
- Assistance to Crosslines and the Community Clinic for building repairs for increased use resulting from the tornado — \$1.2 million.
- Funding to buy a building and equip the Advanced Training and Technology Center for job skill training — \$6.5 million.
- Crossroads Transportation and Distribution Park, funding street and sewer extension to make more acreage available — \$6.3 million.
- Mercy Park — \$4.8 million.



Link to a news article explaining the [Joplin Recovery](https://www.joplinglobe.com/news/local_news/joplin-s-disaster-recovery-a-model-consultant-says/article_5125d1c4-1692-5778-8358-91b757c3921a.html) (https://www.joplinglobe.com/news/local\_news/joplin-s-disaster-recovery-a-model-consultant-says/article\_5125d1c4-1692-5778-8358-91b757c3921a.html)

## Visual 16: Disaster Recovery Operations

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- Recovery management and coordination
- Damage assessment
- Care for survivors
- Restoration of services, facilities, and infrastructure
- Building inspection
- Community redevelopment
- Support for business recovery
- Documentation of disaster operations and costs



### Key Points

Disaster recovery operations will vary with the type, scope, and duration of the disaster. However, disaster recovery typically consists of the following activities:

- Recovery management and coordination
- Damage assessment
- Care for survivors
- Building inspection
- Restoration of services, facilities, and infrastructure
- Community redevelopment

- Support for business recovery
- Documentation of disaster operations and costs

## Visual 17: Recovery Management & Coordination

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Resources and efforts have to be managed and coordinated in order to accomplish a speedy, efficient, and effective recovery.

### Key Points

As described in Unit 1, many partners are involved in a community's disaster recovery. Each partner contributes resources and capabilities and represents different stakeholders within the community.

These resources and efforts have to be managed and coordinated in order to accomplish a speedy, efficient, and effective recovery. Community leaders are ultimately responsible for the recovery of their community; however, they rely on the emergency management team in general, and the emergency manager specifically, to manage and coordinate the disaster recovery effort.

## Visual 18: Care for Survivors

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Partners in the community may be able to provide a variety of services for disaster survivors.



### Key Points

The Health and Social Services RSF mission includes coordination of care for survivors.

Disaster survivors may require a variety of care options including medical assistance and supplies, evacuation from damaged facilities, and other functional needs.

Community partners may be able to provide some of these services. Emergency management should be aware of the status of disaster survivors and how they are being addressed.

## Visual 19: RSF Coordination

The Recovery Support Function structure provides coordination for recovery operations. The structure is scalable and flexible. Functions are deployed based on demonstrated recovery needs.



### Key Points

The Recovery Support Function (RSF) coordinating structure previously described is scalable and adaptable to meet different levels and types of needs, as well as specific recovery requirements of large to catastrophic incidents.

Each RSF has a predesignated coordinating agency that works with the Federal Disaster Recovery Coordinator (FDRC) to promote communication and collaboration among its members.

This tiered leadership structure helps to accommodate the rapid surge of Federal resources that may be needed to assist in large-scale or catastrophic incidents. Through the RSFs, Federal resources are organized into a number of field teams led by the most appropriate primary agencies to cover multiple localities.

Each team is then adapted to comprise of only the RSF functions (or the Federal department or agency) that have the authority, expertise, and resources appropriate to the locality assigned.

Based on assessments and recovery management structures established by State and local officials, **only the RSFs that are needed deploy.**

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## Visual 20: Recovery Task Force

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- Elected/Appointed Officials
- Public Information Officer
- Attorney
- Emergency Management
- Public Safety Department
- Public Works Department
- Building Department
- Finance Department
- Planning/Community Development Department
- Community Services
- Health Care (Hospitals and Public Health)
- Chamber of Commerce
- Business Community
- Voluntary Agencies
- School Districts
- Neighborhood/Citizens Groups

### Key Points

Some jurisdictions establish a local Recovery Task Force to guide the community through recovery. The visual lists potential members of a Recovery Task Force.

In many cases, the Recovery Task Force is led by the emergency manager. If a Recovery Task Force has not been created by a community, the responsibility for managing and coordinating recovery resources and activities is still often accomplished by the emergency manager.

In this capacity, the emergency manager is not directing or controlling the resources of other members of the emergency management team; rather, he/she is coordinating those resources to help ensure their efficient use.

The disaster recovery plan provides guidance for recovery activities conducted by the entire community and helps ensure that the recovery effort is coordinated.



## Visual 21: Damage Assessment

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### Key Points

Damage assessment will occur at different stages of a disaster and may include the following:

#### **Preliminary Damage Assessment (PDA)**

This assessment, conducted jointly by FEMA, the State, and the Local jurisdiction, includes a description of damages according to categories established by the State and/or Local governments. The PDA is used to more specifically gauge the impact of the disaster and to determine whether a request for a presidential disaster declaration will be made. This assessment is conducted during response but may be modified or refined during recovery operations.

#### **Additional Assessments**

Regardless of a presidential disaster declaration, additional assessments and inspections will be conducted as the recovery progresses. Insurance agents, environmental health inspectors, housing inspectors, engineers, and other professionals will conduct a variety of assessments and inspections for various reasons.

If a presidential disaster declaration is made, the additional assessments and inspections will help determine the funding levels of assistance programs and the eligibility for that funding.

Emergency Managers may be involved in many of these assessments and need to be aware of the types and occurrences of other assessments and inspections that occur in their jurisdiction. Community leaders and the general public may want to know the location and purpose of these assessments and inspections.

## Visual 22: Restoration of Services, Facilities, and Infrastructure

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- Electrical power
- Natural gas
- Telecommunications
- Water/sewer
- Solid waste collection and disposal
- Drainage and flood control systems
- Transportation systems
- Community services



### Key Points

The Infrastructure Systems RSF mission includes coordination of restoration of services, facilities, and infrastructure.

**Repair and restoration of utilities** (electrical power, natural gas, telecommunications, water, and sewer) is usually managed or coordinated by a community's Public Works department. In some communities, utilities are all publicly operated, whereas in others they are either quasi-governmental or privately operated. The way in which Public Works plans and interacts with these entities will be key to efficient and rapid recovery.

**Drainage and flood control systems** may be owned and/or operated by special districts. Repair and reconstruction of these facilities will require close cooperation and coordination with local, State, and Federal entities.

**Roads and bridges** have to be inspected for structural integrity and other safety concerns before they can be reopened.

**Recovery of transportation systems and lifelines** is essential to ensure movement and communication to support the recovery process. The restoration of other services and activities in the community depends on transportation and communications.

**Restoration of community services** such as schools, hospitals, daycare centers, gas stations, nursing homes, recreation departments, and libraries is an essential part of helping the community return to a sense of normalcy.

## Visual 23: Building Inspection

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- Inspection
- Reentry and access
- Building permits
- Contractor licensing
- Code adequacies
- Demolition



### Key Points

As previously mentioned, additional assessments and inspections will occur throughout the recovery process. Building inspection is an example of this. A detailed damage assessment provides estimates of actual repairs based upon previous experience, actual estimates from contractors, or other sources.

The control of access is an important consideration for safety of the general public. Basic sanitation and utility services must be present in order to prevent additional health and safety issues. There are also obvious concerns about leaking natural gas or propane lines and tanks, electrical lines partially energized, and hidden areas of damage caused by the incident.

Some damaged housing units may be made habitable if temporary repairs are made, whereas others will require major repairs or reconstruction. Local governments will have to decide whether permits and/or fees will be required for temporary and permanent repairs and construction. It will greatly ease conflict with residents and contractors if they know in advance what actions the community will allow and under what conditions. In some situations, contractor licenses may be reviewed or issued as a condition for operating in the community.

Following a disaster, local authorities may have to review existing building codes to determine their adequacy for future disasters.

Demolition of private and public structures may be required and the debris generated by such activity will have to be managed.

The Building Department is part of the emergency management team and contributes to the community's recovery. Emergency Managers need to be aware of the status of building inspection and issues relating to damaged structures. Additional resources or mutual aid may be required to supplement the resources and staff of the Building Department, especially in instances where damage is widespread and local Building Department staffs are overwhelmed.

## Visual 24: Community Redevelopment

Community redevelopment provides the opportunity to achieve recovery with mitigation and aid for business recovery.



### Key Points

The Community Planning and Capacity Building RSF mission includes coordination of community redevelopment.

Repair and replacement of damaged structures provide tangible evidence that recovery is taking place. The Planning and Community Development Department can compare development plans with hazard mapping, thereby identifying hazard reduction opportunities and requirements. Community Development can also work closely with the business sector to facilitate economic recovery. These actions contribute to the resilience and sustainability of the community.

## Visual 25: Support for Business Recovery

### Businesses:

- Play an important part in recovery.
- Face multiple post-disaster challenges dependence on infrastructure, workforce availability, suppliers, customers, investors.
- Receive assistance from SBA.



### Key Points

The Economic RSF mission includes coordinating support for business recovery.

The unique characteristics of business and industry present both challenges and opportunities for disaster recovery. The business sector is a community stakeholder in recovery because businesses are an integral part of the community. Successful businesses participate in community events and coordinate with other businesses and organizations for the betterment of the community as a whole. Many businesses sponsor or support fundraisers for various purposes or band together in associations to promote various community projects. For example, businesses may form an association to improve a deteriorating business section of the community. Organizations, such as the local Chamber of Commerce, are usually active in supporting recovery goals and programs.

Some of the challenges for the business sector include the following:

- **Dependence on infrastructure.** The business sector depends on the community infrastructure for survival. If roads, bridges, electricity, garbage collection, and other utilities and services are disrupted, businesses suffer. Even if a business is only slightly damaged from an incident, if the infrastructure is not operable, the business cannot function.
- **Dependence on workforce availability.** The business sector depends on its workforce for survival. Like other sectors of the community, businesses can operate with a reduced workforce; however, business vitality will suffer and may eventually have to cease if the workforce cannot return.
- **Dependence on suppliers and customers.** Businesses are dependent on suppliers and customers for their survival. If a business survives a disaster unscathed, yet its suppliers and/or customers are impacted, that business will suffer and may eventually close.
- **Decisions based on the bottom line.** Most businesses have some sort of private ownership. Recovery decision making is usually controlled by the small business owner, group of investors, or board of directors. As a community stakeholder, a business owner or board of directors will probably keep the community's interests in mind. If, however, a business has been severely damaged and has a chance to survive only if it relocates, that may be the final decision regardless of a desire to stay at the pre-disaster site.
- **Needs that outstrip available assistance.** Eligibility for Federal assistance programs differs for businesses. The Small Business Administration (SBA) is the principal provider for Federal assistance to businesses. SBA assistance may be available for small and large incidents, with or without a Presidential disaster declaration. This will benefit many small businesses that rely on such assistance. However, as mentioned previously, even the availability of low interest loans may not be sufficient to keep a business in operation after a disaster.

The main opportunity for the business sector during recovery is its ability to form business alliances and professional organizations that can pool resources and solicit help for recovery both locally and nationally. In recent disasters, the business sector has become increasingly active in recovery operations by:

- Providing resources to assist in recovery for other sectors of the community.
- Forming business alliances and partnerships to assist those parts of the business community affected by the disaster.
- Reaching out to regional and national business organizations to either request help or provide resources to others in need.

## Visual 26: Documentation

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**Documentation of activities and costs is an essential part of disaster recovery.**



### Key Points

The documentation of activities and costs is both a legal and financial concern for communities during disaster recovery.

- Disaster recovery activities should be documented to help protect the community from liability for damages or actions associated with disaster operations.
- Disaster recovery costs should be tracked in order to support requests for reimbursement in the event of State or Federal disaster declarations.
- Communities should develop their own documentation policies, procedures, and systems before disaster strikes, and include them in their training and exercise programs. Documentation is also an important element in a community's pre-disaster recovery plan, which was discussed in Unit 1.

The local emergency management office is an ideal coordination point for documentation and is often chosen for this task. Documentation policies, procedures, and formats may be developed by the administration or legal departments, whereas implementation of the program is usually left to emergency management.

**Note:** Documentation will be covered in more detail in the Emergency Management Collaborative unit.

## Visual 27: Discussion Question

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### **How often do incidents result in a Presidential disaster declaration?**

#### Key Points

- Public Assistance declarations are established by structured processes and thresholds that are well established in the United States.
- Individual Assistance declarations have traditionally been announced based on more subjective criteria. However, under the Sandy Recovery Improvement Act (SRIA) FEMA has been directed to provide more objective criteria in evaluating the need for assistance and to clarify thresholds for eligibility. This will also speed the process of receiving federal assistance under Individual Assistance.



## Visual 28: Recovery Programs

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- Individual Assistance
- Public Assistance

### Key Points

Next, we will review two of FEMA's recovery programs: Individual Assistance and Public Assistance. Another recovery program, Hazard Mitigation, was covered in the Mitigation unit.

## Visual 29: Individual Assistance (IA) Programs

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- Primary Programs
  - Individuals and Households
  - Other Needs Assistance
- Other Programs
  - Crisis Counseling
  - Disaster Case Management
  - SBA & USDA Programs
  - Disaster Unemployment Assistance
  - Veterans Assistance
  - Disaster Legal Services



### Key Points

The purpose of FEMA's Individual Assistance programs is to help individual disaster survivors recover from a declared disaster.

When people lose their homes and possessions because of a disaster, Individual Assistance programs provide the funding and alternatives to help people return to a normal life.

Two primary programs are the Individuals and Households program and Other Needs Assistance. Other programs include:

- Crisis Counseling.
- Disaster Case Management.
- Small Business Administration (SBA) and U.S. Department of Agriculture (USDA) programs. Disaster Unemployment Assistance.
- Veterans Assistance.
- Disaster Legal Services.

**Refer to the job aid at the end of this unit for information about these programs.**

### Key Points

Delivery of assistance to individuals and families follows a sequence:

- Neighbors, volunteers, and **volunteer agencies** provide shelter, food, and necessities to people who are displaced or otherwise in need due to the disaster.
- **Insurance** companies and NFIP pay damage claims to insured survivors. Insurance is an extremely important means of recovery. Survivors will be asked about their insurance coverage when they apply for disaster assistance.

- **FEMA Housing Assistance** under the Individuals and Households Program provides assistance to repair damaged housing and to provide displaced survivors with temporary housing. This assistance is not income dependent and is currently expanding to include more community-based options for temporary housing. Eligibility is based on a FEMA inspection conducted on the damaged property.
- FEMA and the States provide **Other Needs Assistance (ONA)**. This program provides non-income-dependent assistance for disaster-related medical, dental, funeral, child care, and other miscellaneous expenses.
- FEMA screens the applicant’s income to determine if the applicant can qualify for a low-interest **Small Business Administration (SBA)** loan.
- Survivors above a given income level are **referred to SBA** for real property or personal property loans. Survivors below the income threshold may be eligible for grants from the **ONA** programs.
- In some cases, individuals and families have **unmet needs** and need additional help to recover from a disaster. Local governments can help establish an Unmet Needs Committee to address this type of need. The committee is composed of voluntary agencies and service organizations that marshal their combined resources to help survivors.

**Do you know what programs are available through your State?**

	General Program Information
<b>Learn More About Assistance Programs</b>	<p>A lot of additional information is available about assistance programs. Three things you can do to learn more are:</p> <p>Visit the FEMA website to see <a href="https://www.fema.gov/grants-assistance-programs-individuals">Grants and Assistance Programs for Individuals</a> (https://www.fema.gov/grants-assistance-programs-individuals)..</p> <ol style="list-style-type: none"> <li>11. Take additional training.</li> <li>12. Talk to program experts.</li> </ol>

	General Program Information	
<b>The Helpline</b>	<p>The Helpline is a toll-free number set up for individuals who have already applied for disaster assistance to call when they need additional help or have questions. The Helpline is an effective way to find out about:</p> <ul style="list-style-type: none"> <li>• The status of an application.                     <ul style="list-style-type: none"> <li>• Additional services.</li> </ul> </li> <li>• Where to go for specific services.</li> </ul> <p style="text-align: center;"><u><a href="#">Helpline</a></u></p>	

General Program Information	
	<p>1-800-621-3362 TTY 1-800-462-7585</p>

General Program Information	
<b>The Registration Process</b>	<p>The National Processing Service Center (NPSC) is a permanent FEMA facility that houses the National Teleregistration Center, a nationwide toll-free telephone bank. When an application for disaster assistance is taken over the telephone, it is processed into the computer system.</p>
	<p>If people ask you how or where to apply, encourage them to call the toll-free application number.</p> <p style="text-align: center;">Teleregistration 1-800-621-3362 TTY 1-800-462-7585</p>
	<p>The NPSC is able to take calls from anywhere in the continental United States during operating hours (disaster specific). Temporary centers may be set up to help with taking and processing the overflow of applications. Operators are available at certain times to translate various languages.</p>

General Program Information	
<b>What To Do If People Ask About the Programs</b>	<p>Never give advice about an individual’s eligibility. This may raise false expectations and add to their suffering, confusion, or disappointment.</p> <p>If people ask you about the disaster assistance programs and whether they may be eligible, it is important to encourage them to apply for assistance. Remind individuals about the teleregistration number: 1-800-621-3362 (FEMA). Assistance programs and the eligibility needs are complex, so it is important for everyone to complete an application. Completing an application is the only way to make sure individuals get all the assistance they are entitled to receive.</p>
<b>Disaster Assistance</b>	<p>Following a Presidential declaration of a disaster, FEMA initiates a</p>

General Program Information	
<b>Information</b>	coordinated effort to publicize information on how to apply for disaster assistance. It includes Public Service Announcements, community workers, media announcements, and many other methods and procedures.

Stafford Act Program Summaries	
<b>Hazard Mitigation</b>	<p>Mitigation is any action of a long-term, permanent nature that reduces the actual or potential risk of loss of life or property from a hazardous event.</p> <p>Mitigation means providing individuals and communities with resources and technical assistance to rebuild in ways that will reduce the possibility of future losses. Mitigation may involve simple measures such as strapping a water heater to a wall to prevent earthquake damage and elevating heating and air conditioning units to avoid flood damage. Mitigation can also include more complex efforts such as reengineering bridges or relocating communities.</p> <p>Mitigation requires that individuals look at the future, not at just short-term rebuilding efforts.</p>

Stafford Act Program Summaries	
<b>Public Assistance</b>	<p>The Public Assistance program provides assistance to municipalities and certain private nonprofit groups for:</p> <ul style="list-style-type: none"> <li>• Removal of debris.</li> <li>• Repairs to public buildings, roads, bridges, and other infrastructure.</li> <li>• Certain emergency protective measures.</li> </ul> <p>FEMA can task (“mission assign”) another Federal agency to help in the provision of public assistance support or reimburse local governments for completing the needed work.</p>

## Recovery Programs

		Stafford Act Program Summaries
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<b>Individual Assistance</b>		The Individual Assistance program serves families and businesses that have been affected by disasters. Some of these services include:
	<b>Emergency Needs</b>	Voluntary agencies attend to essential needs that must be met immediately. Emergency needs include food, shelter, transportation, and medical care.
	<b>Individuals and Households Program (IHP)</b>	
	<b>Temporary Housing Assistance</b>	If qualifications are met, FEMA provides temporary Housing Assistance (HA): Financial (rental assistance or short-term lodging expenses) or direct assistance (manufactured housing or recreational vehicle) with temporary housing needs.
	<b>Repairs</b>	Funding to make home repairs, to return homes to a safe and sanitary living or functioning condition. Additional repair assistance may be provided by the Small Business Administration disaster loan program.
	<b>Replacement</b>	Assistance to purchase a replacement home.
	<b>Permanent Housing Construction</b>	Assistance to construct a permanent home in island areas, or other remote locations outside the Continental United States when other housing forms are unavailable or infeasible. Note: Permanent Housing Construction is rarely implemented.
	<b>Other Needs Assistance (ONA)</b>	Other Needs Assistance may be provided to help with related medical, dental, funeral, child care, and other expenses. This type of assistance is not income dependent. ONA also can provide assistance for personal property such as furniture, appliances, transportation, clothing, and moving/storage.
	<b>Small Business Administration (SBA)</b>	

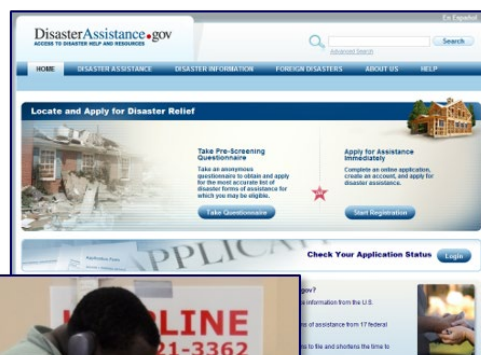
	<b>SBA Loans</b>	SBA provides Home and Personal Property Disaster Loans: Low-interest loans for restoring or replacing uninsured or underinsured disaster-damaged real estate and personal property. These loans are limited to the amount of uninsured SBA-verified losses.
	<b>Business Physical Loss Disaster Loans</b>	Low-interest loans to businesses for repair and replacement of destroyed or damaged facilities, inventory, machinery, or equipment.
	<b>Economic Injury Disaster Loans</b>	Loans for working capital to small businesses that cannot pay bills or meet expenses as a result of the disaster.  There is money available for mitigation.
	<b>Consumer Services</b>	The State Attorney General's Office provides counseling on consumer problems including product shortages, price gouging, and disreputable business practices.
	<b>Disaster Unemployment Assistance (DUA)</b>	Eligibility: Those not qualified for regular unemployment insurance (self-employed). Unemployment benefits at the State's rate from date of incident up to 26 weeks after the incident.
	<b>Crisis Counseling</b>	Assistance for short-term counseling, public education. FEMA funds Health and Human Services (HHS) Center for Mental Health Services; grants in turn to State Mental Health Departments and local providers.
	<b>Disaster Legal Services (DLS)</b>	Provided through the Young Lawyers Division of the American Bar Association, DLA provides assistance for disaster-related legal needs such as assistance with insurance claims, will replacement, landlord disputes, etc.
	<b>Disaster Case Management (DCM)</b>	FEMA provides grants to States to implement DCM. A disaster case manager assists households in assessing their disaster-caused unmet needs and helps them develop a goal-oriented recovery plan.

	<b>Emergency Farm Assistance</b>	The Department of Agriculture (USDA) provides emergency farm loans through the Farm Service Agency (FSA). This program provides assistance to family farmers who suffer disaster-related damage or a loss related to their farming operations. The loans are intended to return the farm operation to a productive basis as soon as possible.
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## Visual 30: Applying for Assistance

- **Online Assistance:**  
www.disasterassistance.gov
- **Teleregistration:**
  - Applicants call to register for assistance.
  - People with speech or hearing disabilities can call a TTY number.
  - An operator obtains information from the individual.



### Key Points

Individuals can apply for assistance online or by telephone.

#### Applying Online

[DisasterAssistance.gov](http://DisasterAssistance.gov) is an easy-to-use Website that consolidates disaster information in one place. Currently, 17 U.S. Government agencies, which sponsor more than 50 forms of disaster assistance, contribute to the Website.

DisasterAssistance.gov is the result of Executive Order 13411, which requires the Government to simplify the process of identifying and applying for disaster assistance.

**What's available:** Using DisasterAssistance.gov, individuals can:

- Apply for many forms of assistance with a single, online application. It is also possible to register via a mobile telephone application.
- Learn about potential assistance.
- Check the progress of their application online.

**Required information:** When applying for assistance, applicants must provide the following information:

- Social Security number.
- Pre-disaster address.

- Current contact information (mailing address and telephone number(s) where the applicant can be reached).
- Insurance information.
- Total household annual income.
- A description of the losses that were caused by the disaster.

After completing an application for assistance, the individual will receive a FEMA application number.

### **Teleregistration**

After a disaster, people are encouraged to call the toll-free application number or apply online. Disaster Recovery Centers (DRCs) in affected areas provide information and assist applicants with teleregistration. A TTY number is available for people with speech or hearing disabilities. Operators are available at certain times to translate various languages.

When an application for disaster assistance is taken over the telephone, it is processed into the computer system. The National Processing Service Center is able to take calls from anywhere in the continental United States within disaster-specific operating hours. Temporary centers may be set up to help with taking and processing the overflow of applications.

## Visual 31: FEMA Activity in the Field



FEMA facilities and staff you may encounter in the field include:

- Joint Field Office (JFO).
- Disaster Recovery Centers (DRCs).
- Intergovernmental Affairs/ Liaison.
- Inspectors.
- Disaster Survivor Assistance (DSA).

### Key Points

FEMA facilities and staff you may encounter in the field include the following:

- **Joint Field Office (JFO)**—Location from which FEMA, other Federal agencies, and the State conduct response and recovery operations. The Federal Coordinating Officer (FCO), State Coordinating Officer (SCO), and others are part of the Unified Coordination Group that provides leadership at the JFO.
- **DRC**—A facility established in the disaster area to provide survivors with information about their application for IA. Survivors may also be able to acquire information on other Federal, State, and Local recovery programs. The locations of DRCs are identified by Local governments in coordination with the State and FEMA.
- **Intergovernmental Affairs/Liaison**—FEMA staff assigned to work with Local government officials and Tribal leaders and assist them with questions about disaster assistance programs and procedures.
- **Inspectors**—FEMA teams or contractors will be in the field to inspect damaged facilities and housing and other facilities that may be receiving disaster assistance for repair or reconstruction. Multiple visits may be needed in order to establish the recovery assistance that will be received and the status of repairs or reconstruction during the recovery process.
- **Disaster Survivor Assistance (DSA)**—DSA, previously known as Community Relations, contains FEMA teams assigned to provide the general public with information on disaster recovery programs and procedures for applying. In some cases, State teams may accompany the FEMA teams in the field.

## Visual 32: Things To Remember: IA

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- Pre-identify where you might establish DRCs.
- Once the disaster is declared, encourage your citizens to register and visit a DRC.
- Trust that the Federal delivery of disaster services is proven and effective.
- Be prepared to help provide staff to assist State and FEMA teams at various points along the process.



### Key Points

As a partner in disaster recovery, local government can help survivors and assist other partners in providing assistance to survivors by:

- Pre-identifying where you might establish DRCs.
- Once the disaster is declared, encourage your citizens to register and visit a DRC.
- Trust that the Federal delivery of disaster services is proven and effective.
- Being prepared to help provide staff to assist State and FEMA teams at various points along the process.
- Active involvement of emergency management personnel to enhance the delivery of Individual Assistance programs.

## Visual 33: Recovery Programs

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- Individual Assistance
- Public Assistance

### Key Points

The next section of this unit will discuss the Public Assistance (PA) program.

Remember:

- Individual Assistance (IA) helps persons recover.
- Public Assistance (PA) helps communities recover.
- Emergency management has an important role to play in delivery of these programs.

**Refer to the job aid at the end of this unit for additional information about disaster assistance programs.**

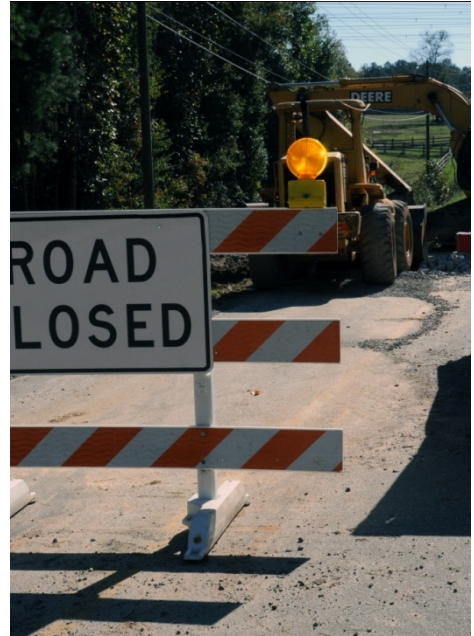
## Visual 34: Public Assistance (PA) Program

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Purpose: To help State, tribal, and local governments and certain private nonprofit (PNP) organizations recover from a declared disaster.

Includes assistance for:

- Debris removal.
- Certain emergency protective measures.
- Permanent restoration of infrastructure.



## Visual 35: General Program Eligibility

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- Applicant
- Facility
- Work
- Cost

### Key Points

Four criteria are involved in general PA program eligibility: applicant, facility, work, and cost. In this section we will review how these factors might impact emergency management.

The process and procedure for making eligibility determinations under the PA program are beyond the scope of this training.

However, it is important to note that State and FEMA PA program personnel will be involved in administering the PA program in disasters. Eligibility determinations will be made by the appropriate parties in these disasters.

### Key Points

The following entities are examples of eligible Applicants:

- State and local governments/agencies:
  - Counties
  - Cities, towns, villages, townships
  - Districts and regional authorities
  - State departments (e.g., transportation)
- Indian tribes, tribal organizations, Alaska Native villages or organizations
- Certain private nonprofit entities, which may include:
  - Medical.
  - Custodial care.
  - Fire/emergency.
  - Utilities.
  - Certain irrigation facilities.
  - Other essential government services.

Emergency management may be a program, department, or office in these entities.

### Key Points

The Applicant must appoint a representative, called the Applicant's Agent, to serve as a point of contact for State and FEMA PA personnel. In performing his/her duties, the Applicant's Agent must:

- Attend the Applicants Briefing conducted by the State.
- Submit a *Request for PA*.
- Prepare a list of damages.
- Identify projects in coordination with the State and FEMA.
- Coordinate all other PA activities with State and FEMA PA personnel.
- Document all work and costs.

Remember: An emergency manager may be appointed to serve as the Applicant's Agent for his/her jurisdiction but should in any case be aware of the status and progress of PA activities.

## Key Points

To be eligible, a facility must:

- Be the legal responsibility of an eligible Applicant.
- Have been in active use at the time of the disaster.
- Be damaged as a result of the declared disaster.
- Be located in the designated disaster area.

## Key Points

There are two categories of work:

- **Emergency work:** Must be performed to reduce or eliminate an immediate threat to life, protect public health and safety, or protect improved property that is threatened in a significant way as a result of a disaster.
- **Permanent work:** Required to restore a damaged facility, through repair or restoration, to its pre-disaster design, function, and capacity in accordance with applicable codes or standards.

## Key Points

There are several categories of emergency work.

**Debris Removal (Category A)** must be necessary to:

- Eliminate threat to lives, public health, and safety.
- Eliminate threat to improved property.
- Ensure economic recovery of a community.
- Mitigate risk by removing substantially damaged structures.

Not all debris is necessarily eligible. Eligible debris may include:

- Trees and woody debris.
- Building components or contents.
- Sand, mud, silt, or gravel.



SRIA made substantial changes to the [debris management programs under PA](https://www.fema.gov/media-library-data/cdb664c08781a038ee3f877f0b99b212/PA_Alternative_Procedures.pdf) ([https://www.fema.gov/media-library-data/cdb664c08781a038ee3f877f0b99b212/PA\\_Alternative\\_Procedures.pdf](https://www.fema.gov/media-library-data/cdb664c08781a038ee3f877f0b99b212/PA_Alternative_Procedures.pdf)).

With a FEMA approved pre-disaster Debris Management plan applicants may qualify for:

- More advantageous cost-share incentives
- Incentives based on speedier debris removal (ex. sliding scale reimbursement)
- Reimbursement for Force Account labor for execution of debris removal

**Examples of Eligible Emergency Protective Measures (Category B) include:**

- Warning of risks and hazards.
- Search and rescue.
- Security forces (police and guards) in the disaster area.
- Construction of temporary levees.
- Provision of shelters and emergency mass care.
- Provision of emergency medical care.
- Sandbagging.
- Bracing/shoring damaged structures.
- Provision of food, water, ice, and other essential needs at distribution points for use by the local population.
- Emergency repairs.
- Emergency demolition.
- Removal of health and safety hazards.
- Cost-effective measures by a State, tribal, or local government to prevent damage to a public or private facility, or by an eligible PNP organization to prevent damage to eligible facilities for which it is responsible.

## Key Points

Debris Management Plan: Concepts

- Established debris management structure
- Good assessment of the situation and assumptions
- Well-defined debris collection plan
- Identification of debris management sites
- Procedures for contracted services
- Process for demolition and debris removal from private property
- Process for disseminating information
- Safety

Debris is the single largest cost associated with most disasters. The development of a debris management plan is an important preparedness activity for any community.

The components of a comprehensive debris management are listed on the visual.

References for debris management are included in your Action Planning Booklet.

## Key Points

To be eligible for reimbursement, costs must:

- Be reasonable and necessary to accomplish eligible work.
- Comply with Federal, State, and local laws and regulations.
- Include deductions of insurance proceeds, salvage value, and purchase discounts.

## Visual 36: Special Considerations

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Issues other than program eligibility that affect the scope of work and funding for a project:



- Insurance
- Hazard mitigation
- Environmental compliance
- Floodplain management
- Historic preservation
- Pre-disaster FEMA- approved plan (e.g., debris management)

## Visual 37: Things To Remember: Public Assistance

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- You are not expected to be an expert but know who the experts are.
- Emergency manager may be appointed as an Applicant's Agent.
- If you are not the Applicant's Agent, get acquainted with him/her and with FEMA and State PA contacts.
- Pre-disaster planning can assist you in expedited funding, recovery, and repair following a disaster.

### Key Points

An emergency manager is not expected to become expert in the PA program and policies; however, it is important to be aware of the PA program and how it may involve local/tribal organizations.

The emergency manager may be appointed as an Applicant's Agent. If this occurs, familiarize yourself with the role and responsibilities associated with this assignment.

Even if you are not the Applicant's Agent, get acquainted with that person and with FEMA and State PA contacts. You may need to facilitate the identification of the agent and maintain contact with all parties.

Pre-disaster planning can assist you in expedited funding, repair, and recovery following a disaster.

Additional references on the Public Assistance program are included in your Action Planning Booklet.

## Visual 38: Discussion Questions

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**What capabilities can FEMA and other Federal agencies provide for recovery?**

**What Local emergency management capabilities could be provided for recovery?**

### Key Points

**Purpose:** This activity will provide an opportunity to describe and apply recovery operations coordination examples in an exercise context.

**Instructions:**

1. Review the scenario.
2. Answer the discussion questions.

### Scenario: Tornado Outbreak Update

In late spring, multiple supercell thunderstorms produced many large and damaging tornadoes in a Midwestern state during the late afternoon and evening hours.

The State requested a Presidential disaster declaration. Based on additional damage information, the declaration was made 3 days later. The following updated information was provided:

- The tornadoes resulted in 14 fatalities and 575 injuries in the small rural counties and one tribal community in the path of destruction.
- Homes destroyed: 289 (in many cases, only the foundation remained), including 55 in the tribal community.
- Homes damaged: 527, including 180 in the tribal community. Approximately half of the homes needed temporary repairs in order to be habitable.
- Businesses destroyed: 48, including 6 in the tribal community.
- Businesses damaged: 142, including 13 in the tribal community.
- Schools damaged: 2 (1 with major damage).
- Public buildings damaged: 14, including 2 fire stations, 1 of which was in the tribal community.
- Debris: Scattered throughout the area; quantities have not been established.



What capabilities can FEMA and other Federal agencies provide for the recovery?

Discussion  
Question



What local emergency management capabilities could be provided for the recovery?

Discussion  
Question

## Visual 39: Survivors

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Review the survivor stories.

**How do their situations differ?**

**What do they have in common?**



### Survivor Stories

#### Survivor Stories



#### Grace

In the fire that engulfed her community, everything Grace owned—home, furniture, belongings, clothing, pictures, memorabilia, legal records—was reduced to ashes. The sense of loss is overwhelming, and she doesn't know where she will live or what to do next.



Sylvia

Ever since the earthquake, Sylvia has been working with search teams, trying to locate trapped victims. She has been at it for days on end and is exhausted. She's had emotional highs and lows, but now a feeling of despair has taken hold.

## Whole Community Partnership



Paul

It's been months since the tornado hit. Paul was “lucky”—his house was spared. But the event was so frightening that he's still having nightmares and problems concentrating.

Every day he looks out at the wreckage of his neighbors' homes, and he feels a deep sense of guilt.



## Visual 40: Emotional Impact of Disasters

Disasters are traumatic events that take a huge toll on the whole community, including:

- Disaster survivors.
- Response personnel.
- Volunteers.
- Anyone in the community whose life or loved ones are touched by the event.



### Key Points

Disasters are traumatic events that take a huge toll on the entire community. Disasters can shatter people's sense of security and make them feel helpless and vulnerable. No one is immune to the impact of such events.

Everyone-whether directly or indirectly impacted-feels the impact of disasters, including:

- Disaster survivors.
- Response personnel.
- Volunteers.
- Anyone in the community whose life or loved ones are touched by the event.

## Visual 41: Trauma Symptoms

- Emotional.
- Cognitive.
- Physical.
- Social.

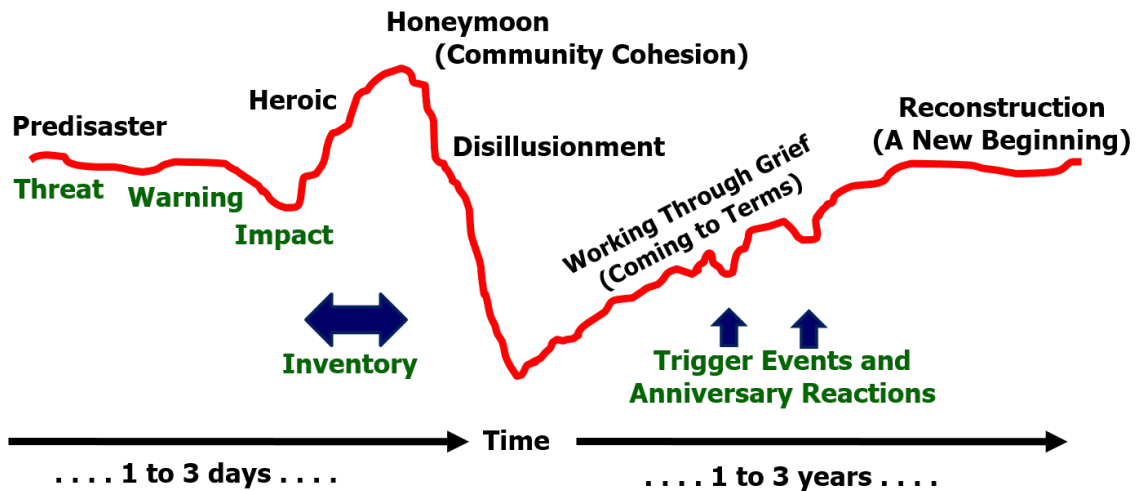


### Key Points

Each person experiences trauma in his or her own way, and the symptoms of emotional trauma vary widely. Symptoms may be emotional, cognitive, physical, and social. Examples of symptoms are shown in the following table. While some symptoms become apparent quickly and are readily detectable, others may surface gradually over time and may persist.

Types of Symptoms	Examples
<b>Emotional</b>	Shock, denial, anger, disbelief, helplessness, fear, hopelessness, sadness, shame, guilt, confusion, terror, depression, frustration, humiliation, grief, sorrow, moodiness, suicidal thoughts.
<b>Cognitive</b>	Confusion, worry, short attention span, self-blame, nightmares, hyper-vigilance, paranoia, phobic reaction, flashbacks, anxiety.
<b>Physical</b>	Edginess, fatigue, body aches, decreased energy, difficulty sleeping, eating disturbance, muscle tremors or "tics," startle responses, profuse sweating, heart palpitations, nausea, diarrhea.
<b>Social</b>	Withdrawal, isolation, antisocial behavior, irresponsibility, delinquency or absenteeism, substance abuse, strained interpersonal relations.

## Visual 42: Phases of Emotional Response



### Key Points

Emotional response during and after a disaster goes through several phases. The graphic on the visual shows one conceptualization of these phases, including:

- **Heroic:** From impact or preimpact to about 1 week after the disaster. All emotions are strong and direct at this time. Individuals are likely to use their energy for survival, rescuing others, promoting safety, and protecting property.
- **Honeymoon:** From 1 week to 2 or 3 months after the disaster. There is a strong sense of having shared a catastrophe and survived. People expect extensive assistance from government agencies. Buoyed by the expectations of help, they clear debris and remove wreckage.
- **Disillusionment:** From 2 months to 1 or 2 years after the event. Emotions include a sense of anger and disappointment, as well as resentment and bitterness, if there are delays in assistance or unfulfilled expectations of aid. Individuals concentrate on rebuilding their own lives and solving their own problems. The feeling of strong community is lost.
- **Reconstruction:** For several years after the disaster. People realize they must solve any problems in rebuilding their lives. Visible progress reaffirms belief in self and community. If recovery efforts are delayed, serious and intense emotional problems may result.

Source: Zunin, L.M., and Myers, D. (2000). *Training manual for human service workers in major disasters* (2nd ed., DHHS Publication No. ADM 90-538). Washington, DC: U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Center for Mental Health Services.

## Visual 43: Emotional Recovery

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- A community's recovery process is not just material rebuilding and economic recovery.
- Recovery involves rebuilding emotional resilience and the individual and collective spirit of the community.
- Emergency management can take steps that help facilitate the emotional healing process.



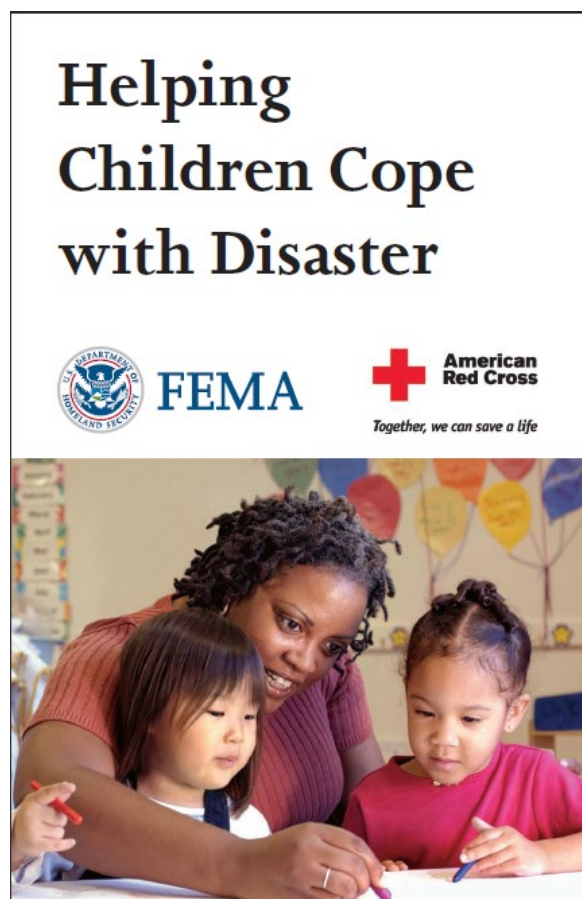
### Key Points

When we think about disaster recovery, we tend to think of rebuilding homes and businesses, repairing infrastructure, enforcing building codes, paying for new construction, and rebuilding the tax base.

However, communities are made up of people, and a community's recovery process is not just material rebuilding and economic recovery. Recovery involves rebuilding emotional resilience and the individual and collective spirit of the community.

Emergency management can take steps that help facilitate the emotional healing process. Some of these steps are described on the following visuals.

## Visual 44: Pre-disaster Actions



Work with NGOs and local organizations to:

- Educate about the emotional impact of disasters and emotional healing.
- Ensure that the community understands what kinds of emotional response are "normal" in the wake of a disaster.
- Promote psychological resilience through healthy lifestyles, stress reduction, and preparedness.

### Key Points

Preparedness activities can be designed to strengthen community resiliency and make people better able to cope if a disaster does occur. Activities can be deliberately interwoven into all aspects of emergency preparedness training and educational programs.

Pre-disaster actions apply to the whole community: the general public, disaster professionals, and trained volunteers. The pre-disaster time period is a good time for emergency management to work with NGOs and local groups to ensure that an educational program is in place to:

- Educate the community about the emotional impact of disasters and emotional healing.
- Make sure that people understand what kinds of emotional response are "normal" in the wake of a disaster so they can recognize if their symptoms are "crossing the line" into something more serious.
- Promote psychological resilience through healthy lifestyles such as exercise, hydration, talking with coworkers, and meditation-all of which can reduce stress.

## Visual 45: Disaster and Post-disaster Actions

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- Rotate response personnel and enforce rest schedules.
- Ensure that qualified personnel are in place to:
  - Provide "psychological first aid" to trauma survivors and workers.
  - Normalize post-disaster emotions.
  - Affirm the strength and resilience of the human psyche.
- Attend to your own emotional health.



### Key Points

When disaster strikes, and in the immediate aftermath, take steps to prevent emotional trauma and to handle it when it occurs. For example:

- Take preventive measures with response personnel, such as rotating personnel and enforcing rest schedules.
- Provide qualified personnel (e.g., Crisis Management Teams, NGOs) to provide "psychological first aid" to trauma survivors and workers. This may include:
  - Listening to concerns, conveying compassion, assessing needs, ensuring that basic physical needs are met, and protecting the individual from further harm. The key is listening; those who do not wish to talk should not be compelled to talk.
  - Normalizing post-disaster emotions, and conveying what recovery looks like. People need to understand that troubling emotions may be quite normal for the situation. They also need to recognize signs of unhealthy responses in themselves and others.
  - Affirming the strength and resilience of the human psyche. Hope is a great healer.
- Attend to your own emotional health. Get rest, eat properly, and seek out an empathetic ear when needed. Be attuned to signs of stress in yourself.

## Visual 46: Disaster and Post-disaster Actions (Continued)

- Discuss healthy and unhealthy approaches to stress reduction.
- Encourage emotional healing by taking charge of physical recovery, planning for personal safety, staying informed, and using a support network.
- Clarify where to get help with physical, financial, and emotional recovery.



### Key Points

- Encourage individual stress reduction. Discuss healthy and unhealthy approaches to reducing stress.
- Encourage people to engage in their own emotional healing by taking charge of physical recovery, planning for personal safety, staying informed, and using a support network.
- Provide information about where to get help with physical, financial, and emotional recovery. Getting control of one's physical and financial situation goes a long way toward reducing anxiety. Inform people where they can obtain emotional help if their emotional symptoms persist.

## Visual 47: Anniversaries

- Prepare the community for resurfacing of traumatic emotions.
- Prepare switchboard and intake workers for an increase in disaster-related calls.
- Assist community groups in planning appropriate commemorative programs or activities.



### Key Points

Disaster anniversaries can be a two-edged sword. For some people, they evoke memories of the event, a heightened sense of anxiety, and reawakening of feelings associated with the event. On the other hand, anniversaries can also provide an opportunity for emotional healing.

It is beneficial to prepare people for what they may experience emotionally as the anniversary approaches. Many communities also use the anniversary as an opportunity to promote emotional healing through commemorative events and activities. Examples include:

- Preparing the community for resurfacing of traumatic emotions:
  - Let people know that anniversaries often trigger the return of traumatic emotions so they are not caught unaware.
  - Develop and distribute fliers and brochures about normal anniversary reactions and ways to cope.
  - Provide materials, consultation, and/or training to organizations providing services to disaster survivors, such as schools, faith-based organizations, medical clinics, and senior centers.
  - Encourage crisis counselors and support group leaders to be proactive in providing guidance and appropriate anniversary-related interventions with clients.
- Working with the appropriate organizations to ensure that switchboard and intake workers are ready for an increase in disaster-related calls in the weeks preceding and immediately following the anniversary.
- Assisting community groups in planning appropriate commemorative programs or activities.



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## Visual 48: Video: Oakville, Iowa's Recovery

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### Key Points

This activity provides an opportunity to brainstorm actions that could contribute to a community's emotional recovery.

### Video Transcript: Oakville, Iowa's Recovery

**Benita Grooms, Mayor of Oakville:** The levee actually had topped where they had sandbagged and it had started to move the bags and therefore it washed it on away, and then it broke. I was at city hall and the fire chief came by on a four-wheeler and yelled, "Get out, get out, everyone out," and I said, "Oh, is it breaking?" and he said, "Get out now!" And it came in fast then. We had actually about an hour and a half to two hours since, you know, from the time that we were first notified to get out, until the water actually came in town.

We had really a deep division among people who wanted the FEMA buyout. They thought they would have money in hand and be gone and start life someplace else. And then we had the deep commitment of the ones who wanted to stay. And so that got to be quite a divisive fight between us. The long-term recovery team came in and they did not choose sides. I tried to get them to, but they wouldn't, tried to get them to choose sides and my side, of course. They wouldn't do that, but what they did they brought the two sides together.

We started working together and the whole thing was, What about Oakville? What do we do with Oakville? We chose a core area of the town that had to be brought back up in housing and have the majority of the houses in it to sustain the community. It's only been through the volunteers and the effort that the volunteers are putting into the town that we are able to go in and say now this house is structurally sound and they are going in and doing insulation; top of the line wiring. Everything has to be up to code. It gives it more of a positive picture you see that instead of the ones that are still torn apart or going to be demolished. Instead of seeing those you see the possibility of new housing that is being developed with the old houses.

I think this town will be around. Yeah. It's going to be tough for about three years, like I say. We take, uh, next year we will have a very, very low tax rating, and then it will pick up again. Because of the housing being rehabbed it would pick up that gap. Hopefully, yeah, we're going to hang on.

## Visual 49: Activity 11.1: Community Healing

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### Instructions:

- Imagine that it has been close to a year since the disaster in Oakville.
- In your table group, brainstorm ways emergency management could promote continued emotional healing in the community.

### Key Points

#### **Instructions:** In your table group:

1. Imagine that it has been close to a year since the disaster in Oakville.
2. In your table group, brainstorm ways emergency management could promote continued emotional healing in the community.

## Visual 50: Activity 11.2: Recovery Policies, Plans, and Procedures (Pre-Work)

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### Instructions:

1. Answer the questions in the pre-work

## Visual 51: Unit Summary

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- Recovery may take a long time: start as soon as possible.
- The whole community has important roles, responsibilities, and contributions in disaster recovery.
- A disaster recovery plan will help guide the community through the recovery process.
- Community leaders have a critical role in a community's recovery.
- Partners in the community have capabilities that can be applied in recovery operations.
- The Recovery Support Function structure provides coordination for recovery operations.
- Emergency management has a key role in coordinating resources and activities during recovery operations.
- Documentation of disaster activities and costs is a legal and financial responsibility of local government.
- FEMA's recovery programs are Individual Assistance and Public Assistance.
- Emergency management can have a vital role in delivery of these programs by being aware of:
  - The general guidelines and procedures of these programs.
  - Local activities involving these programs.
  - State and FEMA points of contact.
- Disasters are traumatic events that take a huge toll on the whole community.
- A community's recovery process involves rebuilding emotional resilience and the individual and collective spirit of the community.
- Emergency management can take steps that help facilitate the emotional healing process.

## Visual 52: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 12: Emergency Management Collaborative

## Visual 1: Emergency Management Collaborative

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Unit 12:  
Emergency Management Collaborative

### Key Points

This unit provides an overview to several important areas of emergency management that are important to the overall function of emergency management.

## Key Points

This unit will help you avoid the kinds of consequences just discussed. The unit is divided into the following sections:

Unit	Time
<p>Staffing/Budgeting</p> <ul style="list-style-type: none"> <li>• Activity 12.1: Emergency Management Administrative Duties (IAW)</li> <li>• Activity 12.2: Options and Incentives</li> </ul> <p>Communications</p> <ul style="list-style-type: none"> <li>• Video: When You Can't Communicate</li> </ul> <p>Technology in Emergency Management</p> <ul style="list-style-type: none"> <li>• Activity 12.3: Technology in Emergency Management (Pre-Work)</li> <li>• Activity 12.4: Best Practices</li> </ul> <p>Future of Emergency Management</p> <ul style="list-style-type: none"> <li>• Activity 12.5: Creating a Vision</li> <li>• Activity 12.6: Administration Policies, Plans, and Procedures (Pre-Work)</li> </ul>	<p>45 minutes</p> <ul style="list-style-type: none"> <li>• 15 minutes</li> <li>• 20 minutes</li> </ul> <p>45 minute</p> <ul style="list-style-type: none"> <li>• 5 minutes 20 seconds</li> </ul> <p>45 minutes</p> <ul style="list-style-type: none"> <li>• 5 minutes</li> <li>• 20 minutes</li> </ul> <p>45 minutes</p> <ul style="list-style-type: none"> <li>• 20 minutes</li> <li>• 5 minutes</li> </ul>
<b>Total Unit Time:</b>	<b>3 hours</b>



## Visual 2: Terminal Learning Objective

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To describe administration in emergency management, including:

- Staffing.
- Budgeting and accounting for resources.
- Communications technologies
- Discuss the emergency management profession and its future.
- Technologies for warning and notification
- Information exchange technologies, including:
  - Internet
  - Social media



Review the unit objectives.

### Key Points

The goal of this unit is to enable you to describe administration in emergency management, including staffing, budgeting and accounting for resources, and information management.

The objectives for this unit are listed below.

- Describe staffing options for routine and emergency operations.
- Identify ways to provide support to emergency management staff.
- Identify items typically included in an emergency management budget.
- Describe the importance of documentation in emergency management.
- Identify strategies for accounting for and documenting disaster-related project costs.
- Explain the relationship between communications and emergency management.
- Explain how technology contributes to emergency management communications.
- Describe the importance of thinking strategically about the future of emergency management.
- Identify the drivers of change.
- Develop a future vision.
- Identify the resources for monitoring trends including: data, stakeholders, media/popular culture, professional organizations, and academic institutions.
- Determine the indicators used to monitor trends in your jurisdiction.

## Visual 3: Discussion Question

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### **What are some negative consequences of ignoring the administrative duties of your job?**

When considering the staffing function, the starting point for the Emergency Manager is to ask several questions:

- What are the program goals of my organization?
- What are the short- and long-term goals and priorities?
- How can I help achieve these goals and priorities?

Answers to these questions will help the Emergency Manager formulate the ideal staffing pattern, identify staffing gaps, and develop options for achieving the desired staffing level

## Visual 4: Your Organization

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What is the staffing composition in your emergency management organization?

### Key Points

For example, how many full-time staff do you have? How many part-time staff are in your organization?

## Visual 5: Staffing Options

Staffing requirements and resources vary from one community to the next. Options include:

- Full-time
- Part-time
- Volunteer
- Combination



### Key Points

A large city or county might have a full-time Emergency Manager with a paid support staff. There also may be a full-time fire and police department. A small community might have only a volunteer fire department with two or three pieces of apparatus. The Emergency Manager may also be a volunteer or perhaps a part-time employee.

You may be in one of these two categories or somewhere in between. Perhaps you are a shared employee, spending part of your time as the Emergency Manager and another part as a member of some other public office, such as fire, public safety, planning, or public works.

Typically, Local Emergency Managers have few—if any—staff resources. However, they integrate and coordinate the activities of a lot of other people and organizations in the community.

Job sharing may also provide opportunities to meet staffing requirements. For example, the Emergency Management Department might be able to share a full-time or part-time position with another department, thus benefitting both.

## Visual 6: Emergency Manager

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- The Emergency Manager's responsibilities may include the following administrative functions:
  - Staffing
  - Budgeting
  - Information management



### Key Points

The administrative functions of daily operations affect the community's ability to respond effectively during emergencies. The Emergency Manager has many responsibilities within the area of staffing, budgeting, and information management.

## Visual 7: Activity 12.1: Emergency Manager Administrative Duties

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Instructions: Working in your groups . . .

1. Complete the self-assessment in the IAW by identifying which administrative duties you typically perform in your role as the Emergency Manager
2. Add any additional administrative duties not on the list
3. Be ready to discuss your answers in 10 minutes

### Key Points

**Purpose:** The purpose of this activity is to have each person identify administrative duties they perform in their job.

**Instructions:**

1. Complete the self-assessment\* in the IAW by identifying which administrative duties you typically perform in your role as the Emergency Manager.
2. Add any additional administrative duties not on the list.
3. Debrief by sharing some of the administrative duties you added or discussing some of the other duties you checked in 10 minutes.

\*The summary of administrative duties of a Local Emergency Manager in the self-assessment is based on the Alabama Emergency Manager's Reference Guidebook (November 2010) developed by the Alabama Emergency Management Agency.

## Visual 8: Administrative Staff

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Regardless of the size of your staff, you probably need some type of administrative staff support on a regular basis.



### Key Points

If you are a full-time or part-time Emergency Manager, or the head of another type of emergency management organization, it is important to have some type of administrative staff support on a regular basis.

The administrative staff can help with daily communications, reports, and routine office operations. With training and oversight provided, they may also be able to help with emergency operations such as documentation and assistance with meeting setup.

## Visual 9: Program Staff

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Your staff may include people assigned to specific programs.

Do you have staff dedicated to specific programs in your organization?



### Key Points

Your staff may include positions that are dedicated to specific programs funded by State or Federal grants such as:

- Hazardous materials programs.
- Environmental protection programs.
- Disaster Assistance programs (e.g., Public Assistance and Hazard Mitigation).
- Other State-funded or federally funded programs.

Although these program positions are “fenced” or dedicated to specific program duties, they are an important part of your workforce and help achieve your organization’s specific goals and priorities.



## Visual 10: Emergency Staff

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Emergency personnel will be needed for the Emergency Operations Center, field operations, and other essential functions.



### Key Points

Regardless of the size or composition of the staff, your organization will need supplemental staff for emergency situations. A prime example of supplemental staffing needs can be found in the Emergency Operations Center (EOC). Typically, most of the assigned positions in the EOC are filled by full- or part-time personnel from various departments within the jurisdiction or by volunteers.

- **Shifts and backups:** At least two shifts of personnel may be needed to staff the EOC, and backups will be needed in case of unavailability of regular staff. Since emergency personnel will work their assigned EOC functions infrequently, training and exercising will help maintain their skills and abilities.
- **Field operations:** Staff may be needed for other essential functions such as damage assessment, debris removal, and building inspection. These personnel may be full-time, part-time, or volunteer positions. They also will need training and exercising to stay current with position skills and abilities.

Mutual aid agreements between local governments may provide another source of staffing for field operations or other emergency assignments.

- **Volunteers:** Volunteers may be needed to supplement the paid positions listed above or to fill positions for which no other option is available. Sources of volunteers in your jurisdiction may include civic groups, faith-based organizations, and private citizens.

## Visual 11: EOC Staffing

- Policies and Planning
- Recruitment
- Personnel Actions
- Recognition
- Training
- Credentialing



### Key Points

All staff, whether full-time, part-time, or volunteer, should be supported in the execution of their assignments. This support can be provided in the following ways:

- **Plans:** The emergency operations plan (EOP), pre-disaster recovery plan, and other plans and annexes spell out the goals, priorities, and procedures for the emergency management organization's daily and emergency operations. All assigned staff should have the opportunity to become familiar with these guiding documents and apply them during training, exercises, and actual emergencies.
- **Policies:** The administrative plan, which is usually a part of the EOP, contains policies and guidelines for the emergency management organization's administration. Policies may also be contained in other plans and in general organizational or office guidelines.
- **Recruitment and Personnel Actions:** Recruitment and retention of staff is an ongoing need for any organization, especially one that deals in emergencies. Careful attention should be given to the types of personnel needed and to training, exercising, and other incentives that help personnel fulfill their operational duties.
- **Recognition:** Another way to motivate staff is to recognize their contributions to the organization. This is especially true of volunteer staff. Annual recognition ceremonies, banquets, or other activities provide recognition opportunities.
- **Training:** As discussed previously, training is an essential part of all job assignments and, along with exercising, is an important way of motivating staff and honing their skills and abilities. Training programs may be provided by Local, Tribal, State, or Federal emergency management agencies or by the private sector.
- **Credentialing:** In some cases, credentialing programs are required for specific types of jobs and assignments. The States usually establish training and credentialing requirements for emergency management personnel within their jurisdiction.

## Visual 12: Your Organization (Continued)

How does your organization supplement its staff for EOC and other emergency needs?



### Responses may include:



Instructor  
Note

- For damage assessment, pull in Red Cross, cross-train Community Emergency Response Team (CERT) volunteers
- Back-fill from other departments—borrowed but not trained
- Emergency Managers borrowed from surrounding counties
- Incident Management Teams
- Memorandums of Understanding (MOUs) with other organizations for specific staff positions
- Start with county staff, then Local jurisdictions, and then volunteers

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## Visual 13: Activity 12.2: Options and Incentives

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**Instructions:** Working in your table groups.

1. Read the scenario in the Student Manual
2. Answer the following questions:
  - a. What options could the Emergency Manager explore for staffing the organization's requirements?
  - b. What incentives should the Emergency Manager consider to acquire and retain all staff?

### Key Points

**Purpose:** The purpose of this activity is to give students an opportunity to apply what they have learned about staffing in a scenario-based exercise.

**Instructions:**

1. Read the scenario on the next page and answer the questions.
2. Record your answers on an easel pad, select a spokesperson, and be prepared to report out in 10 minutes.

### Scenario: The New Emergency Manager

Eden Jones was recently hired as the new emergency manager for a local government. The organization currently includes Eden's position plus a part-time administrative assistant and several volunteers with experience in emergency operations who help on an as-needed basis. After reviewing the goals and priorities of the organization, Eden determines that she needs additional staff. She would like to pursue a hazard mitigation grant but needs someone to oversee it. In addition, Eden would like to have a full complement of emergency staff for the EOC (currently, 7 of 12 positions are filled with volunteers). Eden also needs someone to oversee training for the emergency management organization.

**What options could the emergency manager explore for staffing the requirements of the organization?**

**What incentives should the emergency manager consider to acquire and retain all staff?**

## Visual 14: Budgeting

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A budget is an itemized summary of planned revenues and expenditures for the fiscal period of time used by the organization.



### Key Points

A budget is an itemized summary of planned revenues and expenditures for a fiscal period of time—usually one year—used by the organization’s jurisdiction. The budget is usually based on funding levels traditionally allocated to the organization, but may be supplemented by new initiatives or additional support provided by community leaders.

Typically, a budget will contain itemized costs for office maintenance, operational costs, and anticipated emergencies, as follows:

- **Office maintenance:** This budget item includes salaries and benefits, utilities, communications, and other office operations. In some cases (such as expenses for photocopying or utilities), these expenditures may be shared with other departments or prorated.
- **Operational costs:** This budget item includes equipment and supplies that support department operations such as the Emergency Operations Center (EOC) or

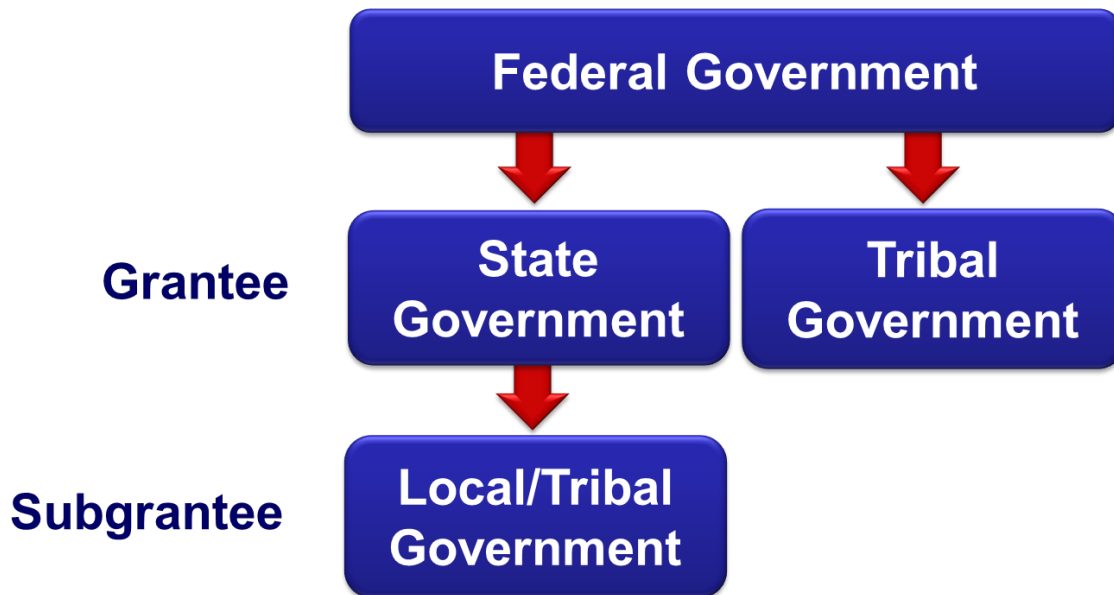
communications. In some cases, the operational costs may be shared or prorated with other departments.

- **Anticipated emergency operations:** This budget item consists of estimates for emergencies that may occur during the budget cycle. Historical data might be needed to support these estimates.

Someone in the emergency management organization prepares and submits budget requests in accordance with the jurisdiction's policies and guidelines. In smaller organizations, the Emergency Manager or a full- or part-time associate may perform the budgeting duty.

## Visual 15: Grantee vs. Subgrantee

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### Key Points

Emergency management funding is distributed by the Federal Government directly to the State as grantee. The State distributes funding to Local emergency management organizations, or subgrantees, along with policies and procedures for tracking and reporting activities and expenditures of the funds.

Federally recognized Tribes may elect to be grantees or subgrantees for their Tribal area.

The following are examples of funding provided by the grantee to the subgrantee:

- Emergency Management Performance Grants (EMPG)
- EOC Grant Program

Additional information about [FEMA grants and cooperative agreements](https://www.fema.gov/grants) (<https://www.fema.gov/grants>) can be found online.

## Visual 16: Documentation

Documentation of activities and costs is an essential part of disaster recovery.



Job Aid: Tips for Accounting and Documenting Disaster-Related Project Costs

### Key Points

Although documentation was discussed in the Recovery module, it is an important administrative task that deserves emphasis.

Documentation is a legal and administrative requirement for an emergency management organization and should be undertaken regardless of the prospects of receiving a Presidential disaster declaration.

Documentation helps protect the jurisdiction from liability by providing an accurate record of emergency activities, including:

- What was done?
- Where was it done?
- When was it done?
- How was it done?
- For whom was it done?

Examples of documentation of activities include:



- Incident records.
- Mutual aid activities.
- Situation reports.
- Emergency staffing records.

In the event of a Presidential disaster declaration, an accurate record of activities and costs will help support requests for reimbursement. **The most common reason for failure to obtain reimbursement for eligible Federal assistance is lack of adequate documentation.**

The State, as grantee, usually establishes documentation procedures and guidelines for the applicant, as subgrantee. State guidelines may include the types and formats of records to keep, reporting timelines, and storage and maintenance of records.

A job aid presenting tips for accounting and documentation is provided on the following pages.

FEMA Public Assistance program forms can be used to document activities and costs associated with disasters. The applicable forms include:

- 90-123 Force Account Labor Summary Record.
- 90-124 Materials Summary Record.
- 90-125 Rented Equipment Summary Record.
- 90-126 Contract Work Summary Record.
- 90-127 Force Account Equipment Summary Record.
- 90-128 Applicant's Benefits Calculation Worksheet.

The State or tribal government usually establishes the documentation format and procedures to be used, and in some cases the FEMA forms are adopted.

[FEMA forms](https://www.fema.gov/es/media-library/assets/documents/26103) (<https://www.fema.gov/es/media-library/assets/documents/26103>) listed above can be found online.

## Tips for Accounting and Documenting Disaster-Related Project Costs

Subgrantees are accountable to the grantee for the proper use of disaster funds and for keeping records and accounting for all money spent. Records should be retained for a minimum of 3 years after final payment or final audit, whichever is later. Subgrantees should follow their standard record retention policy requirements if that policy dictates record retention beyond the 3-year requirement. Audits are conducted mainly to determine if costs were eligible and directly attributed to the disaster project. The most common issues identified in audits of project documentation include failure to:

- Adequately describe the actual work performed. The records must clearly state what work was performed.
- Distinguish between disaster-related work and normal/routine work.
- Provide a clear audit trail from the cost summaries to the supporting records.
- Segregate ineligible work from eligible work.

Below are tips for accounting for and documenting project costs.\*

Accounting for Project Costs
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### Accounting for Project Costs

- Separate disaster-related activities from normal activities and do not commingle disasters.
- Designate a person to coordinate the accumulation of records.
- Ensure that the accounting system can capture the following types of information:
  - Specific accounting by Project Worksheet and site.
  - Force account labor hours, rates, work locations, and description of work performed.
  - Force account delineation between traditional duties and non-traditional duties and assignments for emergency work.
  - Force account equipment hours, rates, and locations.
  - Rented equipment cost and location.
  - Force account material used from storage, its costs, and location.
  - Equipment damaged or destroyed by inventory number, location, and costs to repair or replace.
  - Vendor services or materials acquired under purchase orders or contracts.
  - Contracted construction services and costs by site.
  - Technical consultant services costs and specific purposes of work performed. Insurance settlements and other credits (e.g., salvage and rebates) reported by project.
- Document and describe:
  - Fringe benefit rates.
    - Nonproductive labor costs (vacation, sick leave, etc.).

### Documenting Project Costs

Prepare project-specific files and include the following information and documents:

- Detailed discussion of the damage and what was done or needs to be done at the site.
- Photographs of the site before work begins, during, and after (if the work was completed prior to the Project Worksheet being written).
- Lists of damaged and destroyed equipment.
- Force account labor cost summaries, backed up by detail labor runs, and timesheets.
- Force account delineation between traditional duties and non-traditional duties and assignments for emergency work. Equipment usage records.
- Vendor purchase orders, invoices, payments.

### Accounting for Project Costs

- Materials usage records.
- Contractor contract, invoices, and payments.
- Explanation of how contract was executed and the procurement method used; if price was not competitively determined, an explanation of how it was determined.
- Authorizations to perform the work by the department head, legislative authority (council/supervisors), or executive authority (major/city manager/county administrator).
- Correspondence with grantee and/or FEMA.
- Insurance information/settlements and appeals information.
- Police, fire, and medical response dispatch logs.
- Final inspection reports.

### Force Account Labor (when the applicant performs the work itself)

- Be sure to document and support fringe benefits, nonproductive leave time, and indirect cost rate components.
- Force account delineation between traditional duties and non-traditional duties and assignments for emergency work.

### Force Account and Rented Equipment

The operating costs of force account equipment, and the costs of rented equipment, are both eligible for disaster assistance.

- Ensure that all equipment costs have records that show who was doing what, where, when, for how long, and using what piece of equipment.
- If the equipment is rented, the rate should be reasonable and documented. As with all other costs, documentation is critical.

### Materials and Purchases

Materials and purchases refer to supplies used for repair and restoration projects. Materials are the supplies that you have on hand in your own yard, stockpile, or stores. Purchases are supplies bought for certain repair and restoration projects and work sites.

- For both materials and purchases, ensure that records identify:
  - The unit price of the supply used.
  - When and where it was used.
  - Which person or crew was responsible for the supply.

### Accounting for Project Costs

- Have the original vendor's invoice available to verify the unit price.
- Don't overlook the salvage value of reclaimable supplies, and the application of procurement requirements. After the cost of supplies is determined, it should be reduced by the salvage value of reclaimable supplies.
- If the vendor sends purchased supplies directly to a work site, identify that site on the invoice and delivery tag.
- If the entire amount of purchased supplies is not used at eligible sites, deduct the amount returned to stock, or used at ineligible sites, from the invoice amount.
- If several types of supplies are identified on the vendor's invoice, identify how much was used of each type.

### Contracts

Contracts are often the largest category of costs. The Federal regulations allow you to follow your own procurement procedures as long as those procedures meet or exceed the procurement standards in the Federal regulations.

Contract and procurement guidelines differ for local governments and nonprofits. Local governments are subject to 44 CFR 13.36 and OMB Circular A-102. Nonprofits, institutions of higher education, and hospitals are subject to OMB Circular A-110.

- If one contract covering several sites is awarded, require the contractor to segregate costs on the invoices by site or Project Worksheet. Failure to do so may result in the auditor pro-rating the contractor's costs to each Project Worksheet site, which could cost you funds if there are allocations to ineligible sites.

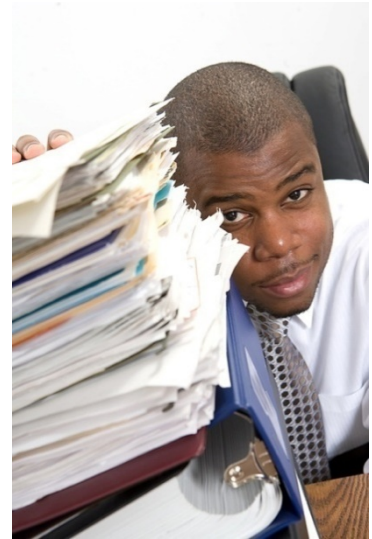
### Documentation Forms

FEMA Public Assistance program forms such as the following can be used to document activities and costs associated with disasters:

- Force Account Labor Summary Record
- Materials Summary Record
- Rented Equipment Summary Record
- Contract Work Summary Record
- Force Account Equipment Summary Record
- Applicant's Benefits Calculation Worksheet

## Visual 17: Discussion: Documentation

What are the consequences when not documenting properly?



### Possible answers:



Instructor  
Note

- Documenting disaster activities serves two main purposes: financial and legal. Jurisdictions may receive reduced reimbursement or no reimbursement at all in the event documentation is lacking or nonexistent.
- Also, without proper documentation, jurisdictions may lack supporting evidence of actions taken during an emergency or disaster, thus jeopardizing them in the event of legal challenges.

## Visual 18: Accounting for Resources

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Accounting is the process of tracking actual expenditures of the organization over a period of time.

### Key Points

Accounting is a financial management activity designed to track actual expenditures on a recurring basis, usually monthly. The jurisdiction's administrative offices usually establish accounting and recordkeeping policies and procedures for all departments to follow.

Local emergency management organizations will also have to account for expenditures related to funding received through the State as the grantee. In these cases, the State will establish procedures for the local organization, or subgrantee, to follow when recording and reporting activities and expenditures.

## Visual 19: Discussion: Reporting

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### **What are some examples of reports your organization prepares?**

Reporting consists of documenting the organization's financial information and sharing it with others who have oversight for the program. This may include the jurisdiction's financial officer, other department heads, and State and Federal organizations.

Some types of reports may be required as a condition of receiving grants, contracts, or other funding from State or Federal agencies or other sources. The report format and submission procedures will be spelled out in these program agreements.

In some cases, presentations may accompany the submission of reports, providing the emergency management organization the opportunity to describe its accomplishments or to explain the need for additional funding.

## Visual 20: Communications and Emergency Management

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Communications support each period within the emergency management lifecycle:



### Key Points

Effective communications support each period within the emergency management lifecycle:

- Pre-incident
- Incident
- Post-incident

We will look at each phase in the following visuals

Communications and Information Management is one of the five key components of the National Incident Management System.

- Preparedness
- Communications and Information Management
- Resource Management
- Command and Management
- Ongoing Management and Maintenance



## Visual 21: What Is Communications?

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**What is communications, and what does it include?**



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## Visual 22: Video: When You Can't Communicate

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### Lessons from Katrina

#### Key Points

#### **Video Transcript: Communications Interoperability: When You Can't Communicate: Lessons From Katrina**

**Narrator:** Effective emergency response depends on communication—the ability to maintain a common operating picture through the constant flow of information. During and after Hurricane Katrina, communications systems failed, severely hampering information flow and lifesaving operations.

In New Orleans, most of the city was flooded. The combined effects of wind, rain, storm surge, breached levees, and flooding knocked out virtually the entire infrastructure—electrical power ... roads ... water supply and sewage ... and communications systems.

**Thomas Stone:** We lost our communications system, and when you are not able to communicate, you can't coordinate your response. You never ever think in your career that you will lose your entire infrastructure.

**Charles Parent:** It wasn't only the 9-1-1 Center, it is just that the whole telephone system went down. We did receive some calls to the EOC. We relayed them by radio to the different companies. Quite simply, we could not get to everybody as quickly as we wanted to.

**Thomas Stone:** Well one of the lessons we have learned for critical infrastructure is that your communications centers have to be built off of ground level. You have to protect that equipment and have it operating as long as possible.

**Pete Caruso:** We had five national mutual aid channels. We didn't figure on everybody's radio system crashing. And all of us were now trying to work off of five conventional mutual aid channels and it got overloaded.

The problem with our radio system was that some debris had punched a hole in the radiator of our emergency generator on the 40th floor of a downtown building. After the coolant ran out, and then eventually the UPS batteries died, then the system crashed.

**Narrator:** And when the unexpected happens, and redundant technology and backup plans are not enough, you may just have to be creative.

**Thomas Stone:** Our VHF antennas were knocked off the buildings, so—we had what is called “simplex,” kind of like line-to-sight radios—so we had to actually put people on rooftops of the different buildings that we were staged in with our task forces and relay messages.

We had 9-1-1 calls that were routed to the State Police in Baton Rouge and then were hand-delivered here in St. Bernard Parish. And then we would coordinate through our search and rescue efforts to go out and try to find these people that called in through 9-1-1.

**Thomas Stone:** Our cell phones would work at about 3 a.m., and only if you called an exchange outside of this area. Text messaging—that worked well. We got a lot of messages by text messaging; couldn't return them, but you could receive them, and the Internet helped a lot.

**Narrator:** What lessons from Hurricane Katrina can be applied to planning for interoperable communications?

- Have a governance structure in place. Get buy-in from decision makers and work together on a framework for interoperable communications.
- Identify technological solutions that are reliable, scalable, portable, and resilient. Build in redundancy so that losing primary systems doesn't create a communications blackout. Locate communications centers in safe areas. Include emergency repairs in your plans.
- Have plans and procedures in place, practice using them, and update them as needed.
- Include interagency and inter-jurisdictional communications in training and exercises.
- And finally, incorporate regular use of interoperable systems in routine activities.

**Charles Parent:** We suffered a lot in the city, but the scenarios that were run before this—they predicted everything that would happen. We were able to mitigate a lot of that.

**Pete Caruso:** We practiced using our manual system all the time, so there wasn't any problem using the manual system.

**Charles Parent:** Your plan has to be updated every year, after every event. Every hurricane—we went through it—we saw what worked, what didn't work, we adjusted it, we changed it, and it is a growing plan. But it has to be a plan that everyone can understand from the firefighter on up, and everyone can buy into it—and they have to believe in the plan. And if they are part of the plan before, in the planning stage, in the implementation, in the practice, then it will work.

## Visual 23: Pre-Incident Communication

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- Enables ongoing contingency planning
- Informs choices about potential future responses
- Supports documentation of protocols and procedures
- Helps the public prepare for emergencies

### Key Points

#### Information sharing:

- Enables ongoing contingency planning
- Informs choices about potential future responses
- Supports documentation of protocols and procedures
- Helps the public prepare for emergencies

#### For example:

- Predictive situation status information enables planners to position resources and make other preparations.
- Existing resource inventories enable them to anticipate resource shortfalls.

## Visual 24: Incident Communication

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The ability of personnel from different disciplines, jurisdictions, organizations, and agencies to work together during an incident depends on their being able to communicate with each other and maintain a common operating picture.

**Effectively communicated information can help save lives!**

### Key Points

The ability of personnel from different disciplines, jurisdictions, organizations, and agencies to work together during an incident depends on their being able to communicate with each other and maintain a common operating picture.

Effectively communicated information can help save lives!

## Visual 25: Post-Incident Communication

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- After-Action Reporting
- Lessons Learned
- Corrective Action Plans

### Key Points

Types of post-incident communication include:

- After-Action Reporting
- Lessons Learned
- Corrective Action Plans

## Visual 26: Technology and Emergency Communications

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**How does technology contribute to emergency management communications?**

## Visual 27: Activity 12.3: Technology in Emergency Management (Pre-Work)

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### Instructions:

1. Answer the questions in the pre-work



## Visual 28: Communicating With the Public

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**In your communities, how do people get information?**

**How are these practices changing?**

## Visual 29: Warning Systems

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**What types of warning systems are currently used in your communities?**

## Visual 30: Types of Warning Systems

Type	Description
Sirens	Outdoor alert
Emergency Alert System	Radio/TV real-time alerts
National Oceanic and Atmospheric Administration (NOAA) All-Hazards Radio	24-hour broadcasting
Public signage	Similar to AMBER alerts
Telephone systems	Recorded messages, manual or automatic
Personal mobile devices	Short text messages
Email	Messages to Local email lists

### Key Points

Several types of warning systems are listed on this visual

**Can you think of others?**

## Visual 31: Standardizing Warning Messages

[Common Alerting Protocol \(CAP\)](https://www.fema.gov/common-alerting-protocol) (<https://www.fema.gov/common-alerting-protocol>):

- Defines a single digital message format for exchanging emergency alerts
- Allows the sender to activate multiple warning systems with a single input
- Designed to be compatible with all kinds of information systems and public alerting systems
- Will be used in IPAWS

### Common Alerting Protocol (CAP)

The CAP is a standard from the Emergency Management Technical Committee of the international OASIS standards development organization.

<b>Single- Message Format</b>	CAP defines a single-message format with the essential features to handle existing and emerging alert systems and sensor technologies. This standard format can replace a range of single-purpose interfaces among warning sources and disseminations channels. CAP addresses the concerns about compatibility and operational complexity that have been stifling development. CAP is a breakthrough standard that opens the door to new alerting systems and technical innovation. For example, location-aware receiving devices can use the standardized geospatial information in a CAP alert message to determine whether that particular message is relevant based on the current location of the device.
<b>Single Input</b>	CAP allows the sender to activate multiple warning systems with a single input, which reduces the cost and complexity of notifying many warning systems. A single-input message also provides consistency in the information delivered over multiple systems. People receive exact corroboration of the warning through multiple channels. This is very important because research has found that people do not typically act on the first warning signal, but begin looking for confirmation. Only when convinced that the warning is not a false alarm, do they act on it.
<b>Compatibility</b>	CAP is designed to be compatible with all kinds of information systems and public alerting systems, including broadcast radio and television as well as public and private data networks. Rather than being defined for one particular communications technology, CAP is essentially a “content standard”—a digital message format that can be applied to all types of alerts and

	<p>notifications. In this way, CAP is compatible with emerging technologies such as Internet web services, and with existing formats such as the EAS and the Specific Area Message Encoding (SAME) used for NOAA Weather Radio in the United States. CAP is also compatible with alerting systems designed for multilingual populations and individuals with functional needs. By reducing the barriers of technical incompatibility, CAP creates the foundation for a technology-independent national and international “warning Internet.”</p>
<p><b>Format</b></p>	<p>CAP allows standardized warnings from various sources to be compiled in tabular or graphical form as an aid to situational awareness and pattern detection. When CAP is applied extensively, managers will be able to monitor—at any one time—the whole picture of Local, regional, and national warnings of all types. CAP alert messages can also be used with sensor systems as a format for direct reporting of relevant events to centers for collection and analysis.</p>

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## Visual 32: Activity 12.4: Best Practices

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### Instructions:

1. Read your group's assigned best practice description.
2. Answer the questions provided.
3. Select a spokesperson and be prepared to report your answers to the class.

### Questions

- **What is the alert strategy?**
- **What portion of the population does it serve?**
- **Who would not be reached by this method?**
- **Could the strategy be adapted or augmented for greater coverage?**

### Best Practice 1

#### Enabling Residents to Hear and Heed

#### Severe Weather Warnings

PORTAGE COUNTY, WI – Portage County, WI, has a population of approximately 70,000 residents living in an area that is 62 percent urban and 38 percent rural (agricultural areas that are geographically separated). With 11.9 percent of the population 65 years old or older, there was concern that some residents might not be able to hear the county's warning system regarding impending severe weather. Recognizing the deficiency in the ability to warn the elderly and individuals living in rural areas, the county's Emergency Management Coordinator came up with the idea of purchasing weather radios.

“We have a lot of residents living in mobile homes in rural areas and we have a substantial number of elderly residents. These individuals are significantly at risk,” said Sandy Curtiss, Emergency Management Coordinator. “They don't always hear the warnings.”

To remedy the problem, the county applied to Wisconsin Emergency Management for a grant under FEMA's Hazard Mitigation Grant Program (HMGP) to purchase 150 NOAA all-hazards weather radios. The project was initiated following a 2002 Presidential declaration for a windstorm event, and the total project cost was \$6,951.50. The HMGP grant totaled \$5,200. The non-Federal share was \$1,700. (The State and Local governments paid \$850 each.) The county also paid an extra \$51.50 for a cost overrun.

What is a NOAA all-hazards weather radio? The NWS provides Local weather broadcasts, called NOAA Weather Radio, from more than 700 different transmitters nationwide. It is estimated that

over 85 percent of the population now resides within the service area of at least one transmitter. NOAA Weather Radio is a service of NOAA of the U.S. Department of Commerce. As the “Voice of the NWS,” it provides continuous broadcasts of the latest weather information from Local NWS offices.

The regular broadcasts are specifically tailored to weather information needs of the people within the transmitter’s service area. For example, in addition to general weather information, stations in coastal areas provide information of interest to mariners. Other specialized information, such as hydrological forecasts and climatological data, are also broadcast.

During severe weather, NWS forecasters can interrupt the routine weather broadcasts and insert special warning messages concerning imminent threats to life and property. The forecaster can also add special signals to warnings that trigger “alerting” features of specially equipped receivers. This is known as the “tone alert feature,” and acts much like a smoke detector in that it will send an alarm when necessary to warn of an impending hazard. In the past, all receivers equipped with the tone alert feature within the listening area would alarm anytime a warning was issued. However, the advent of SAME technology permits newer receivers to alarm only if a warning is broadcast that pertains to a particular location. The newer receivers allow individuals to choose the warning locations the receiver will target.

## Best Practice 2

### Warren County

#### C.O.W.S and C.A.L.V.E.S Programs

WARREN COUNTY, KY – The 85,000 residents of Warren County, KY, face a variety of natural hazards, such as tornadoes and other severe weather, chemical spills, flash flooding, landslides, earthquakes, and forest fires. A warning system alerts residents of impending danger, enabling them to take the necessary precautions to protect their lives and property.

In 1974, thirty-one residents of the small city of Brandenburg were killed by tornadoes. The loss of life was attributed to the fact that citizens did not receive warning of the impending storms. Subsequent tornadoes in 1976, 1986, and 1994 also caused death and injury that likely could have been avoided if there had been proper warning.

In July 1997, Warren County was awarded a grant through FEMA’s Hazard Mitigation Grant Program (HMGP) to install 12 Community Outdoor Warning Sirens, or C.O.W.S. The sirens had the capacity to warn 100 percent of the residents of Bowling Green, the county’s biggest city, and 80 percent of residents in the entire county. When the C.O.W.S are activated during an emergency, residents know they must turn on their televisions or radios for further instruction.

The county recognized, however, that an outdoor warning system was not sufficient. In June 1999, the county received HMGP funds to install 250 indoor Community-Activated Lifesaving Voice Emergency Systems, or C.A.L.V.E.S. The system is designed to warn people who are indoors or not close to a siren site, and also to supply disaster information in the event of a power outage. C.A.L.V.E.S were placed in every school, nursing home, daycare, hospital, church, theater, indoor sporting arena, and emergency responder’s office. The system uses a series of

beeps followed by a voice message from the activating agency to alert residents of an emergency.

The county also implemented an extensive public awareness campaign to educate residents about the new warning systems. It sent out brochures with instructions such as, “When you hear the C.O.W.S, mmoovve indoors. When you hear the C.A.L.V.E.S, protect your herd!”

The warning system is credited with saving lives on April 16, 1998, when a tornado struck the county’s biggest outdoor shopping mall. Property damage totaled more than \$2 million, but no one was killed.

## Best Practice 3

### Computerized Warning System

#### Replaces Word of Mouth

JACKSON COUNTY, TX – In September 2005, the threat of Hurricane Rita had local officials in Jackson County, TX, depending largely on “word of mouth” to warn area residents of the impending storm. Lessons learned from this experience led officials to seek a better and faster way to communicate emergency information. The county then invested in an emergency automated telephone notification system.

Edna Chief of Police Clinton Woolridge said that at an after-action meeting following Hurricane Rita, officials talked about the lack of radio and television stations in the county. “We had no way of telling people to tune in to a Local station to get emergency information,” he said. The decision was made to get an emergency telephone notification system for disseminating evacuation messages. The county received a \$63,750 grant from the FEMA Hazard Mitigation Grant Program (HMGP) to purchase the warning system.

In the event of an emergency, the 9-1-1 dispatcher can identify the affected neighborhood or region of the county, record a message describing the situation, and recommend the protective action residents should take. The computerized system can then call all listed telephone numbers in that geographic area and deliver the recorded message. Residents who have listed their telephone numbers are able to receive messages regarding evacuations, severe weather, flash floods, hazardous material releases, shelter-in-place notifications, dam or levee breaks, bomb threats, abductions, hostage situations, and prison escapes.

Lori McLennan, Edna Police Department Office Manager and 9-1-1 operator, said the system is set up to provide countywide alerts as well as specific area alerts according to five geographic zones. “Depending on where the emergency is, I can launch a zone-specific message or a countywide message. For Hurricane Ike, we launched an initial session to warn residents in the Lavaca Bay area of a voluntary evacuation. As the weather condition worsened, we launched it for a mandatory evacuation for the entire county,” she said, adding that the task was completed in less than two hours.

Although the length of time required to transmit messages varies according to the number of phone lines activated, validating the success of the transmitted message is almost immediate. The



computer generates a report on how many people picked up the phone to listen to the message, how many answering machines picked up, and the number of unheard messages.

“The system works better than ‘word of mouth’ because it provides an accurate message,” Woolridge added. “When the message is delivered by ‘word of mouth’ by the time it gets around to the third person its context has changed considerably.”

## Best Practice 4

### Getting the Alarm Out:

#### USM’s Tornado Warning System

HATTIESBURG, MS – Prior to 1998, students at the University of Southern Mississippi (USM) were largely dependent upon “word of mouth” information when tornadoes threatened the campus. According to Bob Hopkins, USM Chief of Security, the university recognized the need for a campus-wide tornado warning system when several alerts failed to reach a considerable portion of the 16,000 students enrolled.

“The critical need is for people outside to go inside,” Hopkins said. “There is an emergency plan in effect in each building with designated safety areas.” The University Police dispatch office manages the system.

University officials say the system operates similarly to a radio or wireless system. “If a tornado warning is issued for our area, the University Police dispatcher calls the Emergency Management District to confirm the tornado is a threat to our campus. At that point, we set the alarm off,” Hopkins explained.

The most noticeable feature of the new system is its prominent position on top of Owings-McQuagge Hall. The radio-controlled warning system has two components: (1) an alarm characterized by Westminster Chimes, and (2) a voice system that announces, “A tornado warning has been issued for the Hattiesburg area. Please seek shelter.”

FEMA contributed \$21,902 of the \$29,202 cost to install the warning system through its Hazard Mitigation Grant Program (HMGP), which is administered by the Mississippi Emergency Management Agency. Following a major disaster declaration, the HMGP funds up to 75 percent of the eligible costs of a project that will reduce or eliminate damages from future natural hazard events.

“Students are acquainted with the system during risk management orientation. Each residence hall gets a copy of the Emergency Response Manual,” Hopkins noted. He is pleased with the system’s effectiveness.

During Hurricane Katrina (2005), approximately 1,800 students remained sheltered on USM’s campus.

## Best Practice 5

### Weather Radio Distribution

#### Ensuring Adequate Hazard Warning

WAYNE COUNTY, MI – Located in southeastern Michigan, Wayne County frequently experiences severe weather and tornadoes. In 1997, a dangerous tornado moved through parts of Detroit and the surrounding suburbs of Highland Park and Hamtramck, injuring 90 people. It was the most costly tornado the State had experienced, with damages estimated at \$90 million. The tornado traveled nearly 5 miles and was 2,500 yards wide. The tornado was part of an outbreak of 13 tornadoes in southeastern Michigan—the largest number for a single day since records have been kept.

With more than 2 million residents, the county needed effective mitigation measures to adequately warn people of the potentially severe weather. The Hazard Mitigation Grant Program (HMGP) provided funds for the county to purchase, distribute, and install NOAA weather radios to every school, hospital, and nursing care facility in the county, for a total of 860 radios.

The county also conducted an all-day tornado shelter/spotter workshop for employees of those facilities. The workshop was designed to enable them—especially in the schools—to plan and prepare for severe weather. The workshop was videotaped for use as a training video on tornado spotting for police, fire, and public service personnel in jurisdictions throughout the county. The video also became a training tool for county in-service training and statewide training.

The all-day recorded workshop was telecast on the statewide school Internet during Severe Weather Week in March of 1999. The telecast allows all schools with Internet capabilities to watch the video and begin to plan and prepare for severe weather in their school district.

This project ensures that adequate warning time will be more readily available to county residents. The benefit of early warnings is a reduction in both the loss of life and the extent of injuries to persons in an impacted facility.

## Visual 33: Internet as a Resource

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**You are a resident of a small community. You want to be knowledgeable and prepared if an emergency occurs. If you go onto the Internet, what's available that can help you, and what do you wish you could find?**

**You are a Local Emergency Manager. You want to make full use of the Internet to keep the residents of your community informed about emergency preparedness. What ideas do you have?**

**What are some potential emergency management applications?**

**What are some limitations or disadvantages?**

You are a resident of a small community. You want to be knowledgeable and prepared if an emergency occurs. If you go onto the Internet, what's available that can help you, and what do you wish you could find?

**Expect answers such as:**

- Ready.gov, FEMA.gov
- Local and State Emergency Management Agency sites
- Local EOP posted online
- Community Emergency Response Team (CERT) site
- American Red Cross site
- NOAA



**Instructor  
Note**

You are a Local Emergency Manager. You want to make full use of the Internet to keep the residents of your community informed about emergency preparedness. What ideas do you have?

**Expect answers such as:**

- Facebook, Twitter
- Blogs
- List forums
- YouTube videos
- Interactive chats

- Widgets
- Scrolling within the website
- Downloads—toolkits, etc.
- Volunteer signup
- Email alert signup

What are some potential emergency management applications?

**Expect answers such as:**

- Internet websites
- Email and instant messaging
- Social media – Twitter, Facebook, YouTube, Snapchat, Instagram)

What are some limitations or disadvantages?

**Expect answers such as:**

- Blogs
- LISTSERVS
- RSS feeds
- Podcasts
- Others not listed above

## Visual 34: What are the Implications?

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**How does social media contribute to situation awareness and common operating picture?**

## Visual 35: What are the Implications? (Continued)

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**What are the challenges for Emergency Managers in harnessing this technology?**

## Visual 36: Envisioning the Future

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### Key Points

This section is designed to help you think about the future of emergency management. Thinking about the future is not as easy as it appears. Changes in our communities, our Nation, and internationally are likely to have profound effects on the emergency management profession.

Emergency management personnel who focus only on today's crisis will be ill prepared to cope with rapid changes. It is imperative to cultivate a strategic vision of the future.

## Visual 37: Thoughts About the Future

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Often our vision of the future is limited by our own creativity or desire to hold onto what we believe. Take a moment to review the following quotes:

“I think there is a world market for maybe five computers.” — Thomas Watson, Chairman of IBM, 1943

“It will be years—not in my time—before a woman will become Prime Minister.” — Margaret Thatcher, future Prime Minister, October 26, 1969

“It will be gone by June.” — Variety Magazine, passing judgment on rock ’n roll in 1955

"I always avoid prophesying beforehand because it is much better to prophesy after the event has already taken place. " — Winston Church

### Discussion Questions

**What do these quotes have in common?**

**What do they tell us about how we need to think about the future?**



## Visual 38: Drivers of Change

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What are the drivers of change?

- Environment
- Social
- Technology

### Key Points

As part of the Strategic Foresight Initiative, FEMA worked with nearly 100 key stakeholders, subject matter experts, and emergency management practitioners to identify the most critical drivers of the future emergency management. The three areas identified as drivers of change were environment, technology and social.

**Discussion Question: Within these categories, what would be some drivers of change?**

### Drivers of Change: Environment (1 of 5)

There is a significant amount of existing research on trends and impacts in the area of climate change. The implications of climate change should be considered by Emergency Managers, regardless of the cause.

The U.S. Global Change Research Program (USGCRP) has conducted significant research on the implications of climate change in the United States. The impacts include:

- **More severe storms and continued flooding threats:** Coastal areas will be at risk due to rising sea levels and more intense storms, which will include more areas being affected by storm surges.
- **Extreme drought:** Crop and livestock production will be increasingly challenged. Water resources will be stressed domestically and globally.
- **Increased wildfire threat:** Wildland fire threat will increase and shift to previously unaffected areas.
- **More people and structures at risk:** There will be new threats to human health and more stress on our aging infrastructure.

These impacts could all clearly affect emergency management. Although the USGCRP findings are focused domestically, there are also international impacts that could affect the United States. These include mass migration due to climate issues, increased conflict, and shifting disease patterns.

Source: [Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf), May 2011. ([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

## Drivers of Change: Environment (2 of 5)

Currently, infrastructure in the United States is nearing the end of its lifecycle and will require significant investment to prevent a crisis. In particular, transportation, communication, energy, and healthcare infrastructure are aging and in danger of failing.

Aged infrastructure can:

- Hamper disaster response and recovery efforts by delaying first responders' ability to reach an affected area or the delivery of supplies
- Pose a threat such as the collapse of a bridge or a dam bursting

The American Society of Civil Engineers estimates that the United States must invest \$2.1 trillion into infrastructure over the next five years, but anticipates less than half of that amount will actually be spent. In addition, because the private sector owns the majority of the Nation's critical infrastructure, investment priorities are often profit-driven rather than security-driven.

However, it is possible that spending on infrastructure could increase in the short- to medium-term future. In this case, the emergency management community would have the opportunity to advocate for more resilient infrastructure. Well-designed infrastructure could be a real benefit to the emergency management community.

Discussion Question: What are the implications?

Source: [Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf), May 2011. ([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

## Drivers of Change: Environment (3 of 5)

How the terrorist threat evolves, and how the entire security environment evolves, will be a major driver of the future environment. Below are terrorism trends that are important to emergency management:

- **Increased self-radicalization.** There is an increase in self-radicalization of individuals and small groups. For example, in November 2009, Major Nidal Malik Hasan was accused of killing 13 at Fort Hood, TX. Major Hasan may have become a self-radicalized terrorist through the use of the Internet.
- **Diffusion of scientific knowledge and technological innovation.** The wide dispersion of technological and scientific knowledge may increase terrorists' access to high-consequence weapons. Specific concerns include biotechnology, nanotechnology, and nuclear weapons.
- **Potential increase in domestic terrorism.** Most experts consider al-Qaeda and al-Qaeda-affiliated and -inspired groups to be the greatest threat to U.S. security. However, many experts believe there is diminishing support for al-Qaeda and their followers. In addition to the discussion about the future of Islamic-based terrorism, there has been discussion about other terrorist threats, including domestic terrorism. Many also see the growing threat of transnational criminal organizations as a significant related trend.
- **Uncertainty following the "Arab Spring" and Osama bin Laden's death.** The implications of the independence protests in the Middle East and Osama bin Laden's death are unknown at this point in time.

Source: [Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf), May 2011. ([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

## Drivers of Change: Environment (4 of 5)

The role of the individual in society is constantly evolving. How roles evolve could create a more complex emergency management environment. The Strategic Foresight Initiative has identified the following themes:

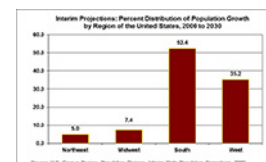
- **Increased empowerment of the individual.** Advances in technology have broadened individuals' access to information as well as their forum for spreading their views. In addition, handheld devices, cell phones, and other touch technologies bring the information right to the individual wherever he or she may be. This has helped create what New York Times columnist Thomas Friedman refers to as "super-empowered individuals."
- **Changing definition of community.** Historically, communities were geographically based. However, personal communications technology allows many individuals to join "virtual" communities of likeminded individuals, dispersed across the globe. This type of decentralized organization among individuals will create new challenges and new decision-making methods. Some experts interviewed believe that individuals will become more loyal to their virtual communities than their national or geographic communities.
- **Decreasing trust of official or government sources.** Government officials are not viewed as a trusted source of information, even in the area of crisis management. Research has shown that individuals usually seek confirmation of information received from emergency officials from nonofficial sources before taking action. In addition, there are concerns about the chasm between "connected" and "disconnected" individuals. This chasm requires the emergency management community to employ an expansive outreach program to reach all individuals. Interestingly, those "disconnected" individuals are typically more resilient because they regularly manage disruptions independently.

Source: [Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf), May 2011. ([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

## Drivers of Change: Environment (5 of 5)

During the next 15 to 20 years, the U.S. Census Bureau expects significant demographic changes in the U.S. population. Below is a summary of these projected changes:

- The overall population is expected to grow by 18 percent, with some States projected to grow by more than 30 percent by 2030.



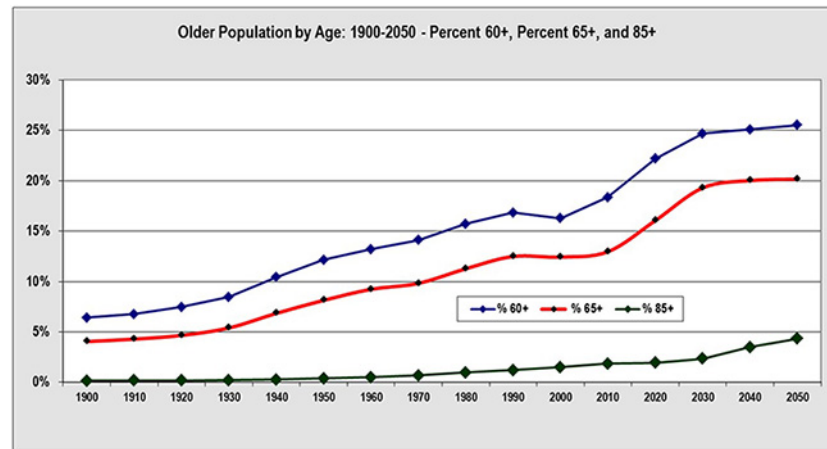
The population will be more culturally and ethnically diverse, with dramatic increases projected in both the Hispanic and Asian populations.

- Many Americans continue moving to relatively densely populated areas. Currently, 83 percent of Americans live within a metropolitan area—which is defined as an area that has at least one urban area of at least 50,000 people but can include suburban and rural areas. The percentage of Americans living in these areas continues to climb. The growth in metropolitan America has a number of implications for emergency management, including buildings possibly being put in more vulnerable areas (e.g., the coast); evacuations becoming more difficult (which could be compounded by aging infrastructure); access to medical resources becoming strained; the consequences of microclimate changes becoming magnified; infrastructure becoming more vulnerable; and community structure and culture changes occurring as the population increases.

Source: [Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings](#), May 2011.

([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

## Visual 39: Drivers of Change: Social



This chart shows the increase in the percent of the population 60 and older from 6 percent in 1900 to 16 percent in 2000 and projected to be 25 percent in 2030 and 26 percent in 2050. It shows the percent of the population 65 and older increasing from 4 percent in 1900 to 12 percent in 2000 and projected to be 19 percent in 2030 and 20 percent in 2050. It also shows the percent of the population 85 and older increasing from 0.2 percent in 1900 to 1.5 percent in 2000 and projected to be 2.3 percent in 2030 and 4.3 percent in 2050.

*Source: Department of Health and Human Services Administration on Aging*

### Key Points

The percentage of the population over the age of 65 is expected to increase from 12.4 percent in 2000 to 18.2 percent in 2025, and continue rising.

Implications: Each of these demographic changes individually could create challenges for emergency management operations; their combination exacerbates the challenges for future Emergency Managers. The emergency management community will need to consider all aspects of demographics as it looks toward the future.

Source: [Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf), May 2011. ([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

### Drivers of Change: Social (1 of 4)

We already see a significant amount of “spontaneous reporting” where individuals at or near the scene of an incident instantly post video, images, text messages, etc., from their personal communications devices.

The explosion of social media and personal communications technology will continue to increase real-time access and delivery of information, including the following benefits and challenges:

Benefits	Challenges
<ul style="list-style-type: none"> <li>• <b>Empowerment:</b> The new information environment allows everyone to be both a producer and a consumer of information. This makes people less dependent on official sources of information.</li> <li>• <b>Instant Communications:</b> The 24/7 news cycle, and the growth of nontraditional sources of news such as social media, have created an environment of constant information flow.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Increased Analytical Demands:</b> The quantity of available information can lead to the public and emergency management officials being overloaded. The legitimacy and accuracy of information must constantly be questioned and verified.</li> <li>• <b>Becoming a Trusted Source:</b> The public has become much more information savvy and demanding. The new patterns of information flow have changed the role of the mainstream and traditional media, while making it increasingly difficult for emergency management to break through the cluttered information market and become a trusted source.</li> </ul>

Source: Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings, May 2011. ([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

### Drivers of Change: Social (2 of 4)

Rapid technological innovation is expected to continue over the next 15–20 years, which could dramatically change how Americans live, work, and play.

- **Better modeling and prediction of disasters and consequences.** The increasing adoption of mobile technology, medical breakthroughs, improvements in how we model and warn about disasters, and the implications of biotechnology and nanotechnology on the security environment are examples of important technological innovations that could dramatically influence emergency management.
- **Increased dependency and vulnerability.** This rapid innovation has led to increased dependency on technology by the United States, including the emergency management community. Our communications, energy, and transportation infrastructure are all heavily dependent on technology. This dependency creates a significant vulnerability to cyber-attacks, particularly if our reliance creates single points of failure within our systems.

Source: [Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf), May 2011. ([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

## Drivers of Change: Social (3 of 4)

Disruptions in global supply chains could have significant consequences domestically. For example, Malaysia manufactures more than 60 percent of the world's latex gloves. A major disruption in the supply chain from this part of the world could impact medical workers and first responders in the United States.

An international disaster could have significant domestic implications. Two examples—the Icelandic volcano and the Haitian earthquake—focused attention on the broader impacts of disasters outside the U.S. borders. The volcanic eruption significantly disrupted international air traffic, and the earthquake in Haiti had the potential to trigger mass migrations.

The emergency management community believes that increasing global interdependencies will lead to the United States having a greater role in emergency management internationally. A more global role for American Emergency Managers could have major resource and capability implications.

Source: [Strategic Foresight Initiative, Getting Urgent About the Future: Summary of Findings](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf), May 2011. ([https://www.fema.gov/pdf/about/programs/oppa/findings\\_051111.pdf](https://www.fema.gov/pdf/about/programs/oppa/findings_051111.pdf))

## Drivers of Change: Social (4 of 4)

The current economic crisis has brought the tenuous state of government budgets, particularly with respect to emergency management funding, into focus as a major driver of the future environment. Although it is plausible, even likely, that the U.S. economy will improve over the next decade, current State, Tribal, Local, and Federal budget forecasts are grim in the shorter term and could lead to emergency management funding sustainability problems.

Federalism and the role of State, Local, and Federal governments in emergency management has been a key point of discussion. If resources continue to be constrained, there is a widespread belief that the Federal Government will be expected to play a more significant role.

Conversely, many have raised the possibility of an increase in partnerships with the private sector, perhaps including privatizing some emergency management activities.

For additional information see: Jessica Jensen, “2010 Impacts of the Economic Downturn Summary Report,” Center for Disaster Studies and Emergency Management, North Dakota State University.

Available on the [International Association of Emergency Managers](http://www.iaem.com/page.cfm?p=groups/intro) website (<http://www.iaem.com/page.cfm?p=groups/intro>).

## Visual 40: A Future Vision

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**“Incidents should not become emergencies. Emergencies should not become disasters. Disasters should not become catastrophes. Catastrophes should not become chaos. Citizens should not have reasons to lose faith in their governmental institutions.”**

Lacy Suiter, Former State Emergency Management Director and FEMA Executive

### Key Points

Lacy Suiter (1936–2006) was a pioneer in the evolution of emergency management and played a significant role in developing it into a professional discipline. His career in emergency management spanned four decades, during which time he led several Federal and State emergency management and homeland security organizations.

According to the Naval Post Graduate School, Center for Homeland Security and Defense: “Lacy Suiter was a man of ‘big ideas,’ always challenging those around him to come up with the next policy or strategy that would make what he called a ‘quantum leap,’ in emergency management and homeland security.” Each year, the center sponsors the Lacy E. Suiter Policy Forum.

More information about the forum is available at the [Center for Homeland Security and Defense website](https://www.chds.us/c/) (<https://www.chds.us/c/>).



## Visual 41: Activity 12.5: Creating A Vision

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### Instructions:

1. Review the scenario
2. Working as a team, answer the following questions:
  - What innovations have occurred in the field of emergency management?
  - What are the major changes in how you perform your job?
  - What is the community's role in emergency management?
3. Select a spokesperson to report back to the class

### Key Points

#### Instructions:

1. Review the scenario.
2. Working as a team, answer the questions provided.
  - What innovations have occurred in the field of emergency management?
  - What are the major changes in how you perform your job?
  - What is the community's role in emergency management?
3. Select a spokesperson to report back to the class.

#### Scenario:

It is 10 years in the future. You are a member of the emergency management team in the jurisdiction of Utopia. Given that you live in Utopia, your team has achieved Lacy Suiter's vision.

### Questions:

1. **What innovations have occurred in the field of emergency management?**

1. **What are the major changes in how you perform your job?**

1. **What is the community's role in emergency management?**

## Visual 42: Monitoring Trends



### Key Points

Emergency management professionals monitor trends from the following sources:

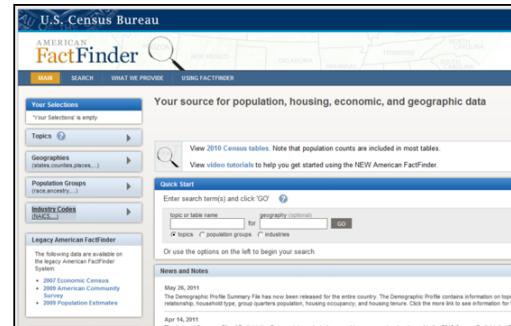
- Data
- Stakeholders
- Media and popular culture
- Academic and professional affiliations

Let's take a closer look at each of these sources.

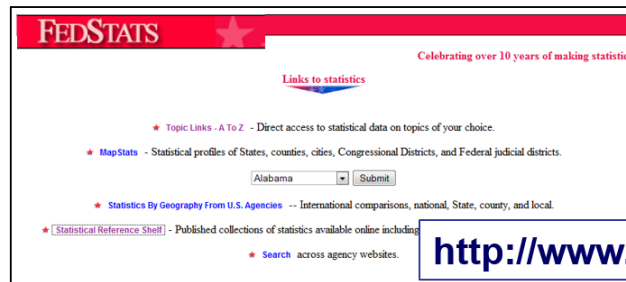
## Visual 43: Data



<http://www.data.gov>



<http://factfinder2.census.gov>



<http://www.fedstats.gov>

### Key Points

Emergency management personnel can use numerous databases to obtain both raw data and analytical reports. Below are examples of three databases:

**Data.gov** (<http://data.gov>): The purpose of Data.gov is to increase public access to high-value, machine-readable datasets generated by the executive branch of the Federal Government. The site includes the following features:

- "Raw" Data Catalog: Provides instant view/download of platform-independent, machine-readable data.
- Tools Catalog: Includes simple, application-driven access to Federal data with hyperlinks. This catalog features widgets, data mining and extraction tools, applications, and other services.
- Widgets: Provide single-purpose services such as showing the user the latest news, the current weather, the time, a calendar, a dictionary, a map program, a calculator, desktop notes, photo viewers, or even a language translator, among other things.
- Data Mining and Extraction Tools: Allow users to either produce maps, tables, or charts of the subset of data that are specific to the user's interests or to build their own dataset extracted from a data source.

**American FactFinder** (<http://factfinder2.census.gov>): This site provides data from the following surveys:

- The Decennial Census collects data every 10 years about households, income, education, homeownership, and more for the United States, Puerto Rico, and the Island Areas.
- The American Community Survey is a nationwide survey designed to provide communities a fresh look at how they are changing.
- The Puerto Rico Community Survey is the equivalent of the American Community Survey for Puerto Rico.
- The Economic Census profiles the U.S. economy every 5 years, from the national to the local level and by detailed industry and business classification.
- The Population Estimates Program publishes estimated population totals for the previous year for cities and towns, metropolitan areas, counties, and States.

**FedStats** (<https://www.usa.gov/statistics>): This site provides access to the full range of official statistical information produced by the Federal Government. The site provides convenient searching and linking capabilities to more than 100 agencies that provide data and trend information on such topics as economic and population trends, crime, education, health care, aviation safety, energy use, farm production, and more.

## Visual 44: Stakeholders

---

**What techniques do you use to gather trend information from stakeholders?**

### Key Points

Stakeholders can help you recognize emerging trends. It is important to interact with and listen to stakeholders.

**Discussion Question: What techniques do you use to gather trend information from stakeholders?**

## Visual 45: Media Monitoring

The screenshot displays the Addict-o-matic website interface. At the top, there is a search bar with the text "Emergency Management Preparedness" and a "Create" button. Below the search bar, there are "Hot Topics" listed: Bachmann, Neil Diamond, Obama, Justin Bieber, Charlie Sheen, Radiation. The website also features a "build/" logo and the text "Use what you know. Do what you've always imagined. BUILD." and "9.13 - 9.16 / 2011 Anaheim, CA".

The main content area is titled "Topic: Emergency Management Preparedness" and is divided into several search engine results panels:

- Twitter Search:** Lists tweets from @RiskInsurance and @Architizer regarding disaster preparedness and emergency management at campuses and in colleges.
- Bing News:** Lists news articles such as "Thursday's thunderstorm knocks out power - Newnan Times-Herald", "RAK Petroleum, Oman PESCO ink deal - Zawya.com", and "Bill to create board for emergency radio passes (article incorporates a next-day correction) - Anniston Star".
- Google Blog Search:** Lists blog posts from "Social Media Alert - 'Social Media' | SMLRT" and "Emergency Preparedness Updates » Blog Archive » Colorado sends ...".
- YouTube:** Shows video thumbnails related to emergency management.
- Blinkx Mainstream Vid News:** Lists news items like "Approx. 1,500 people unaccounted for Joplin Emergency Management Director on Tornado" and "State of Emergency in Innlin Missouri".

A red box highlights the URL <http://addictomatic.com> in the center of the dashboard.

<http://addictomatic.com>

### Key Points

Monitoring media and social media can help you recognize trends. There are numerous free tools to help you, including:

- **RSS Feeds.** RSS (Really Simple Syndication) is an online feature that delivers changing Web content to you via email alerts. Many of the online news sites and social media allow you to sign up for RSS feeds.

**Search Engines.** New search engines such as **Addict-o-matic** (<http://addictomatic.com>) searches the Web for the latest news, blog posts, videos, and images.

## Visual 46: Popular Culture

---

Centers for Disease Control and Prevention - Use of Popular Culture

### Social Media: Preparedness 101: Zombie Apocalypse



**On this page:**

[Badges](#) | [Widgets](#) | [Content Syndication](#) | [Blog](#) |  
[Twitter](#) | [Facebook](#) | [eCards](#) | [RSS](#) | [Email Updates](#) | [Video Contest](#)

---

### Key Points

#### **Why keep current on popular culture?**

The 2011 CDC warning about zombie apocalypse is a blog post by the U.S. Centers for Disease Control and Prevention (CDC) that used the Zombie Apocalypse scenario to raise public awareness on preparations for the emergency situations.

CDC staff were working on the message to be posted on the CDC blog in advance of the 2011 hurricane season. A staff member remembered a tweet who asked about zombies in connection to nuclear disaster in Japan that was a result of the 9.0 magnitude earthquake and tsunami. This tweet provided an idea for the upcoming CDC post.

Typically, CDC blog posts get between 1,000 and 3,000 hits per week. On the day the Zombie post was posted, it received approximately 30,000 hits. A tweet with a tagline "If you're ready for a zombie apocalypse, then you're ready for any emergency" got 12,000 followers. Over a brief period, the number of followers reached 1.2 million.

CDC is planning a video contest, asking the contestants to demonstrate how they are getting prepared for an emergency situation including floods, earthquakes, hurricanes, and zombie attacks.

In addition, CDC is planning to run a survey to find out how many of the zombie apocalypse's readers actually followed the blog's tips and made recommended preparations for natural disasters, zombie attacks, and other emergency situations.

## Visual 47: FEMA EMI Higher Education Program

15th Annual Emergency Management Higher Education Conference  
June 4-7, 2012  
Emergency Management Institute, Emmitsburg, MD  
[More Information >>](#)

**INSTITUTIONAL RESOURCES**

- Free College Courses, Textbooks, Materials
- Ad-Level EM & Homeland Security Related Training Courses
- Emergency Planning for Higher Education Training

**Emergency Management Competencies and Curricula**  
Documents below are in [MS Word](#) or PDF format. Click on each weekly link for daily report.

VHA – EM Emergency Res Analysis and Report, Joseph Shaw, DSc, Valerie Seeffried  
George Washington University: Institute for Crisis Disaster Management, June 16, 2005 – PDF

<http://www.training.fema.gov/emiweb/edu/>

<http://www.training.fema.gov/emiweb/edu/>

### Key Points

The primary goal of the FEMA EMI Emergency Management Higher Education Program is to work with colleges and universities, emergency management professionals, and stakeholder organizations to help create an emergency management system of sustained, replicable capability and disaster loss reduction. The program promotes formal education, experiential learning, practice, and experience-centered learning. The program also increases collegiate study of hazards, disasters, and emergency management by:

- Enhancing emergency management professionalism.
- Supporting development of the academic discipline of emergency management.  
Encouraging research on hazards and the role of emergency management.

Access to resources and information about the Annual Emergency Management [Higher Education Conference](#) can be found at <http://www.training.fema.gov/emiweb/edu/>



## Visual 48: DHS Centers of Excellence

The screenshot shows the DHS website's 'Homeland Security Centers of Excellence' page. At the top, there is a navigation bar with links for Home, Counterterrorism, Border Security, Preparedness, Response, Recovery, Immigration, Cybersecurity, and News. A search bar is located on the right. The main content area features a heading 'Homeland Security Centers of Excellence' and a paragraph describing the COE network as an extended consortium of universities generating ground-breaking ideas. A photo of a scientist wearing safety goggles is displayed. Below the photo, a URL is highlighted in a box: [http://www.dhs.gov/files/programs/editorial\\_0498.shtm](http://www.dhs.gov/files/programs/editorial_0498.shtm). The page also includes a sidebar with 'Science & Technology' activities and 'DHS Components'.

[http://www.dhs.gov/files/programs/editorial\\_0498.shtm](http://www.dhs.gov/files/programs/editorial_0498.shtm)

### Key Points

The Department of Homeland Security (DHS) Centers of Excellence under the Office of University Programs bring together leading experts and researchers to conduct multidisciplinary research and education for homeland security solutions. Each center is led by a university in collaboration with partners from other institutions, agencies, laboratories, think tanks, and the private sector.

As of June 2012, there are 12 Centers of Excellence across the country.

- The [Center for Risk and Economic Analysis of Terrorism Events \(CREATE\)](http://create.usc.edu/) (http://create.usc.edu/), led by the University of Southern California, develops advanced tools to evaluate the risks, costs, and consequences of terrorism.
- The [Center for Advancing Microbial Risk Assessment \(CAMRA\)](http://www.camra.msu.edu/) (http://www.camra.msu.edu/), co-led by Michigan State University and Drexel University and established jointly with the U.S. Environmental Protection Agency, fills critical gaps in risk assessments for mitigating microbial hazards.
- The [Center for Excellence for Zoonotic and Animal Disease Defense \(ZADD\)](http://iiad.tamu.edu/) (http://iiad.tamu.edu/), co-led by Texas A&M University and Kansas State University, protects the Nation's agricultural and public health sectors against high-consequence foreign animal, emerging, and zoonotic disease threats.
- The [National Center for Food Protection and Defense \(NCFPD\)](http://foodprotection.umn.edu/) (http://foodprotection.umn.edu/), led by the University of Minnesota, defends the safety

and security of the food system by conducting research to protect vulnerabilities in the Nation's food supply chain.

- The [National Consortium for the Study of Terrorism and Responses to Terrorism \(START\)](http://www.start.umd.edu/) (<http://www.start.umd.edu/>), led by the University of Maryland, provides policy makers and practitioners with empirically grounded findings on the human elements of the terrorist threat and informs decisions on how to disrupt terrorists and terrorist groups.
- The [National Center for the Study of Preparedness and Catastrophic Event Response \(PACER\)](http://www.pacercenter.org/) (<http://www.pacercenter.org/>), led by Johns Hopkins University, optimizes our Nation's medical and public health preparedness, mitigation, and recovery strategies in the event of a high-consequence natural or manmade disaster.
- The [Center of Excellence for Awareness and Location of Explosives-Related Threats \(ALERT\)](http://www.northeastern.edu/alert/) (<http://www.northeastern.edu/alert/>), led by Northeastern University and the University of Rhode Island, develops new means and methods to protect the Nation from explosives-related threats.
- The [Coastal Hazards Center of Excellence](http://hazardscenter.unc.edu/) (<http://hazardscenter.unc.edu/>) co-led by the University of North Carolina at Chapel Hill and Jackson State University, performs research and develops education programs to enhance the Nation's ability to safeguard populations, properties, and economies from catastrophic natural disasters.
- The [Center of Excellence in Command, Control and Interoperability \(CCI\)](http://www.purdue.edu/discoverypark/vaccine/) (<http://www.purdue.edu/discoverypark/vaccine/>), co-led by Purdue University (visualization sciences – VACCINE) and Rutgers University (data sciences – CCICADA), creates the scientific basis and enduring technologies needed to analyze large quantities of information to detect security threats to the Nation.

# Visual 49: Sample Professional Organizations



## Key Points

Being affiliated with professional organizations helps emergency management personnel keep abreast of evolving trends and furthers their professional development. The visual includes a sample of the numerous professional organizations that offer insightful information to members and nonmembers. As you review the following list of organizations, think about additional ones you would add.

Organization	Description
<p><a href="http://www.nemaweb.org/">National Emergency Management Association (NEMA)</a>  <a href="http://www.nemaweb.org/">http://www.nemaweb.org/</a></p>	<ul style="list-style-type: none"> <li>• Dedicated to enhancing public safety by improving the Nation’s ability to prepare for, respond to, and recover from all emergencies, disasters, and threats to our Nation’s security.</li> <li>• Provides national leadership and expertise in comprehensive emergency management; serves as a vital emergency management information and assistance resource; and advances continuous improvement in emergency management through strategic partnerships, innovative programs, and collaborative policy positions.</li> </ul>

Organization	Description
<p><a href="http://www.iaem.com/">International Association of Emergency Managers (IAEM)</a> http://www.iaem.com/</p>	<ul style="list-style-type: none"> <li>• Dedicated to promoting the “Principles of Emergency Management” and representing those professionals whose goals are saving lives and protecting property and the environment during emergencies and disasters.</li> <li>• Provides information, networking, and professional development opportunities to advance the emergency management profession.</li> </ul> <p><b>Note:</b> IAEM sponsors the Certified Emergency Manager® program.</p>
<p><a href="http://www.apwa.net/">American Public Works Association (APWA)</a> http://www.apwa.net/</p>	<ul style="list-style-type: none"> <li>• Serves professionals in all aspects of public works.</li> <li>• Offers comprehensive resources in the areas of professional development tools, advocacy efforts, networking opportunities, and outreach activities.</li> </ul>
<p><a href="http://www.apha.org/">American Public Health Association (APHA)</a> (http://www.apha.org/)</p>	<ul style="list-style-type: none"> <li>• Provides professional networking for public health professionals.</li> <li>• Disseminates the latest public health science and practice to members, opinion leaders, and the public.</li> </ul>
<p><a href="http://www.nvfc.org/">National Volunteer Fire Council (NVFC)</a> http://www.nvfc.org/</p>	<ul style="list-style-type: none"> <li>• Promotes and provides education and training for the volunteer Fire/EMS organizations.</li> <li>• Provides representation on national standards-setting committees and projects.</li> <li>• Gathers information from and disseminates information to the volunteer Fire/EMS organizations.</li> </ul>
<p><a href="http://www.theiacp.org">International Association of Chiefs of Police</a> www.theiacp.org</p>	<ul style="list-style-type: none"> <li>• Fosters cooperation and the exchange of information and experience among police leaders and police organizations of recognized professional and technical standing throughout the world.</li> </ul>
<p><a href="http://www.iafc.org/">International Association of Fire Chiefs (IAFC)</a> http://www.iafc.org/</p>	<ul style="list-style-type: none"> <li>• Provides leadership to career and volunteer chiefs, chief fire officers, company officers, and</li> </ul>

Organization	Description
	<p>managers of emergency service organizations throughout the international community through vision, information, education, services, and representation to enhance their professionalism and capabilities.</p>
<p><a href="http://www.iaclea.org/">International Association of Campus Law Enforcement Administrators (IACLEA)</a> <a href="http://www.iaclea.org/">http://www.iaclea.org/</a></p>	<ul style="list-style-type: none"> <li>• Advances public safety for educational institutions by providing educational resources, advocacy, and professional development services.</li> </ul>
<p><a href="http://www.floods.org/">Association of State Floodplain Managers</a> <a href="http://www.floods.org/">http://www.floods.org/</a></p>	<ul style="list-style-type: none"> <li>• Provides resources to professionals involved in floodplain management, flood hazard mitigation, the National Flood Insurance Program, and flood preparedness, warning, and recovery.</li> <li>• Promotes education, policies, and activities that mitigate current and future losses, costs, and human suffering caused by flooding, and to protect the natural and beneficial functions of floodplains – all without causing adverse impacts.</li> </ul>
<p><a href="http://www.naco.org/">National Association of Counties (NACo)</a> <a href="http://www.naco.org/">http://www.naco.org/</a></p>	<ul style="list-style-type: none"> <li>• Provides essential services to the Nation's 3,068 counties.</li> <li>• Improves the public's understanding of county government, and assists counties in finding and sharing innovative solutions through education and research.</li> </ul>
<p><a href="http://www.nlc.org/">National League of Cities</a> <a href="http://www.nlc.org/">http://www.nlc.org</a></p>	<ul style="list-style-type: none"> <li>• Provides programs and services that give local leaders the tools and knowledge to better serve their communities.</li> <li>• Provides opportunities for involvement and networking to help city officials seek ideas, share solutions, and find common ground for the future.</li> <li>• Keeps leaders informed of critical issues that affect municipalities and warrant action by local officials; strengthens leadership skills by offering numerous training and education programs.</li> </ul>
<p><a href="http://www.planning.org/">American Planning Association (APA)</a> <a href="http://www.planning.org/">http://www.planning.org/</a></p>	<ul style="list-style-type: none"> <li>• Promotes effective planning practices through vigorous public information and education</li> </ul>

Organization	Description
	<p>programs.</p> <ul style="list-style-type: none"> <li>• Supports certified planners in their pursuit of certification maintenance.</li> <li>• Promotes national and international partnerships to advance both the planning movement and principles of sustainability, inclusion, and nondiscrimination.</li> <li>• Enhances the state of planning knowledge by identifying and fulfilling a vigorous agenda of applied research.</li> <li>• Shares research results with subscribers, members, and, ultimately, the national community.</li> </ul>
<p><a href="http://www.emap.org/">Emergency Management Accreditation Program (EMAP)</a> http://www.emap.org/</p>	<ul style="list-style-type: none"> <li>• Provides emergency management programs with the opportunity to comply with national standards, to demonstrate accountability, and to focus attention on areas and issues where resources are needed.</li> </ul> <p><b>Note:</b> The Emergency Management Accreditation Program, or EMAP, is a voluntary review process for State and local emergency management programs. Accreditation is a means of demonstrating—through self-assessment, documentation, and peer review—that a program meets national standards for emergency management programs.</p>
<p><a href="http://www.nfpa.org/">National Fire Protection Association (NFPA)</a> http://www.nfpa.org/</p>	<ul style="list-style-type: none"> <li>• Develops, publishes, and disseminates more than 300 consensus codes and standards intended to minimize the possibility and effects of fire and other risks.</li> <li>• Compiles and publishes “NFPA 1600: Standard on Disaster/Emergency Management and Business Continuity Programs.”</li> </ul> <p><b>Note:</b> NFPA 1600 has been approved, adopted, or endorsed by many different organizations. DHS designates NFPA 1600 for use as the criteria for voluntary certification of private sector preparedness programs called for by Title IX of Public Law 110-53.</p>

Organization	Description
Additional Organizations	Add other professional organizations below:

## Visual 50: What is a Dashboard?

A tool emergency management staff use to monitor response activities and trends, and to also measure progress toward the incident objectives.

Instructions: Create a personalized dashboard for monitoring trends in your jurisdiction.

Individually, complete the dashboard worksheet by:



1. Designating a title for your first indicator.
2. Identifying the factors that would make the indicator change status:
  - Green: No Action Needed
  - Yellow: Action May Be Needed
  - Red: Action Needed
3. Repeating the process for at least two other indicators.

As a team, select your favorite indicator and draw it on chart paper.

### Key Points

A dashboard is a tool emergency management staff use to monitor response activities and trends, and to also measure progress toward the incident objectives.

The trends are placed into categories that are designated by different indicators.

- Green Status: No Action Needed
- Yellow Status: Action May Be Needed
- Red Status: Action Needed



## Visual 51: Discussion Question

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**What would go on your jurisdiction's dashboard?**

## Visual 52: Activity 12.6: Administration Policies, Plans, and Procedures (Pre-Work)

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### Instructions:

1. Answer the questions in the pre-work

## Visual 53: Unit Summary

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- Emergency management staff may include administrative, program, and emergency staff
- Staff may be full-time, part-time, or volunteer
- Budgeting is the planned revenues and expenditures for a fiscal period.
- Think strategically about the future of emergency management
- Use all possible sources of data.
- Listen to stakeholders.
- Monitor the media and popular culture.

## Visual 54: Feedback

---



- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.

# Unit 13: Capstone: Flood Scenario Exercise

# Visual 1: Capstone: Flood Scenario Exercise



Capstone: Flood Scenario Exercise

This unit consists of an exercise, after-action meeting, briefing/after-action report, and end-of-exercise debriefing. The estimated times for the unit activities are listed below.

Unit Activity	Time
Exercise Introduction Exercise After-Action Meetings End-of-Exercise Debriefing	4 hours
<b>Total Unit Time</b>	<b>4 Hours</b>

## Visual 2: Purpose

---

- Use the knowledge and many of the skills gained in earlier units
- Simulate the discussions, team-building, and people management skills commonly found in the EOC

### Key Points

The following scenario is designed to simulate the discussions, team-building, and people management skills commonly found in the Emergency Operations Center (EOC). The capstone exercise will allow the students to use the knowledge and many of the skills gained in earlier units, including people management and team-building skills.

## Visual 3: Exercise Overview

Place the students in three equal groups

EOC Manager	Department of Public Works
Assistant EOC Manager	Deputy Fire Chief
Public Information Officer	Voluntary Organizations Active in Disaster (VOAD) Representative
Operations Officer (Lead)	Public Health
Assistant Police Chief	National Guard

Tent Cards (Role, Description) Use the EOC organization and communication processes set up in the earlier activity, and adjust as needed based on the scenario

### Role Descriptions

#### EOC Manager

You are the Central City Emergency Manager and EOC Manager. Liberty County and Central City operate a joint powers emergency management system. The Board of Supervisors and the Central City Council have entered into an agreement to establish the Liberty County/Central City Emergency Management Agency (LC/CEMA). It is governed by a Policy Board made up of the elected officials and senior-appointed officials of each community. The smaller cities in Liberty County have all accepted the joint powers agreement. All municipalities maintain an emergency management focus to support the LC/CEMA staff.

For more information, see ESSD: Part 2, Appendix C, Section 1, page 3.

#### Assistant EOC Manager

You are the Assistant EOC Manager. The following information can be found in the ESSD:

- Central City Disaster and Emergency Services Ordinance: Part 1, Section 6.0
- Liberty County Basic Emergency Plan: Part 1, Section 8.0
- Resource Management Plan: Part 1, Section 9.0
- Available Private-Sector Resources: Part 2, Appendix K

#### Public Information Officer

You are the Central City Public Information Officer. The following information can be found in the ESSD:

- Central City Disaster and Emergency Services Ordinance: Part 1, Section 6.0
- Media Resources: Part 2, Appendix V
- Liberty County Basic Emergency Plan: Part 1, Section 8.0



**Operations Officer (Lead)**

You are the Operations Officer. The following information can be found in the ESSD:

- Central City Disaster and Emergency Services Ordinance: Part 1, Section 6.0
- Liberty County Basic Emergency Plan: Part 1, Section 8.0
- Resource Management Plan: Part 1, Section 9.0
- Available Private-Sector Resources: Part 2, Appendix K

**Assistant Police Chief**

You are the Central City Assistant Police Chief. The Central City Police Department (CCPD) is at X and 11th Streets in Central City and consists of 183 personnel dedicated to public safety and service. The CCPD personnel include one Assistant Chief, three Captains, six Lieutenants, 16 Sergeants, 111 Officers, and 45 civilian employees.

For more information, see the ESSD: Part 2, Appendix F.

**Department of Public Works**

You are the Director of the Department of Public Works for Central City. The Central City Department of Public Works is headed by the director, who has an office in City Hall. The department has two Assistant Directors of Public Works—one that oversees the Street, Building and Safety, and Engineering Divisions and one that oversees the Water and Sewer Division. Mutual aid agreements are in place with county public works departments in the six counties surrounding Liberty County (Stramford, Green, Kane, Mineral, Granite, and Apple) to share heavy equipment and some supplies during emergencies. Additional city resources from these counties can be made available through coordination with their county public works departments. Liberty County Public Works is the coordinating agency for public works mutual aid.

For more information, see the ESSD: Part 2, Appendix J.

**Deputy Fire Chief**

You are the Central City Deputy Fire Chief. The Central City Fire Department (CCFD) has a three-shift system with 88 firefighters assigned to each shift, which includes chief officers, company officers, and firefighters. Minimum daily staffing is 79 firefighters each shift, which includes chief officers, company officers, and firefighters. In addition, the CCFD has 100 volunteer firefighters available citywide.

For more information, see the ESSD: Part 2, Appendix E.

**VOAD Representative**

You are the Central City Voluntary Organizations Active in Disaster (VOAD) Representative. You represent the volunteer organizations active in disaster in Central City and Liberty County. Shelter information can be found in the ESSD: Part 2, Appendix P.

**Public Health**

You are the Public Health Director for Central City. Administration of programs includes:

- Investigating the cause of infectious, communicable, and other diseases
- Exercising quarantine authority and isolation authority as outlined in the general statutes
- Disseminating public health information

- Advising Local officials concerning public health matters
- Enforcing the immunization requirements
- Abating public health nuisances and imminent hazards

For more information, see the ESSD: Part 2, Appendix I.

### **National Guard**

You are the National Guard Liaison. This is the Request for Activation Policy:

- The Local executive official submits a request to the Governor via the Columbia State Emergency Management Agency.
- The Governor can activate for State emergency, including activation/request to adjacent State government for deployment of nearest National Guard Civil Support Team (CST).
- The President can “call” to duty.
- Troops are employed under a single commander or leader as an integral unit or composite unit.
- Troops are not commanded or directed by civilian authority, but rather are provided missions or tasks which then become the commander’s responsibility to accomplish. Technical advice assistance may be furnished to the commander by civilian police officers, prison officials, firefighters, etc.

For more information, see the ESSD: Part 2, Appendix S.

## Visual 4: How the Exercise Works

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- Begin with scenario description and EOC briefing document
- Play your role according to the description
- Organize the EOC to address the scenario issues while responding to additional issues that may arise
- You will receive messages (injects) during the exercise
- Act on the messages and share your decision making with other players
- Document actions on the message form, and then place forms in the box at the back of the room

### Key Points

Your task will be to organize your EOC to address the scenario description and EOC briefing document while responding to additional issues that may arise as a result of the inclement weather.

You will be given messages (injects) during the course of the exercise. Please act on these messages and share your decision making with other players at your table. When you have decided on a course of action, document your actions on the message form and place the form in the box at the back of the room.

**Reminder: If the inject needs to go to multiple people, everyone who responds should initial on the form.**

## Visual 5: Exercise Materials

---

### Student Materials:

- Table tent with position names and descriptions
- ICS 213
- ESSD (if available)
- Large Map for Posting on the Wall (if available)

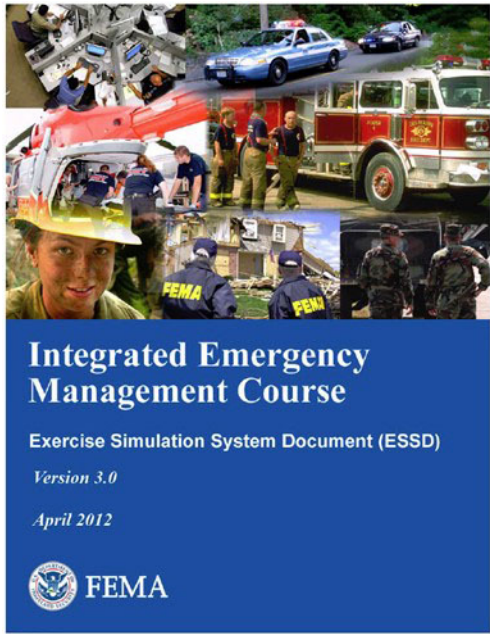
### Instructor Materials

- Message Injects
- Learning Outcomes checklist

## Visual 6: Resource: ESSD

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Basis for Scenario: Integrated Emergency Management Course Exercise Simulation System Document (ESSD)



- Maps
  - Beginning of Part 1 document
- Table of Contents
  - Planning Ordinances
  - List of Appendices
- Tabbed for easy reference

### Key Points

This scenario activity is based on the Integrated Emergency Management Course Exercise Simulation System Document (ESSD). In the ESSD, you will find additional information for the scenario, including role descriptions, planning documents, maps, and available resources.

Although the ESSD is a useful document that contains a wealth of information, the activity can be effectively completed without it if it is not available.

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## Visual 7: After the Exercise

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### Table Groups

- After-action meeting: Discuss what worked, and what needs improvement

### Whole Class

- Exercise debriefing: Focus on people and team-building skills

## Key Points

Please take a few minutes to review the scenario and EOC briefing document that follow.

## Scenario

It is Friday, April 8, in Central City. Several days of warm weather have caused a rapid snowmelt, and the frozen ground and significant spring rains have combined to produce very high water levels in the Roaring River and its tributaries. Weather reports indicate the possibility of even more rain in the next few days. If more rain comes, the Roaring River is expected to reach flood stage by Saturday and continue to rise to at least 6 feet over flood stage by the end of the weekend (see the floodplain map).

The current weather forecast calls for heavy rain through midnight and tomorrow. Highs are expected to be in the mid-80s, lows in the high 60s, with a 60 percent chance of precipitation through midnight (dropping to 40 percent after midnight). The expected precipitation for the next 24 hours is 6-8 inches. Currently, winds are out of the west at 10 to 15 miles per hour (mph).

City officials are concerned that if the river reaches the anticipated level, it could endanger the Central City Water Treatment Plant at S and 3rd Streets. Central City requires 40 million gallons of water per day under normal conditions. The water supply is from a raw water intake in the Roaring River and three large wells within the city limits. All surface water is treated by one 40-million-gallons-per-day (mgd) plant at S and 3rd Streets. The wells at LL and 20th, M and 34th, and FF and 4th Streets, are used only in an emergency and at peak production. Each well has a daily capacity of 650,000 gallons, or a total capacity of 1,950,000 gallons per day, which can be pumped directly into the distribution system after on-site chlorination. All pumps are operated by electric power with diesel generator backup.

Storage consists of two 10-million-gallon ground storage tanks and four 1-million-gallon elevated storage tanks. The 10-million-gallon tanks are at M and 34th and LL and 15th Streets. The elevated storage tanks are at K and 15th, N and 30th, KK and 26th, and DD and 2nd Streets. Central City has no access to any outside water source; however, its treatment plant is modern and is supplied by overhead lines of short lengths from 12-megavolt distribution lines.

Given the potential for significant flooding, the Mayor of Central City has activated the EOC to monitor and prepare response plans for the upcoming potential flood. Based on previous years' floods, she has several concerns that she would like the EOC to address:

- Plan for an orderly evacuation of affected neighborhoods, including adequate sheltering where necessary.

- Monitor water supply for possible contamination.
- Provide security to evacuated areas.
- Ensure effective public warnings and communication.
- Develop plans for the protection of critical infrastructure.
- Develop alternate traffic routes for areas that may be affected by the floodwaters.

## EOC Briefing Document

### Incident Support Objectives Briefing Document Description

#### Incident Support Objectives

Block 1. Incident Name-Central City Flood

Block 2. Date Prepared-4/07/2011

Block 3. Time Prepared-15:30

Block 4. Operational Period (Date and Time)- 4/08/2011 06:00-18:00

Block 5. Objectives for Incident Support

1. Coordinate with nongovernmental organizations to arrange shelter capability for up to 200 residents within 24 hours.
2. Conduct an assessment to identify unmet needs of evacuated residents within the next 3 hours.
3. Activate a call-in center to respond to inquiries about disaster services and family reunification within 2 hours.
4. Deliver food and water response personnel to the standing area.
5. Monitor the development of alternate traffic routes to facilitate evacuation of affected residents.
6. Develop materials and talking points for media briefing scheduled for 12:00 at the Joint Information Center.
7. Coordinate with Public Health and Department of Public Works to ensure the safety of the city water supply.

Block 6. Weather Forecast for Operational Period-Continued rain for the next 24–48 hours. Wind out of the southwest at 3–5 mph with a high of 78 degrees.

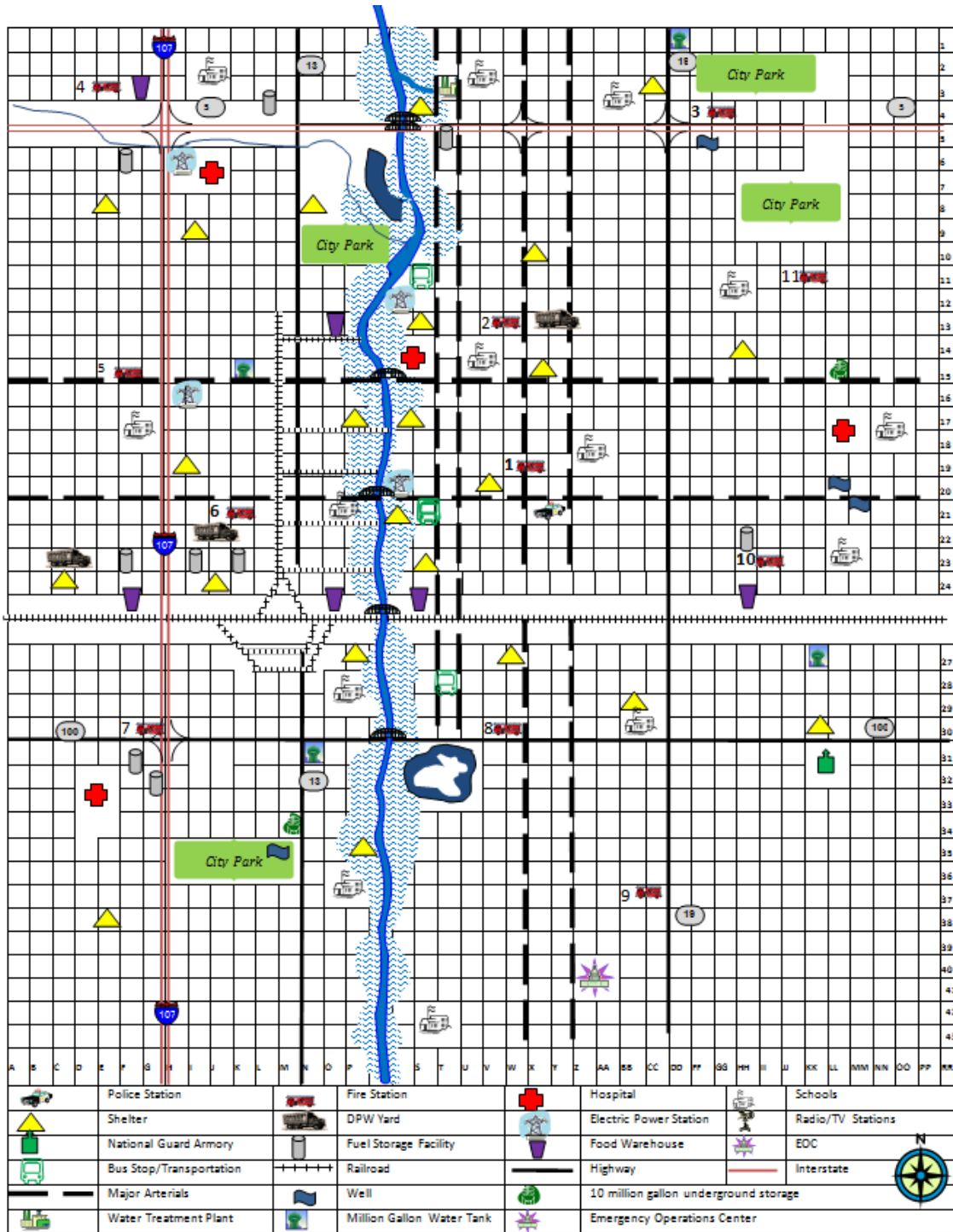
Block 7. General Safety Message- If personnel are required to leave the EOC for any reason, they must keep good situational awareness, and stay out of floodwaters and clear of all downed wires.

Block 8. Attachments-Incident Map, Organizational Structure, Communications Plan

Block 9. Prepared by (PSC)-Stanley Smith

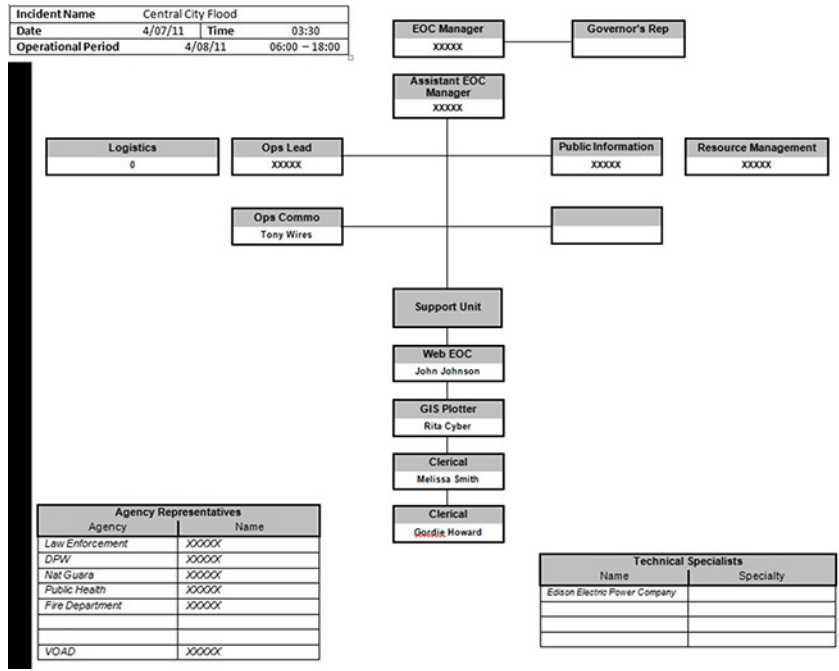
Block 10. Approved by (IC)-Bill Roxo

# Incident Map





# Hierarchy Chart



## Incident Radio Communications Plan

### Incident Radio Communications Plan

### Incident Radio Communications Plan description

- EOC/Incident Radio Communications Plan
- Block 1-Incident Name, Central City Flood
- Block 2-Date/Time Prepared 4/07/11 03:30
- Block 3- Operational Period Date/Time 4/08/11 06:00
- Block 4-Basic Radio Channel Utilization, Function, Radio Type/Cache, Group/Channel, Frequency/Tone, Assignment, Remarks
- First entry—Function-Command Group/Channel-Channel 3 Frequency/Tone-157.85

Second entry-- Function-Support Group/Channel-Channel 4 Frequency/Tone-157.995  
Block 5. Prepared by Communications Support

## Visual 8:     Begin the exercise

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## Visual 9: Post-Incident Scenario

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Read the post-incident scenario in preparation for after-action activities.

### Key Points

Read the final scenario on the following pages in preparation for the after-action activities, which will include the following:

- An after-action meeting in which you will analyze the exercise
- An end-of-exercise debriefing

### Final Scenario

It is now Wednesday, April 13. Floodwaters are beginning to recede in Central City. The I-5 Bridge is still closed and traffic has been diverted. State engineers are working with Liberty County and Central City to assess the level of damage to the bridge.

As the waters begin to recede, damage assessments are being done throughout Central City and Liberty County. Faith Hospital has reopened its emergency department, and after an extensive cleanup, is again able to use the first two floors of the facility. The other three hospitals are continuing to monitor their patients for any increase in gastrointestinal or flu-like symptoms and reporting their findings to the Liberty County Public Health Department.

Truman Elementary School, Harris High School, and Collins Elementary School remain closed to allow janitorial staff sufficient time to clean and inspect the buildings. All of the students are being bused to other schools in the city. Teachers from these three schools are assisting other schools with the increased student load.

The Central City Water Department has been working closely with the Liberty County Public Health Department to continue testing the wells and monitoring the city water supply for contaminants. To date, no significant contamination has been found in the Central City water supply.

Central City officials are working with the Liberty County Department of Emergency Management to implement the recovery process. In the meantime, Department of Public Works crews are clearing mud and debris from city streets and public buildings.

The mayor has asked for an EOC briefing and that all department heads participate in an after-action review to determine what issues were problematic and what can be done to improve response in the future. She would like to focus on the following areas:

- Was there clear and open communication between the various departments and agencies in the EOC?
- How would you organize the EOC in the future for an incident of this nature?
- What additional equipment, resources, facilities, planning, or training would be beneficial to improve your coordination?
- What advantages, if any, did the EOC provide for an incident of this nature?

## Visual 10: After-Action Meeting and Briefings

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Share 3 things that worked well and 3 areas that needed improvement? Focus on:

- Was there clear and open communication between the various departments and agencies in the EOC?
- How would you organize the EOC in the future for an incident of this nature?
- What additional equipment, resources, facilities, planning, or training would be beneficial to improve your coordination?
- What advantages, if any, did the EOC provide for an incident of this nature?

### Key Points

#### Instructions:

1. Conduct an after-action meeting to analyze the exercise: What worked well and what areas need improvement?
2. Share 3 things that worked well and 3 areas that needed improvement? Focus on:
  - a. Was there clear and open communication between the various departments and agencies in the EOC?
  - b. How would you organize the EOC in the future for an incident of this nature?
  - c. What additional equipment, resources, facilities, planning, or training would be beneficial to improve your coordination?
  - d. What advantages, if any, did the EOC provide for an incident of this nature?

## Visual 11: Debriefing

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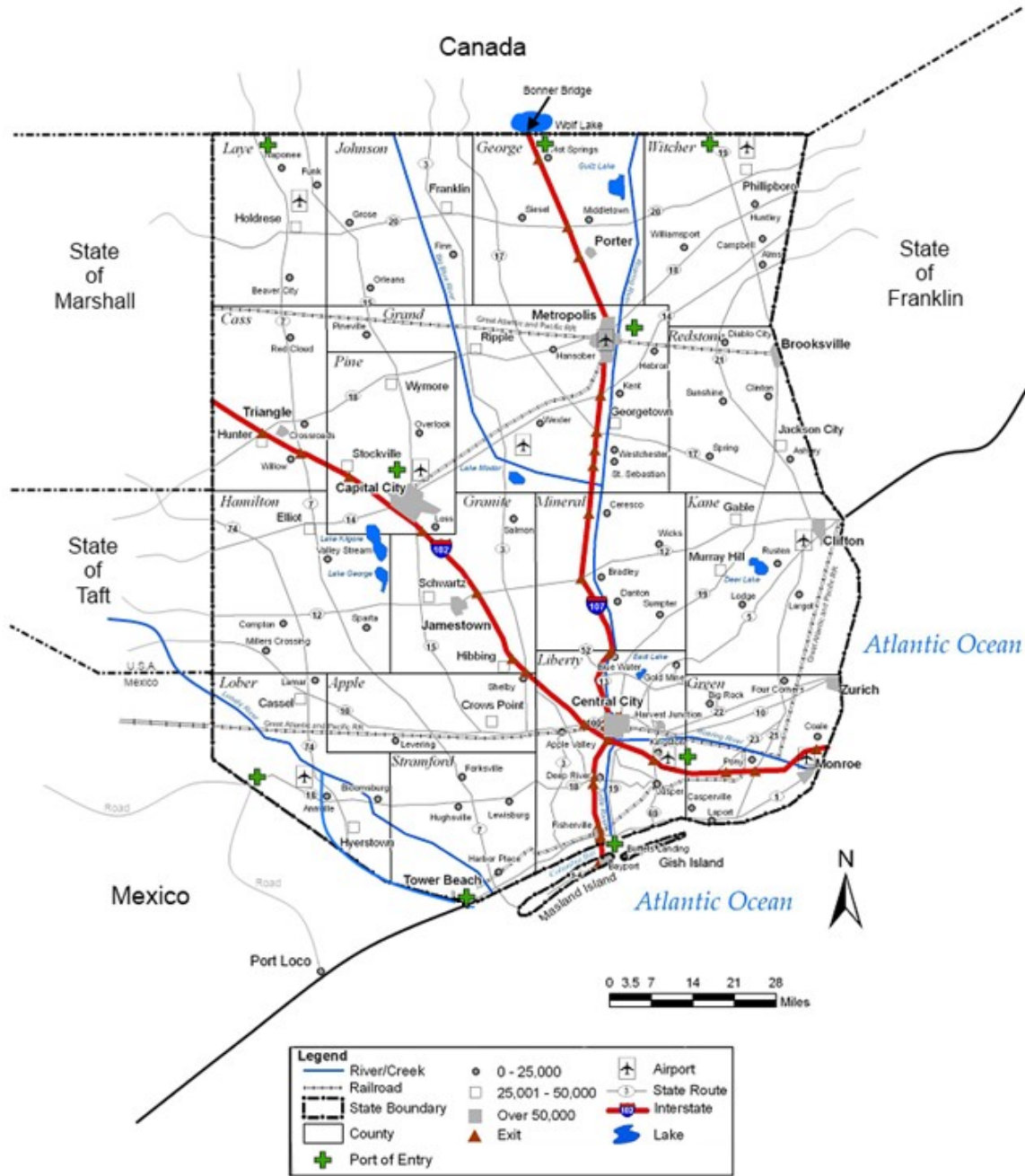
- How were the characteristics of highly effective teams demonstrated?
- How were influencing strategies used or demonstrated?
- What indicators of stress were present in group interactions?
- How were conflicts or problems during the exercise resolved?

### Key Points

#### **Instructions:**

1. Finally, discuss the exercise in terms of people management issues, focusing on the following questions:
  - a. What were the characteristics of highly effective teams demonstrated?
  - b. How were influencing strategies used or demonstrated?
  - c. What indicators of stress were present in group interactions?
  - d. How were conflicts or problems during the exercise resolved?

# State of Columbia Map



## State of Columbia

### Vital Statistics

Population (Based on 2010 Census) 2,694,412  
 Households..... 1,197,516  
 Under 18 ..... 25.3%  
 Over 65 ..... 13.4%  
 Median age .....31.2 years  
 Birth rate per 1,000 ..... 14.8%  
 Death rate per 1,000 ..... 8.8%

### Major Landmarks

#### Triangle Cattle Yard

- Built in 1908 as a depot for getting cattle to the market
- Now open for tours about the history of the cattle industry

#### Lamar Courthouse State Historic Park

- Oldest territorial courthouse in the State
- Now a State park and museum with exhibits and artifacts from Lamar’s colorful past

#### Hayward State Park

- Large surfing attraction

### Quick Facts

#### State Bird

- Cardinal

#### State Flower

- Scarlet Carnation

#### State Tree

- Pine

#### State Motto

- *Potentia Unius* – The Power of One

#### Normal Temperatures

- Mean temperature ..... 72.8°F
- Coldest month ..... January/60.9°F
- Hottest month ..... August/82.5°F

#### Rainfall

- Mean rainfall ..... 48.35 inches
- Driest month .....December/2.3 inches
- Wettest month ..... June/7.35 inches

#### Government Branches

- Executive – Governor and Lt. Governor
- Legislative – 40-person Senate and 80-person House of Representatives
- Judicial – State Supreme Court

#### Size

- 62,000 employees at State, county, and local levels



- Draws visitors from around the world

## Gold Mine

- Founded in the 1859 gold rush
- Restored town and mine offers visitors a glimpse into the past with reenactments and daily life in 1859

## Van Deusen Park and Campground

- Recreational area with water sports, hiking, and nature watching

## Geography

### Highest Point

- Liberty Plateau (Price Point), 1,200 feet

### Lowest Point

- Sea Level, Liberty County

## Economy

### Agriculture

- Poultry
- Cattle and calves
- Greenhouse, nursery, and sod products

### Manufacturing

- Motor vehicles and other transportation equipment
- Textiles
- Chemicals, petroleum, natural gas

## State of Columbia

Columbia is a hub of economic and cultural growth in the United States. The capital, Capital City, was founded in 1830 as a trading post. The capital of the State was moved there after the original capitol building in Central City was destroyed in a flood in 1902. A wide range of activities takes place in the State, which vary based on geography and climate. Although Capital City is the focal point for government, Central City is the more prominent focal point where a large seaport and industrial market promote a great deal of trade.

The State consists of 17 distinct counties. The northernmost counties are George, Johnson, Laye, and Witcher, while the southernmost county is Stramford, which lies on the boundary between the United States and Mexico. Also within the State boundary lays the Great Americana Valley Nation, which is independently governed by a confederation of Roaring River Tribal Community. This land was ceded to the tribal governmental body in the late 1800s, but the county lines remain from the constitutional foundation in 1818, and land-use agreements have been in place between the counties affected and the Nation ever since.

### Training and Exercises

The State exercise program has been very proactive in attempting to coordinate exercise grant funding across multiple districts and varying resource needs. Both Capital City and Central City are part of the Urban Area Security Initiative (UASI) grant program. The counties in the State have had varying levels of success in organizing effective exercise programs, but recent efforts

to reorganize the State's program have made vast improvements in capability and effectiveness. Per order of the Governor's Office, via the State Division of Disaster and Emergency Services, all local and county jurisdictions within the State must conform to the National Incident Management System (NIMS), the Incident Command System (ICS), and the Homeland Security Exercise and Evaluation Program (HSEEP).

The State has been included in recent National Level Exercises (NLEs). State initiatives to develop interoperable communication networks across jurisdictions are meeting with increased success and a statewide intelligent traffic management system is in place to warn motorists of potential issues on the roadways.

# City of Clifton/Kane County

## Vital Statistics/City of Clifton

Population (Based on 2010 Census) 60,000

Households..... 18,333

Under 18 ..... 26.8%

Over 65 ..... 17.4%

Median age ..... 36.8 years

Birth rate per 1,000 ..... 12%

Death rate per 1,000 ..... 5.25%

## Vital Statistics/Kane County

Population (Based on 2010 Census).75,000

Households..... 31,665

Under 18 ..... 27.8%

Over 65 ..... 17.7%

Median age ..... 36 years

Birth rate per 1,000 . .11.1%

Death rate per 1,000 ..... 6.5%

## Culture and Entertainment

### Chamber-Sponsored Events

- Late Winter Expo ..... March
- Annual Golf Tournament..... April
- Spring Fling ..... April
- Fourth of July Celebration ..... July 4
- Clifton Reunion Weekend ..... October
- Annual Holiday Parade ..... December
- Holiday Arts and Craft Show .....December

### Public Library

- Founded 1890, opened 1902
- More than 250,000 books, records, periodicals, pictures, microfilms, videotapes, slides, and the Computer Resource Center
- Located in downtown Clifton

### History Museum

- Founded 1978
- Located in the Old Courthouse
- Dedicated to the rich history of Clifton

### Schools in Kane County (includes Clifton)

- 12 elementary ..... 7,828 students
- 6 junior and 6 senior high.....11,160 students

## Quick Facts

## Business – Major Area Employers

### Major Landmarks

### Clifton Regional Airport

- Daily flights to Liberty International, Atlanta, and Cincinnati

### Beaches

- Numerous beaches along the Atlantic Ocean seashore

### Deer Lake

- Recreational area with camping, fishing and hiking

- City of Clifton ..... 630
- Kane County Memorial Hospital ... 500
- Harvest Junction Community Hospital.....200
- Mal-Mart ..... 480
- Hometown Depot ..... 135
- Public School System ..... 742
- Government ..... 2,021

### Normal Temperatures

- Mean temperature ..... 72.8°F
- Coldest month ..... January/60.9°F
- Hottest month ..... August/82.5°F

### Rainfall

- Mean rainfall ..... 28.35 inches
- Driest month .....December/2.3 inches
- Wettest month ..... April/5.35 inches

### Emergency Management

#### Clifton Fire and Rescue

- 6 fire/ambulance stations
- 80 uniformed service members –
- Pumper Trucks
  - 6Type II
  - 4 Type III
- Ladder Trucks
  - 2 Type I

### Law Enforcement and Security Resources

- 28 uniformed police/security members
- 5 support staff Participant:

- 4 Type II
- Emergency Medical Services (EMS)
  - 8 Type III basic life support (BLS) ambulances

### **Clifton Law Enforcement and Security Resources**

- 80 uniformed police/security members
- 28 support staff

### **Kane County (outside of Clifton) Fire and Rescue**

- 8 fire/ambulance stations
- 80 paid volunteer firefighters and EMTs (paid by call)
- Pumper Trucks
  - 8 Type II
  - 4 Type III
- Ladder Trucks
  - 4 Type I
  - 6 Type II
- EMS
  - 6 Type III BLS ambulances

## **City of Clifton/Kane County**

You are the newly organized exercise planning team for Kane County, including the City of Clifton. Kane County is less than 600 square miles and largely devoted to ocean and agriculture operations, both large- and small-scale. A few small towns are dispersed throughout the county. These towns (Gable, Largo, and Rusten) have between 2,500 to 15,000 inhabitants. The county seat and largest city in Kane County, Clifton has approximately 60,000 residents within the city limits. The population in the city has remained relatively stable over the last few decades. Most of the local population works in the agricultural industry, fishing and coastal tourism industry. There are also a large number of employees in the government, education, and medical fields.

### **Capabilities**

The Clifton Fire and Rescue Service comprises both the fire department and EMS, with 80 total uniformed services members. The fire department has two battalions with three stations each. Two shifts of emergency response personnel work a rotating 3-day on, 2-day off schedule. Eight fire stations in the county are supported by approximately 80 paid volunteers.

Clifton's size and location have not required an extensive police presence, and the city is served by a single station with three 8-hour shifts of police officers. The facility is co-located with the city jail and is in the center of the city, next to the courthouse. The police force has limited experience with emergency operations and response outside the exercises run by the Local Emergency Planning Committee (LEPC) and the Kane County Memorial Hospital. Explosive Ordinance Disposal (EOD) resources have not been required in the area, but Memorandums of Agreement (MOAs) are in place with nearby communities to respond to these types of incidents, should they occur. The county does have a 12 person Special Response Team (SRT) that is a joint city/county team.

Kane County Memorial Hospital has 96 beds with emergency room (ER) services. Severe trauma patients are typically transported to more advanced care facilities in other jurisdictions. There are no decontamination or isolation facilities in the hospital. Gable and Largot have medical clinics.

Public works in Clifton and Kane County are limited to heavy equipment designed for road and bridge repair. Several dump trucks are available for debris removal if they are requested, but the department of public works does not have a formal plan for response to a major disaster or terrorist attack.

### **Hazards and Vulnerabilities**

The Local Emergency Planning Committee (LEPC) has identified potential hazard zones due to the interstate and railway that runs through the county that could be affected by a catastrophic incident. The LEPC has also identified two elementary schools and an assisted living facility that should have an emergency evacuation plan based on the railway hazard.

Threats of communicable diseases are intermittent as surrounding regions periodically report of mumps, measles, and influenza outbreaks. The potential for an Avian Influenza A (H5N1) Virus outbreak in the poultry industry concerns many local leaders, public health workers, and poultry industry workers as "bird flu" cases in other countries have occurred from direct or close contact with infected poultry or contaminated surfaces.

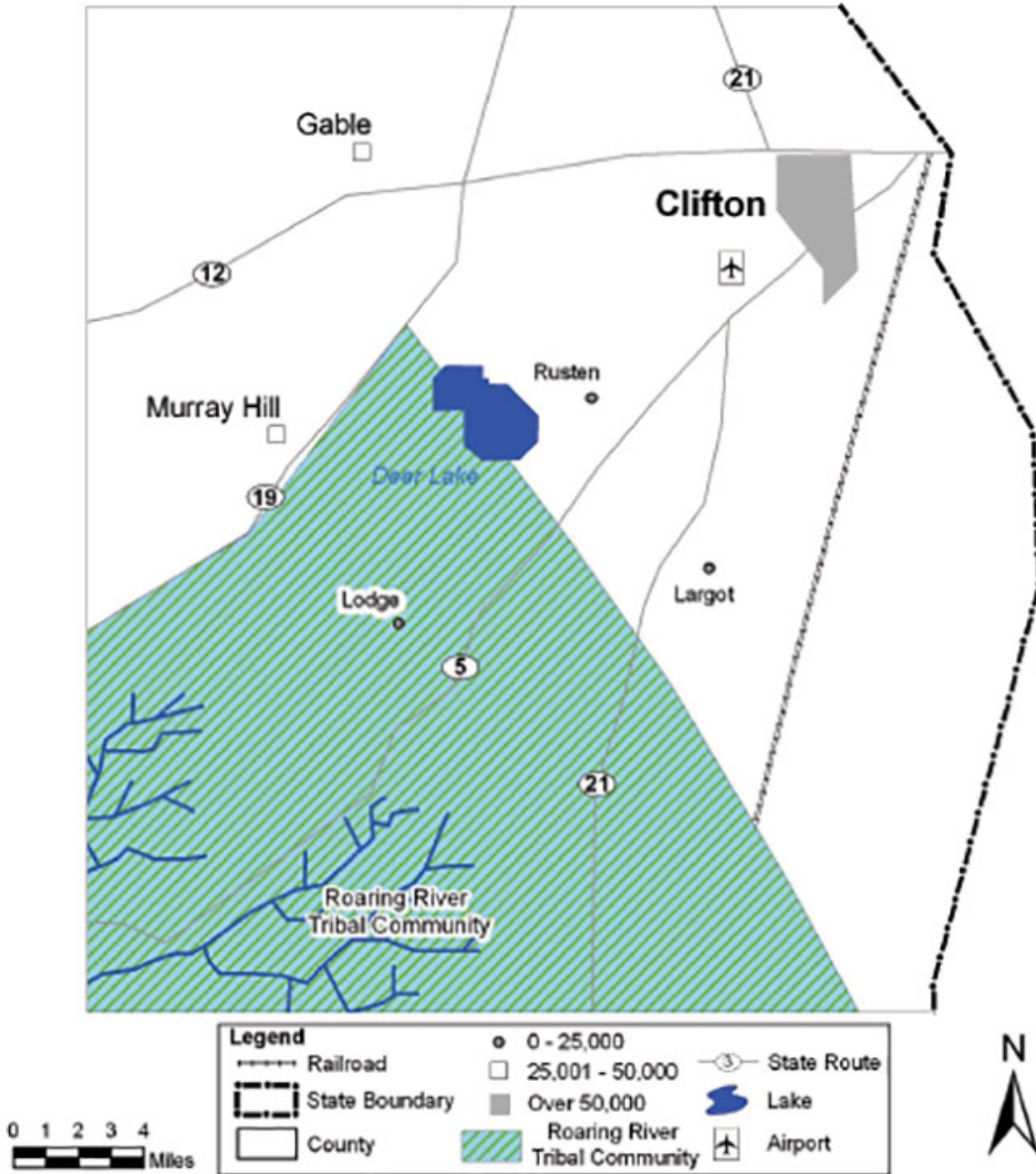
### **Training and Exercises**

Exercise funding has been limited in prior years and what has been received has been centered in Clifton, which used most of the funding to maintain the training levels of local responders in Hazardous Materials (HazMat) response and awareness.

Clifton's local emergency responders have attended HazMat technician certification courses and several statewide conferences relating to HazMat response. The city's operating budget has been insufficient to purchase enough equipment to permit the fire departments to build a functional HazMat team internally, and all previous incidents have been handled by neighboring jurisdictions.

Prior exercises have not been formally provided by the county EMA but were instead developed as part of the local hospital's annual mass casualty exercises. These events have primarily focused on traumatic injuries from a nonspecific source, such as a major car accident, and have been limited to no more than 20 victims. The county has recently applied for grant money to revise the county emergency operations plan, because this issue was discussed in the past round of county commissioner elections. The incumbent lost to the challenger, largely on the issue of disaster preparedness. These new grant applications would allow the city to begin a more comprehensive, all-hazard training and exercise program.

# Kane County Map



# Central City

## Vital Statistics

**Population (Based on 2010 Census)** ..... 149,000

Households..... 60,215

Under 18 ..... 24.2%

Over 65 ..... 9.3%

Median age .....35 years

Birth rate per 1,000 ..... 12%

Death rate per 1,000 ..... 5.15%

## Major Landmarks

### Columbia State University

- Enrollment: 15,000

### Farmers A&M University

- Enrollment: 5,500

### Convention Center

- Built in 1976
- 95,000 square feet of meeting space

### Liberty Coliseum

- Built in 1985
- Home to The Lightning (Semi-Pro Basketball)
- Home to The Pounders (Semi-Pro

## Normal Temperatures

- Mean temperature ..... 65.2°F
- Coldest month ..... January/40.2°F
- Hottest month ..... August/83.6°F

## Rainfall

- Mean rainfall ..... 29.38 inches
- Driest month .....January/2.9 inches
- Wettest month ..... May/5.6 inches

## Culture and Entertainment

### Historical Society

- Founded 1830
- Includes five galleries and a library with more than 50,000 volumes

### Central City Museum

- Founded 1910, opened 1916
- Serves 375,000 visitors a year, including 68,000 students
- Includes Junior Museum, Fire Museum, Planetarium, Lemon House (1880), and Liberty Farms Schoolhouse (1788)

## Schools

- 11,429 students
- 2 School Districts (1 Public and 1 Private)
- Elementary ..... 24
- Junior and senior high ..... 12



Hockey Team)

## Fluman Sloane Stadium

- Home of The Pounders (Double Affiliate/Baltimore Orioles)
- Seats 9,700

## Quick Facts

## Major Area Employers

- DuPont Chemical ..... 4,243
- Columbia State University ..... 2,062
- Columbia State Prison ..... 1,300
- Central City Hospital ..... 958

## Emergency Management

### Central City Fire Department

- 12 stations
- 300 uniformed service members
- Engines
  - 16 Type I
  - 3 Type II
  - 2 Type VI
- Ladder Trucks
  - 4 Type I
  - 2 Type II
- Fire Boats
  - 1 Type II
- Foam Tenders
  - 1 Type I
- Hazardous Materials (HazMat) Entry Teams
  - 1 Type I
- Available Liberty County Mutual Aid (11 Departments)

### Public Works and Engineering

- Public Works Emergency Management Support Team
- Disaster Management Recovery Team
- Equipment Preventative Maintenance Team
- Heavy Preventative Maintenance and Repair Team

### Emergency Medical Services (EMS) Managed by Liberty County

## Law Enforcement

- Liberty County Sheriff's Department
  - 164 Sworn Officers
  - 37 Non-Sworn Staff
- Central City Police Department
  - 138 Sworn Officers
  - 45 Non-Sworn Staff
- 1 Type III Explosive Ordinance Disposal (EOD) team (Central City Police Department)
- 1 Type III Special Response Team (SRT) (Sheriff's Department)
- Columbia State Police District 2
  - 95 Sworn Officers
  - 15 Non-Sworn Staff
- Columbia State University
  - 22 Sworn Officers
  - 5 Non-Sworn Staff
- Farmers A & M University
  - 16 Sworn Officers

## Health Department

- 91 personnel
- 1 Type I Advanced Life Support (ALS) Ambulance
- 6 Type II ALS Ambulances
- 5 Type IV Basic Life Support (BLS) Ambulances
- 1 Type I Rotary Wing Aircraft

## Central City

You are an exercise planning team for Central City. Your city has been the focal point for many activities after the September 11, 2001, attacks, including major terrorism investigations resulting in the arrests of dozens of suspected terror cell members. Your city has undergone a massive overhaul in its emergency response plans and has spent millions of dollars on the purchase of new first responder equipment and training in the last 2 years alone. Major events are planned in the future for your city, including a major party convention in the run up to the Presidential election and a bid for the summer Olympic Games.

The political climate within the city is rather tumultuous, with the mayor announcing that he plans to run for governor in the next term. The governor, who is of another political party, has frequent public disagreements with the mayor's policies, which draws a great deal of media attention. The political leaders of the city are jockeying to position themselves for the mayoral candidacy.

Central City is one of the oldest major cities in the State of Columbia, founded in the late 1700s. After decades of decline and disinvestment, Central City today is attracting national attention for its ongoing rebirth and renewal. Crime and unemployment are both down, achieving levels unseen in decades. Neighborhoods are witnessing a boom of housing, opportunity, and hope. Businesses are relocating and expanding. Major educational reforms are underway, as evidenced by the two universities that call Central City home. Bricks and mortar investment in Central City between 1995 and 2010 is estimated to total several hundred million dollars per square mile, approximately 12–14 billion dollars for the city as a whole. While more remains to be done, Central City is a city on the rise.

### Capabilities

The Central City Fire Department is a modest size department. The department operates three shifts. The fire department typically works a 24-hours on/48-hours off shift. Support personnel are typically weekday only and work 8:00 a.m. to 5:00 p.m.

The law enforcement resources for Central City are extensive and well trained for a city of its size. There is also mutual aid support readily available from the Liberty County Sheriff's Department, the Columbia State Police, Columbia State University, and Farmers A&M University. The Central City Police Department maintains an explosive ordinance disposal (EOD) unit and the Liberty County Sheriff's Department maintains the county Special Response

Team (SRT). The activities relating to special security events in the city have resulted in a force that has expertise in crowd control and response to catastrophic events, including chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE)-related incidents. The city and county both maintain three shifts per day, though 2 twelve hour overlapping shifts may be implemented for high security events.

The health and medical resources in Central City consists of a large number of volunteer and professional medical services personnel, including 4 hospitals with a combined bed capacity of over 600 beds. These teams have been active in response to disasters. Most recently, they have responded to the crash of an airliner in a residential district on the outskirts of the city, numerous tornadoes, and the hurricanes that struck the State of Columbia, Liberty County and Central City on nearly an annual basis.

The Central City Department of Public Works has a significant amount of disaster recovery equipment including, a Public Works Emergency Management Support Team, Disaster Management Recovery Team, Equipment Preventative Maintenance Team, and a Heavy Preventative Maintenance and Repair Team. Memorandums of Agreement (MOAs) are signed with construction crews in the city indicating that equipment may be required for use by the city in a time of emergency. Liability is assumed by the city in these instances, and equipment rental and operator time is reimbursed by the city as a part of this agreement. There are a total of 339 employees in the department, including five full-time personnel that serve in the county/city joint Emergency Operations Center (EOC) when activated.

A U.S. Coast Guard (USCG) Marine Safety Unit (MSU) is located in the southern part of the county in the bay area and is responsible for response to large spills and other disasters in the region, including the Turtle River. The State of Columbia National Guard's 40th Weapons of Mass Destruction (WMD) Civil Support Team (CST) is also headquartered in the southeastern area of the county and has been responsive to city requests for support in both exercises and unknown chemical discoveries and exposures. Several other assets are located in the area, such as the 6th Rescue and Recovery Squadron, which includes lifesaving capabilities and services to civilian and military agencies.

### **Hazards and Vulnerabilities**

Central City is close to a large, exposed coastline and is situated within approximately 2 hours driving time from two other major metropolitan areas. The city is a hub of industrial and commercial transportation and has one major airport serving national and international flights. There is a major railway for the Great Atlantic and Pacific Railroad that passes directly through Central City and presents a hazardous material (HazMat) vulnerability due to the amount of industrial chemicals that are transported through the city on a daily basis. Central City has one major interstate highway that runs through the city (I-107) and another interstate highway (I-102) just to the south of the city. The Central City Light Rail System operates three car units that transport over 18,000 customers per day.

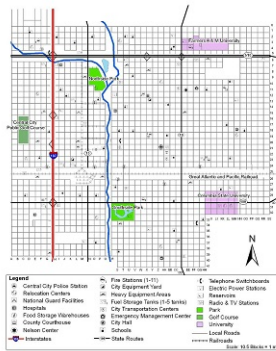
### **Training and Exercises**

The funding stream for the city has been adequate to meet the needs of past exercises through a combination of Federal and State grants, a healthy tax base, and a budget provided by the city government.

Past exercises have included a portion of the past two National Level Exercises (NLEs), which included Federal, State, and local agencies from the county and city. However, those exercises

were conducted without any significant grant funds, which limited local and State agency participation. There has also been a significant decrease in homeland security funding, which has delayed new equipment purchases. Interest in the preparedness level of the city is high due to method in which the homeland security funds within the city have been recently spent due to issues in the response to recent disasters and with an election less than two years away.

## Central City



# Green County

## Vital Statistics

**Population (Based on 2010 Census) Population**  
 ..... 196,000

**Households**.....  
 .... 31,612

**Under 18**  
 .....  
 17%

**Over 65**  
 .....4  
 %

**Median age**  
 .....36.4 years

**Birth rate per 1,000**  
 ..... 11%

**Death rate per 1,000**  
 ..... 5.15%

## Major Landmarks

### Monroe Regional Airport

- Daily flights to Liberty International, Atlanta, and Cincinnati

### Beaches

- Numerous beaches along the Atlantic Ocean seashore

### South Branch Train Depot Museum

- Restored depot for the Great Atlantic and Pacific Railway

## Culture and Entertainment

### Public Library

- Founded 1950
- More than 275,000 books, records, periodicals, pictures, microfilms, videotapes, slides, and the Information Technology Resource Center
- Four branches, three satellites, and one bookmobile

### Douglas Museum

- Founded 1925
- Serves 175,000 visitors a year, including 28,000 students
- Includes Children's Science Museum, Fire Museum, Planetarium, and Natural History Museum

### Schools

- Public elementary ..... 14
- Middle and senior high ..... 8
- Private and parochial.....4
- Total number of public school students.....14,000

## Emergency Management

### Monroe and Zurich Fire and Rescue

- 3 fire stations
- 102 full-time firefighters
- 12 full-time support staff
- Pumper trucks

## Quick Facts

### Major Area Employers

- Retail, including large factory outlet mall
- Railroad
- Fishing
- Coastal Tourism

### Normal Temperatures

- Mean temperature ..... 72.8°F
- Coldest month ..... January/60.9°F
- Hottest month ..... August/83.5°F

### Rainfall

- Mean rainfall ..... 28.35 inches
- Driest month .....December/2.3 inches
- Wettest month .....April/5.35 inches

- 3 Type I
- 6 Type III
- Ladder trucks
- 3 Type II
- Emergency Medical Services (EMS)
  - 1 Type I advanced life support (ALS) ambulance
  - 2 Type II ALS ambulances
  - 2 Type III ALS ambulances
  - 6 Type III basic life support (BLS) ambulances

### Monroe and Zurich Law Enforcement

- 125 uniformed police/security members
- 50 support staff

## Green County

You are the exercise planning team for Green County, which is situated east of Liberty County and Central City along the Atlantic Ocean.

The county has historically been a railroad and fishing area with thriving fishing areas off the coast of both Monroe and Zurich. The regional airport and seasonable weather associated with a coastal area has resulted in an influx of many families seeking a home outside of large urban areas. Interstate 102 (I-102) provides a direct route to Central City and points west. As the population increases, so does the demand for resource basics, such as water treatment and schools, and less emphasis has been placed on emergency services.

### Capabilities

Green County’s fire and emergency services are provided by the two major fire departments (Monroe and Zurich) and by an additional 10 volunteer fire departments across the county, including rural volunteer fire departments in Coale, Casperville, and Laport. Outside of the Monroe and Zurich Fire Departments, the remainder of the county is staffed by a small contingent of full-time dispatchers and full-time staff and supported by 250 volunteer members. Emergency responders are summoned to the volunteer stations via pager and telephone. A campaign is currently underway to improve response time throughout the county by hiring more

full-time personnel; however, the county has not been able to obtain sufficient funds to accomplish this. Hazardous Materials (HazMat) responses are handled in agreement with surrounding communities.

Green County's law enforcement agencies include the city police departments in Monroe and Zurich, which are equally staffed, and the county sheriff's office. There is countywide mutual aid in place for law enforcement, as well as limited support from the State of Columbia State Police. There are no organic Explosive Ordinance Disposal (EOD) or Special Response Team (SRT) assets within the county, though both Monroe and Zurich are exploring the creation of SRT units in each jurisdiction.

The Green County health care system consists of a single public hospital (St. Dorothy's Hospital) in Monroe, along with three urgent care clinics. There is no isolation facility, but the emergency room (ER) does have a decontamination corridor that was recently purchased and installed.

The local emergency response network comprises of a large volunteer force that, while well-trained, is not well-equipped to deal with a mass casualty incident (MCI). Mutual-aid agreements (MAAs) exist between the county and adjacent counties for aid in times of disaster.

### **Hazards and Vulnerabilities**

Due to the interstate and railway line that runs through the county, there is interest by a few chemical manufacturing facilities that are interested in relocating to remote areas of the county. Some developers have been able to persuade government authorities to allow developments to go through, but there is still large public concern. As is, numerous industrial chemicals are transported through the county on any given day. The county is also susceptible to hurricanes due to low-lying areas near the coastline.

There is no disaster response team within the county for response to mass MCIs. Additional concerns have been raised after a letter purportedly containing ricin was delivered to a local developer's office by a long-time resident who was upset by the potential relocation of chemical manufacturing plants to Green County.

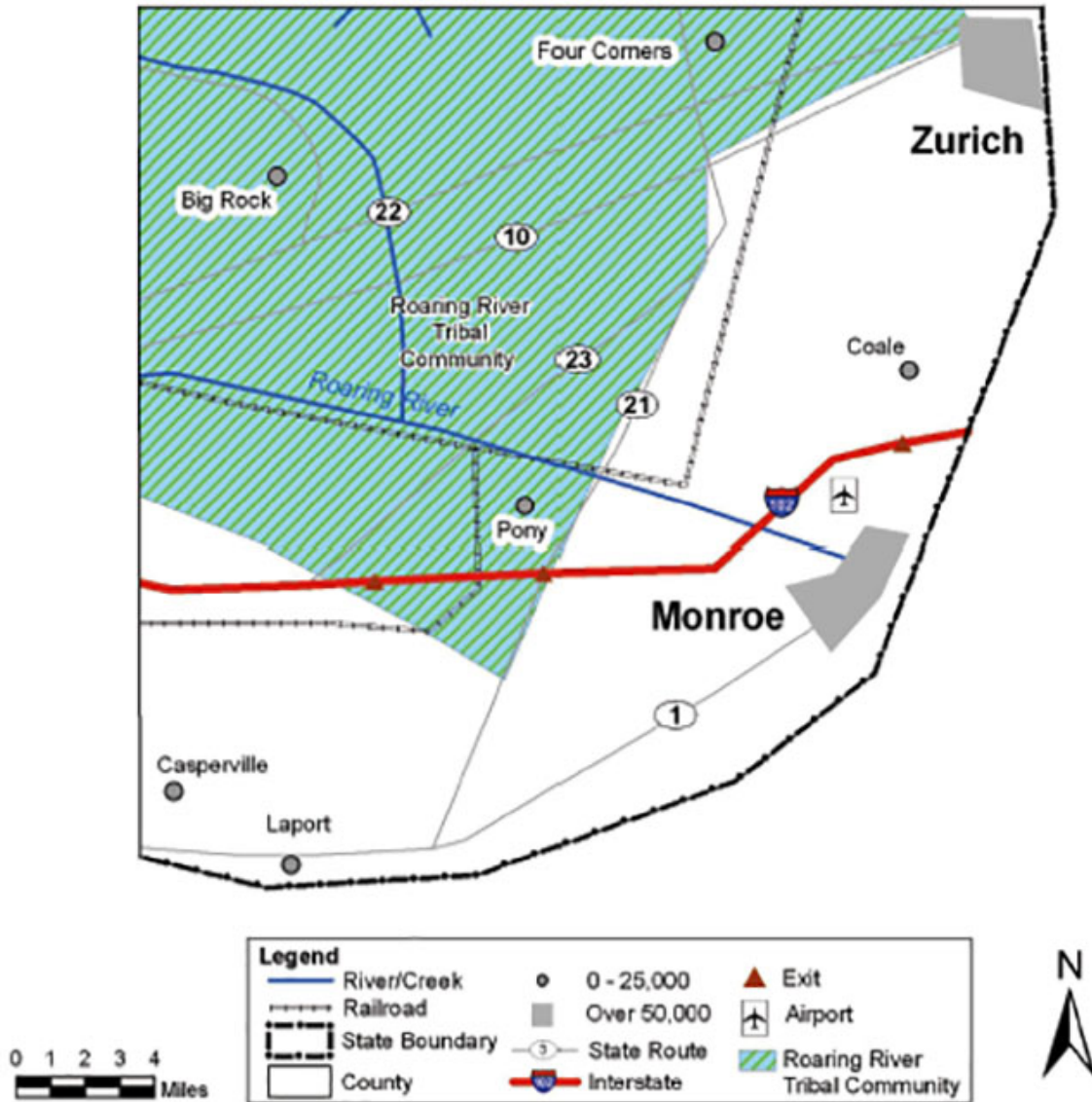
### **Training and Exercises**

Exercise funding has been adequate in the past, but the rapid growth of the area has resulted in most of the resources provided by grants and the local budgets being funneled to the purchase of equipment and facilities for new first responder units. Due to decreases in homeland security funding, first responder training and exercises are being scaled back due to cost saving measures.

The emergency response plan is rapidly becoming outdated because of changes in population and has not been exercised in over 2 years. The plan has had one addition. Due to recent railway expansion projects and an increase in the transport of hazardous materials, the railroad conducted a tabletop exercise (TTX) with the county emergency management agency and first responder organizations. The end result was an update to the county HazMat Annex, which was promulgated last year.

## **Green County**





# Mineral County

## Vital Statistics

### Population (Based on 2010 Census)

..... . 26,000  
 Households.....  
 7,471  
 Under 18 .....  
 27.3%  
 Over 65  
 .....12.3%  
 Median age .....35.1  
 years  
 Birth rate per 1,000 .....  
 14%  
 Death rate per 1,000 .....  
 6.15%

## Major Landmarks

### Mineral Mountains

- Recreational area with camping, fishing, hiking, and white water rafting

### Roaring River Rapids

- Recreational area with camping, fishing, hiking, and white water rafting

## Quick Facts

### Business - Major Area Employers

- Lumber Companies.....250
- Mineral County Hospital.....300

## Rainfall

- Mean rainfall ..... 37.07 inches
- Driest month .....October/2.65 inches
- Wettest month .....April/4.78 inches

## Culture and Entertainment

### Public Library

- Founded 1976
- More than 200,000 books, records, periodicals, pictures, microfilms, videotapes, and slides
- Three branches

### Fall Foliage Festival

- Held the 2nd weekend in October. Attracts over 10,000 tourists.

### Bradley Community Theatre

- Built 1968
- Remodeled 1989
- Seats 879 people

## Schools

- Public elementary ..... 6
- Junior/senior high ..... 5
- Private and parochial.....1
- Total number of public school students.....4,700

- Businesses.....1,400

## Normal Temperatures

- Mean temperature ..... 55.3°F
- Coldest month ..... January/34.8°F
- Hottest month ..... July/79.2°F

### **Emergency Management Mineral County Fire and Emergency Services**

- Eight stations across five fire departments
- One Type II Wide Area Search and Rescue Team
- 65 uniformed service members
- Pumper Trucks
  - Eight Type III
- Ladder trucks
  - Three Type I
- Foam Tenders
  - One Type I
- Emergency Medical Services (EMS)
  - 6 Type III advanced life support (ALS) ambulances
  - 10 Type II basic life support (BLS) ambulances

### **Law Enforcement and Security Resources Mineral County Sheriff's Department**

- 25 uniformed police/security members
- 6 support staff

## Mineral County

You are an exercise planning team for Mineral County. The population of your county (approximately 26,000 people) is mostly from an agricultural and forestry background. The Roaring River provides a source of employment and recreation during the late-Spring/early-Fall

time-frame. The Mineral Mountains provide recreational and Fall foliage-viewing opportunities. The county is very rural with only 5 communities (Bradley, Ceresco, Danton, Sumpler, and Wicks). The road network in the county is primarily two-lane highway with the exception of I-107, which runs north to south through the county. limited to four-lane highways in the cities and two-lane State highways connecting the populated areas. Large cities lie to the north (Metropolis) and south (Central City).

### **Capabilities**

Due to being a small community, there has been little influx of homeland security funding to purchase equipment, train, or exercise. Hazardous materials (HazMat) responses are conducted through mutual-aid agreements (MAAs) with contiguous counties.

Mineral County Hospital is an aging hospital built in the mid 1950s, though it has recently been renovated and now has a state-of-the-art emergency room (ER) with an isolation ward but does not have an organic decontamination unit. The hospital has the capacity to treat approximately 85 patients with varying levels of illnesses at one time. The hospital staff has also developed an emergency plan that uses off-duty employees in case of a mass casualty incident (MCI).

The Public Works Department has not been active in disaster response except during response to wildfires when road graders and bulldozers are used for creating fire breaks.

### **Hazards and Vulnerabilities**

The fire departments throughout the county are split between two major functions: battling frequent brush fires and structural fires in a very rural setting. There are only 65 volunteers throughout the entire county. There are 5 fire departments and eight stations. Each station has a minimum of one assigned fire company and ambulance crew. The employees of the departments are primarily volunteers, though there are paid firefighters that are on a 12-hour shift at the main fire station in Bradley.

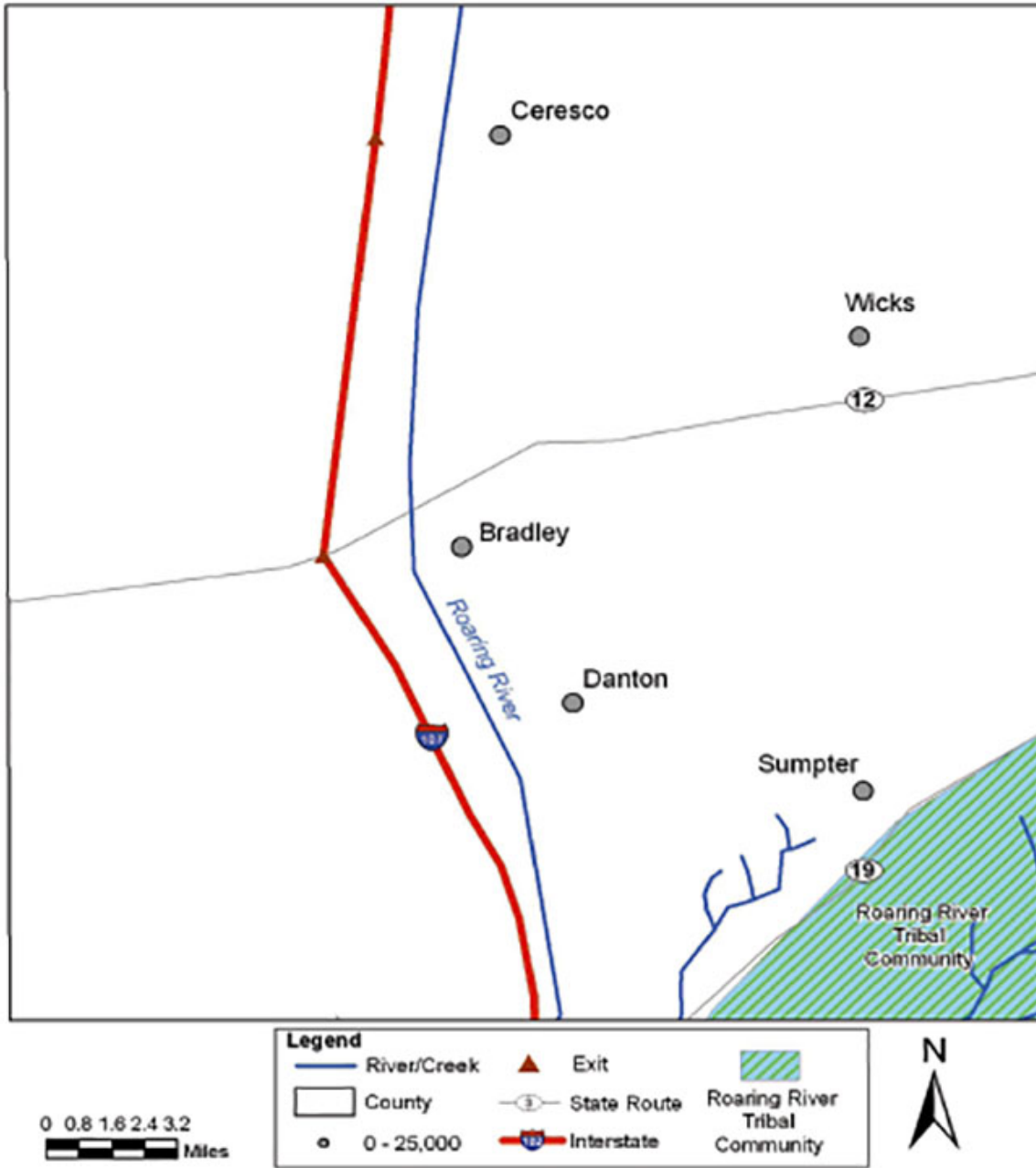
The county Sheriff's Department is the primary law enforcement presence in Mineral County, with the exception of limited support from the State of Columbia State Police. These county Sheriff's Department has received little training in MCIs and has no protective gear to respond to a HazMat incident. There are no special teams assigned within the law enforcement departments for response to high-risk situations (e.g., hostage situation, barricaded suspects, terrorism).

### **Training and Exercises**

With the exception of limited funding from the Local Emergency Planning Committee (LEPC), there is no formalized exercise-funding source, though local departments and agencies do participate in hospital drills and exercises. There are ongoing efforts to secure homeland security funding due to the counties geographic position between two large urban areas.

The county response agencies have good relationships and training events have often included representatives from most of the emergency response services. No formal exercises have taken place to verify that emergency operations functions are well-coordinated. Most of the past occasions for county emergency response personnel to work together in an extended manner have involved tornado recovery, wildfires, and flood response along the Roaring River after heavy rains.

# Mineral County



# Stramford County (Tower Beach)

## Vital Statistics

Population (Based on 2010 Census) ..... 145,000  
 Households..... 43,393  
 Under 18 ..... 26.3%  
 Over 65 ..... 14.7%  
 Median age ..... 37 years  
 Birth rate per 1,000 ..... 12%  
 Death rate per 1,000 ..... 5.15%

## Major Landmarks

### Camp Lewisburg

- Dates to the Spanish-American War
- Houses to military museum

### Metro Kiwanis Sportsplex

- Located in the city center
- This park and recreation complex is the gem in the city's recreational facilities

### Tower Beach

- Popular beach attraction
- Large tourism and fishing industry

## Normal Temperatures

- Mean temperature ..... 65.2°F
- Coldest month ..... January/40.2°F
- Hottest month ..... August/83.6°F

## Rainfall

- Mean rainfall ..... 29.38 inches
- Driest month ..... January/2.9 inches
- Wettest month ..... May/5.6 inches

## Culture and Entertainment

### Performing Arts Center

- Opened in 1965
- Seats 1,500 people

### Public Library

- Founded 1940
- More than 500,000 books, records, periodicals, pictures, microfilms, videotapes, slides, and the Technology Resource Center

### Tower Beach Museum

- Founded 1960
- Serves 15,000 visitors a year
- Includes Planetarium, Cotton Mill (1850), and Tower Beach Schoolhouse (1888)

## Schools

- Public elementary ..... 14
- Junior/senior high ..... 8
- Private and parochial.....4

## Quick Facts

- Total number of public school students.....14,000

## Business - Major Area Employers

- Tourism
- Fishing
- Commercial
- Industrial
- Shipping

### **Emergency Management Stramford County Fire and Rescue**

- 8 stations across 5 fire districts
- 230 uniformed service members
- Pumper Trucks
  - Five Type I
  - Eight Type III
- Ladder Trucks
  - One Type I
- Hazardous Materials (HazMat) Teams
  - 2 Type II
- Emergency Medical Services (EMS)
  - Four Type I advanced life support (ALS) ambulances
  - Ten Type II basic advanced life support (BLS) ambulances

### **Law Enforcement and Security Resources Tower Beach Police Department**

- 125 uniformed officers
- 15 support staff

### **Stramford County Sheriff’s Department**

- 175 uniformed officers
- 15 support staff
- One Type III Special Response Team (SRT)

### **U.S. Customs and Border Protection (Stramford Sector)**

- 350 uniformed officers
- 55 support staff
- One Type III Special Response Team (SRT)

### **Public Works and Engineering**

- One Type I Recovery Director
- One Type II Assessment Director

## **Stramford County**

You are the exercise planning team for Stramford County. The county has undergone a massive transformation in the last 50 years from a small beach and agricultural community to an industrial and research hub for both government and industry. The county enjoys a full range of emergency services that are well-funded due to the high number of terrorism suspects that have been arrested.

Stramford County sits along the border between the United States and Mexico. The county is a major point of transfer for people and goods between the two countries, but many of the largely unpopulated areas have also made it a haven for people entering the United States illegally. Citizen groups have formed to attempt to stem the tide and assist the government in maintaining border integrity, but some of these groups have conducted operations that have been seen as unnecessary and potentially dangerous. Additional U.S. Customs and Border Patrol (CBP) staff have been hired over the past few years. The U.S. Department of Homeland Security (DHS) has provided numerous training opportunities for the county's law enforcement personnel to better prepare them to assist CBP operations to eliminate the entry of potential terrorists into the country, but many residents of the county do not see the effect because of the extent of the border and the limited number of agents and officers on patrol along the border. There were 25 individuals from countries the U.S. Department of State has identified as supporting terrorism that were captured attempting to cross the border in the last year, raising the concern of local residents about potential terrorists slipping across the border.

### **Capabilities**

The city has benefited from the relationship with the local CBP sector by conducting joint exercises in emergency response in the past, and many mutual-aid agreements (MAAs) exist between CBP and local emergency responders. The frequent antiterrorism drills and exercises conducted by the county are seen positively by county residents, and pressure is frequently placed on elected officials to increase involvement from county emergency management personnel.

The Stramford County Fire Department is made up of 8 stations across 5 fire districts and is supported by 230 uniformed members. The department works on a split-shift schedule. There are four actual shifts, with two shifts on duty at all times. The shift change for one shift occurs at



6:00 a.m., while the second occurs at 6:00 p.m. The fire department typically works a 48-hour shift. Support personnel are typically weekday only and work 8:00 a.m. to 5:00 p.m.

Stramford County has a fairly robust law enforcement community, with the Stramford County Sheriff's Department and Tower Beach Police Department having a total of 300 sworn officers between the two departments, as well as a the Sheriff's Department SRT. There are also 350 Border Patrol Officers assigned to the Stramford Sector, including a CBP SRT. All departments, including the CBP Officers, all work 8-hour shifts. There are Memorandums of Understanding (MOUs) in place with the CBP to provide mutual-aid support.

The Tower City healthcare system comprises a single public hospital (Tower Beach Community Hospital) and several acute care facilities and family care clinics. The River Valley Hospital has a state-of-the-art burn center with many experts in trauma, burns, and HazMat exposure.

The Public Works Division has a moderate inventory of disaster recovery equipment, including cranes and dump trucks for debris removal but has no assigned team for this purpose. There are no full-time personnel assigned as disaster recovery specialists, but two individuals work with the city to keep plans updated and serve in the city Emergency Operations Center (EOC) when activated. They typically work from 8:00 a.m. to 5:00 p.m. at the Public Works Department and are on call at other times.

### **Hazards and Vulnerabilities**

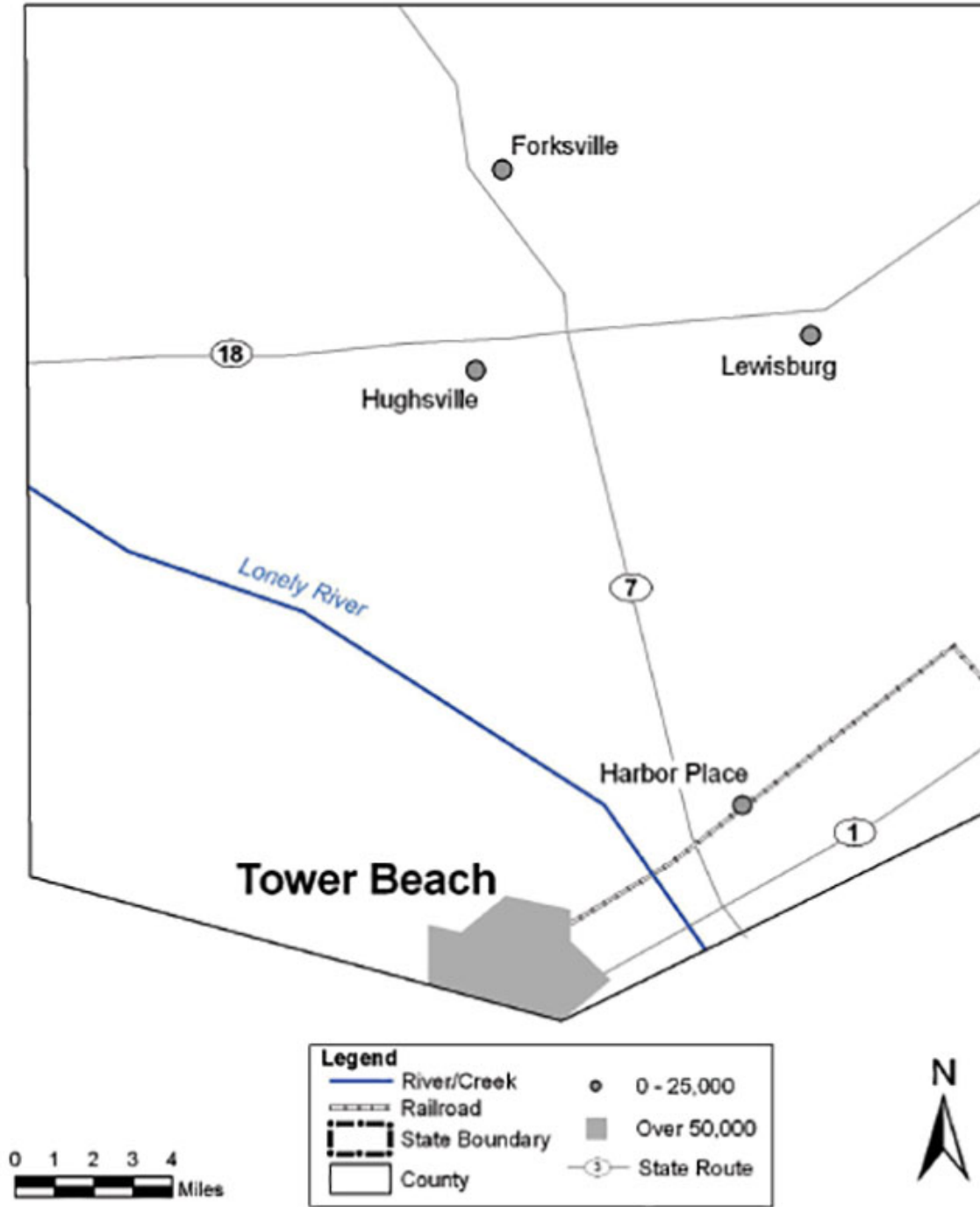
Tower Beach serves as a port of entry into the United States, which results in a large amount of commerce being transported into the county and subsequently moved via rail to points throughout the United States, including a large amount of HazMat. There is also a railway, which transports commerce between Mexico and the United States.

Being a coastal community, Tower City is susceptible to hurricanes and coastal flooding. There is also the threat of river flooding along the Lonely River, but it largely flows outside of populated areas. Other hazards include tornadoes and threats of terrorism.

### **Training and Exercises**

A variety of homeland security training has been conducted throughout the county. Exercise funding has improved over the last 3 years, with current funding being adequate to support a variety of city and county exercises for the foreseeable future.

## Stramford County



# Capital City

## Vital Statistics

**Population (Based on 2010 Census) Population**  
 ..... 265,000

Households.....  
 106,854

Under 18 .....  
 20.3%

Over 65  
 .....18.2%

Median age .....34.2  
 years

Birth rate per 1,000 .....  
 11%

Death rate per 1,000 .....  
 6.25%

## Major Landmarks

### Falcon Tower

- 620-foot tall tower with observation deck, completed in 1991

### Columbia State Capital

- Built in 1843
- Contains chamber for the State House and Senate

## Quick Facts

### Business - Major Area Employers

- State government.....23,000
- New Twinkie/Fruit Pie Bakery.....5,000

## Rainfall

- Mean rainfall ..... 28.2 inches
- Driest month .....January/2.1 inches
- Wettest month .....May/5.3 inches

## Culture and Entertainment

### Capital City Museum

- Founded 1910, opened 1916
- Serves 425,000 visitors a year

### Capital City Stadium

- Built in 2011
- State-of-the-art multi-purpose stadium
- Home of the Capital City Crusaders (Coastal Football League Professional Football)

### Historical Society

- Founded 1950
- Includes three galleries, library with more than 20,000 volumes, and 28 historical sites

### Downtown Performing Arts Center

- Opened in 1985
- Seats 4,500 people
- Serves as the home of the Capital City Symphony Orchestra

- Great Atlantic & Pacific Railway..4,000
- Capital City Hospital.....1,264
- Pine Cogeneration Plant.....1,100
- Coca-Cola Bottling Company.....1,050

## Normal Temperatures

- Mean temperature ..... 64.2°F
- Coldest month ..... December/37.1°F
- Hottest month ..... August/82.4°F

### Emergency Management Capital City Fire Department

- 20 stations
- 475 uniformed service members
- Engines
  - 22 Type I
  - 6 Type II
  - 4 Type VI
- Ladder Trucks
  - 8 Type I
  - 4 Type II
- Hazardous Materials (HazMat) Entry Teams
  - 1 Type I
- Available Liberty County Mutual Aid (4 Departments)

### Emergency Medical Services (EMS)

- 130 personnel
- 3 Type I Advanced Life Support (ALS) Ambulance
- 12 Type II ALS Ambulances
- 10 Type IV Basic Life Support (BLS) Ambulances

### Law Enforcement

- Pine County Sheriff's Department
  - 250 Sworn Officers
  - 50 Non-Sworn Staff
- Capital City Police Department
  - 200 Sworn Officers
  - 75 Non-Sworn Staff
- 1 Type III Explosive Ordinance Disposal (EOD) team (Capital City Police Department)
- 1 Type III Special Response Team (SRT) (Sheriff's Department)
- Columbia State Police HQ and District 1
  - 195 Sworn Officers
  - 70 Non-Sworn Staff

- 1 Type I Rotary Wing Aircraft

### **Public Works and Engineering**

- Public Works Emergency Management Support Team
- Disaster Management Recovery Team
- Equipment Preventative Maintenance Team
- Heavy Preventative Maintenance and Repair Team

## **Capital City**

You are the exercise planning team for Capital City, which is the largest city in the State of Columbia. The city comprises a large urban area surrounded by a relatively large suburban sprawl. A large number of commuters live within 2 hours of the city center and travel I-102, which skirts the southern to western edges of the city. The region is a major transfer point for ground-based and air-based commerce and serves as a port of entry. It has one major airport that serves domestic flights and acts as a hub for several smaller discount airlines.

The city has a fairly robust light-rail system and is also served by commercial rail. The light rail system serves over 30,000 customers per day. The Capital City Regional Airport, which opened in 1939, is a regional transfer hub and has daily service to Liberty International Airport, Atlanta, and Cincinnati, with future service to include Dayton, OH.

### **Capabilities**

Capital City has 475 full-time firefighters in four fire districts. The personnel and equipment within these districts are divided into 8 fire battalions. The fire departments also have command and control of the Emergency Medical Services (EMS) and are augmented by an additional 150 volunteer fire personnel. The shifts work in a 72-hour rotation, with a third of the on-duty force rotating off duty each day at 5:00 a.m. There is one hazardous materials (HazMat) team in the city.

The law enforcement resources in Capital City have been recently upgraded by the addition of several police precincts, bringing the total to 8. Within these precincts, the 250 uniformed personnel have been active in their response training, but protective equipment has been a lacking resource in recent years. Training with mutual-aid districts has been spotty and difficult to organize, but the condition has been improving. Police units in Capital City typically work 8-hour shifts, with varying hours for shift changes based on the precinct's needs. Many of the downtown districts are relatively quiet at night, while they are extremely crowded during daylight hours. The EOD team, which falls under the police force, recently added a robotic EOD response unit to their list of capabilities. The county Special Response Team (SRT), which is assigned to the Pine County Sheriff's Department, has also used homeland security grant funding to purchase an armored vehicle for hostage response. The vehicle was purchased based on a rising number of barricaded suspects situations and active shooter incidents in the outskirts of the city limits.

The medical resources in Pine County are limited to Capital City Hospital, which is a 400-bed, Level II Trauma Center. The hospital is capable of accepting and decontaminating chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE)-exposed patients, but one additional decontamination/isolation unit is scheduled to become operational next spring. These resources are combined with the capabilities of a Disaster Medical Assistance Team (DMAT), which has been recently established to respond to mass casualty incidents (MCIs) within the city, county, and State.

The Capital City Department of Public Works has a significant amount of disaster recovery equipment including, a Public Works Emergency Management Support Team, Disaster Management Recovery Team, Equipment Preventative Maintenance Team, and a Heavy Preventative Maintenance and Repair Team. Memorandums of Agreement (MOAs) are signed with construction crews in the city indicating that equipment may be required for use by the city in a time of emergency. Liability is assumed by the city in these instances, and equipment rental and operator time is reimbursed by the city as a part of this agreement. There are a total of 457 employees in the department, including 8 full-time personnel that serve in the county/city joint Emergency Operations Center (EOC) when activated.

### **Hazards and Vulnerabilities**

To the west of the city lies a large chemical manufacturing complex that frequently transports dangerous goods within the city limits including pesticides, herbicides, chlorine, ammonia, and other manufactured chemicals in smaller amounts. The companies operating on the outskirts of the populated areas store vast quantities of these chemicals for their processes. They have been cited as a potential risk to the city's residents, especially after a major fire at one of the facilities sickened hundreds of nearby residents and put a black cloud of smoke over the city center for several days until it was brought under control.

### **Training and Exercises**

As the capital of the State of Columbia, Capital City has a robust training and exercise program, with significant funding coming from the Urban Area Security Initiative (UASI) grant program. Recently, State transportation officials participated in a discussion-based exercise, which exposed several flaws in emergency response coordination along the outlying areas of the city. The city is continuing to standardize response and communications equipment across the area to allow first responders greater flexibility in responding to mutual-aid situations in other areas.

Central City continues to conduct a large amount of Incident Command System (ICS) training due to a large amount of recent retirements and staff openings. There has also been a significant amount of local training provided by various members of the U.S. Department of Homeland Security's Training Consortium.

Future UASI funding is expected to decrease but expectations are that future funding will be sufficient to continue a moderate level of exercises. Past exercises have indicated weaknesses in the areas of communications and evacuation planning, largely because of the growing populations in the surrounding communities and the difficulties involved with large-scale urban evacuations. A recent citywide reverse 911 system has been installed to warn residents of an emergency, which provides a redundant method of issuing protective action decisions to the public during emergencies.

# Capital City



# Roaring River Tribal Community

## Vital Statistics

**Population (Based on 2010 Census) Population**  
 ..... 7,375

**Households**.....  
 ..... 1,505

**Under 18**  
 .....27.2  
 %

**Over 65**  
 .....21  
 %

**Median age**  
 .....39 years

**Birth rate per 1,000**  
 ..... 11%

**Death rate per 1,000**  
 ..... 8.1%

## Major Landmarks

**Big Rock Creek** (source of revenue [fishing])

- Over 10 miles of hiking trails on each side of the creek

## Big Rock

- A site of spiritual and cultural significance

## Quick Facts

### Area

## Culture and Entertainment

### Roaring River Community Heritage Center

- Founded 1963
- Includes displays of artifacts and history

### Language Revitalization Center

- Provides language courses
- Contains more than 30,000 books, transcripts, and historical records

## Schools

- Elementary schools.....1
- Middle schools.....2
- High Schools (attend either Central City or Zurich).....0

## Emergency Management

### Tribal Fire Department

- 2 stations
- 21 full-time service members (including eight certified paramedics)
- 50 volunteer fire personnel
- Pumper Trucks
  - 3 Type II
- Emergency Medical Services (EMS)
  - 3 Type I advanced life support (ALS) ambulance

### Law Enforcement and Security Resources



- 1,200 square miles

## Altitude

- 400-500 feet above sea level

## Business - Major Area Employers

- Small Manufacturing
- Tourism

## Normal Temperatures

- Mean temperature ..... 58.2°F
- Coldest month ..... December/37.1°F
- Hottest month ..... July/84.1°F

## Rainfall

- Mean rainfall ..... 30.9 inches
- Driest month .....October/1.6 inches
- Wettest month .....July/3.3 inches
- Mean annual snowfall.....8.2 inches

## Roaring River Tribal Community

During the early 1800s, the Roaring River Tribal Community was formed as Native Americans were forced from their lands in other states. Many tribes of other nations came together for the common cause of rebuilding a life resembling the one they knew before. The tribal area spans four counties: Liberty, Green, Kane, and Mineral and was given to the tribal confederation by the United States in perpetuity in 1898. The duties of public security and safety have fallen to the Department of Public Safety, which has built a small but well trained group of emergency response personnel.

Industry has been limited in the tribal area largely because of a lack of transportation and a limited workforce. Until the late 1980s, the main source of income had been tourism. Recent development within the counties in which the Tribal Nation lies has spurred a modest growth in the retail sector as residents began working outside the borders of the Tribal Nation to earn a greater income for their families. As a result, small retail outlets are growing near populated areas within the confines of the Tribal lands. The residents of Liberty, Green, Kane, and Mineral Counties are using the opportunity of differing tax regulations within these areas, and shopping centers featuring many types of retail goods are thriving.

### Capabilities

Emergency response planning is early in the developing stages within the Tribal Nation. The primary threats to the residents of the Tribal Nation have been from hurricanes, floods,

residential fires, automobile accidents and petty crime. The expansion of the retail sector has brought an increased flow of residents and visitors to the area and has focused population near the retail outlets.

### **Hazards and Vulnerabilities**

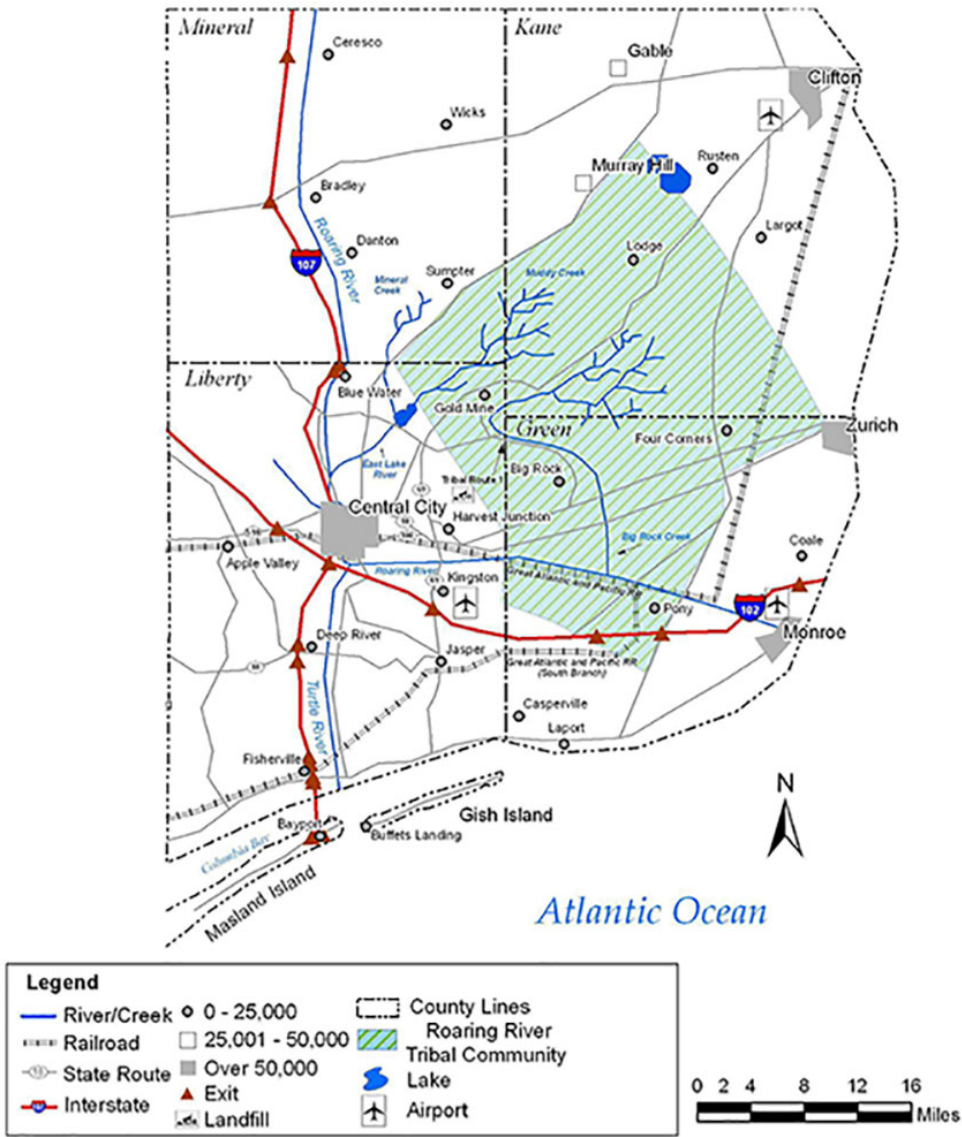
A significant flash flood 2 years ago brought about many changes in the local emergency services departments, with both the fire and police departments seeking mutual-aid partnerships with neighboring jurisdictions. There has been some reluctance within the community to enter into these agreements because of the sovereign status of the Nation.

Since the flood, there has been a focus on all hazards planning for emergencies on tribal lands. All significant emergency response equipment outside the usual fire suppression systems must be brought into the area based on Memorandums of Understanding (MOUs) from the counties surrounding the tribal land. Communication systems between first responders on the tribal lands and the counties are currently incompatible, and there has never been an incident that would require tribal leaders to ask for mutual aid from their neighboring governments.

### **Training and Exercises**

A limited budget was set up for exercises within the tribal lands after the flood, which killed 8 residents. The exercises have focused on mass evacuations and warning techniques, as well as an awareness campaign and swift water rescue training for the fire department and volunteer staff.

## Roaring River Tribal Community



# Unit 14: Course Review and Summary

## Visual 1: Course Review and Summary

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### Key Points

This unit provides an opportunity for instructors and students to review the course content. The students will also complete the Post-Test.

Unit	Time
Course Review and Summary <ul style="list-style-type: none"><li>• Post Test</li></ul>	2 hours <ul style="list-style-type: none"><li>• 45 minutes</li></ul>
<b>Total Unit Time:</b>	<b>2 hours</b>

## Visual 2: Unit Objectives

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The objectives for this unit are listed below.

- Complete the Post-Test with a passing score of 75%.

## Visual 3: Post-Test Information

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Instructions: Working individually ...

1. Tear the Post-Test Answer Sheet off of the test packet. Use this sheet to record your answers.
2. Once you have completed the test, turn it in to the instructors
3. You have 60 minutes to complete the Post-Test

**Passing Grade = 75%**

### Key Points

Instructions:

1. Tear the Post-Test Answer Sheet off of the test packet. Use this sheet to record your answers.
2. Once you have completed the test, turn it in to the instructors.
3. You have 60 minutes to complete the Post-Test.
4. You must have a score of 75% on the Post-Test to pass.

## Visual 4: Feedback

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- Any other comments or questions?
- Please complete the unit evaluation form.
- Your comments are important!
- Thank you for your participation.

### Notes

Please provide your feedback on this unit.



## Visual 5: Final Questions?

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### Key Points

Do you have any additional questions before we conclude the course?

## Visual 6: Thank you!

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### Key Points

Thank you for your participation!

# Individual Action Workbook (IAW)

## Activity 2.1 Team Assignment

**Instructions:** Each team will:

1. Receive an Independent Study (IS) Course to be researched and presented.
2. Develop a 5-10 minute presentation that:
  - a. Explains the learning objectives and its applicability to emergency management
  - b. Engages the audience and demonstrates why the principles associated with the IS Course are important
  - c. Students have creative control on the presentation format (i.e. PowerPoint, skit, role play, etc.)
  - d. Involves ALL team members in some aspect of the presentation
3. Use your team skills to develop and execute a work plan for the assigned presentation.
4. Schedule:
  - a. Group Work and Brainstorming: (2 hours)
  - b. Group Presentations
5. You have 2 hours to develop, produce, and practice your presentation.

### **Suggestions:**

- Spend some time deciding how you will work together as a team by:
  - Determining if you want to select a team leader and assign certain roles
  - Establishing team ground rules and processes for making decisions
  - Reviewing the different talents and assets that each team member brings to this assignment
  - Developing an action plan that includes task activities, deliverables/outcomes, deadlines, resource needs, and responsibilities
- Spend some time reviewing the Independent Study Course and identify an outline to follow.
- Spend some time brainstorming on the report/presentation format and assigning tasks for project completion.

### Activity 2.1

*Total Activity Time:* 3 hours 45 minutes



#### Activity

- 10 minutes: Introduce the activity, explain the timeline of when things will be due, assign one of the Independent Study (IS) courses to each group.
- 2 hours: Group work and Brainstorming
- This team activity involves developing a 5-10 minute team report on one of the 11 IS courses that were completed as prerequisites to attend this course.
- Presentations/Materials are due at the end of the 2 hours.

**Conducting the Activity:**

- **Preparation:**
- Assign one of the following IS Courses to each team. Depending on the size of the class, there may be 2-4 students per group. If the class is small, several IS courses may be given to a group to maintain 2-4 students:
  - IS100.b – Introduction to the Incident Command System
  - IS120.c – An Introduction to Exercise
  - IS200.b – ICS for Single Resources and Initial Action Incidents
  - IS230.d – Fundamentals of Emergency Management
  - IS235.b – Emergency Planning
  - IS240.b – Leadership and Influencing
  - IS241.b – Decision Making and Problem Solving
  - IS242.b – Effective Communications
  - IS244.b – Developing and Managing Volunteers
  - IS700.a – National Incident Management System, An Introduction
  - IS800.c – National Response Framework, An Introduction
- Tell the teams when the reports will be presented.
- Give the teams enough time to begin planning how they will complete the assignment.

## Activity 3.1: Stress on Managers

Instructions: Working in table groups:

- Discuss: What are some sources of stress on emergency managers?
- Select your worst 3 stressors.

### Key Points

1. Discuss the discussion question within your table group.
2. Choose the three worst stressors in your group and be prepared to share with the class.

**Discussion Question (in your table groups):** What are some sources of stress on emergency managers?

# Activity 4.1 - Core Capabilities

Instructions:

1. Review the Core Capabilities charts.
2. In your table group, for your assigned core capability, discuss:
  - How does it translate to you at the local level?

## Key Points

**Purpose:** The purpose of this activity is to develop familiarity with the core capabilities and relate them to the local experience.

1. Review the Core Capabilities chart.
2. In your table group, for your assigned core capability, discuss the following questions.

?

**How does your selected core capability, in your assigned mission area, translate to you at the local level?**

For example:

- What types of things are you currently doing to build and sustain the capability?
- What else would you do if circumstances (or budget) permitted?
- What challenges do you face?

Discussion Question

## Core Capabilities by Mission Area

Prevention	Protection	Mitigation	Response	Recovery
<b>Planning</b>	<b>Planning</b>	<b>Planning</b>	<b>Planning</b>	<b>Planning</b>
<b>Public Information and Warnings</b>	<b>Public Information and Warnings</b>	<b>Public Information and Warnings</b>	<b>Public Information and Warnings</b>	<b>Public Information and Warnings</b>
<b>Operational Coordination</b>	<b>Operational Coordination</b>	<b>Operational Coordination</b>	<b>Operational Coordination</b>	<b>Operational Coordination</b>
Forensics and Attribution	Access Control and Identity	Community Resilience	Critical Transportation	Economic Recovery

Prevention	Protection	Mitigation	Response	Recovery
Intelligence and Information Sharing Interdiction and Disruption Screening, Search, and Detection	Verification Cybersecurity Intelligence and Information Sharing Interdiction and Disruption Physical Protective Measures Risk Management for Protection Programs and Activities Screening, Search, and Detection Supply Chain Integrity and Security	Long-Term Vulnerability Reduction Risk and Disaster Resilience Assessment Threats and Hazard Identification	Environmental Response/Health and Safety Fatality Management Services Fire Management and Suppression Logistics and Supply Chain Management Infrastructure Systems Mass Care Services Mass Search and Rescue Operations On-Scene Security and Protection Operational Communications Public Health, Healthcare, and Medical Services Situational Assessment	Health and Social Services Housing Infrastructure Systems Natural and Cultural Resources

### Core Capabilities by Mission Area

Core Capability	Description
<b>Mission Area: All</b>	



Core Capability	Description
Planning	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.
Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available, as appropriate.
Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.
<b>Mission Area: Prevention</b>	
Forensics and Attribution	Conduct forensic analysis and attribute terrorist acts (including the means and methods of terrorism) to their source, to include forensic analysis as well as attribution for an attack and for the preparation for an attack in an effort to prevent initial or follow-on acts and/or swiftly develop counter-options.
Intelligence and Information Sharing	Provide timely, accurate, and actionable information resulting from the planning, direction, collection, exploitation, processing, analysis, production, dissemination, evaluation, and feedback of available information concerning physical and cyber threats to the United States, its people, property, or interests; the development, proliferation, or use of WMDs; or any other matter bearing on U.S. national or homeland security by local, state,

Core Capability	Description
	tribal, territorial, Federal, and other stakeholders. Information sharing is the ability to exchange intelligence, information, data, or knowledge among government or private sector entities, as appropriate.
Interdiction and Disruption	Delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.
Screening, Searching, and Detection	Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, bio-surveillance, sensor technologies, or physical investigation and intelligence.
Access Control and Identity Verification	Apply and support necessary physical, technological, and cyber measures to control admittance to critical locations and systems.
Cybersecurity	Protect (and if needed, restore) electronic communications systems, information, and services from damage, unauthorized use, and exploitation.
Physical Protective Measures	Implement and maintain risk-informed countermeasures, and policies protecting people, borders, structures, materials, products, and systems associated with key operational activities and critical infrastructure sectors.
Risk Management for Protection Program and Activities	Identify, assess, and prioritize risks to inform Protection activities, countermeasures, and investments.
Supply Chain Integrity and Security	Strengthen the security and resilience of the supply chain.
<b>Mission Area: Mitigation</b>	

Core Capability	Description
Community Resilience	Enable the recognition, understanding, communication of, and planning for risk and empower individuals and communities to make informed risk management decisions necessary to adapt to, withstand, and quickly recover from future incidents.
Long-Term Vulnerability Reduction	Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines so as to reduce their vulnerability to natural, technological, and human-caused threats and hazards by lessening the likelihood, severity, and duration of the adverse consequences.
Risk and Disaster Resilience Assessment	Assess risk and disaster resilience so that decision makers, responders, and community members can take informed action to reduce their entity's risk and increase their resilience.
Threats and Hazards Identification	Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.
<b>Mission Area: Response</b>	
Critical Transportation	Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals, and the delivery of vital response personnel, equipment, and services into the affected areas.
Environmental Response/Health and Safety	Conduct appropriate measures to ensure the protection of the health and safety of the public and workers, as well as the environment, from all-hazards in support of responder operations and the affected communities.

Core Capability	Description
Fatality Management Services	Provide fatality management services, including decedent remains recovery and victim identification, working with local, state, tribal, territorial, insular area, and Federal authorities to provide mortuary processes, temporary storage or permanent internment solutions, sharing information with mass care services for the purpose of reunifying family members and caregivers with missing persons/remains, and providing counseling to the bereaved.
Fire Management and Suppression	Provide structural, wildland, and specialized firefighting capabilities to manage and suppress fires of all types, kinds, and complexities while protecting the lives, property, and the environment in the affected area.
Logistics and Supply Chain Management (Also under Recovery mission area)	Deliver essential commodities, equipment, and services in support of impacted communities and survivors, to include emergency power and fuel support, as well as the coordination of access to community staples. Synchronize logistics capabilities and enable the restoration of impacted supply chains.
Mass Care Services	Provide life-sustaining and human services to the affected population, to include hydration, feeding, sheltering, temporary housing, evacuee support, reunification, and distribution of emergency supplies.
Mass Search and Rescue Operations	Deliver traditional and atypical search and rescue capabilities, including personnel, services, animals, and assets to survivors in need, with the goal of saving the greatest number of endangered lives in the shortest time possible.
On-Scene Security, Protection, and Law	Ensure a safe and secure environment through law enforcement and related security and

Core Capability	Description
Enforcement	protection operations for people and communities located within affected areas and also for response personnel engaged in lifesaving and life-sustaining operations.
Operational Communications	Ensure the capacity for timely communications in support of security, situational awareness, and operations by any and all means available, among and between affected communities in the impact area and all response forces.
Public Health, Healthcare, and Emergency Services	Provide lifesaving medical treatment via Emergency Medical Services and related operations and avoid additional disease and injury by providing targeted public health, medical, and behavioral health support, and products to all affected populations.
Situational Assessment	Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.
<b>Mission Area: Recovery</b>	
Economic Recovery	Return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in an economically viable community.
Health and Social Services	Restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.
Housing	Implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.

Core Capability	Description
Natural and Cultural	Protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and best practices and in compliance with applicable environmental and historic preservation laws and executive orders.

## Activity 4.2: Roles and Responsibilities

### Instructions:

1. Review the Scenario in your student manual.
2. In your groups, discuss the provided questions, answer the questions based on your assigned role.
3. Record answers on chart paper.
4. Select a spokesperson from your group to share your responses.

### Key Points

**Purpose:** This activity will demonstrate the planning, collaboration, coordination and integration necessary by all members of a community, when working together for disaster preparedness. All levels of government, non-government organizations, the emergency services, citizens, the media and the business community all need to work independently for organizational and personal preparedness, while also working collaboratively for whole community preparedness.

### Instructions:

1. Read the scenario below and answer the questions based on your assigned role(s) in the community.
2. Be prepared to share your group answers in 30 minutes.

### Roles:

- Government (local, state and Federal)
- Non-government agencies
- Emergency Services (Fire, Police, EMS)
- Private citizens
- Media
- Business community

### Scenario:

It is early fall, and a large tropical storm developed into a hurricane and is moving up the east coast of the United States. The National Weather Service, along with every other organization within the scientific weather community, is predicting that this storm will be at least as large and damaging as Hurricane Sandy was in 2012. The predicted path of this hurricane is similar to the original path of Sandy, and all other scientific data is comparable. As the storm continues to build and move north, many communities impacted by Sandy are again beginning to prepare for possible landfall. One of the communities, a small city about 2 hours from the Atlantic Ocean, was a near miss in 2012; however, many of the daily models are showing that this community could be in the direct path of this hurricane, Hurricane Duane. The community is the community from the census data in Module 8, unit 1.

This municipality is the only city in a county of more than five hundred thousand people. The county has five dozen boroughs and townships. The city has a small career fire department, a police department and contracts with a private service for EMS. The city has a strong mayor





## Activity 5.2 - Identifying Legal Issues

**Purpose:** To apply the concepts from this unit in a scenario.

**Instructions:**

1. Review the assigned scenario in the Student Manual
2. Discuss:
  - a. Are there potential legal issues or federal requirements?
  - b. How would you determine your legal responsibilities and limitations?
3. Be prepared to present in 10 minutes

### Activity 5.2: Scenarios

- **Scenario 1:** Following a train derailment involving several cars containing volatile chemicals, a large area needs to be evacuated. This will involve evacuation, closing of businesses in the area, and control of the perimeter. In addition to the residential and commercial properties, the affected area includes elder housing and a school.
- **Scenario 2:** At a public shelter, there is a registration system in place that allows for evacuee tracking, family reunification, checking registrants against the sexual offenders database, and other recordkeeping. Some people refuse to show identification or to give any information about themselves.
- **Scenario 3:** Following a Presidentially declared disaster, the community has responded generously with their volunteer efforts and donations. A local volunteer organization is operating a center where disaster survivors can obtain donated clothing and household goods. Everyone is welcome as long as everyone does business in English and minority residents call in advance to make an appointment.
- **Scenario 4:** A tornado struck within the jurisdiction, and the building housing the government offices was heavily damaged and is presently unusable. Unfortunately, the mayor and the head of the department of emergency management have both been hospitalized. With the help of neighboring jurisdictions, the initial response is now over, but there is much to be done in terms of cleanup and rebuilding.
- **Scenario 5:** After the spring thaw and prolonged rains, it is predicted that the river will rise well above flood stage. Two areas of town lie along the river: a low-income residential area and the business district where many high-profile commercial properties are located. Protective measures are being planned, including the construction of dikes and sandbagging. Unfortunately, the city's limited budget will not permit both areas to be protected in this manner.

### Activity 5.2: Worksheet

1. **What potential legal issues or Federal requirements are present?**

1. **How would you determine your legal responsibilities and limitations?**

## Activity 6.2: Community Factors

Instructions: Working as a group . . .

1. Use the data analysis from Activity 6.1
2. For your assigned area, identify specific barriers based on your data.
3. Record answers on the chart paper.

### Key Points

**Purpose:** In this activity, you will identify what barriers that may be experienced by members of the community that should be addressed in emergency planning.

1. Use the data analysis from Activity 6.1.
2. For your assigned area, identify specific barriers based on your data.
3. Record answers on the chart paper.

(Note: Postpone talking about strategies to address the barriers, which will be the subject of an activity in the next lesson.)

**Areas:**

- Public alert and warning
- Transportation and evacuation
- Education and communication
- Emergency mass care/shelter
- Recovery
- Health Care

## Activity 6.3: Building Resilience

Instructions: Working as a group . . .

1. For your assigned area, identify strategies to overcome the barriers you identified in the previous unit.
2. Be prepared to discuss your decisions with the class in 10 minutes

### Key Points

Each group will focus on the same area as in the activity in the previous unit:

- Public alert and warning
  - Transportation and evacuation
  - Education and communication
  - Emergency mass care/shelter
  - Recovery
1. Review the barriers you identified in the previous activity
  2. Identify strategies to overcome those barriers and support full participation by all members of the community. Be specific about addressing the needs of populations within the community.

## Unit 7: Activity 7.1: Developing Strategies

### Activity 7.1: Developing Strategies

Instructions: Working as a team . . .



#### Activity

1. Identify a strategy for:
  - Keeping elected/appointed officials informed and engaged
  - Encouraging cooperation across departments and agencies within your jurisdiction
  - Fostering effective relationships with organizations
2. Select a spokesperson and be prepared to present your strategies in 10 minutes

### Key Points

**Instructions:** Working as a team ...

Identify a strategy for each of the following.

- **Keeping elected and appointed officials informed and engaged.**
- **Encouraging cooperation across departments and agencies within your jurisdiction.**
- **Fostering effective relationships with organizations.**

Select a spokesperson and be prepared to present your strategies in 10 minutes.

## Unit 7: Activity 7.2: Roles and Relationships

### Activity 7.2: Roles and Relationships

#### Instructions:



#### Activity

1. Complete the following statements:
  - The most important role of State emergency management is to . . .
  - Local and tribal governments can build relationships with State government by . . .
2. Record your answers on chart paper.
3. Be ready to present your work in 10 minutes.

### Key Points

#### Working in your teams . . .

1. Complete the statements on the next page.
2. Record your answers on chart paper.
3. Select a spokesperson and be prepared to present your work in 10 minutes

### Activity 7.2: Roles and Relationships

**The most important role of State emergency management is to . . .**

**Local and Tribal governments can build relationships with State government by . . .**

## Activity 8.1: Prevention and Protection Roles & Responsibilities

Instructions: In table groups:

1. Identify ways your assigned segment of the whole community can contribute to prevention and protection.
2. Be prepared to present your findings in 5 minutes

### Key Points

**Purpose:** The purpose of this activity is to think about how different segments of your community can contribute to prevention.

**Instructions:**

1. The instructors will assign each table group one of the following segments of the community:
  - a. Individuals, families, and households
  - b. Private and nonprofit sectors (private entities, nongovernmental organizations, and community organizations)
  - c. Local government (elected officials and agencies)
  - d. State, Tribal, Territorial, and Insular Area governments
  - e. Federal Government
2. In your table groups, identify ways your assigned segment of the whole community can contribute to prevention and protection. Be prepared to present your findings in 5 minutes.

## Activity 9.2: Identifying Roles

**Instructions:** Working in table groups:

1. Introduce the activity and refer the students to the problem descriptions in the Student Manual.
2. Assign each table group one of the five problems described on the following pages.
3. Have groups write on chart paper:
  - a. A list of the possible consequences if the problem is not addressed
  - b. The potential roles of individuals, private sector, and Local/Tribal, State, and Federal governments in addressing the problem
4. Be prepared to present your results in 10 minutes.

### Problem 1:

Emergency response personnel in Fire Station #3 would be in danger if the fire station were in the path of a tornado, because there is no basement. The fire station was built of masonry in 1880, and is a historic structure. The station is 1 of 10 stations in the community and serves an older neighborhood with a large elderly population. The station, which is situated on publicly owned property with no other structures within 100 feet, is located in a floodplain.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

### Problem 2:

In the Laurel Valley Subdivision, 20 newer homes with an average value of \$350,000 flood whenever the area receives more than one-half inch of rain for 3 or more consecutive hours. New development in the area has reduced the ground capacity to absorb the rain. Flooding occurs an average of twice a year. On average, flood depth is 6 inches above first floor elevations. The area is low lying.



Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

### Problem 3:

Computer simulation studies showed that in the event of a major earthquake, Moffitt Hospital would negatively react with the Medical Science Building and could pose significant risk of the hospital's partial collapse. Deficiencies must be corrected within a short deadline imposed by the State legislature. The hospital will be decommissioned if it does not comply with structural performance criteria.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

## Problem 4:

The main administrative office space for the town of Ocean City is located in the historic Town Hall. The existing windows and doors do not meet county protocols for hurricane- and impact-resistant systems.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

## Problem 5:

Waikoloa Village on the Big Island of Hawaii is a community of about 5,000 people located on the slopes of Mauna Kea above the Kohala Coast. The community is at high risk from wildfires. The village is located in a rather remote location, surrounded by brush and grass, with a single road used for both entry and exit. The site was used by the U.S. Army during World War II, which left unexploded munitions buried on the property.

Possible consequences if the problem is not addressed:

Potential roles in addressing the problem:

- Individuals and households
- Private sector
- Local government
- State/tribal government
- Federal Government

## Activity 9.3: Community Involvement

Instructions: In table groups . . .

1. Review the scenario and develop a 5-minute opening to your meeting with your assigned community group
2. Prepare the opening statement and any support graphics/information on chart paper
3. Outline the rest of your strategy for keeping the group engaged following the meeting

### Key Points

Working in table groups . . .

1. You have been asked to make a presentation to a particular group (listed below) to explain mitigation opportunities and needs in your community.
2. Your table group will be assigned one of the groups listed. Your goal is to educate the group members on the importance of mitigation and to motivate them to take action following the meeting.
3. Review the scenario and develop a 5-minute opening to your meeting with your assigned community group
4. Prepare the opening statement and any support graphics/information on chart paper.
5. Outline the rest of your strategy for keeping the group engaged following the meeting.

### Scenario

#### Community Groups:

- Individuals and households
- Local merchants and business owners
- Community-based nonprofit organizations
- Elected officials
- Government agencies

#### Scenario:

Your community sits at the confluence of two rivers that have a long history of flooding. Two residential areas have repeatedly sustained flood damage over the years.

The first area, Swampy Acres, is in an area that is in the floodplain of both rivers. There are seven properties that flood nearly every few years, causing heavy damage.

The second area, Scenic View, is near one of the rivers. Homes in this area have sustained moderate damage twice in the last 20 years.

Grant money is available for mitigating the flood hazard in two ways: (1) purchasing the properties in Swampy Acres and turning this natural floodplain into a public park, and (2) conducting a public education campaign to encourage homeowners in Scenic View to undertake mitigation measures on their properties.

# Activity 10.1: Initial Actions

Instructions: Working as a team . . .

1. Review the continuation of the flooding scenario.
2. Identify the following:
  - EOC activation level
  - EOC participants
  - Major EOC activities being undertaken
  - Information being exchanged between EOC and Incident Commander
3. Select a spokesperson and be prepared to present your work with the class.

## Key Points

**Scenario:** It is several hours after the flash floods began. Soon it will be dark and temperatures are falling.

- Shelters have opened and a large portion of the jurisdiction is without power.
- Mutual aid is arriving from several surrounding communities.
- There are rumors of missing students from the community college.
- Media representatives are arriving at the scene and the EOC.

Activity Sheet
EOC activation level: <ul style="list-style-type: none"> <li>• Partial</li> <li>• Full</li> </ul>
EOC participants:
Major EOC activities being undertaken:

## Activity Sheet

Information being exchanged between EOC and Incident Commander:

Critical information each party should communicate to the other in order to establish and maintain a common operating picture:



Sample Incident Action Plan			
6. Objectives for Incident Support			
<ul style="list-style-type: none"> <li>• Coordinate with nongovernmental organizations to arrange shelter capability for up to 200 residents within 24 hours.</li> <li>• Conduct an assessment to identify unmet needs of evacuated residents within the next 3 hours.</li> <li>• Activate a call-in center to respond to inquiries about disaster services and family reunification within 2 hours.</li> <li>• Deliver food and water response personnel to the staging area.</li> <li>• Request the deployment of a liaison officer from law enforcement officials to the EOC.</li> <li>• Develop materials and talking points for media briefing scheduled for 12:00 at the Joint Information Center.</li> </ul>			
7. Weather Forecast for Operational Period			
<p><i>Continued rain for the next 24-48 hours. Wind out of the southwest at 3-5 mph with a high of 78 degrees.</i></p>			
8. General Safety Message			
<p><i>If personnel are required to leave the EOC for any reason, they must keep good situational awareness, and stay out of floodwaters and well clear of all downed wires.</i></p>			
9. Attachments: <i>Incident Map, EOC Assignment List, Organizational Structure, Communications Plan</i>			
10. Prepared by (PS) <i>Kim Seward</i>		11. Approved by (EOC Manager) <i>Bill Roxo</i>	

## Activity 10.4 Resource Planning

### Instructions:

1. Review the scenario.
2. Working as a team, answer the questions about planning for the described event.
3. Be ready to present your ideas in 15 minutes.

### Scenario:

Your jurisdiction is planning a Fourth of July celebration that includes the following:

- July 3 – July 5: The Fire Department's annual three-day carnival will begin each day at 10:00 a.m. and end each evening with a concert and fireworks. In conjunction with the carnival, the 4-H Club is sponsoring a craft fair and livestock show.
- July 4: A parade honoring a returning war hero is scheduled to begin at 9:30 a.m., ending in a noon rally. The rally will include speeches from your U.S. Senator, the Governor, and Department of Defense officials. Press reports have indicated that the Senator is about to announce her intention to run for President in the fall primaries.

The carnival and rally will be held on the County Fairgrounds. The mile-long parade route begins at the County Courthouse. The County is in the middle of a heat wave that is forecast to continue. Large crowds are projected.

You are in the EOC one week prior to this event with a group of department heads. The Mayor has asked the group to develop plans for how the event will be managed

### Questions:

1. What resources do you anticipate needing in support of this event?
2. What kinds of resources could you obtain from private partners?
3. What kinds of resources could you get from NGOs?
4. What kinds of State and Federal resources would be available?
5. How do you get resources in your community/jurisdiction?
6. Does your community/jurisdiction have a resource guide? If so, where do you get it?
7. How does your community/jurisdiction handle resource typing?



## Activity 10.5: Tracking and Reporting

### Instructions:

1. Read the updated scenario information
2. Answer the following questions:
  - What are the new resource management challenges?
  - How will you track resources and report on their status?
  - What support do you anticipate providing to the incident?
3. Summarize your responses on chart paper
4. Be prepared to share with the class

### Key Points

**Scenario:** You are the EOC manager. The severe weather stalled over the region, bringing far more rainfall than predicted. Rapidly rising water levels in the Roaring River have caused dam failure at a hydroelectric power plant upstream from Central City. The resulting flood has caused potential loss of life and property damage. Communications with first responders in some areas have been lost.

### Questions:

**What are the new resource management challenges?**

**How will you track resources and report on their status?**

**What support do you anticipate providing to the incident?**

## Activity 11.1: Community Healing

### Instructions:

- Imagine that it has been close to a year since the disaster in Oakville.
- In your table group, brainstorm ways emergency management could promote continued emotional healing in the community.

# Activity 12.1 - Emergency Manager Administrative Duties

## Instructions:

*Total Activity Time:* 15 minutes

- 10-minute: Individual group work and table discussion
  - 5-minute: Class debrief
1. Complete the self-assessment below identifying administrative duties you have in your role as an emergency manager.
  2. Add any additional administrative duties that you perform in your role as emergency manager.
  3. Debrief by sharing with the class.

## Administrative Duties of a Local Emergency Manager

- Prepare and submit annual agency budget and any supplemental requests.
- Develop and submit Emergency Management Program Grant (EMPG) cooperative agreement and assurances.
- Submit monthly EMPG claims in a timely manner.
- Prepare and submit quarterly reports.
- Brief elected officials on emergency management issues.
- Establish/maintain role as advisor to elected and management officials concerning emergency management and disaster issues.
- Build/maintain working relationship with other agency and department heads.
- Prepare and submit reports.
- Conduct special projects as assigned.
- Prepare applications for available grants.
- Maintain contact with State and Federal emergency management personnel.
- Evaluate staff performance and recommend personnel adjustments.
- Maintain records and files.
- Advise and work with the Local Emergency Planning Committee (LEPC), Voluntary Organizations Active in Disaster (VOAD), Unmet Needs Committee, and other emergency groups and committees.
- Obtain and maintain seat on nongovernmental response and recovery organization advisory boards (e.g., American
- Participate in monthly conference calls with State emergency management.
- Develop training and exercise schedules.

## Additional Duties:

## Activity 12.2: Options and Incentives

Instructions: Working in your table groups.

1. Read the scenario
2. Answer the following questions:
  - a. What options could the Emergency Manager explore for staffing the organization's requirements?
  - b. What incentives should the Emergency Manager consider to acquire and retain all staff?

Scenario:

Eden Jones was recently hired as the new emergency manager for a local government. The organization currently includes Eden's position plus a part-time administrative assistant and several volunteers with experience in emergency operations who help on an as-needed basis. After reviewing the goals and priorities of the organization, Eden determines that she needs additional staff. She would like to pursue a hazard mitigation grant but needs someone to oversee it. In addition, Eden would like to have a full complement of emergency staff for the EOC (currently, 7 of 12 positions are filled with volunteers). Eden also needs someone to oversee training for the emergency management organization.

## Activity 12.4: Best Practices

Instructions:

Read your group's assigned best practice description.

Answer the following questions:

- What is the alert strategy?
- What portion of the population does it serve?
- Who would not be reached by this method?
- Could the strategy be adapted or augmented for greater coverage?

Select a spokesperson and be prepared to report your answers to the class.

### Best Practice 1

#### Enabling Residents to Hear and Heed

#### Severe Weather Warnings

PORTAGE COUNTY, WI – Portage County, WI, has a population of approximately 70,000 residents living in an area that is 62 percent urban and 38 percent rural (agricultural areas that are geographically separated). With 11.9 percent of the population 65 years old or older, there was concern that some residents might not be able to hear the county's warning system regarding impending severe weather. Recognizing the deficiency in the ability to warn the elderly and individuals living in rural areas, the county's Emergency Management Coordinator came up with the idea of purchasing weather radios.

“We have a lot of residents living in mobile homes in rural areas and we have a substantial number of elderly residents. These individuals are significantly at risk,” said Sandy Curtiss, Emergency Management Coordinator. “They don't always hear the warnings.”

To remedy the problem, the county applied to Wisconsin Emergency Management for a grant under FEMA's Hazard Mitigation Grant Program (HMGP) to purchase 150 NOAA all-hazards weather radios. The project was initiated following a 2002 Presidential declaration for a windstorm event, and the total project cost was \$6,951.50. The HMGP grant totaled \$5,200. The non-Federal share was \$1,700. (The State and Local governments paid \$850 each.) The county also paid an extra \$51.50 for a cost overrun.

What is a NOAA all-hazards weather radio? The NWS provides Local weather broadcasts, called NOAA Weather Radio, from more than 700 different transmitters nationwide. It is estimated that over 85 percent of the population now resides within the service area of at least one transmitter. NOAA Weather Radio is a service of NOAA of the U.S. Department of Commerce. As the “Voice of the NWS,” it provides continuous broadcasts of the latest weather information from Local NWS offices.

The regular broadcasts are specifically tailored to weather information needs of the people within the transmitter's service area. For example, in addition to general weather information, stations

in coastal areas provide information of interest to mariners. Other specialized information, such as hydrological forecasts and climatological data, are also broadcast.

During severe weather, NWS forecasters can interrupt the routine weather broadcasts and insert special warning messages concerning imminent threats to life and property. The forecaster can also add special signals to warnings that trigger “alerting” features of specially equipped receivers. This is known as the “tone alert feature,” and acts much like a smoke detector in that it will send an alarm when necessary to warn of an impending hazard. In the past, all receivers equipped with the tone alert feature within the listening area would alarm anytime a warning was issued. However, the advent of SAME technology permits newer receivers to alarm only if a warning is broadcast that pertains to a particular location. The newer receivers allow individuals to choose the warning locations the receiver will target.

## Best Practice 2

### Warren County

#### C.O.W.S and C.A.L.V.E.S Programs

WARREN COUNTY, KY – The 85,000 residents of Warren County, KY, face a variety of natural hazards, such as tornadoes and other severe weather, chemical spills, flash flooding, landslides, earthquakes, and forest fires. A warning system alerts residents of impending danger, enabling them to take the necessary precautions to protect their lives and property.

In 1974, thirty-one residents of the small city of Brandenburg were killed by tornadoes. The loss of life was attributed to the fact that citizens did not receive warning of the impending storms. Subsequent tornadoes in 1976, 1986, and 1994 also caused death and injury that likely could have been avoided if there had been proper warning.

In July 1997, Warren County was awarded a grant through FEMA’s Hazard Mitigation Grant Program (HMGP) to install 12 Community Outdoor Warning Sirens, or C.O.W.S. The sirens had the capacity to warn 100 percent of the residents of Bowling Green, the county’s biggest city, and 80 percent of residents in the entire county. When the C.O.W.S are activated during an emergency, residents know they must turn on their televisions or radios for further instruction.

The county recognized, however, that an outdoor warning system was not sufficient. In June 1999, the county received HMGP funds to install 250 indoor Community-Activated Lifesaving Voice Emergency Systems, or C.A.L.V.E.S. The system is designed to warn people who are indoors or not close to a siren site, and also to supply disaster information in the event of a power outage. C.A.L.V.E.S were placed in every school, nursing home, daycare, hospital, church, theater, indoor sporting arena, and emergency responder’s office. The system uses a series of beeps followed by a voice message from the activating agency to alert residents of an emergency.

The county also implemented an extensive public awareness campaign to educate residents about the new warning systems. It sent out brochures with instructions such as, “When you hear the C.O.W.S, move indoors. When you hear the C.A.L.V.E.S, protect your herd!”

The warning system is credited with saving lives on April 16, 1998, when a tornado struck the county's biggest outdoor shopping mall. Property damage totaled more than \$2 million, but no one was killed.

## Best Practice 3

### Computerized Warning System

#### Replaces Word of Mouth

JACKSON COUNTY, TX – In September 2005, the threat of Hurricane Rita had Local officials in Jackson County, TX, depending largely on “word of mouth” to warn area residents of the impending storm. Lessons learned from this experience led officials to seek a better and faster way to communicate emergency information. The county then invested in an emergency automated telephone notification system.

Edna Chief of Police Clinton Woolridge said that at an after-action meeting following Hurricane Rita, officials talked about the lack of radio and television stations in the county. “We had no way of telling people to tune in to a Local station to get emergency information,” he said. The decision was made to get an emergency telephone notification system for disseminating evacuation messages. The county received a \$63,750 grant from the FEMA Hazard Mitigation Grant Program (HMGP) to purchase the warning system.

In the event of an emergency, the 9-1-1 dispatcher can identify the affected neighborhood or region of the county, record a message describing the situation, and recommend the protective action residents should take. The computerized system can then call all listed telephone numbers in that geographic area and deliver the recorded message. Residents who have listed their telephone numbers are able to receive messages regarding evacuations, severe weather, flash floods, hazardous material releases, shelter-in-place notifications, dam or levee breaks, bomb threats, abductions, hostage situations, and prison escapes.

Lori McLennan, Edna Police Department Office Manager and 9-1-1 operator, said the system is set up to provide countywide alerts as well as specific area alerts according to five geographic zones. “Depending on where the emergency is, I can launch a zone-specific message or a countywide message. For Hurricane Ike, we launched an initial session to warn residents in the Lavaca Bay area of a voluntary evacuation. As the weather condition worsened, we launched it for a mandatory evacuation for the entire county,” she said, adding that the task was completed in less than two hours.

Although the length of time required to transmit messages varies according to the number of phone lines activated, validating the success of the transmitted message is almost immediate. The computer generates a report on how many people picked up the phone to listen to the message, how many answering machines picked up, and the number of unheard messages.

“The system works better than ‘word of mouth’ because it provides an accurate message,” Woolridge added. “When the message is delivered by ‘word of mouth’ by the time it gets around to the third person its context has changed considerably.”

## Best Practice 4

### Getting the Alarm Out:

#### USM's Tornado Warning System

HATTIESBURG, MS – Prior to 1998, students at the University of Southern Mississippi (USM) were largely dependent upon “word of mouth” information when tornadoes threatened the campus. According to Bob Hopkins, USM Chief of Security, the university recognized the need for a campus-wide tornado warning system when several alerts failed to reach a considerable portion of the 16,000 students enrolled.

“The critical need is for people outside to go inside,” Hopkins said. “There is an emergency plan in effect in each building with designated safety areas.” The University Police dispatch office manages the system.

University officials say the system operates similarly to a radio or wireless system. “If a tornado warning is issued for our area, the University Police dispatcher calls the Emergency Management District to confirm the tornado is a threat to our campus. At that point, we set the alarm off,” Hopkins explained.

The most noticeable feature of the new system is its prominent position on top of Owings-McQuagge Hall. The radio-controlled warning system has two components: (1) an alarm characterized by Westminster Chimes, and (2) a voice system that announces, “A tornado warning has been issued for the Hattiesburg area. Please seek shelter.”

FEMA contributed \$21,902 of the \$29,202 cost to install the warning system through its Hazard Mitigation Grant Program (HMGP), which is administered by the Mississippi Emergency Management Agency. Following a major disaster declaration, the HMGP funds up to 75 percent of the eligible costs of a project that will reduce or eliminate damages from future natural hazard events.

“Students are acquainted with the system during risk management orientation. Each residence hall gets a copy of the Emergency Response Manual,” Hopkins noted. He is pleased with the system’s effectiveness.

During Hurricane Katrina (2005), approximately 1,800 students remained sheltered on USM’s campus.

## Best Practice 5

### Weather Radio Distribution

#### Ensuring Adequate Hazard Warning

WAYNE COUNTY, MI – Located in southeastern Michigan, Wayne County frequently experiences severe weather and tornadoes. In 1997, a dangerous tornado moved through parts of Detroit and the surrounding suburbs of Highland Park and Hamtramck, injuring 90 people. It was the most costly tornado the State had experienced, with damages estimated at \$90 million. The



tornado traveled nearly 5 miles and was 2,500 yards wide. The tornado was part of an outbreak of 13 tornadoes in southeastern Michigan—the largest number for a single day since records have been kept.

With more than 2 million residents, the county needed effective mitigation measures to adequately warn people of the potentially severe weather. The Hazard Mitigation Grant Program (HMGP) provided funds for the county to purchase, distribute, and install NOAA weather radios to every school, hospital, and nursing care facility in the county, for a total of 860 radios.

The county also conducted an all-day tornado shelter/spotter workshop for employees of those facilities. The workshop was designed to enable them—especially in the schools—to plan and prepare for severe weather. The workshop was videotaped for use as a training video on tornado spotting for police, fire, and public service personnel in jurisdictions throughout the county. The video also became a training tool for county in-service training and statewide training.

The all-day recorded workshop was telecast on the statewide school Internet during Severe Weather Week in March of 1999. The telecast allows all schools with Internet capabilities to watch the video and begin to plan and prepare for severe weather in their school district.

This project ensures that adequate warning time will be more readily available to county residents. The benefit of early warnings is a reduction in both the loss of life and the extent of injuries to persons in an impacted facility.

## Activity 12.5: Creating a Vision

### Instructions:

1. Review the scenario.
2. Working as a team, answer the questions provided.
  - What innovations have occurred in the field of emergency management?
  - What are the major changes in how you perform your job?
  - What is the community's role in emergency management?
3. Select a spokesperson to report back to the class.

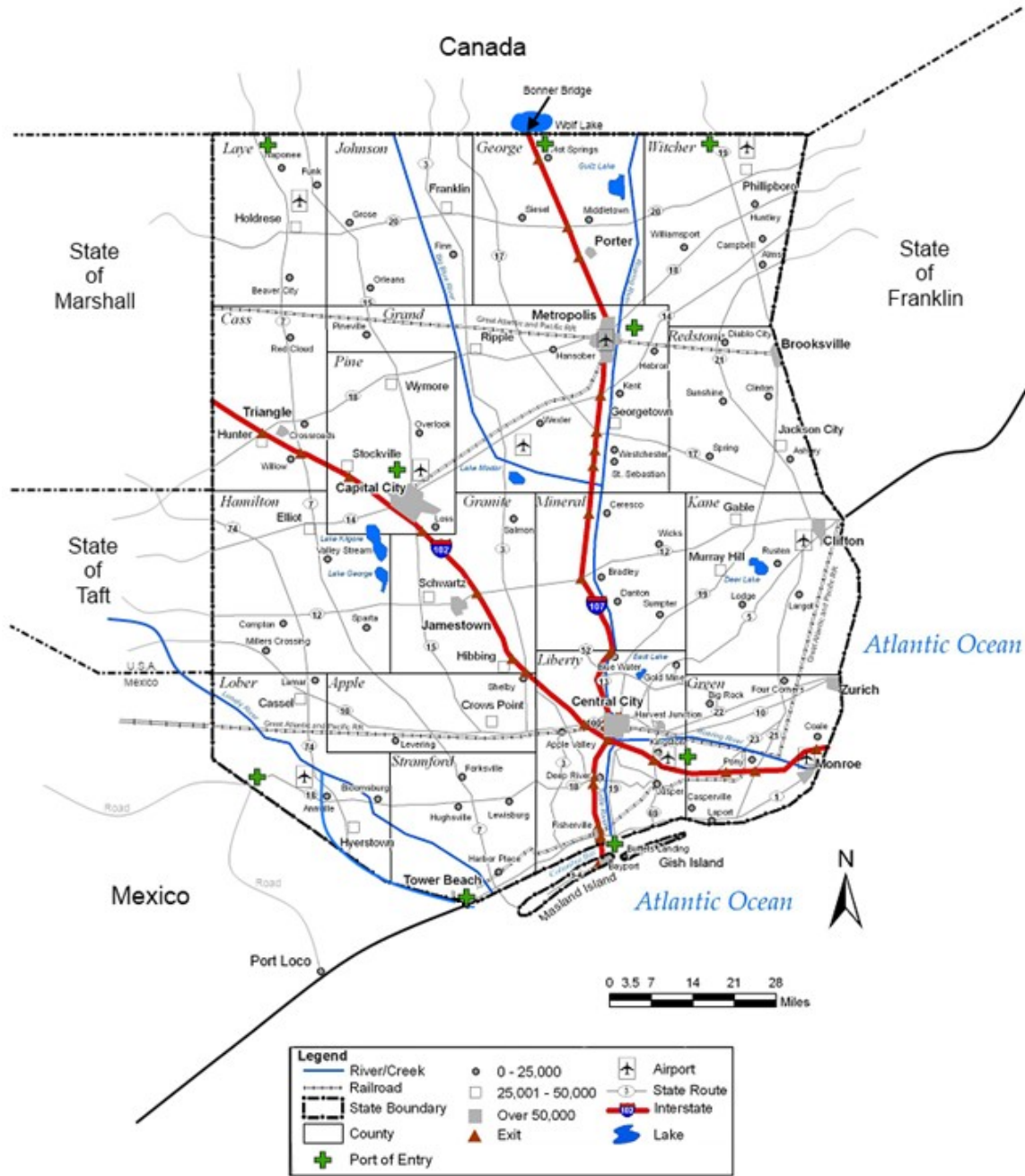
### Scenario:

It is 10 years in the future. You are a member of the emergency management team in the jurisdiction of Utopia. Given that you live in Utopia, your team has achieved Lacy Suiter's vision.

## Activity 13: Capstone Exercise

The following scenario is designed to simulate the discussions, team-building, and people management skills commonly found in the Emergency Operations Center (EOC). The capstone exercise will allow the students to use the knowledge and many of the skills gained in earlier units, including people management and team-building skills.

# State of Columbia Map



## State of Columbia

### Vital Statistics

**Population (Based on 2010 Census) 2,694,412**

Households.....  
1,197,516

Under 18 .....  
25.3%

Over 65 .....  
13.4%

Median age .....31.2  
years

Birth rate per 1,000 .....  
14.8%

Death rate per 1,000  
..... 8.8%

### Major Landmarks

#### Triangle Cattle Yard

- Built in 1908 as a depot for getting cattle to the market
- Now open for tours about the history of the cattle industry

#### Lamar Courthouse State Historic Park

- Oldest territorial courthouse in the State
- Now a State park and museum with exhibits and artifacts from Lamar's colorful past

#### Hayward State Park

- Large surfing attraction

### Quick Facts

#### State Bird

- Cardinal

#### State Flower

- Scarlet Carnation

#### State Tree

- Pine

#### State Motto

- *Potentia Unius* – The Power of One

#### Normal Temperatures

- Mean temperature ..... 72.8°F
- Coldest month ..... January/60.9°F
- Hottest month ..... August/82.5°F

#### Rainfall

- Mean rainfall ..... 48.35 inches
- Driest month .....December/2.3 inches
- Wettest month ..... June/7.35 inches

#### Government Branches

- Executive – Governor and Lt. Governor
- Legislative – 40-person Senate and 80-person House of Representatives
- Judicial – State Supreme Court

#### Size

- 62,000 employees at State, county, and local levels

- Draws visitors from around the world

## Gold Mine

- Founded in the 1859 gold rush
- Restored town and mine offers visitors a glimpse into the past with reenactments and daily life in 1859

## Van Deusen Park and Campground

- Recreational area with water sports, hiking, and nature watching

## Geography

### Highest Point

- Liberty Plateau (Price Point), 1,200 feet

### Lowest Point

- Sea Level, Liberty County

## Economy

### Agriculture

- Poultry
- Cattle and calves
- Greenhouse, nursery, and sod products

### Manufacturing

- Motor vehicles and other transportation equipment
- Textiles
- Chemicals, petroleum, natural gas

## State of Columbia

Columbia is a hub of economic and cultural growth in the United States. The capital, Capital City, was founded in 1830 as a trading post. The capital of the State was moved there after the original capitol building in Central City was destroyed in a flood in 1902. A wide range of activities takes place in the State, which vary based on geography and climate. Although Capital City is the focal point for government, Central City is the more prominent focal point where a large seaport and industrial market promote a great deal of trade.

The State consists of 17 distinct counties. The northernmost counties are George, Johnson, Laye, and Witcher, while the southernmost county is Stramford, which lies on the boundary between the United States and Mexico. Also within the State boundary lays the Great Americana Valley Nation, which is independently governed by a confederation of Roaring River Tribal Community. This land was ceded to the tribal governmental body in the late 1800s, but the county lines remain from the constitutional foundation in 1818, and land-use agreements have been in place between the counties affected and the Nation ever since.

### Training and Exercises

The State exercise program has been very proactive in attempting to coordinate exercise grant funding across multiple districts and varying resource needs. Both Capital City and Central City are part of the Urban Area Security Initiative (UASI) grant program. The counties in the State have had varying levels of success in organizing effective exercise programs, but recent efforts

to reorganize the State's program have made vast improvements in capability and effectiveness. Per order of the Governor's Office, via the State Division of Disaster and Emergency Services, all local and county jurisdictions within the State must conform to the National Incident Management System (NIMS), the Incident Command System (ICS), and the Homeland Security Exercise and Evaluation Program (HSEEP).

The State has been included in recent National Level Exercises (NLEs). State initiatives to develop interoperable communication networks across jurisdictions are meeting with increased success and a statewide intelligent traffic management system is in place to warn motorists of potential issues on the roadways.

# City of Clifton/Kane County

## Vital Statistics/City of Clifton

Population (Based on 2010 Census) 60,000

Households..... 18,333

Under 18 ..... 26.8%

Over 65 ..... 17.4%

Median age ..... 36.8 years

Birth rate per 1,000 ..... 12%

Death rate per 1,000 ..... 5.25%

## Vital Statistics/Kane County

Population (Based on 2010 Census).75,000

Households..... 31,665

Under 18 ..... 27.8%

Over 65 ..... 17.7%

Median age ..... 36 years

Birth rate per 1,000 . .11.1%

Death rate per 1,000 .... 6.5%

## Culture and Entertainment

### Chamber-Sponsored Events

- Late Winter Expo ..... March
- Annual Golf Tournament..... April
- Spring Fling ..... April
- Fourth of July Celebration ..... July 4
- Clifton Reunion Weekend ..... October
- Annual Holiday Parade ..... December
- Holiday Arts and Craft Show .....December

### Public Library

- Founded 1890, opened 1902
- More than 250,000 books, records, periodicals, pictures, microfilms, videotapes, slides, and the Computer Resource Center
- Located in downtown Clifton

### History Museum

- Founded 1978
- Located in the Old Courthouse
- Dedicated to the rich history of Clifton

### Schools in Kane County (includes Clifton)

- 12 elementary ..... 7,828 students
- 6 junior and 6 senior high.....11,160 students

## Quick Facts



## Business – Major Area Employers

### Major Landmarks

### Clifton Regional Airport

- Daily flights to Liberty International, Atlanta, and Cincinnati

### Beaches

- Numerous beaches along the Atlantic Ocean seashore

### Deer Lake

- Recreational area with camping, fishing and hiking

- City of Clifton ..... 630
- Kane County Memorial Hospital ... 500
- Harvest Junction Community Hospital.....200
- Mal-Mart ..... 480
- Hometown Depot ..... 135
- Public School System ..... 742
- Government ..... 2,021

### Normal Temperatures

- Mean temperature ..... 72.8°F
- Coldest month ..... January/60.9°F
- Hottest month ..... August/82.5°F

### Rainfall

- Mean rainfall ..... 28.35 inches
- Driest month .....December/2.3 inches
- Wettest month ..... April/5.35 inches

### Emergency Management

#### Clifton Fire and Rescue

- 6 fire/ambulance stations
- 80 uniformed service members –
- Pumper Trucks
  - 6Type II
  - 4 Type III
- Ladder Trucks
  - 2 Type I

### Law Enforcement and Security Resources

- 28 uniformed police/security members
- 5 support staff Participant:

- 4 Type II
- Emergency Medical Services (EMS)
  - 8 Type III basic life support (BLS) ambulances

### **Clifton Law Enforcement and Security Resources**

- 80 uniformed police/security members
- 28 support staff

### **Kane County (outside of Clifton) Fire and Rescue**

- 8 fire/ambulance stations
- 80 paid volunteer firefighters and EMTs (paid by call)
- Pumper Trucks
  - 8 Type II
  - 4 Type III
- Ladder Trucks
  - 4 Type I
  - 6 Type II
- EMS
  - 6 Type III BLS ambulances

## **City of Clifton/Kane County**

You are the newly organized exercise planning team for Kane County, including the City of Clifton. Kane County is less than 600 square miles and largely devoted to ocean and agriculture operations, both large- and small-scale. A few small towns are dispersed throughout the county. These towns (Gable, Largo, and Rusten) have between 2,500 to 15,000 inhabitants. The county seat and largest city in Kane County, Clifton has approximately 60,000 residents within the city limits. The population in the city has remained relatively stable over the last few decades. Most of the local population works in the agricultural industry, fishing and coastal tourism industry. There are also a large number of employees in the government, education, and medical fields.

### **Capabilities**

The Clifton Fire and Rescue Service comprises both the fire department and EMS, with 80 total uniformed services members. The fire department has two battalions with three stations each. Two shifts of emergency response personnel work a rotating 3-day on, 2-day off schedule. Eight fire stations in the county are supported by approximately 80 paid volunteers.

Clifton's size and location have not required an extensive police presence, and the city is served by a single station with three 8-hour shifts of police officers. The facility is co-located with the city jail and is in the center of the city, next to the courthouse. The police force has limited experience with emergency operations and response outside the exercises run by the Local Emergency Planning Committee (LEPC) and the Kane County Memorial Hospital. Explosive Ordinance Disposal (EOD) resources have not been required in the area, but Memorandums of Agreement (MOAs) are in place with nearby communities to respond to these types of incidents, should they occur. The county does have a 12 person Special Response Team (SRT) that is a joint city/county team.

Kane County Memorial Hospital has 96 beds with emergency room (ER) services. Severe trauma patients are typically transported to more advanced care facilities in other jurisdictions. There are no decontamination or isolation facilities in the hospital. Gable and Largot have medical clinics.

Public works in Clifton and Kane County are limited to heavy equipment designed for road and bridge repair. Several dump trucks are available for debris removal if they are requested, but the department of public works does not have a formal plan for response to a major disaster or terrorist attack.

### **Hazards and Vulnerabilities**

The Local Emergency Planning Committee (LEPC) has identified potential hazard zones due to the interstate and railway that runs through the county that could be affected by a catastrophic incident. The LEPC has also identified two elementary schools and an assisted living facility that should have an emergency evacuation plan based on the railway hazard.

Threats of communicable diseases are intermittent as surrounding regions periodically report of mumps, measles, and influenza outbreaks. The potential for an Avian Influenza A (H5N1) Virus outbreak in the poultry industry concerns many local leaders, public health workers, and poultry industry workers as "bird flu" cases in other countries have occurred from direct or close contact with infected poultry or contaminated surfaces.

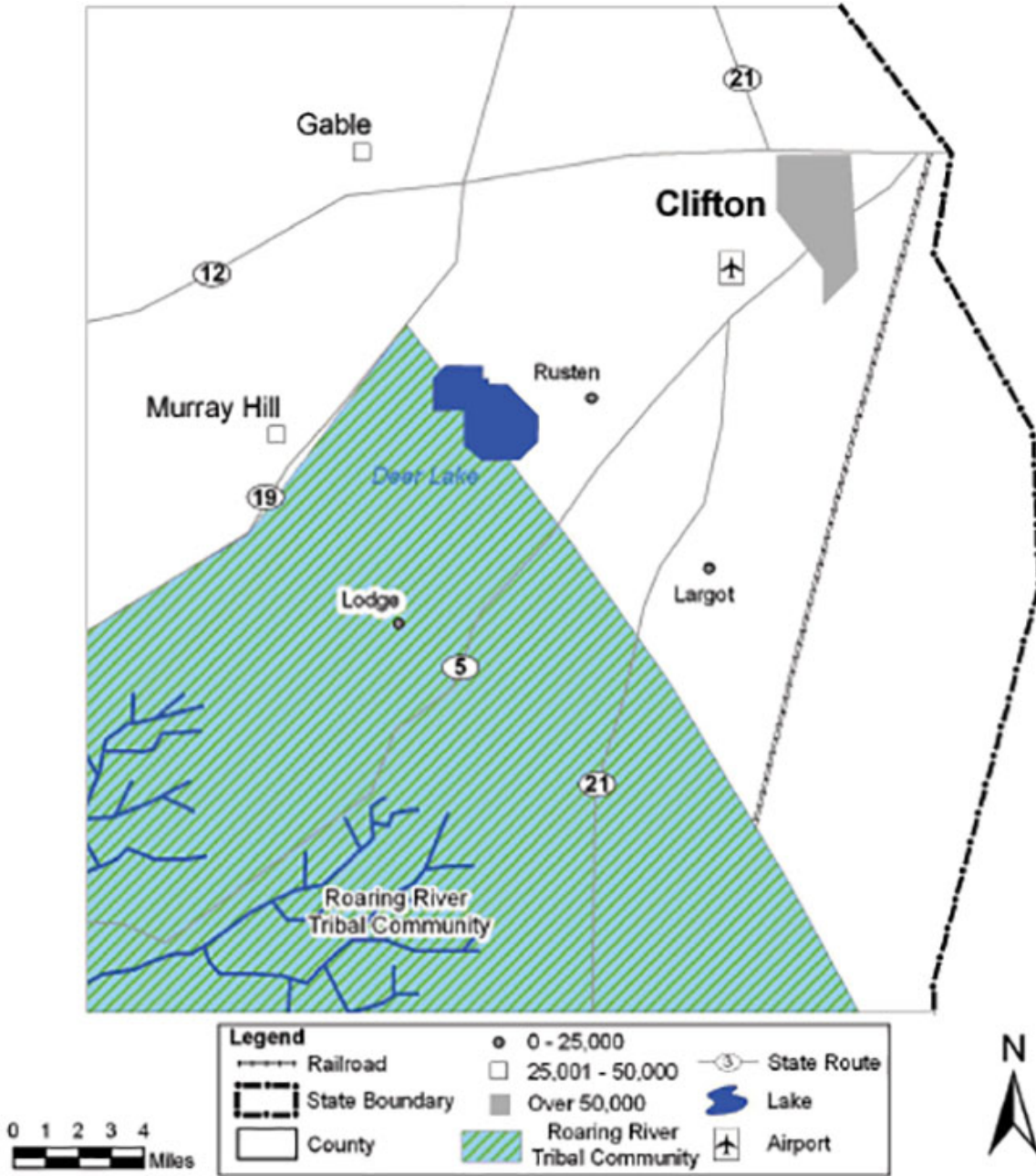
### **Training and Exercises**

Exercise funding has been limited in prior years and what has been received has been centered in Clifton, which used most of the funding to maintain the training levels of local responders in Hazardous Materials (HazMat) response and awareness.

Clifton's local emergency responders have attended HazMat technician certification courses and several statewide conferences relating to HazMat response. The city's operating budget has been insufficient to purchase enough equipment to permit the fire departments to build a functional HazMat team internally, and all previous incidents have been handled by neighboring jurisdictions.

Prior exercises have not been formally provided by the county EMA but were instead developed as part of the local hospital's annual mass casualty exercises. These events have primarily focused on traumatic injuries from a nonspecific source, such as a major car accident, and have been limited to no more than 20 victims. The county has recently applied for grant money to revise the county emergency operations plan, because this issue was discussed in the past round of county commissioner elections. The incumbent lost to the challenger, largely on the issue of disaster preparedness. These new grant applications would allow the city to begin a more comprehensive, all-hazard training and exercise program.

# Kane County Map



# Central City

## Vital Statistics

**Population (Based on 2010 Census)** .....  
 149,000  
 Households.....  
 60,215  
 Under 18 ..... 24.2%  
 Over 65 ..... 9.3%  
 Median age .....35  
 years  
 Birth rate per 1,000 .....  
 12%  
 Death rate per 1,000 .....  
 5.15%

## Major Landmarks

### Columbia State University

- Enrollment: 15,000

### Farmers A&M University

- Enrollment: 5,500

### Convention Center

- Built in 1976
- 95,000 square feet of meeting space

### Liberty Coliseum

- Built in 1985
- Home to The Lightning (Semi-Pro Basketball)
- Home to The Pounders (Semi-Pro

## Normal Temperatures

- Mean temperature ..... 65.2°F
- Coldest month ..... January/40.2°F
- Hottest month ..... August/83.6°F

## Rainfall

- Mean rainfall ..... 29.38 inches
- Driest month .....January/2.9 inches
- Wettest month ..... May/5.6 inches

## Culture and Entertainment

### Historical Society

- Founded 1830
- Includes five galleries and a library with more than 50,000 volumes

### Central City Museum

- Founded 1910, opened 1916
- Serves 375,000 visitors a year, including 68,000 students
- Includes Junior Museum, Fire Museum, Planetarium, Lemon House (1880), and Liberty Farms Schoolhouse (1788)

## Schools

- 11,429 students
- 2 School Districts (1 Public and 1 Private)
- Elementary ..... 24
- Junior and senior high ..... 12

Hockey Team)

## Fluman Sloane Stadium

- Home of The Pounders (Double Affiliate/Baltimore Orioles)
- Seats 9,700

## Quick Facts

## Major Area Employers

- DuPont Chemical ..... 4,243
- Columbia State University ..... 2,062
- Columbia State Prison ..... 1,300
- Central City Hospital ..... 958

## Emergency Management

### Central City Fire Department

- 12 stations
- 300 uniformed service members
- Engines
  - 16 Type I
  - 3 Type II
  - 2 Type VI
- Ladder Trucks
  - 4 Type I
  - 2 Type II
- Fire Boats
  - 1 Type II
- Foam Tenders
  - 1 Type I
- Hazardous Materials (HazMat) Entry Teams
  - 1 Type I
- Available Liberty County Mutual Aid (11 Departments)

### Public Works and Engineering

- Public Works Emergency Management Support Team
- Disaster Management Recovery Team
- Equipment Preventative Maintenance Team
- Heavy Preventative Maintenance and Repair Team

### Emergency Medical Services (EMS) Managed by Liberty County

## Law Enforcement

- Liberty County Sheriff's Department
  - 164 Sworn Officers
  - 37 Non-Sworn Staff
- Central City Police Department
  - 138 Sworn Officers
  - 45 Non-Sworn Staff
- 1 Type III Explosive Ordinance Disposal (EOD) team (Central City Police Department)
- 1 Type III Special Response Team (SRT) (Sheriff's Department)
- Columbia State Police District 2
  - 95 Sworn Officers
  - 15 Non-Sworn Staff
- Columbia State University
  - 22 Sworn Officers
  - 5 Non-Sworn Staff
- Farmers A & M University
  - 16 Sworn Officers

## Health Department

- 91 personnel
- 1 Type I Advanced Life Support (ALS) Ambulance
- 6 Type II ALS Ambulances
- 5 Type IV Basic Life Support (BLS) Ambulances
- 1 Type I Rotary Wing Aircraft

## Central City

You are an exercise planning team for Central City. Your city has been the focal point for many activities after the September 11, 2001, attacks, including major terrorism investigations resulting in the arrests of dozens of suspected terror cell members. Your city has undergone a massive overhaul in its emergency response plans and has spent millions of dollars on the purchase of new first responder equipment and training in the last 2 years alone. Major events are planned in the future for your city, including a major party convention in the run up to the Presidential election and a bid for the summer Olympic Games.

The political climate within the city is rather tumultuous, with the mayor announcing that he plans to run for governor in the next term. The governor, who is of another political party, has frequent public disagreements with the mayor's policies, which draws a great deal of media attention. The political leaders of the city are jockeying to position themselves for the mayoral candidacy.

Central City is one of the oldest major cities in the State of Columbia, founded in the late 1700s. After decades of decline and disinvestment, Central City today is attracting national attention for its ongoing rebirth and renewal. Crime and unemployment are both down, achieving levels unseen in decades. Neighborhoods are witnessing a boom of housing, opportunity, and hope. Businesses are relocating and expanding. Major educational reforms are underway, as evidenced by the two universities that call Central City home. Bricks and mortar investment in Central City between 1995 and 2010 is estimated to total several hundred million dollars per square mile, approximately 12–14 billion dollars for the city as a whole. While more remains to be done, Central City is a city on the rise.

### Capabilities

The Central City Fire Department is a modest size department. The department operates three shifts. The fire department typically works a 24-hours on/48-hours off shift. Support personnel are typically weekday only and work 8:00 a.m. to 5:00 p.m.

The law enforcement resources for Central City are extensive and well trained for a city of its size. There is also mutual aid support readily available from the Liberty County Sheriff's Department, the Columbia State Police, Columbia State University, and Farmers A&M University. The Central City Police Department maintains an explosive ordinance disposal (EOD) unit and the Liberty County Sheriff's Department maintains the county Special Response



Team (SRT). The activities relating to special security events in the city have resulted in a force that has expertise in crowd control and response to catastrophic events, including chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE)-related incidents. The city and county both maintain three shifts per day, though 2 twelve hour overlapping shifts may be implemented for high security events.

The health and medical resources in Central City consists of a large number of volunteer and professional medical services personnel, including 4 hospitals with a combined bed capacity of over 600 beds. These teams have been active in response to disasters. Most recently, they have responded to the crash of an airliner in a residential district on the outskirts of the city, numerous tornadoes, and the hurricanes that struck the State of Columbia, Liberty County and Central City on nearly an annual basis.

The Central City Department of Public Works has a significant amount of disaster recovery equipment including, a Public Works Emergency Management Support Team, Disaster Management Recovery Team, Equipment Preventative Maintenance Team, and a Heavy Preventative Maintenance and Repair Team. Memorandums of Agreement (MOAs) are signed with construction crews in the city indicating that equipment may be required for use by the city in a time of emergency. Liability is assumed by the city in these instances, and equipment rental and operator time is reimbursed by the city as a part of this agreement. There are a total of 339 employees in the department, including five full-time personnel that serve in the county/city joint Emergency Operations Center (EOC) when activated.

A U.S. Coast Guard (USCG) Marine Safety Unit (MSU) is located in the southern part of the county in the bay area and is responsible for response to large spills and other disasters in the region, including the Turtle River. The State of Columbia National Guard's 40th Weapons of Mass Destruction (WMD) Civil Support Team (CST) is also headquartered in the southeastern area of the county and has been responsive to city requests for support in both exercises and unknown chemical discoveries and exposures. Several other assets are located in the area, such as the 6th Rescue and Recovery Squadron, which includes lifesaving capabilities and services to civilian and military agencies.

### **Hazards and Vulnerabilities**

Central City is close to a large, exposed coastline and is situated within approximately 2 hours driving time from two other major metropolitan areas. The city is a hub of industrial and commercial transportation and has one major airport serving national and international flights. There is a major railway for the Great Atlantic and Pacific Railroad that passes directly through Central City and presents a hazardous material (HazMat) vulnerability due to the amount of industrial chemicals that are transported through the city on a daily basis. Central City has one major interstate highway that runs through the city (I-107) and another interstate highway (I-102) just to the south of the city. The Central City Light Rail System operates three car units that transport over 18,000 customers per day.

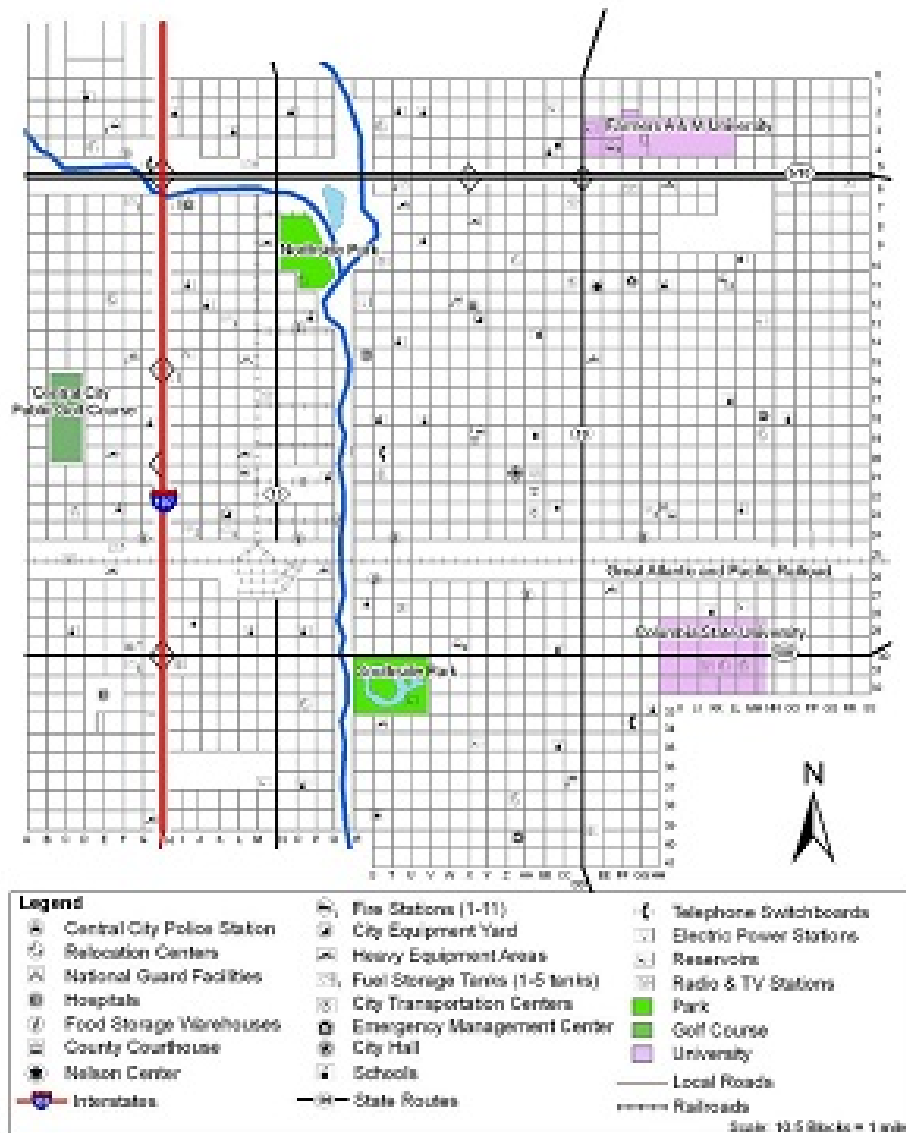
### **Training and Exercises**

The funding stream for the city has been adequate to meet the needs of past exercises through a combination of Federal and State grants, a healthy tax base, and a budget provided by the city government.

Past exercises have included a portion of the past two National Level Exercises (NLEs), which included Federal, State, and local agencies from the county and city. However, those exercises

were conducted without any significant grant funds, which limited local and State agency participation. There has also been a significant decrease in homeland security funding, which has delayed new equipment purchases. Interest in the preparedness level of the city is high due to method in which the homeland security funds within the city have been recently spent due to issues in the response to recent disasters and with an election less than two years away.

## Central City



# Green County

## Vital Statistics

**Population (Based on 2010 Census) Population**  
 ..... 196,000

**Households**.....  
 .... 31,612

**Under 18**  
 .....  
 17%

**Over 65**  
 .....4  
 %

**Median age**  
 .....36.4 years

**Birth rate per 1,000**  
 ..... 11%

**Death rate per 1,000**  
 ..... 5.15%

## Major Landmarks

### Monroe Regional Airport

- Daily flights to Liberty International, Atlanta, and Cincinnati

### Beaches

- Numerous beaches along the Atlantic Ocean seashore

### South Branch Train Depot Museum

- Restored depot for the Great Atlantic and Pacific Railway

## Culture and Entertainment

### Public Library

- Founded 1950
- More than 275,000 books, records, periodicals, pictures, microfilms, videotapes, slides, and the Information Technology Resource Center
- Four branches, three satellites, and one bookmobile

### Douglas Museum

- Founded 1925
- Serves 175,000 visitors a year, including 28,000 students
- Includes Children's Science Museum, Fire Museum, Planetarium, and Natural History Museum

### Schools

- Public elementary ..... 14
- Middle and senior high ..... 8
- Private and parochial.....4
- Total number of public school students.....14,000

## Emergency Management

### Monroe and Zurich Fire and Rescue

- 3 fire stations
- 102 full-time firefighters
- 12 full-time support staff
- Pumper trucks

## Quick Facts

### Major Area Employers

- Retail, including large factory outlet mall
- Railroad
- Fishing
- Coastal Tourism

### Normal Temperatures

- Mean temperature ..... 72.8°F
- Coldest month ..... January/60.9°F
- Hottest month ..... August/83.5°F

### Rainfall

- Mean rainfall ..... 28.35 inches
- Driest month .....December/2.3 inches
- Wettest month .....April/5.35 inches

- 3 Type I
- 6 Type III
- Ladder trucks
- 3 Type II
- Emergency Medical Services (EMS)
  - 1 Type I advanced life support (ALS) ambulance
  - 2 Type II ALS ambulances
  - 2 Type III ALS ambulances
  - 6 Type III basic life support (BLS) ambulances

### Monroe and Zurich Law Enforcement

- 125 uniformed police/security members
- 50 support staff

## Green County

You are the exercise planning team for Green County, which is situated east of Liberty County and Central City along the Atlantic Ocean.

The county has historically been a railroad and fishing area with thriving fishing areas off the coast of both Monroe and Zurich. The regional airport and seasonable weather associated with a coastal area has resulted in an influx of many families seeking a home outside of large urban areas. Interstate 102 (I-102) provides a direct route to Central City and points west. As the population increases, so does the demand for resource basics, such as water treatment and schools, and less emphasis has been placed on emergency services.

### Capabilities

Green County’s fire and emergency services are provided by the two major fire departments (Monroe and Zurich) and by an additional 10 volunteer fire departments across the county, including rural volunteer fire departments in Coale, Casperville, and Laport. Outside of the Monroe and Zurich Fire Departments, the remainder of the county is staffed by a small contingent of full-time dispatchers and full-time staff and supported by 250 volunteer members. Emergency responders are summoned to the volunteer stations via pager and telephone. A campaign is currently underway to improve response time throughout the county by hiring more

full-time personnel; however, the county has not been able to obtain sufficient funds to accomplish this. Hazardous Materials (HazMat) responses are handled in agreement with surrounding communities.

Green County's law enforcement agencies include the city police departments in Monroe and Zurich, which are equally staffed, and the county sheriff's office. There is countywide mutual aid in place for law enforcement, as well as limited support from the State of Columbia State Police. There are no organic Explosive Ordinance Disposal (EOD) or Special Response Team (SRT) assets within the county, though both Monroe and Zurich are exploring the creation of SRT units in each jurisdiction.

The Green County health care system consists of a single public hospital (St. Dorothy's Hospital) in Monroe, along with three urgent care clinics. There is no isolation facility, but the emergency room (ER) does have a decontamination corridor that was recently purchased and installed.

The local emergency response network comprises of a large volunteer force that, while well-trained, is not well-equipped to deal with a mass casualty incident (MCI). Mutual-aid agreements (MAAs) exist between the county and adjacent counties for aid in times of disaster.

### **Hazards and Vulnerabilities**

Due to the interstate and railway line that runs through the county, there is interest by a few chemical manufacturing facilities that are interested in relocating to remote areas of the county. Some developers have been able to persuade government authorities to allow developments to go through, but there is still large public concern. As is, numerous industrial chemicals are transported through the county on any given day. The county is also susceptible to hurricanes due to low-lying areas near the coastline.

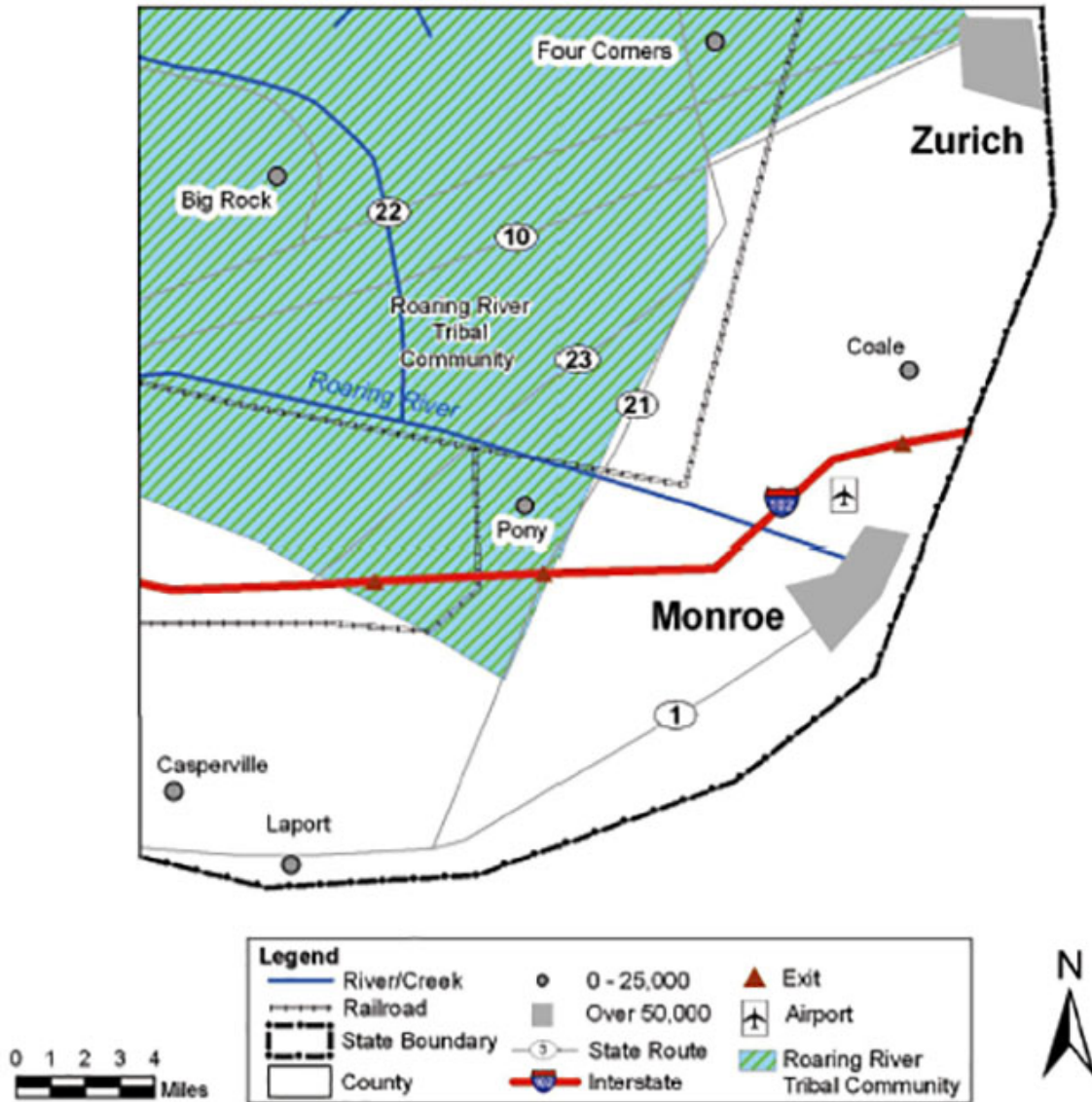
There is no disaster response team within the county for response to mass MCIs. Additional concerns have been raised after a letter purportedly containing ricin was delivered to a local developer's office by a long-time resident who was upset by the potential relocation of chemical manufacturing plants to Green County.

### **Training and Exercises**

Exercise funding has been adequate in the past, but the rapid growth of the area has resulted in most of the resources provided by grants and the local budgets being funneled to the purchase of equipment and facilities for new first responder units. Due to decreases in homeland security funding, first responder training and exercises are being scaled back due to cost saving measures.

The emergency response plan is rapidly becoming outdated because of changes in population and has not been exercised in over 2 years. The plan has had one addition. Due to recent railway expansion projects and an increase in the transport of hazardous materials, the railroad conducted a tabletop exercise (TTX) with the county emergency management agency and first responder organizations. The end result was an update to the county HazMat Annex, which was promulgated last year.

## **Green County**



# Mineral County

## Vital Statistics

### Population (Based on 2010 Census)

..... . 26,000  
 Households.....  
 7,471  
 Under 18 .....  
 27.3%  
 Over 65  
 .....12.3%  
 Median age .....35.1  
 years  
 Birth rate per 1,000 .....  
 14%  
 Death rate per 1,000 .....  
 6.15%

## Major Landmarks

### Mineral Mountains

- Recreational area with camping, fishing, hiking, and white water rafting

### Roaring River Rapids

- Recreational area with camping, fishing, hiking, and white water rafting

## Quick Facts

### Business - Major Area Employers

- Lumber Companies.....250
- Mineral County Hospital.....300

## Rainfall

- Mean rainfall ..... 37.07 inches
- Driest month .....October/2.65 inches
- Wettest month .....April/4.78 inches

## Culture and Entertainment

### Public Library

- Founded 1976
- More than 200,000 books, records, periodicals, pictures, microfilms, videotapes, and slides
- Three branches

### Fall Foliage Festival

- Held the 2nd weekend in October. Attracts over 10,000 tourists.

### Bradley Community Theatre

- Built 1968
- Remodeled 1989
- Seats 879 people

## Schools

- Public elementary ..... 6
- Junior/senior high ..... 5
- Private and parochial.....1
- Total number of public school students.....4,700

- Businesses.....1,400

## Normal Temperatures

- Mean temperature ..... 55.3°F
- Coldest month ..... January/34.8°F
- Hottest month ..... July/79.2°F

### **Emergency Management Mineral County Fire and Emergency Services**

- Eight stations across five fire departments
- One Type II Wide Area Search and Rescue Team
- 65 uniformed service members
- Pumper Trucks
  - Eight Type III
- Ladder trucks
  - Three Type I
- Foam Tenders
  - One Type I
- Emergency Medical Services (EMS)
  - 6 Type III advanced life support (ALS) ambulances
  - 10 Type II basic life support (BLS) ambulances

### **Law Enforcement and Security Resources Mineral County Sheriff's Department**

- 25 uniformed police/security members
- 6 support staff

## Mineral County

You are an exercise planning team for Mineral County. The population of your county (approximately 26,000 people) is mostly from an agricultural and forestry background. The Roaring River provides a source of employment and recreation during the late-Spring/early-Fall



time-frame. The Mineral Mountains provide recreational and Fall foliage-viewing opportunities. The county is very rural with only 5 communities (Bradley, Ceresco, Danton, Sumpler, and Wicks). The road network in the county is primarily two-lane highway with the exception of I-107, which runs north to south through the county. limited to four-lane highways in the cities and two-lane State highways connecting the populated areas. Large cities lie to the north (Metropolis) and south (Central City).

### **Capabilities**

Due to being a small community, there has been little influx of homeland security funding to purchase equipment, train, or exercise. Hazardous materials (HazMat) responses are conducted through mutual-aid agreements (MAAs) with contiguous counties.

Mineral County Hospital is an aging hospital built in the mid 1950s, though it has recently been renovated and now has a state-of-the-art emergency room (ER) with an isolation ward but does not have an organic decontamination unit. The hospital has the capacity to treat approximately 85 patients with varying levels of illnesses at one time. The hospital staff has also developed an emergency plan that uses off-duty employees in case of a mass casualty incident (MCI).

The Public Works Department has not been active in disaster response except during response to wildfires when road graders and bulldozers are used for creating fire breaks.

### **Hazards and Vulnerabilities**

The fire departments throughout the county are split between two major functions: battling frequent brush fires and structural fires in a very rural setting. There are only 65 volunteers throughout the entire county. There are 5 fire departments and eight stations. Each station has a minimum of one assigned fire company and ambulance crew. The employees of the departments are primarily volunteers, though there are paid firefighters that are on a 12-hour shift at the main fire station in Bradley.

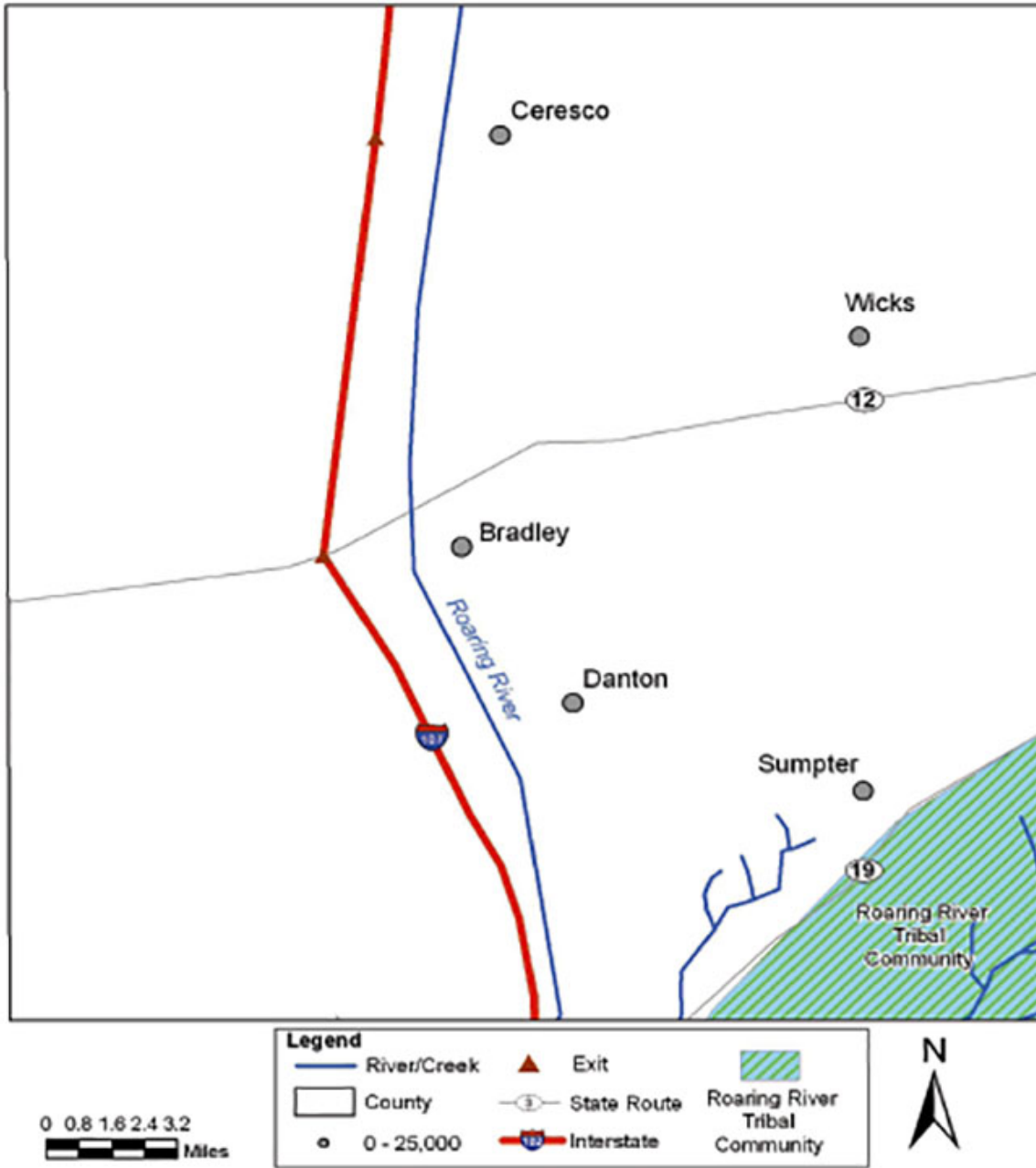
The county Sheriff's Department is the primary law enforcement presence in Mineral County, with the exception of limited support from the State of Columbia State Police. These county Sheriff's Department has received little training in MCIs and has no protective gear to respond to a HazMat incident. There are no special teams assigned within the law enforcement departments for response to high-risk situations (e.g., hostage situation, barricaded suspects, terrorism).

### **Training and Exercises**

With the exception of limited funding from the Local Emergency Planning Committee (LEPC), there is no formalized exercise-funding source, though local departments and agencies do participate in hospital drills and exercises. There are ongoing efforts to secure homeland security funding due to the counties geographic position between two large urban areas.

The county response agencies have good relationships and training events have often included representatives from most of the emergency response services. No formal exercises have taken place to verify that emergency operations functions are well-coordinated. Most of the past occasions for county emergency response personnel to work together in an extended manner have involved tornado recovery, wildfires, and flood response along the Roaring River after heavy rains.

# Mineral County



# Stramford County (Tower Beach)

## Vital Statistics

Population (Based on 2010 Census) ..... 145,000  
 Households..... 43,393  
 Under 18 ..... 26.3%  
 Over 65 ..... 14.7%  
 Median age ..... 37 years  
 Birth rate per 1,000 ..... 12%  
 Death rate per 1,000 ..... 5.15%

## Major Landmarks

### Camp Lewisburg

- Dates to the Spanish-American War
- Houses to military museum

### Metro Kiwanis Sportsplex

- Located in the city center
- This park and recreation complex is the gem in the city's recreational facilities

### Tower Beach

- Popular beach attraction
- Large tourism and fishing industry

## Normal Temperatures

- Mean temperature ..... 65.2°F
- Coldest month ..... January/40.2°F
- Hottest month ..... August/83.6°F

## Rainfall

- Mean rainfall ..... 29.38 inches
- Driest month ..... January/2.9 inches
- Wettest month ..... May/5.6 inches

## Culture and Entertainment

### Performing Arts Center

- Opened in 1965
- Seats 1,500 people

### Public Library

- Founded 1940
- More than 500,000 books, records, periodicals, pictures, microfilms, videotapes, slides, and the Technology Resource Center

### Tower Beach Museum

- Founded 1960
- Serves 15,000 visitors a year
- Includes Planetarium, Cotton Mill (1850), and Tower Beach Schoolhouse (1888)

## Schools

- Public elementary ..... 14
- Junior/senior high ..... 8
- Private and parochial.....4

## Quick Facts

- Total number of public school students.....14,000

## Business - Major Area Employers

- Tourism
- Fishing
- Commercial
- Industrial
- Shipping

### **Emergency Management Stramford County Fire and Rescue**

- 8 stations across 5 fire districts
- 230 uniformed service members
- Pumper Trucks
  - Five Type I
  - Eight Type III
- Ladder Trucks
  - One Type I
- Hazardous Materials (HazMat) Teams
  - 2 Type II
- Emergency Medical Services (EMS)
  - Four Type I advanced life support (ALS) ambulances
  - Ten Type II basic advanced life support (BLS) ambulances

### **Law Enforcement and Security Resources Tower Beach Police Department**

- 125 uniformed officers
- 15 support staff

### **Stramford County Sheriff’s Department**

- 175 uniformed officers
- 15 support staff
- One Type III Special Response Team (SRT)

## **U.S. Customs and Border Protection (Stramford Sector)**

- 350 uniformed officers
- 55 support staff
- One Type III Special Response Team (SRT)

## **Public Works and Engineering**

- One Type I Recovery Director
- One Type II Assessment Director

## **Stramford County**

You are the exercise planning team for Stramford County. The county has undergone a massive transformation in the last 50 years from a small beach and agricultural community to an industrial and research hub for both government and industry. The county enjoys a full range of emergency services that are well-funded due to the high number of terrorism suspects that have been arrested.

Stramford County sits along the border between the United States and Mexico. The county is a major point of transfer for people and goods between the two countries, but many of the largely unpopulated areas have also made it a haven for people entering the United States illegally. Citizen groups have formed to attempt to stem the tide and assist the government in maintaining border integrity, but some of these groups have conducted operations that have been seen as unnecessary and potentially dangerous. Additional U.S. Customs and Border Patrol (CBP) staff have been hired over the past few years. The U.S. Department of Homeland Security (DHS) has provided numerous training opportunities for the county's law enforcement personnel to better prepare them to assist CBP operations to eliminate the entry of potential terrorists into the country, but many residents of the county do not see the effect because of the extent of the border and the limited number of agents and officers on patrol along the border. There were 25 individuals from countries the U.S. Department of State has identified as supporting terrorism that were captured attempting to cross the border in the last year, raising the concern of local residents about potential terrorists slipping across the border.

## **Capabilities**

The city has benefited from the relationship with the local CBP sector by conducting joint exercises in emergency response in the past, and many mutual-aid agreements (MAAs) exist between CBP and local emergency responders. The frequent antiterrorism drills and exercises conducted by the county are seen positively by county residents, and pressure is frequently placed on elected officials to increase involvement from county emergency management personnel.

The Stramford County Fire Department is made up of 8 stations across 5 fire districts and is supported by 230 uniformed members. The department works on a split-shift schedule. There are four actual shifts, with two shifts on duty at all times. The shift change for one shift occurs at

6:00 a.m., while the second occurs at 6:00 p.m. The fire department typically works a 48-hour shift. Support personnel are typically weekday only and work 8:00 a.m. to 5:00 p.m.

Stramford County has a fairly robust law enforcement community, with the Stramford County Sheriff's Department and Tower Beach Police Department having a total of 300 sworn officers between the two departments, as well as a the Sheriff's Department SRT. There are also 350 Border Patrol Officers assigned to the Stramford Sector, including a CBP SRT. All departments, including the CBP Officers, all work 8-hour shifts. There are Memorandums of Understanding (MOUs) in place with the CBP to provide mutual-aid support.

The Tower City healthcare system comprises a single public hospital (Tower Beach Community Hospital) and several acute care facilities and family care clinics. The River Valley Hospital has a state-of-the-art burn center with many experts in trauma, burns, and HazMat exposure.

The Public Works Division has a moderate inventory of disaster recovery equipment, including cranes and dump trucks for debris removal but has no assigned team for this purpose. There are no full-time personnel assigned as disaster recovery specialists, but two individuals work with the city to keep plans updated and serve in the city Emergency Operations Center (EOC) when activated. They typically work from 8:00 a.m. to 5:00 p.m. at the Public Works Department and are on call at other times.

### **Hazards and Vulnerabilities**

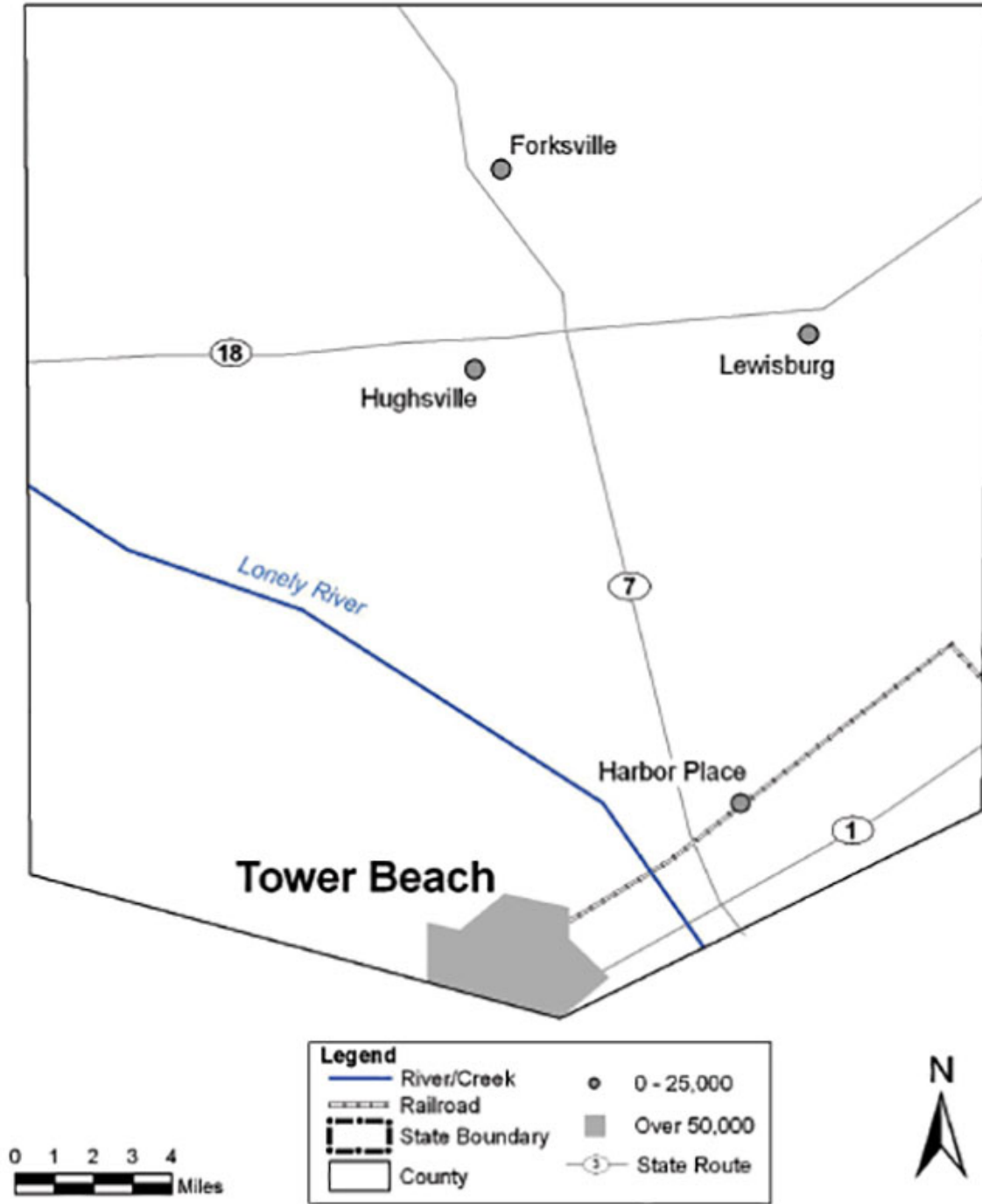
Tower Beach serves as a port of entry into the United States, which results in a large amount of commerce being transported into the county and subsequently moved via rail to points throughout the United States, including a large amount of HazMat. There is also a railway, which transports commerce between Mexico and the United States.

Being a coastal community, Tower City is susceptible to hurricanes and coastal flooding. There is also the threat of river flooding along the Lonely River, but it largely flows outside of populated areas. Other hazards include tornadoes and threats of terrorism.

### **Training and Exercises**

A variety of homeland security training has been conducted throughout the county. Exercise funding has improved over the last 3 years, with current funding being adequate to support a variety of city and county exercises for the foreseeable future.

## Stramford County



# Capital City

## Vital Statistics

**Population (Based on 2010 Census) Population**  
 ..... 265,000

Households.....  
 106,854

Under 18 .....  
 20.3%

Over 65  
 .....18.2%

Median age .....34.2  
 years

Birth rate per 1,000 .....  
 11%

Death rate per 1,000 .....  
 6.25%

## Major Landmarks

### Falcon Tower

- 620-foot tall tower with observation deck, completed in 1991

### Columbia State Capital

- Built in 1843
- Contains chamber for the State House and Senate

## Quick Facts

### Business - Major Area Employers

- State government.....23,000
- New Twinkie/Fruit Pie Bakery.....5,000

## Rainfall

- Mean rainfall ..... 28.2 inches
- Driest month .....January/2.1 inches
- Wettest month .....May/5.3 inches

## Culture and Entertainment

### Capital City Museum

- Founded 1910, opened 1916
- Serves 425,000 visitors a year

### Capital City Stadium

- Built in 2011
- State-of-the-art multi-purpose stadium
- Home of the Capital City Crusaders (Coastal Football League Professional Football)

### Historical Society

- Founded 1950
- Includes three galleries, library with more than 20,000 volumes, and 28 historical sites

### Downtown Performing Arts Center

- Opened in 1985
- Seats 4,500 people
- Serves as the home of the Capital City Symphony Orchestra



- Great Atlantic & Pacific Railway..4,000
- Capital City Hospital.....1,264
- Pine Cogeneration Plant.....1,100
- Coca-Cola Bottling Company.....1,050

**Normal Temperatures**

- Mean temperature ..... 64.2°F
- Coldest month ..... December/37.1°F
- Hottest month ..... August/82.4°F

**Emergency Management  
Capital City Fire Department**

- 20 stations
- 475 uniformed service members
- Engines
  - 22 Type I
  - 6 Type II
  - 4 Type VI
- Ladder Trucks
  - 8 Type I
  - 4 Type II
- Hazardous Materials (HazMat) Entry Teams
  - 1 Type I
- Available Liberty County Mutual Aid (4 Departments)

**Emergency Medical Services (EMS)**

- 130 personnel
- 3 Type I Advanced Life Support (ALS) Ambulance
- 12 Type II ALS Ambulances
- 10 Type IV Basic Life Support (BLS) Ambulances

**Law Enforcement**

- Pine County Sheriff’s Department
  - 250 Sworn Officers
  - 50 Non-Sworn Staff
- Capital City Police Department
  - 200 Sworn Officers
  - 75 Non-Sworn Staff
- 1 Type III Explosive Ordinance Disposal (EOD) team (Capital City Police Department)
- 1 Type III Special Response Team (SRT) (Sheriff’s Department)
- Columbia State Police HQ and District 1
  - 195 Sworn Officers
  - 70 Non-Sworn Staff

- 1 Type I Rotary Wing Aircraft

### **Public Works and Engineering**

- Public Works Emergency Management Support Team
- Disaster Management Recovery Team
- Equipment Preventative Maintenance Team
- Heavy Preventative Maintenance and Repair Team

## **Capital City**

You are the exercise planning team for Capital City, which is the largest city in the State of Columbia. The city comprises a large urban area surrounded by a relatively large suburban sprawl. A large number of commuters live within 2 hours of the city center and travel I-102, which skirts the southern to western edges of the city. The region is a major transfer point for ground-based and air-based commerce and serves as a port of entry. It has one major airport that serves domestic flights and acts as a hub for several smaller discount airlines.

The city has a fairly robust light-rail system and is also served by commercial rail. The light rail system serves over 30,000 customers per day. The Capital City Regional Airport, which opened in 1939, is a regional transfer hub and has daily service to Liberty International Airport, Atlanta, and Cincinnati, with future service to include Dayton, OH.

### **Capabilities**

Capital City has 475 full-time firefighters in four fire districts. The personnel and equipment within these districts are divided into 8 fire battalions. The fire departments also have command and control of the Emergency Medical Services (EMS) and are augmented by an additional 150 volunteer fire personnel. The shifts work in a 72-hour rotation, with a third of the on-duty force rotating off duty each day at 5:00 a.m. There is one hazardous materials (HazMat) team in the city.

The law enforcement resources in Capital City have been recently upgraded by the addition of several police precincts, bringing the total to 8. Within these precincts, the 250 uniformed personnel have been active in their response training, but protective equipment has been a lacking resource in recent years. Training with mutual-aid districts has been spotty and difficult to organize, but the condition has been improving. Police units in Capital City typically work 8-hour shifts, with varying hours for shift changes based on the precinct's needs. Many of the downtown districts are relatively quiet at night, while they are extremely crowded during daylight hours. The EOD team, which falls under the police force, recently added a robotic EOD response unit to their list of capabilities. The county Special Response Team (SRT), which is assigned to the Pine County Sheriff's Department, has also used homeland security grant funding to purchase an armored vehicle for hostage response. The vehicle was purchased based on a rising number of barricaded suspects situations and active shooter incidents in the outskirts of the city limits.

The medical resources in Pine County are limited to Capital City Hospital, which is a 400-bed, Level II Trauma Center. The hospital is capable of accepting and decontaminating chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE)-exposed patients, but one additional decontamination/isolation unit is scheduled to become operational next spring. These resources are combined with the capabilities of a Disaster Medical Assistance Team (DMAT), which has been recently established to respond to mass casualty incidents (MCIs) within the city, county, and State.

The Capital City Department of Public Works has a significant amount of disaster recovery equipment including, a Public Works Emergency Management Support Team, Disaster Management Recovery Team, Equipment Preventative Maintenance Team, and a Heavy Preventative Maintenance and Repair Team. Memorandums of Agreement (MOAs) are signed with construction crews in the city indicating that equipment may be required for use by the city in a time of emergency. Liability is assumed by the city in these instances, and equipment rental and operator time is reimbursed by the city as a part of this agreement. There are a total of 457 employees in the department, including 8 full-time personnel that serve in the county/city joint Emergency Operations Center (EOC) when activated.

### **Hazards and Vulnerabilities**

To the west of the city lies a large chemical manufacturing complex that frequently transports dangerous goods within the city limits including pesticides, herbicides, chlorine, ammonia, and other manufactured chemicals in smaller amounts. The companies operating on the outskirts of the populated areas store vast quantities of these chemicals for their processes. They have been cited as a potential risk to the city's residents, especially after a major fire at one of the facilities sickened hundreds of nearby residents and put a black cloud of smoke over the city center for several days until it was brought under control.

### **Training and Exercises**

As the capital of the State of Columbia, Capital City has a robust training and exercise program, with significant funding coming from the Urban Area Security Initiative (UASI) grant program. Recently, State transportation officials participated in a discussion-based exercise, which exposed several flaws in emergency response coordination along the outlying areas of the city. The city is continuing to standardize response and communications equipment across the area to allow first responders greater flexibility in responding to mutual-aid situations in other areas.

Central City continues to conduct a large amount of Incident Command System (ICS) training due to a large amount of recent retirements and staff openings. There has also been a significant amount of local training provided by various members of the U.S. Department of Homeland Security's Training Consortium.

Future UASI funding is expected to decrease but expectations are that future funding will be sufficient to continue a moderate level of exercises. Past exercises have indicated weaknesses in the areas of communications and evacuation planning, largely because of the growing populations in the surrounding communities and the difficulties involved with large-scale urban evacuations. A recent citywide reverse 911 system has been installed to warn residents of an emergency, which provides a redundant method of issuing protective action decisions to the public during emergencies.

# Capital City



# Roaring River Tribal Community

## Vital Statistics

**Population (Based on 2010 Census) Population**  
 ..... 7,375

**Households**.....  
 ..... 1,505

**Under 18**  
 .....27.2  
 %

**Over 65**  
 .....21  
 %

**Median age**  
 .....39 years

**Birth rate per 1,000**  
 ..... 11%

**Death rate per 1,000**  
 ..... 8.1%

## Major Landmarks

**Big Rock Creek** (source of revenue [fishing])

- Over 10 miles of hiking trails on each side of the creek

## Big Rock

- A site of spiritual and cultural significance

## Quick Facts

### Area

## Culture and Entertainment

### Roaring River Community Heritage Center

- Founded 1963
- Includes displays of artifacts and history

### Language Revitalization Center

- Provides language courses
- Contains more than 30,000 books, transcripts, and historical records

## Schools

- Elementary schools.....1
- Middle schools.....2
- High Schools (attend either Central City or Zurich).....0

## Emergency Management

### Tribal Fire Department

- 2 stations
- 21 full-time service members (including eight certified paramedics)
- 50 volunteer fire personnel
- Pumper Trucks
  - 3 Type II
- Emergency Medical Services (EMS)
  - 3 Type I advanced life support (ALS) ambulance

### Law Enforcement and Security Resources

- 1,200 square miles

## Altitude

- 400-500 feet above sea level

## Business - Major Area Employers

- Small Manufacturing
- Tourism

## Normal Temperatures

- Mean temperature ..... 58.2°F
- Coldest month ..... December/37.1°F
- Hottest month ..... July/84.1°F

## Rainfall

- Mean rainfall ..... 30.9 inches
- Driest month .....October/1.6 inches
- Wettest month .....July/3.3 inches
- Mean annual snowfall.....8.2 inches

## Roaring River Tribal Community

During the early 1800s, the Roaring River Tribal Community was formed as Native Americans were forced from their lands in other states. Many tribes of other nations came together for the common cause of rebuilding a life resembling the one they knew before. The tribal area spans four counties: Liberty, Green, Kane, and Mineral and was given to the tribal confederation by the United States in perpetuity in 1898. The duties of public security and safety have fallen to the Department of Public Safety, which has built a small but well trained group of emergency response personnel.

Industry has been limited in the tribal area largely because of a lack of transportation and a limited workforce. Until the late 1980s, the main source of income had been tourism. Recent development within the counties in which the Tribal Nation lies has spurred a modest growth in the retail sector as residents began working outside the borders of the Tribal Nation to earn a greater income for their families. As a result, small retail outlets are growing near populated areas within the confines of the Tribal lands. The residents of Liberty, Green, Kane, and Mineral Counties are using the opportunity of differing tax regulations within these areas, and shopping centers featuring many types of retail goods are thriving.

### Capabilities

Emergency response planning is early in the developing stages within the Tribal Nation. The primary threats to the residents of the Tribal Nation have been from hurricanes, floods,

residential fires, automobile accidents and petty crime. The expansion of the retail sector has brought an increased flow of residents and visitors to the area and has focused population near the retail outlets.

### **Hazards and Vulnerabilities**

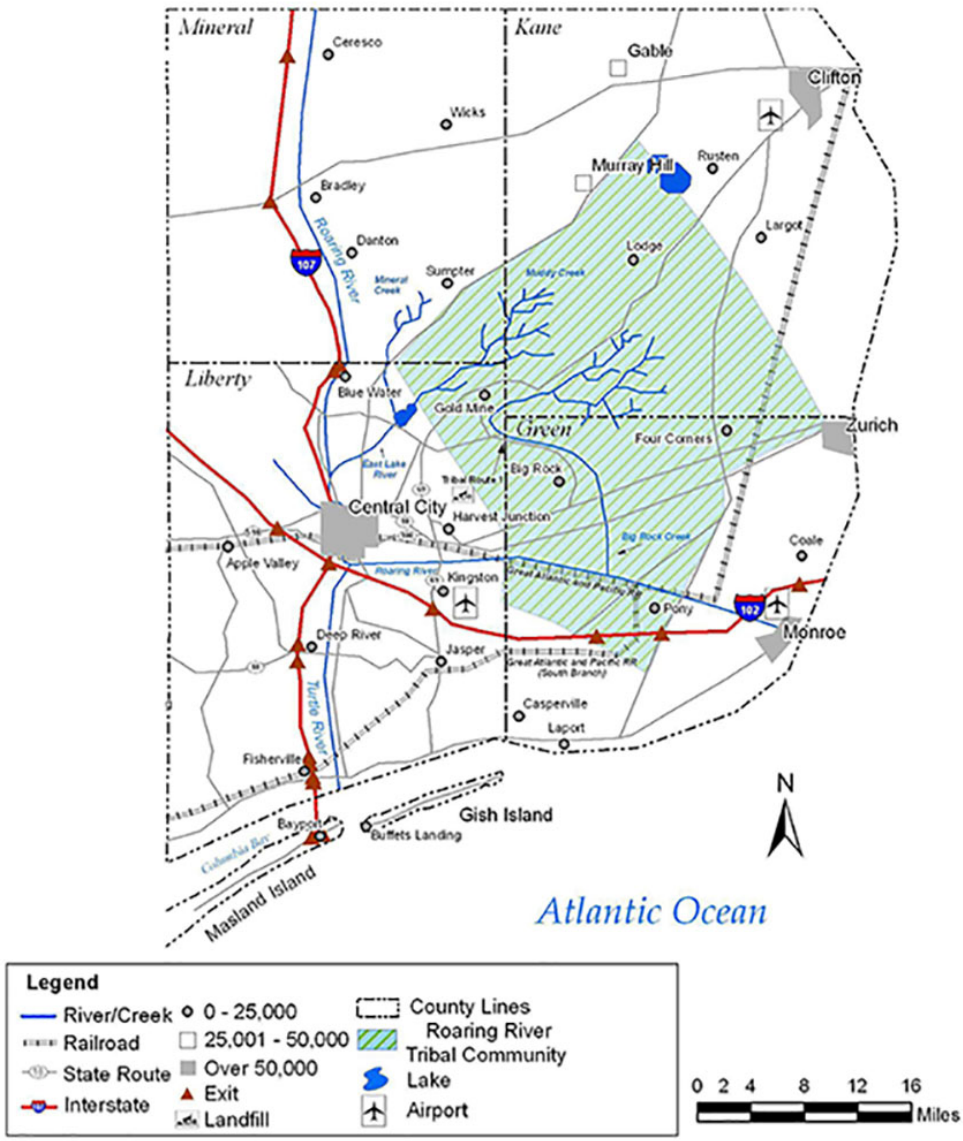
A significant flash flood 2 years ago brought about many changes in the local emergency services departments, with both the fire and police departments seeking mutual-aid partnerships with neighboring jurisdictions. There has been some reluctance within the community to enter into these agreements because of the sovereign status of the Nation.

Since the flood, there has been a focus on all hazards planning for emergencies on tribal lands. All significant emergency response equipment outside the usual fire suppression systems must be brought into the area based on Memorandums of Understanding (MOUs) from the counties surrounding the tribal land. Communication systems between first responders on the tribal lands and the counties are currently incompatible, and there has never been an incident that would require tribal leaders to ask for mutual aid from their neighboring governments.

### **Training and Exercises**

A limited budget was set up for exercises within the tribal lands after the flood, which killed 8 residents. The exercises have focused on mass evacuations and warning techniques, as well as an awareness campaign and swift water rescue training for the fire department and volunteer staff.

## Roaring River Tribal Community





## Activity 14.1 - Course Wrap-Up

### **Instructions:**

*Total Activity Time:* 15 minutes

- 5 minutes: Individual work
- 10 minutes: Class debrief

1. What are some things you learned in this class?

1. Share one thing you plan on doing/implementing when you return to your jurisdiction.

## Continuing Your Learning

Remember to use all available resources, including the following:

### **Maintaining Your Professionalism**

[FEMA Strategic Foresight Initiative](https://www.fema.gov/strategic-foresight-fema) (https://www.fema.gov/strategic-foresight-fema)

[FEMA EMI Emergency Management Higher Education Program](https://training.fema.gov/hiedu/) (https://training.fema.gov/hiedu/)

[Homeland Security Centers of Excellence](https://www.dhs.gov/science-and-technology/centers-excellence) (https://www.dhs.gov/science-and-technology/centers-excellence)

[Naval Post Graduate School, Center for Homeland Security and Defense](https://www.chds.us/c/) (https://www.chds.us/c/)

### **Networking with Other Professionals**

Below is a sample of the numerous professional organizations that offer insightful information to members and nonmembers. As you review the following list of organizations, think about additional ones you would add.

Organization	Description
<a href="#">National Emergency Management Association</a>	<ul style="list-style-type: none"> <li>• Dedicated to enhancing public safety</li> </ul>

Organization	Description
<p><a href="https://www.nemaweb.org/">(NEMA)</a> (https://www.nemaweb.org/)</p>	<p>by improving the Nation’s ability to prepare for, respond to, and recover from all emergencies, disasters, and threats to our Nation’s security.</p> <ul style="list-style-type: none"> <li>• Provides national leadership and expertise in comprehensive emergency management; serves as a vital emergency management information and assistance resource; and advances continuous improvement in emergency management through strategic partnerships, innovative programs, and collaborative policy positions.</li> </ul>
<p><a href="http://www.iaem.com/">International Association of Emergency Managers (IAEM)</a> (http://www.iaem.com/)</p>	<ul style="list-style-type: none"> <li>• Dedicated to promoting the “Principles of Emergency Management” and representing those professionals whose goals are saving lives and protecting property and the environment during emergencies and disasters.</li> <li>• Provides information, networking, and professional development opportunities to advance the emergency management profession.</li> </ul> <p><b>Note:</b> IAEM sponsors the Certified Emergency Manager® program.</p>
<p><a href="http://ntemc.org/">National Tribal Emergency Management Council (NTEMC)</a> (http://ntemc.org/)</p>	<ul style="list-style-type: none"> <li>• Promotes collaboration of tribal emergency management organizations from around the Nation.</li> <li>• Shares information and discusses public safety/homeland security issues affecting those in Indian Country.</li> </ul>
<p><a href="http://www.apwa.net/">American Public Works Association (APWA)</a> (http://www.apwa.net/)</p>	<ul style="list-style-type: none"> <li>• Serves professionals in all aspects of public works.</li> <li>• Offers comprehensive resources in the areas of professional development tools, advocacy efforts, networking</li> </ul>

Organization	Description
	opportunities, and outreach activities.
<a href="http://www.apha.org/">American Public Health Association (APHA)</a> (http://www.apha.org/)	<ul style="list-style-type: none"> <li>• Provides professional networking for public health professionals.</li> <li>• Disseminates the latest public health science and practice to members, opinion leaders, and the public.</li> </ul>
<a href="http://www.nvfc.org/">National Volunteer Fire Council (NVFC)</a> (http://www.nvfc.org/)	<ul style="list-style-type: none"> <li>• Promotes and provides education and training for the volunteer Fire/EMS organizations.</li> <li>• Provides representation on national standards-setting committees and projects.</li> <li>• Gathers information from and disseminates information to the volunteer Fire/EMS organizations.</li> </ul>
<a href="https://www.iafc.org/">International Association of Fire Chiefs (IAFC)</a> (https://www.iafc.org/)	<ul style="list-style-type: none"> <li>• Provides leadership to career and volunteer chiefs, chief fire officers, company officers, and managers of emergency service organizations throughout the international community through vision, information, education, services, and representation to enhance their professionalism and capabilities.</li> </ul>
<a href="http://www.iaclea.org/">International Association of Campus Law Enforcement Administrators (IACLEA)</a> (http://www.iaclea.org/)	<ul style="list-style-type: none"> <li>• Advances public safety for educational institutions by providing educational resources, advocacy, and professional development services.</li> </ul>
<a href="http://www.floods.org/">Association of State Floodplain Managers</a> (http://www.floods.org/)	<ul style="list-style-type: none"> <li>• Provides resources to professionals involved in floodplain management, flood hazard mitigation, the National Flood Insurance Program, and flood preparedness, warning, and recovery.</li> <li>• Promotes education, policies, and activities that mitigate current and future losses, costs, and human</li> </ul>

Organization	Description
	<p>suffering caused by flooding, and to protect the natural and beneficial functions of floodplains – all without causing adverse impacts.</p>
<p><a href="http://www.naco.org/">National Association of Counties (NACo)</a> (<a href="http://www.naco.org/">http://www.naco.org/</a>)</p>	<ul style="list-style-type: none"> <li>• Provides essential services to the Nation’s 3,068 counties.</li> <li>• Improves the public’s understanding of county government, and assists counties in finding and sharing innovative solutions through education and research.</li> </ul>
<p><a href="https://www.planning.org/">American Planning Association (APA)</a> (<a href="https://www.planning.org/">https://www.planning.org/</a>)</p>	<ul style="list-style-type: none"> <li>• Promotes effective planning practices through vigorous public information and education programs.</li> <li>• Supports certified planners in their pursuit of certification maintenance.</li> <li>• Promotes national and international partnerships to advance both the planning movement and principles of sustainability, inclusion, and nondiscrimination.</li> <li>• Enhances the state of planning knowledge by identifying and fulfilling a vigorous agenda of applied research.</li> <li>• Shares research results with subscribers, members, and, ultimately, the national community.</li> </ul>
<p><a href="https://www.emap.org/">Emergency Management Accreditation Program (EMAP)</a> (<a href="https://www.emap.org/">https://www.emap.org/</a>)</p>	<ul style="list-style-type: none"> <li>• Provides emergency management programs with the opportunity to comply with national standards, to demonstrate accountability, and to focus attention on areas and issues where resources are needed.</li> </ul> <p style="text-align: center;"><b>Note:</b> The Emergency Management Accreditation Program, or EMAP, is a voluntary review process for</p>

Organization	Description
	<p>State and local emergency management programs. Accreditation is a means of demonstrating—through self-assessment, documentation, and peer review—that a program meets national standards for emergency management programs.</p>
<p><a href="http://www.nfpa.org/">National Fire Protection Association (NFPA)</a> (<a href="http://www.nfpa.org/">http://www.nfpa.org/</a>)</p>	<ul style="list-style-type: none"> <li>• Develops, publishes, and disseminates more than 300 consensus codes and standards intended to minimize the possibility and effects of fire and other risks.</li> <li>• Compiles and publishes “NFPA 1600: Standard on Disaster/Emergency Management and Business Continuity Programs.”</li> </ul> <p><b>Note:</b> NFPA 1600 has been approved, adopted, or endorsed by many different organizations. DHS designates NFPA 1600 for use as the criteria for voluntary certification of private sector preparedness programs called for by Title IX of Public Law 110-53.</p>

# Pre-Work Activities

## Activity 1.1 – Mentor Profile

Complete the questions below.

### Mentor Profile

In the course welcome letter, you were asked to identify a mentor that could help guide you through the Basic Academy. This person does not need to be someone who has completed the Basic Academy. This person will be asked to mentor you on:

- Emergency management related topics and tasks
- Specifics about the procedures, policies, and plans for your jurisdiction
- Activities, Check-Ins in this IAW document that require further information or action

1. Did you identify a mentor and speak to them about mentoring you prior to arrival in class?

1. Who is your mentor? (name, title, and brief bio)

1. Why did you choose this person as your mentor?

## Activity 2.2 - Emergency Manager Checklist

### Instructions:

- Thinking about your current EM role, review the checklist and check the box for each task that is part of your current job
- Each category of tasks has a few blank rows for you to add any items you feel should be included

### Checklist: Examples of Emergency Management Tasks

Pre-Disaster Tasks	
<b>Planning</b>	<p><b>How Successful?</b></p> <ul style="list-style-type: none"> <li>• Developing and updating emergency operations plans</li> <li>• Developing special plans (e.g., mitigation, continuity of operations, other)</li> <li>• Developing standard operating procedures (SOPs) and coordinating SOPs with emergency plans</li> <li>• Ensuring that mutual aid agreements and other incident-related documents are up to date and implemented</li> <li>• Identifying strategies for mitigating risk</li> </ul>
<b>Response Readiness</b>	<p><b>How Successful?</b></p> <ul style="list-style-type: none"> <li>• Recruiting volunteers</li> <li>• Conducting training</li> <li>• Identifying resource needs and sources of resources</li> <li>• Coordinating training and exercises with other participating organizations</li> <li>• Verifying that all systems and equipment function as intended</li> <li>• Keeping the Emergency Operations Center (EOC) fully stocked</li> <li>• Monitoring information sources on severe weather and other hazards</li> <li>• Validating policies, plans, and procedures through exercises</li> </ul>
<b>Administrative Tasks</b>	<p><b>How Successful?</b></p> <ul style="list-style-type: none"> <li>• Attending meetings</li> </ul>



Pre-Disaster Tasks	
	<ul style="list-style-type: none"> <li>• Handling personnel matters (interviews, hiring, firing, personnel reviews, making work assignments, etc.)</li> <li>• Preparing/reviewing correspondence</li> <li>• Managing the budget</li> <li>• Writing grant applications</li> <li>• Preparing and presenting briefings</li> <li>• Financial reporting</li> </ul>
<b>Logistical Tasks</b>	<p><b>How Successful?</b></p> <ul style="list-style-type: none"> <li>• Ensuring interoperability of communications and information management systems</li> <li>• Gaining authorization for (or approving the purchase of) supplies and equipment</li> <li>• Overseeing installation of new systems and equipment</li> <li>• Ensuring ongoing maintenance of systems and equipment</li> <li>• Arranging training and exercise logistics</li> <li>• Ensuring that transportation and other</li> </ul>
<b>Relationship Building</b>	<p>Building and maintaining relationships with:</p> <ul style="list-style-type: none"> <li>• Other levels of government</li> <li>• Response agencies in the jurisdiction</li> <li>• Other agencies and departments</li> <li>• Other jurisdictions o Elected and appointed officials</li> <li>• Volunteer organizations</li> <li>• Businesses and nonprofits in the community</li> </ul>
<b>Public Relations and Outreach</b>	<ul style="list-style-type: none"> <li>• “Selling” the program to all stakeholders, including other EOC staff members</li> <li>• Developing and delivering preparedness information for the public</li> <li>• Attending public meetings and other venues to discuss emergency management related issues</li> <li>• Developing and maintaining an emergency management Web site</li> </ul>

Pre-Disaster Tasks	
	<ul style="list-style-type: none"> <li>• Providing information to media representatives</li> </ul>

Incident Response Tasks	
<b>Coordination</b>	<ul style="list-style-type: none"> <li>• Acting as a liaison with other jurisdictions and levels of government</li> <li>• Supporting communications/messaging</li> <li>• Helping to resolve conflicting policies</li> <li>• Providing and prioritizing resource allocation</li> <li>• Managing public information issues and media requests</li> </ul>
<b>Providing Off-Site Support</b>	<ul style="list-style-type: none"> <li>• Providing legal and financial support</li> <li>• Authorizing emergency expenditures, when appropriate</li> </ul>

Recovery Tasks	
<b>Rebuilding</b>	<ul style="list-style-type: none"> <li>• Initiating damage assessments</li> <li>• Initiating short- and long-term recovery plans</li> <li>• Mitigation planning</li> </ul>
<b>Financial and Legal Tasks</b>	<ul style="list-style-type: none"> <li>• Paying invoices (bills for everything from equipment leases to plastic sheeting and bottled water must be paid for as agreed)</li> <li>• Auditing financial records to ensure that expenditures were made where appropriate and that no unauthorized funds were expended</li> <li>• Providing full incident documentation*</li> <li>• Having a legal review of the incident records performed by the jurisdiction’s legal counsel**</li> </ul>
<b>Resource</b>	<ul style="list-style-type: none"> <li>• Coordinating with agencies provide food and shelter</li> </ul>

Recovery Tasks	
<b>Management</b>	<ul style="list-style-type: none"> <li>• Coordinating with agencies to restore essential services (power, roads, etc.)</li> <li>• Providing critical incident stress debriefings before releasing personnel from an incident involving extremely long working hours, high-risk response efforts, or serious injuries or fatalities</li> <li>• Overseeing repair, refurbishment, and/or return of equipment***</li> <li>• Ensuring that destroyed, worn out, and expendable equipment is replaced</li> <li>• Restocking the Emergency Operations Center</li> </ul>

Post-Incident Tasks	
<b>Lessons Learned</b>	<ul style="list-style-type: none"> <li>• Incident debriefing</li> <li>• Corrective action planning and plan revisions</li> <li>• Coordinating implementation of Federal assistance</li> <li>• Training and exercising to ensure that functions, processes, and procedures work as intended</li> <li>• Implementation of mitigation plans</li> </ul>

\* Incident documentation records the actions taken (or not taken) by the jurisdiction as a protection against liability arising from the response, including issues brought at a later time by responders. It also serves as a record of expenses for potential use as cost sharing if a disaster declaration is made and can help justify future emergency management budgets and/or expenditures. \*\* The jurisdiction's legal counsel should complete a review of incident records, including financial records, to ensure that all actions and transactions were in accordance with contracts and other agreements and within the authorized boundaries of the individual making each decision. \*\*\* Repair, refurbishment, and/or return of equipment is important whether the jurisdiction owns the equipment or if it is provided by an outside source. Jurisdictional resources must be taken care of to ensure that they are ready for their day-to-day use or the next emergency. Payment for equipment acquired from outside sources may be much higher if it is returned in a lesser state of repair than when it was provided. Destroyed, worn out, and expendable equipment should be replaced as soon as possible following an incident to ensure that the resources are available when needed next.

Identify any of the tasks in the above checklist and describe how you implemented them.

Tasks	Implementation

### Continuing Your Learning

Place a check next to those topics that you would like to continue learning about.

- The origin and history of emergency management in the United States
- Emergency management principles
- Emergency management key concepts and doctrine
- The roles and responsibilities of the emergency manager

Review the following suggested resources.

**Web Resources:**

[International Association of Emergency Managers](http://www.iaem.com) (www.iaem.com)

[Information about the Stafford Act](https://www.fema.gov/robert-t-stafford-disaster-relief-and-emergency-assistance-act-public-law-93-288-amended) (https://www.fema.gov/robert-t-stafford-disaster-relief-and-emergency-assistance-act-public-law-93-288-amended)

[Principles of Emergency Management Supplement](http://www.iaem.com/documents/EMPrinciples091107.pdf)  
(http://www.iaem.com/documents/EMPrinciples091107.pdf)

[Documents related to Emergency Management Principles](https://training.fema.gov/hiedu/emprinciples.aspx)  
(https://training.fema.gov/hiedu/emprinciples.aspx)

[Presidential Policy Directive 8, Emergency Preparedness](https://www.dhs.gov/xlibrary/assets/presidential-policy-directive-8-national-preparedness.pdf)  
(https://www.dhs.gov/xlibrary/assets/presidential-policy-directive-8-national-preparedness.pdf)

- [National Preparedness Goal](https://www.fema.gov/pdf/prepared/npg.pdf) (https://www.fema.gov/pdf/prepared/npg.pdf)

## Activity 4.3 - Are You Prepared?

**Instructions:**

1. Complete the quiz below and be prepared to discuss with the class. Make sure to review all jurisdictional plans, resource management procedures, and mutual aid and assistance agreements.
2. List steps you plan to take to learn more about your jurisdiction’s preparedness system.

**Check-In:** Provide an update on any of the steps you listed to improve your policies, plans, and procedures.

Policy Guidance	Yes	No	Don't Know
My jurisdiction’s planning process is aligned with current doctrine.			
My jurisdiction’s plans meet all appropriate regulations and other guidance required at my level of government.			
<b>Planning, Training, and Exercises</b>			
My jurisdiction’s training and exercise program: <ul style="list-style-type: none"> <li>• Is realistic and linked to the emergency operations plan.</li> <li>• Is based on a multiyear training and exercise plan that includes improvement planning.</li> <li>• Involves all stakeholders identified during the planning process.</li> <li>• Is comprehensive, involving all key players, covering all functions, in simulated conditions.</li> <li>• Is progressive, from lower level, discussion-based exercises through full-scale operational exercises.</li> <li>• Includes an improvement planning process and taking of corrective actions.</li> </ul>			
<b>My jurisdiction’s plans</b>			
<ul style="list-style-type: none"> <li>• Include an all-hazards approach</li> <li>• Have followed the THIRA process for threats and hazards.</li> </ul>			

Policy Guidance	Yes	No	Don't Know
<b>Whole Community Preparedness</b>			
My jurisdiction has taken steps to include all stakeholders in the planning process.			
My jurisdiction has developed a campaign to promote individual and household preparedness.			
My jurisdiction has engaged the whole community to participate in preparedness activities.			

Activity 4.3 - Are You Prepared? (Continued)

	Steps to Take to Improve Policies, Plans and Procedures.	Check-In
1.		
2.		
3.		
4.		
5.		

	Steps to Take to Improve Policies, Plans and Procedures.	Check-In

Additional Things to Do: Plan to meet with representatives of diverse populations within your community to learn about their needs firsthand.

## Continuing Your Learning

Place a check next to those topics that you would like to continue learning about.

### Preparedness Basics

- Preparedness doctrine and guidance
- Presidential Policy Directive 8 (PPD-8)
- National Preparedness Goal, mission areas, and core capabilities
- National Preparedness System
- Threat and Hazard Identification and Risk Assessment (THIRA)
- National Incident Management System (NIMS)

### Planning, Training, and Exercising

Importance of planning for preparedness

- Homeland Security Exercise and Evaluation Program (HSEEP)
- Incorporating training and exercises into planning

### Whole Community Preparedness

- Preparedness roles, responsibilities, and contributions:
  - Individuals and households
  - Private sector
  - Nongovernmental organizations
  - Federal, State, tribal, territorial, and local government
- Sources of information for engaging individuals and households
- Programs offered to engage individuals and households

Review the following suggested resources.

### FEMA Courses:

- IS-0120: An Introduction to Exercises
- IS-0139: Exercise Design
- IS-0324: Community Hurricane Preparedness
- IS-0362: Multihazard Emergency Planning for Schools
- IS-0700: National Incident Management System (NIMS): An Introduction
- IS-0706: NIMS Intrastate Mutual Aid



- IS-2001: Threat and Hazard Identification and Risk Assessment
- E/L0103: Planning: Emergency Operations
- E/L0131: Exercise Evaluation and Improvement Planning
- E/L/G0146: Homeland Security Exercise & Evaluation Program (HSEEP)
- G-0191: ICS/EOC Interface
- G-0235: Emergency Planning
- L-0146: Homeland Security Exercise and Evaluation Program Training Course
- Master Exercise Practitioner Program (MEPP) Series

**Web Resources:**

[FEMA's Preparedness Web page](https://www.fema.gov/national-preparedness) (https://www.fema.gov/national-preparedness)

[National Preparedness Goal](https://www.fema.gov/pdf/prepared/npg.pdf) (https://www.fema.gov/pdf/prepared/npg.pdf)

[National Preparedness System](https://www.fema.gov/pdf/prepared/nps_description.pdf) (https://www.fema.gov/pdf/prepared/nps\_description.pdf)

[CPG 201, THIRA Guide and Toolkit](https://www.fema.gov/media-library/assets/documents/26335?id=5823) (https://www.fema.gov/media-library/assets/documents/26335?id=5823)

[National Incident Management System Resource Center](https://www.fema.gov/national-incident-management-system) (https://www.fema.gov/national-incident-management-system)

Resources for private entities: [Private Sector](https://www.fema.gov/private-sector) (https://www.fema.gov/private-sector) [Business Sector](https://www.ready.gov/business) (https://www.ready.gov/business)

[Lessons Learned Information Sharing](https://www.hsdl.org/?search&collection=public&fct&advanced=&submitted=Search&tabsection=LLIS+Collection)

(https://www.hsdl.org/?search&collection=public&fct&advanced=&submitted=Search&tabsection=LLIS+Collection)

[Homeland Security Exercise and Evaluation Program](https://www.fema.gov/media-library/assets/documents/32326) (https://www.fema.gov/media-library/assets/documents/32326)

[International Association of Emergency Managers](http://www.iaem.com/) (http://www.iaem.com/)

Information About [Nongovernmental Organizations](http://www.ngo.org/index3.htm) (http://www.ngo.org/index3.htm)

[Voluntary Organizations Active in Disaster](https://www.nvoad.org/) (https://www.nvoad.org/)

- [A Whole Community Approach to Emergency Management: Principles, Themes, and Pathways for Action](https://www.fema.gov/media-library/assets/documents/23781?id=4941) (https://www.fema.gov/media-library/assets/documents/23781?id=4941)

## Activity 5.1 - Your Legal Counsel

### **Instructions:**

Fill out the following, as it relates to your jurisdiction:

1. Who provides the legal support, guidance, or counsel (name, contact information)?
2. What and how much do they know about emergency management law?
3. Where do they stand on emergency management issues?

## Activity 5.3 - Jurisdictions Legal Authority

### **Instructions:**

- Answer the following questions in regards to your state or local jurisdictions and the legal authorities for your role as an emergency manger (or your current position).
- For any items that you do not know the answers, make a note and other students may be able to offer assistance.

### Activity 5.3 Worksheet

1. List three legal authorities or laws in your State or jurisdiction that provides the legal foundations for your role as an emergency manger (or your current position). Identify state laws and local laws.
1. What statutory immunity do you have as an emergency manger (or in your current position)?
1. In your current position, what statutory powers do you have to make mutual aid agreements?
1. What mutual aid agreements does your jurisdiction currently have in place?
1. In your state, what laws do you have governing public access to governmental meetings or records?
1. Does your state have any volunteer protection statues? What are they? And what do they protect volunteers from?
1. Do you have the ability to order evacuations? If so, what state statute gives you that ability? If not, who in your state as the ability to order evacuations?

### Continuing Your Learning

Place a check next to those topics that you would like to continue learning about.

- Basic legal concepts
- Local, State, and tribal legal authorities
- Dillon's Rule vs. Home Rule
- Potential liabilities for the emergency manager (e.g., planning, mutual aid and assistance agreements, sunshine laws, volunteers, evacuation, and sheltering)

- Federal legal authorities:
  - Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121, et seq.
  - 44 CFR Part 206, the implementing regulations for the Stafford Act.
  - Homeland Security Act, Pub. L. 107-296, as amended.
  - Post-Katrina Emergency Management Reform Act (PKEMRA).
  - Disaster Mitigation Act of 2000 (Pub. L. 106-390).
  - Pets Evacuation and Transportation Standards (PETS) Act of 2006 (Pub. L. 109-308).
  - Executive Order 12148: Federal Emergency Management.
  - Homeland Security Presidential Directive 5: Management of Domestic Incidents.
  - Presidential Policy Directive 8: National Preparedness.
  - Jeanne Clery Act.
  - Sandy Recovery Improvement Act of 2013 (SRIA)

#### Disaster declaration process

- Other Federal laws and requirements:
  - Laws protecting civil rights (Civil Rights Act of 1964, Executive Order 13166, Rehabilitation Act of 1973, Education Amendments of 1972, Americans with Disabilities Act of 1990, ADA Amendments Act of 2008, Age Discrimination Act of 1975, Architectural Barriers Act of 1968, Fair Housing Act of 1968).
  - Occupational Safety and Health Act.
  - Health Insurance Portability and Accountability Act of 1996 (HIPAA).
  - Environmental and historic preservation laws (National Environmental Policy Act (NEPA), Executive Order 11988, National Historic Preservation Act (NHPA), and others).
- Functional Needs Support Services (FNSS).

Review the following suggested resources.

#### **FEMA Courses:**

- IS 18: FEMA EEO Employee Course
- IS 21: Civil Rights and FEMA Disaster Assistance
- IS 244: Developing and Managing Volunteers
- IS 253: Coordinating Environmental and Historic Preservation Compliance
- IS 546: Continuity of Operations Awareness Course
- IS 700: National Incident Management System (NIMS): An Introduction
- IS 706: NIMS Intrastate Mutual Aid
- G 288: Local Volunteer and Donations Management

#### **Web Resources:**

- [Authorities](http://www.fema.gov/pdf/emergency/nrf/nrf-authorities.pdf) (www.fema.gov/pdf/emergency/nrf/nrf-authorities.pdf): A summary of legal authorities (statutes, regulations, Executive orders, and Presidential directives) for emergency management is available on the NRF Resource Center.
- Citizens Corps Volunteer Liability Guide:

[Guide Resources](http://www.ready.gov/guides) (www.ready.gov/guides)

[Guide](https://s3-us-gov-west-1.amazonaws.com/dam-production/uploads/20130726-1854-25045-1228/citizen_corps_volunteer_liability_guide.pdf) (https://s3-us-gov-west-1.amazonaws.com/dam-production/uploads/20130726-1854-25045-1228/citizen\_corps\_volunteer\_liability\_guide.pdf)

[Emergency Response: Civil Liability of Volunteer Health Professionals](https://fas.org/sgp/crs/misc/R40176.pdf) (Congressional Research Service, 2011) (https://fas.org/sgp/crs/misc/R40176.pdf)

[National Fire Protection Association's NFPA 1600](http://www.nfpa.org/) (www.nfpa.org/)

[Guidance on Planning for Integration of Functional Needs Support Services in General Population Shelters](http://www.fema.gov/pdf/about/odc/fnss_guidance.pdf) (www.fema.gov/pdf/about/odc/fnss\_guidance.pdf)

- [Health Insurance Portability and Accountability Act of 1996 \(HIPAA\)](https://aspe.hhs.gov/report/health-insurance-portability-and-accountability-act-1996) (https://aspe.hhs.gov/report/health-insurance-portability-and-accountability-act-1996)

## Activity 6.1: Community Analysis

Using US Census Bureau American FactFinder website (<https://factfinder.census.gov/faces/nav/jsf/pages/index.xhtml>) gather the following information for your jurisdiction.

### Age Characteristics

Most Recent Census total Population:

Most recent population estimate:

Percentage of people under 5 years old:

Percentage of people 5-19 years old:

Percentage of people 65 years and over:

Percentage of men:

Percentage of women:

### Racial Characteristics

Percentage of the population who are:

White:

Black/African American:

American Indian/Alaska Native:

Asian

Asian Indian

Chinese

Filipino

Japanese

Korean

Vietnamese

Other Asian

Native Hawaiian/Other Pacific Islander

Native Hawaiian

Guamanian or Chamorro

Samoan

Other Pacific Islander

Some other race

Two or more races

Hispanic or Latino:

Mexican

Puerto Rican

Cuban

Other

### Household Characteristics

Percentage of population who:

**Family households:**

With own children under 18 years:

Husband/Wife Family:

With own children under 18 years:

Male householder (head of home), no wife present:

With own children under 18 years:

Female householder (head of home), no wife present:

With own children under 18 years:

**Nonfamily households:**

Householder living alone:

Male:

65 years or over:

Female:

65 years or over:

Households with individuals under 18:

Households with individuals 65 years and over:

Average household size:

Average family size:

**Housing**

Total housing units (number, not percentage):

Occupied:

Vacant:

Occupied housing units:

Owner-occupied:

Renter-occupied:

**Employment/Income**

Unemployment rate (percentage):

Mean travel time to work (minutes):

Median household income:

Mean household income:

Public assistance or Food Stamp/SNAP benefits (percentage):

No health insurance coverage (percentage):

**Education** – from the American Fact Finder most recent estimates

High school graduate/GED or higher, age 25+:

Bachelor's degree or higher, age 25+:

Graduate/Professional degree or higher, age 25+:

**Other Information**

Total number of veterans (actual number):

Unemployment rate (percentage):

Income in the past 12 months below poverty level (percentage):

Number of people in poverty status with a disability:

Foreign born population (percentage):

Speak a language other than English (percentage):

Total number of languages spoken (get information from other sources, such as local school district if necessary):

Top 5 languages spoken (get information from other sources, such as local school district if necessary):

Land area in square miles:

Population per square mile:

**FEMA Courses:**

- IS 20: Diversity Awareness
- IS 21: Civil Rights Awareness
- IS 366: Planning for the Needs of Children in Disaster



## Activity 7.3 - Federal and State Contacts

**Instructions:**

Complete the State and Federal Contacts Worksheet, below. This is a basic worksheet; you may already be aware of your primary contacts at the State and FEMA levels. Emergency Managers should also be familiar with the protocols involved in contacting different levels of government (e.g. going through the State prior to contacting higher levels).

	STATE Contacts	
Contacts	Address	Phone
Homeland Security		
Emergency Management		
EM- General		
EM – Public Assistance		
EM – Individual Assistance		
EM – Hazard Mitigation		
EM - Other		
EM - Other		

	FEMA Contacts	
Contacts	Address	Phone
FEMA Regional Office		
FEMA – Public Assistance		
FEMA – Individual Assistance		

	FEMA Contacts	
FEMA – Hazard Mitigation		
FEMA - Other		
FEMA - Other		



Does your jurisdiction have policies, plans, and procedures for:	Yes	No	Check-In
protection.			

## Continuing Your Learning

Place a check next to those topics that you would like to continue learning about.

- How prevention and protection support preparedness
- Guiding principles for prevention and protection
- Planning issues for prevention and protection
- Prevention doctrine and guidance
- Prevention core capabilities and critical tasks
- Protection doctrine and guidance
- Protection core capabilities and critical tasks.
- Protection mission activities
- The National Infrastructure Protection Plan
- Critical infrastructure sectors

Review the following suggested resources.

### FEMA Courses:

- IS 5.a: An Introduction to Hazardous Materials
- IS 55: Household Hazardous Materials – A Guide for Citizens
- IS 340: Hazardous Materials Prevention
- IS 821: Critical Infrastructure and Key Resources Support Annex
- IS 860: National Infrastructure Protection Plan (NIPP)
- IS 871: Dams Sector: Security Awareness
- IS 872: Dams Sector: Protective Measures
- IS 891: Facility Security Level Determinations for Federal Facilities
- IS 892: Physical Security Criteria for Federal Facilities
- IS 893: Facility Security Committees
- IS 906: Workplace Security Awareness
- IS 912: Retail Security Awareness: Understanding the Hidden Hazards

### Web Resources:

[National Prevention Framework](https://www.fema.gov/media-library/assets/documents/97350) (https://www.fema.gov/media-library/assets/documents/97350)

[National Protection Framework](https://www.fema.gov/national-planning-frameworks) (https://www.fema.gov/national-planning-frameworks)

[Critical Infrastructure and Key Resources \(CIKR\) Resource](https://www.dhs.gov/critical-infrastructure-and-key-resources-support-annex)

[Center](https://www.dhs.gov/critical-infrastructure-and-key-resources-support-annex) (https://www.dhs.gov/critical-infrastructure-and-key-resources-support-annex)

[National Infrastructure Protection Plan and Sector-Specific Plans](https://www.dhs.gov/xlibrary/assets/nipp_sctrplans.pdf) (https://www.dhs.gov/xlibrary/assets/nipp\_sctrplans.pdf)

- Comprehensive National Cybersecurity Initiative (CNCI)  
(<https://www.whitehouse.gov/issues/foreign-policy/cybersecurity/national-initiative>)

National Strategy for Global Supply Chain Security

([https://www.whitehouse.gov/sites/default/files/docs/national\\_strategy\\_for\\_global\\_supply\\_chain\\_security\\_implementation\\_update\\_public\\_version\\_final2-26-131.pdf](https://www.whitehouse.gov/sites/default/files/docs/national_strategy_for_global_supply_chain_security_implementation_update_public_version_final2-26-131.pdf))

# Activity 9.1 - Mitigation in Your Community

**Instructions:**

1. Answer the following questions.
  - a. What are some threats/hazards in my community?
  - b. What are some risks in my community?
  - c. Where are some areas in which my community could be more resilient?
2. Review the list of critical tasks for mitigation in the IAW.
3. Identify (or use from the previous activity) the three most important threats/hazards/risks for mitigation in your jurisdiction.
4. Complete the table with steps you'll take to mitigate these threats/hazards.

**Questions:**

1. What are some threats/hazards in my community?
  
1. What are some risks in my community?
  
1. Where are some areas that my community could be more resilient?

Tasks	Steps You'll Take to Mitigate

## Examples of Critical Tasks for Mitigation

Core Capability	Examples of Critical Tasks
<p><b>Threats and Hazard Identification</b></p>	<ul style="list-style-type: none"> <li>• Gather required data in a timely and accurate manner in order to effectively identify threats and hazards.</li> <li>• Ensure that the right data are received by the right people at the right time.</li> <li>• Share natural hazards data in a transparent and accessible way.</li> <li>• Strike a proper balance between dissemination and classification of national security and intelligence information.</li> <li>• Build cooperation between private and public sectors by protecting internal interests but sharing threats and hazard identification resources and benefits.</li> <li>• Leverage available third-party data, tools, and information; social media; and open-source technology.</li> <li>• Translate data into meaningful and actionable information through appropriate analysis and collection tools.</li> </ul>
<p><b>Risk and Disaster Resilience Assessment</b></p>	<p><b>Data</b></p> <ul style="list-style-type: none"> <li>• Share risk assessment data, both new and existing, to establish common operations across mission areas and standardized data requirements and guidance. Secure sensitive data as appropriate.</li> <li>• Provide the right data to the right people at the right time.</li> <li>• Incorporate vulnerability data sets such as population, demographic, infrastructure inventory and condition assessment information, critical infrastructure, lifelines, key resources, building stock, and economic data to calculate the risk from the threats and hazards identified.</li> <li>• Create and maintain redundant systems for storing information.</li> <li>• Establish standard data formats to enable sharing of vulnerability data and risk assessment outputs.</li> <li>• Update risk assessments to include changes to the risks and the physical environment. This includes aging infrastructure, new development, new mitigation projects and initiatives, post event</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>verification/validation, new technologies or improved methodologies, and better or more up-to-date data.</p> <p><b>Analysis</b></p> <ul style="list-style-type: none"> <li>• Develop faster analysis tools to provide data more quickly to those who need it, and make use of tools and technologies such as geographic information systems (GIS).</li> <li>• Validate, calibrate, and enhance risk assessments by relying on experience and knowledge beyond raw data or models.</li> <li>• Take advantage of knowledge gained by those who have experienced incidents to help understand all the interdependencies, cascading impacts, and vulnerabilities associated with threats and hazards.</li> <li>• Understand social and structural vulnerabilities.</li> <li>• Consolidate analysis efforts to remove useless duplication and provide a more uniform picture of the risks.</li> </ul> <p><b>Education and Training</b></p> <ul style="list-style-type: none"> <li>• Build the capability within communities to analyze and assess risk and resilience.</li> <li>• Train for the development of risk assessments to help with the standardization of assessment outputs.</li> <li>• Create a risk-driven culture through robust analysis.</li> <li>• Ensure that data users and assessment stakeholders know where to get data and what to do with it.</li> <li>• Train stakeholders to have the same accurate and comprehensive standards of risk assessment.</li> <li>• Use risk assessments to design exercises for response activities and to determine the feasibility of mitigation projects and initiatives.</li> </ul>
<b>Planning</b>	<ul style="list-style-type: none"> <li>• Create a planning process that is ongoing and builds on itself—focusing a community’s capabilities on risk-based decisions.</li> <li>• Collaborate, cooperate, and build consensus across other disciplines that impact plans.</li> </ul>



Core Capability	Examples of Critical Tasks
	<ul style="list-style-type: none"> <li>• Seek out and incorporate the whole community in planning efforts.</li> <li>• Foster public-private partnerships to promote resiliency and maximize utilization of available resources.</li> <li>• Promote planning initiatives through multiple media sources.</li> <li>• Share success stories where resilience-based planning has demonstrated measureable effectiveness in creating economic vitality within communities.</li> <li>• Build on the expertise, knowledge, and systems in place within the community.</li> <li>• Engage in a peer-to-peer mentoring structure that promotes best practices, particularly when the planning capability is not present in a community.</li> <li>• Understand the full range of animal issues in the community. This will ensure that the jurisdiction is equipped to comprehensively address human and animal issues and take steps to mitigate vulnerabilities in this area during or after a disaster.</li> </ul>
<p><b>Community Resilience</b></p>	<ul style="list-style-type: none"> <li>• Know your community's systems—who makes up the community and how to build constructive partnerships.</li> <li>• Understand the risks facing a community, including physical, social, economic, and environmental vulnerabilities to all threats and hazards.</li> <li>• Recognize and communicate the reinforcing relationships between environmental stewardship and natural hazard risk reduction (e.g., enhancement of flood storage through wetland protection/restoration and holistic floodplain management).</li> <li>• Promote whole community communications across social networks and organizations where interdependency is recognized and key to proactive planning and response.</li> <li>• Foster sustained communication, civic engagement, and the development and implementation of long-term risk reduction actions in the whole community.</li> <li>• Convince community members of the value of mitigation for reducing the impact of disasters and the</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>scale of response and recovery efforts.</p> <ul style="list-style-type: none"> <li>• Identify and promote sound choices and discourage bad ones.</li> <li>• Inspire transparency in risk management decisionmaking so that individuals, communities, private organizations, and all levels of government demonstrate how resilience is considered.</li> <li>• Recognize the interdependent nature of the economy, health and social services, housing infrastructure, and natural and cultural resources within a community.</li> <li>• Acknowledge and seek out naturally occurring relationships within communities and build relationships before disasters or incidents occur.</li> <li>• Educate the next generation of community leaders and resilience professionals; learn from the past and from what is working in the present.</li> </ul>
<p><b>Public Information and Warning</b></p>	<p><b>Steady-State/Ongoing Operations</b></p> <ul style="list-style-type: none"> <li>• Persuade the public that it is worthwhile to build a resilient community. Encourage private and public sector partners to work together to communicate the benefits of mitigation action and arrive at solutions.</li> <li>• Communicate priorities and actions identified through risk analysis and plans to stakeholders and those expected to take action to reduce risk.</li> <li>• Refine and consider options to publicly release potentially sensitive risk information.</li> <li>• Use social media, websites such as Ready.gov, and smartphone applications, as well as more traditional mechanisms such as community meetings or ethnic media outlets, to inform the public of actions to take to connect preparedness to resilience.</li> <li>• Promote mitigation and resilience to the public through a national preparedness campaign to increase public awareness and motivate individuals to build societal resilience prior to an event.</li> <li>• Support and increase the number of communities that develop and share risk reduction products (e.g., building codes, design standards, floodplain management</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>principles and practices, architectural accessibility standards, etc.).</p> <p><b>Incident-Driven Operations</b></p> <ul style="list-style-type: none"> <li>• Share prompt instructional messages, including specific hazard and threat public alert systems as appropriate, to help people prepare for imminent or follow-on incidents. Provide the tools necessary to make decisions quickly, such as a synchronization matrix that allows multiple leaders to make independent decisions.</li> <li>• Share information obtained through coordinating activities to inform response and recovery decisionmaking by effectively communicating threat and hazard risk analysis. For example, use the Threats and Hazard Identification and Risk Assessment or the Federal Bureau of Investigation (FBI) Annual Threat Report.</li> <li>• Conduct outreach with atypical partners. Coordinate common messaging and verified source communications through local community leaders.</li> <li>• Coordinate the release of timely incident-specific information and monitor for the release of incorrect information following a natural, technological, or manmade disaster.</li> <li>• Capitalize on the critical postdisaster window of opportunity and the media information cycle to influence public opinion to take steps toward future mitigation.</li> </ul> <p><b>Change Management</b></p> <ul style="list-style-type: none"> <li>• Address evolving risk perception and risk communication within a community.</li> <li>• Practice science-based methods such as community-based social marketing to create behavior change.</li> </ul>
<p><b>Long-Term Vulnerability Reduction</b></p>	<p><b>Individual and Local Community</b></p> <ul style="list-style-type: none"> <li>• Broaden the use of natural hazards and catastrophic insurance.</li> <li>• Develop plans, and recognize that a prepared individual or family is the foundation of a resilient community.</li> <li>• Promote neighborhood activities such as participation in</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>awareness campaigns.</p> <ul style="list-style-type: none"> <li>• Adopt and enforce a suitable building code to ensure resilient construction.</li> <li>• Capitalize on opportunities during the recovery building process to further reduce vulnerability.</li> </ul> <p><b>Private Sector and Government</b></p> <ul style="list-style-type: none"> <li>• Put community plans to work. Execute identified risk management priorities and actions from analysis and planning processes in the community.</li> <li>• Make risk reduction a priority in capital improvement projects.</li> <li>• Employ a variety of incentives, statutory and regulatory requirements, and voluntary initiatives to implement successful practices throughout communities.</li> <li>• Be transparent and explicit about mitigation efforts in order to increase and sustain whole community investment, reduce duplication of effort, and encourage complementary efforts by partners.</li> <li>• Establish standards and practices to reduce long-term vulnerability.</li> <li>• Capitalize on opportunities during the recovery building process to further reduce vulnerability.</li> </ul>
<p><b>Operational Coordination</b></p>	<p><b>Steady-State/Ongoing Operations</b></p> <ul style="list-style-type: none"> <li>• Establish procedures and build relationships that support mitigation capabilities across the whole community and emphasize a coordinated delivery of mitigation capabilities.</li> <li>• Identify mitigation roles and responsibilities and engage stakeholders across the whole community to support the information sharing process.</li> <li>• Recognize the complexity of various interest groups and integrate organizations across communities, including public-private partnerships.</li> </ul> <p><b>Incident-Driven Operations</b></p> <ul style="list-style-type: none"> <li>• Emphasize mitigation technique integration into Incident Command System (ICS) planning cycles by Command and General Staff representatives, and</li> </ul>

Core Capability	Examples of Critical Tasks
	<p>educate whole community partners.</p> <ul style="list-style-type: none"><li>• Use and leverage mitigation products and capabilities, such as the identification of threats and the assessment of risk, to support incident operations.</li><li>• Capitalize on opportunities for mitigation actions following disasters and incidents.</li></ul> <p><b>Change Management</b></p> <ul style="list-style-type: none"><li>• Adapt to evolving risks and changing conditions.</li><li>• Look for ways to include new stakeholders in mitigation capabilities.</li></ul>

## Activity 9.4 - Jurisdictions Mitigation Efforts

### Instructions:

1. Complete the self-assessment of your jurisdictions mitigation efforts.

Determine if your jurisdiction:

Question/Criterion	Yes	No
Has analyzed its core capabilities for mitigation and considered strategies for enhancing them.		
Has hazard mitigation projects planned or underway.		
Is subject to hazards that have been identified but not yet addressed.		
Has building codes and ordinances intended to mitigate hazards.		
Has an ongoing public education program for mitigation.		

### Continuing Your Learning

Review your jurisdiction's mitigation policies, plans, and procedures. Next, list steps you plan to take to improve your policies, plans, and procedures for mitigation.

### Federal Hazard Mitigation Programs

Program	Description
<b>Pre-Disaster Mitigation Program</b>	<p>The Pre-Disaster Mitigation (PDM) program provides funds to States, territories, Indian tribal governments, communities, and universities for hazard mitigation planning and the implementation of mitigation projects prior to a disaster event.</p> <p><b>Funding these plans and projects reduces overall risks to the population and structures, while also reducing reliance on funding from actual disaster declarations. PDM grants are awarded on a competitive basis and without reference to State allocations, quotas, or other formula-based allocation of funds.</b></p>

Program	Description
<b>Flood Mitigation Assistance Program</b>	<p>The Flood Mitigation Assistance (FMA) program was created as part of the National Flood Insurance Reform Act (NFIRA) of 1994 (42 U.S.C. 4101) with the goal of reducing or eliminating claims under the NFIP.</p> <p><b>FEMA provides FMA funds to assist States and communities in implementing measures that reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other structures insured under the NFIP.</b></p>
<b>Hazard Mitigation Grant Program (HMGP)</b>	<p>The HMGP is authorized under Section 404 of the Stafford Act, and is the main post-disaster hazard mitigation program. It provides grants to States and local governments to implement long-term hazard mitigation measures after a major disaster declaration. The HMGP is intended to reduce the loss of life and property due to natural disasters and to enable hazard mitigation measures to be implemented during the immediate recovery from a disaster.</p> <p>The amount of funding available for the HMGP is calculated from the total Individual Assistance plus Public Assistance amounts minus administrative costs. If the State has an approved hazard mitigation plan, the HPMG amount may be as much as 7.5 percent of the total FEMA disaster assistance to the State. Local communities with FEMA-approved hazard mitigation plans submit applications for grants to fund projects that have been identified in their hazard mitigation strategy. Under the DMA 2000 planning regulations, consistency between the HMGP project application and the approved hazard mitigation plan is crucial.</p> <p>FEMA can fund up to 75 percent of the eligible costs for each project. The State or grantee must provide a 25-percent match, from cash and/or in-kind sources.</p> <p>The Sandy Recovery Improvement Act of 2013 (SRIA) authorizes a pilot project to allow FEMA to provide up to 25% of the estimated costs for eligible hazard mitigation measures before they are incurred, with a maximum HMGP ceiling of \$10 million.</p> <p>Some examples of eligible HMGP activities include:</p> <ul style="list-style-type: none"> <li>• Acquisitions of hazard-prone property.</li> <li>• Building elevations.</li> </ul>

Program	Description
	<ul style="list-style-type: none"> <li>• Drainage upgrades.</li> <li>• Education and training.</li> <li>• Engineering studies.</li> <li>• Flood proofing.</li> <li>• Land-use planning.</li> <li>• Seismic retrofits.</li> <li>• Slope stabilization.</li> <li>• Storm shutters.</li> <li>• Window film.</li> <li>• Zoning and building code ordinance development/strengthening.</li> </ul> <p>To be funded, HMGP projects must be cost effective, a permanent or long-term solution, environmentally sound, and consistent with State and local hazard mitigation plan strategies.</p>

## Hazard Mitigation Assistance: Summary

### Eligible Applicants

Entity	HMGP	PDM	FMA
State agencies	X	X	X
Tribal governments	X	X	X

States, territories, and tribal governments are eligible HMA Applicants. Each State, territory, and tribal government designates one agency to serve as the Applicant for each HMA program. A tribal government may have the option to apply for HMA grants through the State as a sub-applicant or directly to FEMA as an Applicant.

### Eligible Sub-Applicants

Entity	HMGP	PDM	FMA
State agencies	X	X	X



Entity	HMGP	PDM	FMA
Tribal governments	X	X	X
Local governments/ communities	X	X	X
Private nonprofit (PNP) organizations	X		

All programs have the same sub-applicant eligibility except for HMGP, which also allows private nonprofit organizations to be sub-applicants. For specific details regarding eligible sub-applicants, refer to the following resources: • HMGP: 44 CFR Part 206.434(a) • FMA: 44 CFR Part 79.6(a) • Definition of local governments for HMGP and PDM: 44 CFR Part 206.2(16) Individuals and businesses are not eligible to apply for HMA funds; however, an eligible Applicant or sub-applicant may apply for funding to mitigate private structures.

**What Can Be Funded?:**

	Projects	Planning	Multi-hazard
<b>HMG P</b>	X	X	X
<b>PDM</b>	X	X	X
<b>FMA</b>	X	X	

HMGP and PDM fund multi-hazard mitigation projects and plans. FMA only address flooding hazards. FMA funds flood mitigation projects and the flood portion of hazard mitigation plans.

**Plan Requirements:**

	State/Tribal Mitigation Plan	Local Mitigation Plan
<b>HMGP</b>	X	X
<b>PDM</b>	X	X
<b>FMA</b>	X	X

All Applicants and subapplicants must have hazard mitigation plans meeting the requirements of 44 CFR Part 201.

**Applicant Requirements:**

- For PDM and FMA, all Applicants must have a FEMA-approved State or tribal (Standard or Enhanced) hazard mitigation plan by the application deadline and at the time of obligation of the grant funds.
- For HMGP in general, all Applicants must have a FEMA-approved State or tribal (Standard or Enhanced) hazard mitigation plan at the time of the disaster declaration and at the time HMGP funding is obligated to the Grantee in order to receive an HMGP award.

**Subapplicant Requirements:**

- For PDM and FMA, all subapplicants must have a FEMA-approved local hazard mitigation plan by the application deadline and at the time of obligation of grant funds.
- For HMGP, subapplicants must have a FEMA-approved local hazard mitigation plan at the time of obligation of funds. More details and exceptions are provided in the HMGP-specific section of this module.
- For all HMA programs, there is no local hazard mitigation plan requirement if the subapplicant is applying for a planning subgrant.

**Ineligible Activities**

The following are examples of activities that are not eligible for HMA funding:

- Projects that do not reduce the risk to people, homes, neighborhoods, structures, or infrastructure.
- Projects that are dependent on another phase of a project(s) in order to be effective and/or feasible (i.e., not a stand-alone mitigation project that solves a problem independently or constitutes a functional portion of a solution).
- Projects for which actual physical work such as groundbreaking, demolition, or construction of a raised foundation has occurred prior to award. Projects for which demolition and debris removal related to structures proposed for acquisition or mitigation reconstruction has already occurred may be eligible when such activities were initiated or completed under the FEMA Public Assistance program to alleviate a health or safety hazard as a result of a disaster.
- Projects constructing new buildings or facilities with the exception of safe room construction and SRL mitigation reconstruction.
- Projects that address operation, deferred or future maintenance, repairs, or replacement (without a change in the level of protection provided) of existing structures, facilities, or infrastructure (e.g., dredging, debris removal, replacement of obsolete utility systems, bridges, and facility repair/rehabilitation).
- Studies not directly related to the design and implementation of a proposed mitigation project.
- Preparedness measures and response equipment (e.g., response training, electronic evacuation road signs, interoperable communications equipment).

The above list is not comprehensive, and the absence of an activity from the above ineligible activity list does not mean it is eligible for HMA funding.

## Cost Sharing

The total cost to implement approved mitigation activities is generally funded by a combination of Federal and non-Federal sources. In general, HMA funds may be used to pay up to 75 percent of the eligible activity costs. The remaining 25 percent of eligible activity costs are derived from non-Federal sources. Exceptions are shown in the following table.

The non-Federal share must be an eligible cost used in direct support of the approved activities under this guidance and the grant award. Contributions of cash, in-kind services or materials, or any combination thereof, may be accepted as part of the non-Federal cost share. Cost-share requirements also extend to management costs.

Because available HMGP management costs are calculated as a percentage of the Federal funds provided, the non-Federal share is already accounted for. Subapplicants should consult their State Hazard Mitigation Officer (SHMO) for the amount or percentage of HMGP subgrantee management cost funding their State has determined to be passed through to subgrantees.

Programs	Mitigation Activity Grant*	Management Costs*—Grantee	Management Costs*—Subgrantee
HMGP	75/25	100/0	(Varies by State)
PDM	75/25	75/25	75/25
PDM – Subgrantee is small, impoverished community.	90/10	75/25	90/10
PDM – Tribal grantee is small, impoverished community.	90/10	90/10	90/10
FMA	75/25	75/25	75/25
FMA – Severe repetitive loss property with Repetitive Loss Strategy.	90/10	90/10	90/10

## Continuing Your Learning

Place a check next to those topics that you would like to continue learning about.

- Mitigation core capabilities and critical tasks.
- Your mitigation roles and responsibilities
- Mitigation strategies
- Federal mitigation programs: PDM, FMA, RDC, SRL, HMGP, NFIP, CRS
- How to develop a mitigation plan
- Strategies for engaging the whole community in support of mitigation

Review the following suggested resources.

#### **FEMA Courses:**

- IS 30: Mitigation eGrant System for the Subgrant Applicant
- IS 31: Mitigation eGrants for the Grant Applicant
- IS 212: Introduction to Unified Hazard Mitigation Assistance
- IS 366: Planning for the Needs of Children in Disasters
- IS 393: Introduction to Mitigation
- IS 394: Protecting Your Home or Small Business from Disaster
- E0212: Unified Hazard Mitigation Assistance
- G0393: Mitigation for Emergency Managers

#### **Web Resources:**

[National Mitigation Framework](https://www.fema.gov/national-mitigation-framework) (https://www.fema.gov/national-mitigation-framework)

[Hazard Mitigation Assistance Unified Guidance](https://www.fema.gov/media-library/assets/documents/19022?id=4225) (https://www.fema.gov/media-library/assets/documents/19022?id=4225)

- FEMA's How-To Guides:
  - 386-1: Getting Started
  - 386-2: Understanding Your Risks
  - 386-3: Developing the Mitigation Plan
  - 386-4: Bringing the Plan to Life
  - 386-5: Using Benefit-Cost Review in Mitigation Planning
  - 386-6: Integrating Historic Property and Cultural Resource Considerations into Hazard Mitigation Planning
  - 386-7: Integrating Manmade Hazards into Mitigation Planning

386-8: [Multi-Jurisdictional Mitigation Planning](https://www.fema.gov/media-library/assets/documents/4481) (https://www.fema.gov/media-library/assets/documents/4481)

[Answers to Questions About the NFIP](https://www.fema.gov/media-library/assets/documents/272?id=1404) (https://www.fema.gov/media-library/assets/documents/272?id=1404)

[Community Rating System \(CRS\)](https://www.fema.gov/national-flood-insurance-program-community-rating-system) (https://www.fema.gov/national-flood-insurance-program-community-rating-system)

[No Adverse Impact \(NAI\) Floodplain Management](http://www.floods.org/) (http://www.floods.org/)

[Planning for a Sustainable Future: The Link Between Hazard Mitigation and Livability \(FEMA 364\)](https://www.fema.gov/media-library/assets/documents/2110?id=1541) (https://www.fema.gov/media-library/assets/documents/2110?id=1541)

[Multi-Hazard Identification and Risk Assessment \(MHIRA\)](https://www.fema.gov/media-library/assets/documents/7251?id=2214) (https://www.fema.gov/media-library/assets/documents/7251?id=2214)

## Activity 10.2 - Operations Planning

### **Instructions:**

**Answer** the questions relating to emergency operations planning in your jurisdiction.

Who participates in emergency operations planning in your jurisdiction?

What mechanisms do you have to ensure that the EOP is regularly maintained?

## Activity 10.6 - Jurisdiction Response Preparedness

### **Instructions:**

Assess your current response preparedness.

Question/Criterion	Yes	No
<ul style="list-style-type: none"> <li>The jurisdiction has emergency operations plans, policies, and procedures that are consistent with the NIMS principles.</li> </ul>		
<ul style="list-style-type: none"> <li>My jurisdiction's emergency operations plan:           <ul style="list-style-type: none"> <li>Is based on an up-to-date threat/hazard/vulnerability analysis.</li> <li>Is linked vertically and horizontally to other plans.</li> <li>Is evaluated after each exercise or incident or at least annually.</li> <li>Incorporates continuity of operations.</li> </ul> </li> </ul>		
<ul style="list-style-type: none"> <li>There are sufficient qualified personnel to assume ICS Command and General Staff positions.</li> </ul>		
<ul style="list-style-type: none"> <li>Procedures exist for ensuring that common terminology is used for organizational functions, resource descriptions, and incident facilities.</li> </ul>		
<ul style="list-style-type: none"> <li>An incident management handbook or other procedures exist to guide all response activities, including incident action planning.</li> </ul>		
<ul style="list-style-type: none"> <li>Information management systems are used to collect data and track the status and location of resources.</li> </ul>		
<ul style="list-style-type: none"> <li>Established procedures and protocols are followed for identifying resource requirements, requesting resources, prioritizing requests, activating and mobilizing resources to incidents, and returning resources to normal status.</li> </ul>		
<ul style="list-style-type: none"> <li>My jurisdiction has procedures in place for acquiring and inventorying resources.</li> </ul>		

Question/Criterion	Yes	No
<ul style="list-style-type: none"> <li>• My jurisdiction has established mutual aid and assistance agreements.</li> </ul>		
<ul style="list-style-type: none"> <li>• Procedures are in place to ensure that all tactical resources check in at an incident site and report any change in status.</li> </ul>		
<ul style="list-style-type: none"> <li>• Standards exist for demobilizing resources.</li> </ul>		
<ul style="list-style-type: none"> <li>• Tabletop or functional exercises are conducted with all potential members of the Unified Command.</li> </ul>		
<ul style="list-style-type: none"> <li>• Procedures are established for addressing the interface between the on-scene Incident Command and other elements of the Multiagency Coordination System.</li> </ul>		
<ul style="list-style-type: none"> <li>• Tabletop or functional exercises are conducted to test the interface between the on-scene Incident Command and other elements of the Multiagency Coordination System.</li> </ul>		
<ul style="list-style-type: none"> <li>• Elected and appointed officials have completed the ICS 402 overview course and participate in exercises.</li> </ul>		

## Continuing Your Learning

Learn more about response in your community.

- If you are not a first responder, ask to shadow responders during incidents to become acquainted with command functions.
- If you are a first responder, ask to shadow personnel at an emergency operations center or other coordination center.
- Review recent after-action reports from incidents, planned events, and exercises.
- Place a check next to those topics that you would like to continue learning about.
- Incident command system features and principles
- Response core capabilities and critical tasks.
- Response roles and responsibilities
- Incident decision making
- Initial incident management
- Activation of the EOC
- EOC support planning
- Resource management
- Unified command

- Multiagency coordination
- Planning for resource management
- Resource typing

Review the following suggested resources.

### **FEMA Courses:**

#### **Independent Study:**

- IS 100: (ICS 100) Introduction to Incident Command System
- IS 701: NIMS Multiagency Coordination System (MACS) Course
- IS 702: National Incident Management System (NIMS) Public Information Systems
- IS 703: NIMS Resource Management Course
- IS 704: NIMS Communications and Information Management
- IS 775: EOC Management and Operations
- IS 800: National Response Framework: An Introduction
- E0947: IEMC: Emergency Operations Center—Incident Management Team Interface
- G0191: Incident Command System/Emergency Ops Center (ICS/EOC) Interface

#### **Classroom:**

- ICS 300: Intermediate ICS for Expanding Incidents (EMI Course Number: G300)
- ICS 400: Advanced ICS Command and General Staff—Complex Incidents (EMI Course Number: G400)
- ICS 402: Incident Command System (ICS) Overview for Executives/Senior Officials (EMI Course Number: G402)

#### **Web Resources:**

[National Response Framework](https://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf) (https://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf)

[NRF Resource Center](https://www.fema.gov/national-planning-frameworks) (https://www.fema.gov/national-planning-frameworks) - A Web-based resource center that provides information, documents, briefings, training, and other resources related to the National Response Framework.

[National Incident Management System \(NIMS\) Resource Center](https://www.fema.gov/national-incident-management-system) (https://www.fema.gov/national-incident-management-system) – A Web-based resource center that provides information, documents, briefings, training, and other resources related to NIMS.

[Incident Command System \(ICS\) Resource Center](https://www.fema.gov/incident-command-system-resources) (https://www.fema.gov/incident-command-system-resources) – A Web-based resource center that provides ICS review materials, forms, training opportunities, job aids, references, and links.

[Occupational Safety and Health Administration \(OSHA\) ICS eTool](https://www.osha.gov/SLTC/etools/ics/) (https://www.osha.gov/SLTC/etools/ics/) – Designed to provide basic information about the Incident Command System and Unified Command, specifically as it relates to the National Contingency Plan 40 CFR Part 300.

[FIRESCOPE](http://www.firescope.org/) (http://www.firescope.org/)– A national leader in the development of all-risk management and multiagency coordination systems. The FIRESCOPE Web site includes resource information and tools.

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## Activity 11.2 - Recovery Policies, Plans, and Procedures

### **Instructions:**

Determine if your jurisdiction has policies, plans, and procedures for:

Question/Criterion	Yes	No
Disaster Recovery Planning		
Establishing Recovery Support Functions		
Documentation		
Debris Management Plan		
Emergency/Disaster Declaration Procedures		
Disaster Recovery Center locations		

### Continuing Your Learning

Place a check next to those topics that you would like to continue learning about.

- Recovery core principles
- Local government disaster recovery operations
- State disaster recovery operations
- Tribal disaster recovery operations
- Federal Government disaster recovery operations
- How to develop a disaster recovery plan
- Recovery Support Functions
- Business recovery
- Damage assessment
- Disaster housing
- Individual Assistance program
- Public Assistance program
- Debris management

Review the following suggested resources.

#### **FEMA Courses:**

- IS 1: Emergency Manager: An Orientation to the Position

- IS 7 A: Citizen’s Guide to Disaster Assistance
  - IS 208: State Disaster Management
  - IS 253: Coordinating Environmental and Historic Preservation Compliance
  - IS 288: The Role of Voluntary Agencies in Emergency Management
  - IS 403: Introduction to Individual Assistance
  - IS 552: The Public Works Role in Emergency Management
  - IS 630: Introduction to the Public Assistance Process\*
  - IS 631: Public Assistance Operations I\*
  - IS 632: Introduction to Debris Operations
  - IS 814: Emergency Support Function (ESF) #14 – Long Term Community Recovery
  - E0210: Recovery from Disaster: The Local Government Role (EMI resident course)
  - G0270: Recovery from Disaster: The Local Government Role (EMI field course)
- \*IS 630 and IS 631 will be replaced by a combined course, to be numbered IS-0634 when available.

### **FEMA Publications and Web Resources:**

[Sandy Recovery Improvement Act of 2013](https://www.fema.gov/sandy-recovery-improvement-act-2013) (<https://www.fema.gov/sandy-recovery-improvement-act-2013>)

[CRS Report for Congress r42991: Analysis of the Sandy Recovery Improvement Act of 2013](https://fas.org/sgp/crs/misc/R42991.pdf) (March 11, 2013) (<https://fas.org/sgp/crs/misc/R42991.pdf>)

[National Disaster Recovery Framework: Strengthening Disaster Recovery for the Nation \(September 2011\)](https://www.fema.gov/national-disaster-recovery-framework) (<https://www.fema.gov/national-disaster-recovery-framework>)

[FEMA P-323: Public Assistance Applicant Handbook \(March 2010\)](https://www.fema.gov/pdf/government/grant/pa/fema323_app_handbk.pdf) ([https://www.fema.gov/pdf/government/grant/pa/fema323\\_app\\_handbk.pdf](https://www.fema.gov/pdf/government/grant/pa/fema323_app_handbk.pdf))

[FEMA P-325: Public Assistance Debris Management Guide \(July 2007\)](https://www.fema.gov/pdf/government/grant/pa/demagde.pdf) (<https://www.fema.gov/pdf/government/grant/pa/demagde.pdf>)

[FEMA 229: Disaster Assistance: A Guide to Recovery Programs \(September 2005\)](https://www.fema.gov/media-library/assets/documents/6341?id=2152) (<https://www.fema.gov/media-library/assets/documents/6341?id=2152>)

[FEMA’s Recover and Build](https://www.fema.gov/community-planning-and-capacity-building) (<https://www.fema.gov/community-planning-and-capacity-building>)

- FEMA P-546: Recovering from the Disaster; A Review of FEMA Recovery Program Procedures for Local Government Officials (DVD 08291-1, April 2007)

## Activity 12.3 - Technology in Emergency Management

### **Instructions:**

Answer the questions. Determine if your jurisdiction:

Question/Criterion	Yes	No
Addresses communications issues in mutual aid and assistance agreements.		
Makes use of current technologies for alerts and warnings.		
Makes use of current technologies (e.g., GIS, modeling and projection tools) in emergency management.		
Has incorporated use of social media into emergency management.		

### Continuing Your Learning

Place a check next to those topics that you would like to continue learning about.

- How technology supports the common operating picture and situation awareness
- Technology options and best practices for interoperable communications
- Developing communications plans
- Use of technology in communicating with the public
- Current technologies for enhancing emergency management

Review the following suggested resources.

#### **FEMA Courses:**

- IS-0704: NIMS Communications and Information Management
- G0575: Communications Interoperability
- E0112: Technology and Emergency Management

#### **FEMA Publications and Web Resources:**

[FEMA's presence on the Internet](https://www.fema.gov/social-media) (https://www.fema.gov/social-media)

[SAFECOM](https://www.dhs.gov/safecom) (https://www.dhs.gov/safecom) resources related to interoperability

[FEMA's Interoperable Emergency Communications Grant Program \(IECGP\)](https://www.fema.gov/pdf/government/grant/iecgp/fy08_iecgp_program.pdf) (https://www.fema.gov/pdf/government/grant/iecgp/fy08\_iecgp\_program.pdf)

[NIMS Supporting Technology Evaluation Program \(STEP\) Guide](https://www.fema.gov/media-library/assets/documents/19805?id=4356) (https://www.fema.gov/media-library/assets/documents/19805?id=4356)

[DigitalGov](https://www.digitalgov.gov/) (<https://www.digitalgov.gov/>): Guidance for government agencies in using technological tools (the Web, social media, contact centers, cloud computing, mobile devices, and others) to improve information exchange.

- [Emergency Management and Response – Information Sharing and Analysis Center \(EMR-ISAC\)](https://www.iafc.org/topics-and-tools/resources/resource/emergency-management-and-response-information-sharing-and-analysis-center-(abstract)_/) ([https://www.iafc.org/topics-and-tools/resources/resource/emergency-management-and-response-information-sharing-and-analysis-center-\(abstract\)\\_/](https://www.iafc.org/topics-and-tools/resources/resource/emergency-management-and-response-information-sharing-and-analysis-center-(abstract)_/))

[Envirofacts](https://www3.epa.gov/enviro/) (<https://www3.epa.gov/enviro/>)

[Natural Hazards Center](https://hazards.colorado.edu/) (<https://hazards.colorado.edu/>)

[HAZUS-MH](https://coast.noaa.gov/digitalcoast/tools/hazus-mh.html) (<https://coast.noaa.gov/digitalcoast/tools/hazus-mh.html>)

[CAMEO](https://www.epa.gov/cameo) (<https://www.epa.gov/cameo>)

[ALOHA](https://www.epa.gov/cameo/aloha-software) (<https://www.epa.gov/cameo/aloha-software>)

[Georgia Interoperability Network \(GIN\)](http://gainterop.com/index.htm) (<http://gainterop.com/index.htm>)

[Integrated Public Alert and Warning System \(IPAWS\)](https://www.fema.gov/integrated-public-alert-warning-system) (<https://www.fema.gov/integrated-public-alert-warning-system>)

[Commercial Mobile Alert System \(CMAS\)](https://www.fcc.gov/general/commercial-mobile-telephone-alerts-cmas) (<https://www.fcc.gov/general/commercial-mobile-telephone-alerts-cmas>)

[Common Alerting Protocol \(CAP\)](http://www.oasis-emergency.org/node/1323) (<http://www.oasis-emergency.org/node/1323>)

[HazCollect](http://www.nws.noaa.gov/os/hazcollect/) (<http://www.nws.noaa.gov/os/hazcollect/>)

[National Terrorism Advisory System \(NTAS\)](https://www.dhs.gov/national-terrorism-advisory-system) (<https://www.dhs.gov/national-terrorism-advisory-system>)

[National Communications System: Government Emergency Telecommunication System \(GETS\)](https://www.dhs.gov/government-emergency-telecommunications-service-gets) (<https://www.dhs.gov/government-emergency-telecommunications-service-gets>)

[Wireless Priority Services \(WPS\)](https://www.dhs.gov/wireless-priority-service-wps) (<https://www.dhs.gov/wireless-priority-service-wps>)

[Telecommunications Service Priority \(TSP\)](https://www.dhs.gov/telecommunications-service-priority-tsp) (<https://www.dhs.gov/telecommunications-service-priority-tsp>)

[SHARed RESources \(SHARES\) High Frequency \(HF\) Radio Program](https://www.dhs.gov/shares) (<https://www.dhs.gov/shares>)

## Activity 12.6 - Administration Policies, Plans, and Procedures

### **Instructions:**

Answer the assessment questions below

### **Check-In:**

1. For any items that you do not know the answers, make a note and other students may be able to offer assistance.
2. For any items that you marked “No”, make a note and other students may be able to offer assistance.

Does your jurisdiction have policies, plans, and procedures for:	Yes	No	Check-In
Staffing			
Staffing Budgeting and accounting			
Reporting and documentation			
Records Management			
Cyber Security			
Protecting Sensitive records			

### Continuing Your Learning

Place a check next to those topics that you would like to continue learning about.

- Staffing
- Budgeting

- Accounting
- Reporting
- Documentation
- Records management
- Information security
- Privacy protection

Review the following suggested resources.

#### **FEMA Courses:**

- E 106: Joint Field Office (JFO) Finance and Administration Section Chief Training
- E 229: Documentation Unit
- E 975: NIMS ICS All Hazards Finance/Administration Unit Leader Course (EMI resident course)
- E/L0483: Administration of Public Assistance (PA) for Community Recovery
- E/L0259: Human Resources (HR) Operations
- G0278: Benefit-Cost Analysis: Entry-Level Training

#### **Web Resources:**

[Cyber Security Guides](https://www.cisecurity.org/partners-local-government/) (https://www.cisecurity.org/partners-local-government/): A series of Local Government Cyber Security pamphlets on the following topics, produced by the DHS National Cyber Security Division in conjunction with Multi-State Information Sharing and Analysis Center (MS-ISAC):

- Getting Started: A Non-Technical Guide
- Risk Management
- Beginners Guide to Firewalls
- Internet and Acceptable Use Policy Template
- Erasing Information and Disposal of Electronic Media
- Guidelines for Backing Up Information
- Secure Credit Card Payment Process
- Cyber Incident Response Guide
- [NARA Records Management Guidance and Regulations](https://www.archives.gov/records-mgmt/policy/guidance-regulations.html) (https://www.archives.gov/records-mgmt/policy/guidance-regulations.html): Guidance from the U.S. National Archives and Records Administration.
- [Frequently Asked Questions About Records Management](https://www.archives.gov/records-mgmt/faqs) (https://www.archives.gov/records-mgmt/faqs): NARA response to records management FAQs.

[Continuity Assistance Tool \(CAT\)](https://www.fema.gov/media-library-data/1386609058830-b084a7230663249ab1d6da4b6472e691/Continuity-Assistance-Tool.pdf) (https://www.fema.gov/media-library-data/1386609058830-b084a7230663249ab1d6da4b6472e691/Continuity-Assistance-Tool.pdf): Continuity Assistance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations) (FEMA, July 2009).

[Information about FEMA grants and cooperative agreements](https://www.fema.gov/grants) (https://www.fema.gov/grants)

[FEMA Public Assistance program forms](https://www.fema.gov/forms) (https://www.fema.gov/forms) that can be used to document activities and costs associated with disasters

[Privacy Act of 1974](https://www.justice.gov/opcl/privacy-act-1974) (https://www.justice.gov/opcl/privacy-act-1974)

[Health Insurance Portability and Accountability Act of 1996 \(HIPAA\)](https://aspe.hhs.gov/report/health-insurance-portability-and-accountability-act-1996) (<https://aspe.hhs.gov/report/health-insurance-portability-and-accountability-act-1996>)

[Local Government Cyber Security: Getting Started—A Non-Technical Guide](https://msisac.cisecurity.org/members/local-government/documents/GettingStarted-LocalGovt.pdf) (<https://msisac.cisecurity.org/members/local-government/documents/GettingStarted-LocalGovt.pdf>)