
UNIT 3. RESOURCE MANAGEMENT PLANNING

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Unit 3. Resource Management Planning

Unit Objectives

At the end of this unit, you will be able to describe:

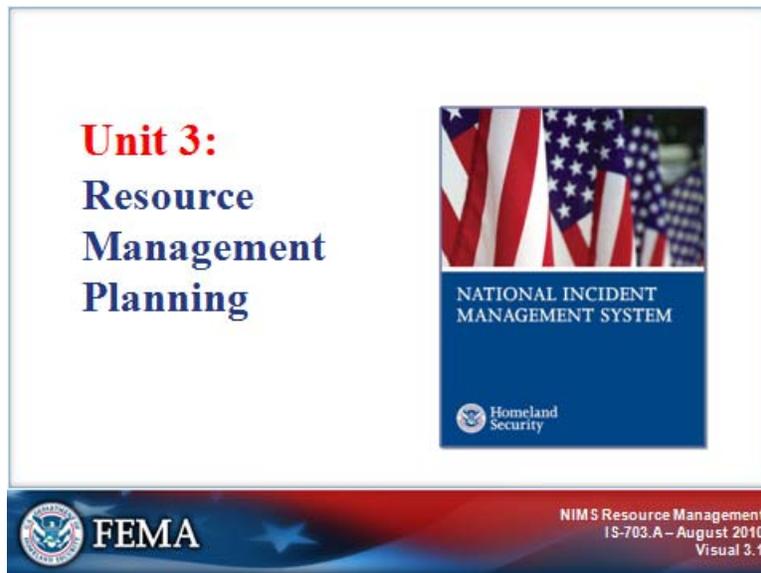
- The relationship of the jurisdiction's advance planning to resource requirements.
 - Sources for emergency resources, including public, private, and nongovernmental organizations.
 - Mechanisms for ensuring that resources are available during incidents.
 - The relationships among various entities regarding resource management, and the enabling mechanisms that provide for seamless integration.
-

Scope

- Unit Overview
- Risk-Based Planning
- Resource Needs
- Activity
- Resource Typing
- Potential Sources
- Activity
- Procedures, Systems, and Protocols
- Acquisition Strategies and Purchase Authority
- Controlling Access to the Scene
- Activity
- Legal Review of Procedures
- Inventory
- Interorganizational Issues
- Activity
- Unit Summary

UNIT OVERVIEW

Visual 3.1



Key Points:

Any jurisdiction's or agency's emergency management activities should be based on a thorough planning process, which is documented in its Emergency Operations Plan (EOP).

Jurisdiction and agency planning processes should include identifying resource needs based on the threats to and vulnerabilities of the jurisdiction and developing alternative strategies to obtain the needed resources.

This unit will focus on the relationship between planning and resource management.

UNIT OVERVIEW

Visual 3.2

Unit Objectives

Describe:

- The relationship of advance planning to resource requirements.
- Sources for emergency resources.
- Mechanisms for ensuring resources are available.
- Relationships among and integration of various entities.



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Visual 3.2

Key Points:

At the end of this lesson, you should be able to describe:

- The relationship of the jurisdiction's advance planning to resource requirements.
- Sources for emergency resources, including public, private, and nongovernmental organizations.
- Mechanisms for ensuring that resources are available during incidents.
- The relationships among various entities regarding resource management, and the enabling mechanisms that provide for seamless integration.

UNIT OVERVIEW

Visual 3.3



Key Points:

This unit is organized around the following planning steps:

- Step 1: Identify associated risks and consequences.
- Step 2: Project resource needs.
- Step 3: Identify potential sources.
- Step 4: Review procedures.
- Step 5: Maintain resource inventory.

RISK-BASED PLANNING

Visual 3.4

Risk-Based Planning

Risk assessments determine:

- What might happen?
- How likely is it to happen?
- How bad is it likely to be?
- How many people might be injured or killed?
- How much damage is there likely to be?



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Visual 3.4

Key Points:

The planning process should include identifying resource needs based on the threats to and vulnerabilities of the jurisdiction and developing alternative strategies to obtain the needed resources.

There are a number of methodologies that can be used for identifying your risks, but all methodologies should:

- Identify possible kinds of incidents and their related threats, risks, or consequences. (What might happen?)
- Quantify the likelihood of an occurrence of any given incidents. (How likely is it to happen?)
- Assess the most likely magnitude of any given incident. (How bad is it likely to be?)
- Assess the percent of the population at risk from any given incident. (How many people might be injured or killed?)
- Assess the severity of impact or likely consequences of any given incident. (How much damage is there likely to be?)

This analysis will result in a picture of the most likely incidents, their potential consequences, and needed resources.

RISK-BASED PLANNING

Visual 3.5

Step 1: Identify Risks and Consequences

The first step in establishing resource needs is to consider:

- Threats and consequences your jurisdiction might face.
- Possible cascading events.
- Related emergencies that may follow an incident.



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Visual 3.5

Key Points:

The first step in establishing resource needs is to consider the related risks, including threats and consequences that your jurisdiction may face.

In identifying risks, it is important to consider the cascading events or related emergencies that may follow an incident.

For example, an earthquake may cause:

- Building and bridge collapses.
- Hazardous materials spills.
- Utility outages.

Your jurisdiction's EOP should include hazard analysis information.

RESOURCE NEEDS

Visual 3.6

Step 2: Project Resource Needs

Determine what resources are needed by:

- Analyzing risks and consequences.
- Reviewing case histories.
- Interviewing managers of similar incidents.



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Visual 3.6

Key Points:

After analyzing the risks, next determine what resources are needed to manage incidents. Some resources will be specific to only one risk or consequence; others may be useful for multiple risks or consequences.

For example, urban rescue resources would likely only be needed for building collapses following a hurricane, but resources associated with traffic control would be needed to assist with debris removal, security, and damage to bridges and roads.

Reviewing case histories or interviewing managers of similar incidents can be helpful in researching infrequent or unfamiliar incidents. Sometimes needed resources are not immediately apparent.

For example, emergency managers in Oklahoma City had not considered the need to dispose of large quantities of biohazardous waste prior to the bombing of the Alfred P. Murrah Building.

Another frequently overlooked or underestimated category is the needs associated with ethnic groups, such as special dietary requirements.

RESOURCE NEEDS

Visual 3.7

Common Resources



Resources fall into seven general groupings:

- Personnel
- Facilities
- Equipment
- Vehicles
- Teams
- Aircraft
- Supplies

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Visual 3.7

Key Points:

Resources you identify fall into seven general groupings:

- **Personnel:** Includes Incident Command System “overhead” or management staff, technical specialists, Emergency Operations Center staff, operations staff, etc.
- **Facilities:** Includes office space, shelters, warehouses, etc.
- **Equipment:** Refers to pieces of equipment, with or without the personnel needed to operate them.
- **Vehicles:** Includes automobiles, buses, etc.
- **Teams:** Refers to groups of specially trained and equipped personnel, including needed equipment and supplies.
- **Aircraft:** Includes surveillance platforms, medevac, or cargo configurations.
- **Supplies:** Can span an enormous range from potable water to plywood. It is impossible to develop and maintain complete lists. A more efficient way to plan is to develop and maintain a current list of suppliers with comprehensive inventories.

ACTIVITY

Visual 3.8

Activity: Projecting Resource Needs

Instructions: Working with your table group . . .

1. Read the scenario in your Student Manual.
2. Consider what resources would be needed for the response.
3. Write your answers on chart paper.
4. Select a spokesperson.
5. Be prepared to share your answers with the group in 5 minutes.



Key Points:

Instructions: Working with your table group . . .

1. Read the scenario in the Student Manual and consider what resources would be needed for the response.
2. Write your answers on chart paper.
3. Select a spokesperson.
4. Be prepared to share your answers with the group in 5 minutes.

ACTIVITY

Visual 3.8 (Continued)

Instructions: Read the following scenario and discuss potential resource needs with your table group. Select a spokesperson and record the group's responses. When 5 minutes have elapsed, be prepared to present your group's answers.

Scenario: Following a heavy rainstorm, your community has experienced a massive landslide.

RESOURCE TYPING

Visual 3.9

Resource Typing



Resource typing helps:

- Incident Commanders to make their resource requests.
- Emergency responders to know the capabilities of resources they are using.
- Resource managers to locate, mobilize, and track resources.

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Visual 3.9

Key Points:

Thinking ahead about the appropriate configuration and capabilities of emergency resources can ensure that incidents receive the right resource for the job.

Using consistent resource typing:

- Enhances emergency preparedness, response, and recovery at all levels of government.
- Helps the Command request and deploy needed resources.
- Enables emergency management personnel to identify, locate, request, order, and track outside resources quickly and effectively.
- Improves the ability of resource managers in the Multiagency Coordination (MAC) System and/or Emergency Operations Centers (EOCs) to locate, mobilize, and track resources.

To support State, territorial, tribal, and local governments in their resource typing efforts, the FEMA National Preparedness Directorate has coordinated the development, vetting, and publication of resource typing definitions. Jurisdictions should compare their resources to the NIMS resource typing definitions. Tier I response assets should be reported for incorporation into the national resource inventory. Jurisdictions are encouraged to inventory and type Tier II resources as well.

The next unit presents additional information on resource typing.

POTENTIAL SOURCES

Visual 3.10

Step 3: Identify Potential Sources

Resources come from a variety of sources, including:

- Within your agency or jurisdiction.
- Mutual aid and assistance.
- Other levels of government.
- Volunteer organizations.
- Private-sector sources.
- Donations.



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Visual 3.10

Key Points:

Resources come from a variety of sources, including:

- Within your agency or jurisdiction.
- Mutual aid and assistance.
- Other levels of government.
- Volunteer organizations.
- Private-sector sources.
- Donations.

The next portion of this unit covers each of these sources.

POTENTIAL SOURCES

Visual 3.11

Agency or Jurisdiction Resources

- What kinds and types of resources are already owned by your agency?
- Are they suitable for use in emergencies?
- What kinds of supplies does your agency usually warehouse?
- What training and experience do agency personnel have?



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Visual 3.11

Key Points:

The first source to consider is the current capability and inventory of your own agency or jurisdiction. During an incident, you must exhaust your own resources before you approach the next level of government for assistance. Consider:

- What kinds and types of resources are already owned by your agency, and are they suitable for use in emergencies?
- What kinds of supplies does your agency usually warehouse?
- What training and experience do agency personnel have?

Analysis of personnel should include not only their job-related training, skills, and experience, but additional experience, hobbies, or part-time job skills that might be useful.

Keep in mind that outside-the-job experience can be both an asset and a liability. Existing knowledge provides a foundation for new learning. However, existing assumptions and beliefs can be a barrier if the new knowledge and skills are contradictory or unfamiliar.

POTENTIAL SOURCES

Visual 3.12

Mutual Aid and Assistance

Mutual aid and assistance agreements:

- 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.

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Visual 3.12

Key Points:

Mutual aid agreements and assistance agreements are agreements between agencies, organizations, and 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 after an incident. A signed agreement does not obligate the provision or receipt of aid, but rather provides a tool for use should the incident dictate a need.

Preincident agreements among all parties providing or requesting resources are necessary to enable effective and efficient resource management during incident operations.

Formal preincident agreements are established between parties (both governmental and nongovernmental) that might provide or request resources during incidents. These agreements ensure the efficient deployment of standardized, interoperable equipment and other incident resources during incident operations.

One example of a formal preincident agreement between States is the Emergency Management Assistance Compact (EMAC). EMAC is a congressionally ratified organization that provides form and structure to interstate mutual aid. Through EMAC, a disaster-affected State can request and receive assistance from other member States quickly and efficiently, resolving two key issues up front: liability and reimbursement.

Note: The following pages contain more information about the types of agreements and typical provisions of an agreement.

POTENTIAL SOURCES

Types of Mutual Aid and Assistance Agreements

There are several types of these kinds of agreements, including but not limited to the following:

- **Automatic Mutual Aid:** Agreements that permit the automatic dispatch and response of requested resources without incident-specific approvals. These agreements are usually basic contracts; some may be informal accords.
- **Local Mutual Aid:** Agreements between neighboring jurisdictions or organizations that involve a formal request for assistance and generally cover a larger geographic area than automatic mutual aid.
- **Regional Mutual Aid:** Substate regional mutual aid agreements between multiple jurisdictions that are often sponsored by a council of governments or a similar regional body.
- **Statewide/Intrastate Mutual Aid:** Agreements, often coordinated through the State, that incorporate both State and local governmental and nongovernmental assets in an attempt to increase preparedness statewide.
- **Interstate Agreements:** Out-of-State assistance through formal State-to-State agreements such as the Emergency Management Assistance Compact, or other formal State-to-State agreements that support the response effort.
- **International Agreements:** Agreements between the United States and other nations for the exchange of Federal assets in an emergency.
- **Other Agreements:** Any agreement, whether formal or informal, used to request or provide assistance and/or resources among jurisdictions at any level of government (including foreign), NGOs, or the private sector.

Jurisdictions should be party to agreements with the appropriate jurisdictions and/or organizations (including NGOs and the private sector, where appropriate) from which they expect to receive, or to which they expect to provide, assistance. States should participate in interstate compacts and look to establish intrastate agreements that encompass all local jurisdictions. Authorized officials from each of the participating jurisdictions and/or organizations should collectively approve all mutual aid agreements and assistance agreements.

Memorandums of understanding and memorandums of agreement are needed with the private sector and NGOs, including community-based, faith-based, and national organizations such as the American Red Cross and the Salvation Army, to facilitate the timely delivery of assistance during incidents.

POTENTIAL SOURCES

Content of Mutual Aid and Assistance Agreements

Agreements, preferably written, should include the following elements or provisions:

- 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 payment, reimbursement, and allocation of costs
- Notification procedures
- Protocols for interoperable communications
- Relationships with other agreements among jurisdictions
- Workers' compensation
- Treatment of liability and immunity
- Recognition of qualifications, licensure, and certifications
- Sharing agreements, as required
- Termination clause

POTENTIAL SOURCES

Visual 3.13



Key Points:

What agreements has your agency or jurisdiction entered into?

POTENTIAL SOURCES

Visual 3.14

Other Levels of Government

When requesting resources from other levels of government, consider that:

- Resource availability is not guaranteed.
- Resources may not be available for 72 hours or longer.
- You must follow established request procedures.



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Visual 3.14

Key Points:

Public-sector emergency managers should have a good idea of resources available at all levels of government, their capabilities and support needs, and response times. Availability is not guaranteed. Members of the National Guard and military reserve units may not be available as incident resources if they have been deployed elsewhere.

You should assume that resources outside the incident area (State and Federal resources) will take up to 72 hours or longer to arrive. In addition, remember that all resource requests to other levels of government must follow the established request procedures.

POTENTIAL SOURCES

Visual 3.15

Volunteer Organizations

During the planning process, determine:

- What voluntary agencies are active in the area.
- The resources they can provide.
- How to activate and incorporate their resources.



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Visual 3.15

Key Points:

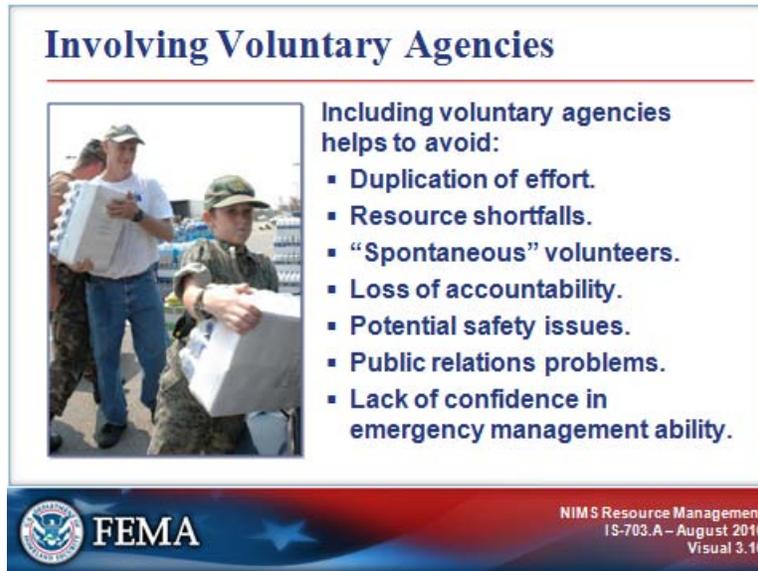
Many volunteer nongovernmental organizations (NGOs) play major roles in emergency response. Commonly referred to as Volunteer Organizations Active in Disasters, or VOAD, the number and degree of formal organizations vary from State to State.

Knowing what volunteer agencies are active in your area, what resources they can provide, and how to effectively activate and incorporate these resources is critical to your resource analysis process. It is helpful to include these organizations in your planning process.

Some jurisdictions have VOAD Councils designed to coordinate with each other and with public-sector entities. Such councils can be an extremely useful tool in both the planning and the activation processes, especially if resource requests can be forwarded to the council for resolution.

POTENTIAL SOURCES

Visual 3.16



Involving Voluntary Agencies

Including voluntary agencies helps to avoid:

- Duplication of effort.
- Resource shortfalls.
- “Spontaneous” volunteers.
- Loss of accountability.
- Potential safety issues.
- Public relations problems.
- Lack of confidence in emergency management ability.

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Visual 3.16

Key Points:

Failure to include voluntary organizations in your planning and exercises will result in duplication of effort and/or resource shortfalls. Many will show up as “spontaneous volunteer organizations” and will not check in with either the Incident Commander or the Emergency Operations Center.

This will result in:

- Failure to integrate VOAD resources into formal response, leading to loss of accountability.
- Potential safety issues.
- Public relations problems.
- Lack of confidence in the jurisdiction’s entire emergency management ability to respond to an incident.

POTENTIAL SOURCES

Visual 3.17

Private-Sector Partners

Private-sector organizations:

- Can provide resources that the jurisdiction doesn't have.
- Should be involved in the local crisis decisionmaking process.



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Visual 3.17

Key Points:

Private-sector organizations play a key role before, during, and after an incident. First, they must provide for the welfare and protection of their employees in the workplace. In addition, emergency managers must work seamlessly with businesses that provide water, power, communication networks, transportation, medical care, security, and numerous other services upon which both response and recovery are particularly dependent.

During an incident, key private-sector partners should be involved in the local crisis decisionmaking process, or at least have a direct link to key local emergency managers. Communities cannot effectively respond to or recover from incidents without strong cooperative relations with the private sector.

Note: The following pages include more information about the roles and responsibilities of private-sector partners.

POTENTIAL SOURCES**Private-Sector Response Roles**

Participation of the private sector varies based on the nature of the organization and the nature of the incident. The five distinct roles that private-sector organizations play are summarized in the table below:

Category	Role in This Category
Impacted Organization or Infrastructure	Private-sector organizations may be impacted by direct or indirect consequences of the incident. These include privately owned critical infrastructure, key resources, and other private-sector entities that are significant to local, regional, and national economic recovery from the incident. Examples of privately owned infrastructure include transportation, telecommunications, private utilities, financial institutions, and hospitals. Critical infrastructure and key resources (CIKR) are grouped into 18 sectors that together provide essential functions and services supporting various aspects of the American government, economy, and society.
Regulated and/or Responsible Party	Owners/operators of certain regulated facilities or hazardous operations may be legally responsible for preparing for and preventing incidents from occurring and responding to an incident once it occurs. For example, Federal regulations require owners/operators of nuclear powerplants to maintain emergency plans and facilities and to perform assessments, prompt notifications, and training for a response to an incident.
Response Resource	Private-sector entities provide response resources (donated or compensated) during an incident—including specialized teams, essential service providers, equipment, and advanced technologies—through local public-private emergency plans or mutual aid and assistance agreements, or in response to requests from government and nongovernmental-volunteer initiatives.
Partner With State/Local Emergency Organizations	Private-sector entities may serve as partners in local and State emergency preparedness and response organizations and activities.
Components of the Nation's Economy	As the key element of the national economy, private-sector resilience and continuity of operations planning, as well as recovery and restoration from an actual incident, represent essential homeland security activities.

POTENTIAL SOURCES

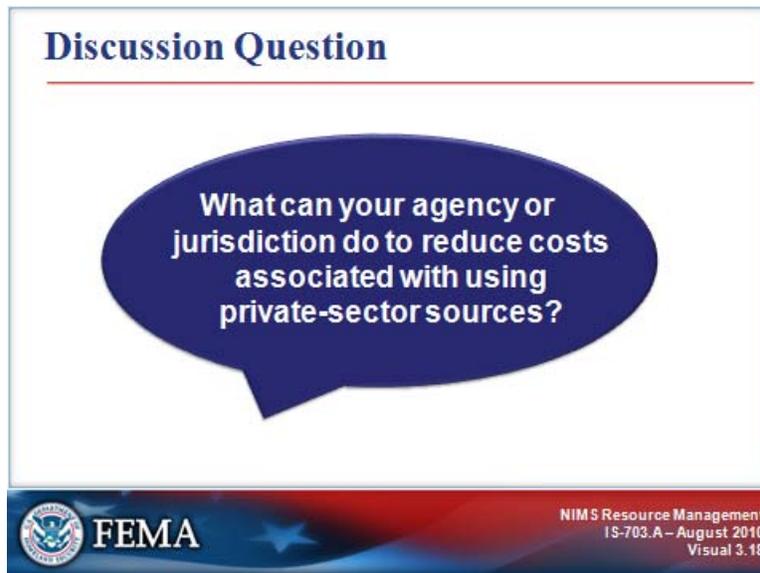
Private-Sector Responsibilities

Essential private-sector responsibilities include:

- Planning for the protection of employees, infrastructure, and facilities.
- Planning for the protection of information and the continuity of business operations.
- Planning for, responding to, and recovering from incidents that impact their own infrastructure and facilities.
- Collaborating with emergency management personnel before an incident occurs to ascertain what assistance may be necessary and how they can help.
- Developing and exercising emergency plans before an incident occurs.
- Where appropriate, establishing mutual aid agreements and assistance agreements to provide specific response capabilities.
- Providing assistance (including volunteers) to support local emergency management and public awareness during response and throughout the recovery process.

POTENTIAL SOURCES

Visual 3.18



Key Points:

What can your agency or jurisdiction do to reduce costs associated with using private-sector sources?

POTENTIAL SOURCES

Visual 3.19

Standby Contracts

Standby contracts:

- Are negotiated before an emergency.
- Can be activated, if necessary, following an emergency.
- Guarantee delivery of a specified quantity and quality of resource.
- Guarantee delivery at the price in effect the day before the emergency occurred.

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Visual 3.19

Key Points:

Standby contracts offer several large benefits to jurisdictions using them because they:

- Are negotiated before an emergency occurs so that a contract does not have to be executed during a response.
- Can be activated, if necessary, by authorized personnel following an emergency.
- Guarantee delivery of a specified quantity and quality (e.g., kind and type) of resource and within a specified timeframe.
- Guarantee delivery at the price in effect on the day before the emergency occurred.

POTENTIAL SOURCES

Visual 3.20

Private-Sector Donations

Specify:

- What goods and services will be accepted.
- How goods must be packed and shipped.
- How and where goods will be received and distributed.
- The conditions under which goods and services will be accepted.



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Visual 3.20

Key Points:

During incidents, private-sector sources frequently wish to contribute goods and services free or at a reduced cost. We will discuss unsolicited donations later in this course.

However, it is also important to have a procedure in place that clearly defines and documents the conditions under which goods and services are being offered. It is not unusual for jurisdictions to be billed at a later date for resources that were offered “free” in the initial response to the emergency. Making certain that the circumstances are clear helps ensure that donors are recognized for being good neighbors, and that there are no misunderstandings later.

ACTIVITY

Visual 3.21

Activity: Identifying Potential Sources

Instructions: Working with your table group . . .

1. Choose an incident that is likely to occur in your community, and use the diagram in your Student Manual to identify cascading effects of the incident.
2. Use the resource analysis worksheets on the following pages to identify requirements and logical sources to meet these needs.
3. Select a team spokesperson and be prepared to share your answers in 20 minutes.



Key Points:

Instructions: Working with your table group . . .

1. Choose an incident that is likely to occur in your community, and use the diagram in your Student Manual to identify cascading events resulting from the incident. To focus your group's discussion, define a specific population that the incident would affect (i.e., how many people in a small, medium, or large jurisdiction).
2. Use the resource analysis worksheets to identify requirements and logical sources to meet these needs.
3. Select a team spokesperson and be prepared to share your answers in 20 minutes.

ACTIVITY

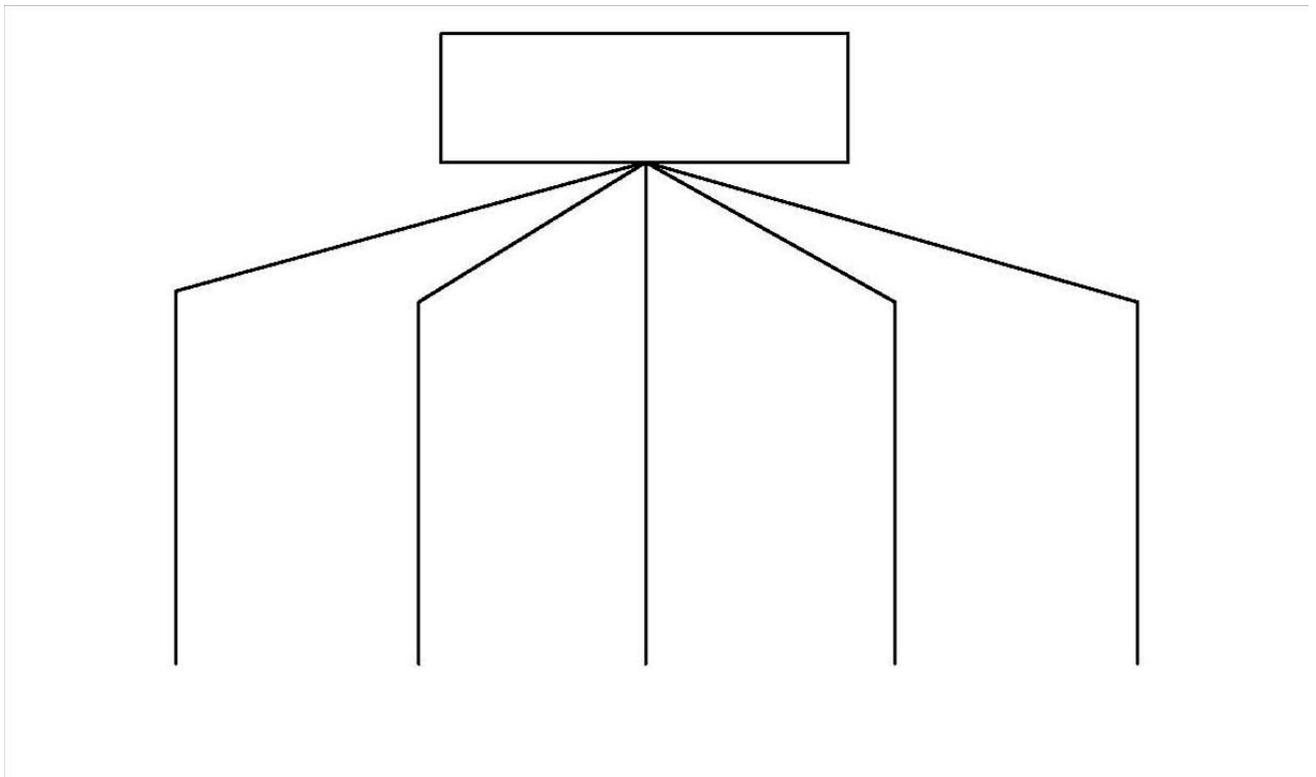
Ordering Resources

Instructions: Select an incident, and define a specific population that will be affected (i.e., how many people in a small, medium, or large jurisdiction).

In the diagram below, identify the cascading effects of that incident. Then, on the worksheets that follow, determine the likely resource requirements for responding to the hazard.

You will have 20 minutes to complete this activity.

A Cascade of Disasters From One Triggering Incident



PROCEDURES, SYSTEMS, AND PROTOCOLS

Visual 3.22

Step 4: Review Procedures

- How do you get that resource in the middle of the night on a weekend?
- Do you have phone numbers and addresses?
- Will you have to pay for this resource?
- Is purchasing authority delegated to the appropriate personnel in sufficient amounts to meet emergency needs?
- What emergency declarations or legal frameworks must be activated or invoked?
- How will the resource gain access to the incident scene?



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Visual 3.22

Key Points:

Procedures and protocols should detail the specific actions to implement a plan or system. All emergency management/response personnel and their affiliated organizations should develop procedures and protocols that translate into specific, action-oriented checklists for use during incident response operations.

You may want to make sure that your procedures address the following resource management questions:

- How do you get that resource in the middle of the night on a weekend when the owner/supervisor is out of town?
- Do you have access to the necessary phone numbers and addresses?
- Will you have to pay for this resource? If so, what is the rate? Are there additional costs associated with emergency use or after-hours activation?
- Is purchasing authority delegated to the appropriate personnel in sufficient amounts to meet emergency needs?
- What emergency declarations or legal frameworks must be activated or invoked?
- How will the resource gain access to the incident scene?

PROCEDURES, SYSTEMS, AND PROTOCOLS

Visual 3.23

Systems and Protocols

Effective resource management includes:

- Systems to collect, update, and process resource data and track the status and location of resources.
- Protocols to request resources, prioritize requests, activate and mobilize resources, and return resources to normal status.



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Visual 3.23

Key Points:

Effective resource management includes:

- **Systems:** Management information systems collect, update, and process resource data and track the status and location of resources.

It is critical to have redundant information systems or backup systems to manage resources in the event that the primary system is disrupted or unavailable.

- **Protocols:** Preparedness organizations develop standard protocols to request resources, prioritize requests, activate and mobilize resources to incidents, and return resources to normal status.

ACQUISITION STRATEGIES AND PURCHASE AUTHORITY

Visual 3.24

Acquisition Strategies

Resource acquisition procedures include:

- Acquiring critical resources in advance and storing them in a warehouse (i.e., “stockpiling”).
- Supplying resources “just in time,” typically using a preincident contract.



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Visual 3.24

Key Points:

Effective resource management includes establishing resource acquisition procedures. It is important to consider the tradeoffs (e.g., shelf life, warehousing costs) and determine the optimal acquisition strategies, including:

- Acquiring critical resources in advance and storing them in a warehouse (i.e., “stockpiling”).
- Supplying resources “just in time,” typically using a preincident contract.

Planning and resource accounting procedures should accommodate both types of resource supply.

An important part of the process is managing inventories with shelf-life or special maintenance considerations. Strict reliance on stockpiling raises issues concerning shelf life and durability; however, strict reliance on “just in time” resources raises its own concerns related to timely delivery.

Assets that are counted on for “just in time” need to be accurately accounted for to ensure that multiple jurisdictions or private-sector organizations are not relying solely on the same response asset, which can lead to shortages during a response. Those with resource management responsibilities should build sufficient funding into their budgets for periodic replenishment, preventive maintenance, and capital improvements. An integral part of acquisition procedures is developing methods and protocols for the handling and distribution of donated resources.

ACQUISITION STRATEGIES AND PURCHASE AUTHORITY

Visual 3.25

Purchase Authority

Each organization must:

- Determine who has what amount of purchasing authority.
- Ensure that appropriate financial controls are observed at all levels.
- Ensure that appropriate training on jurisdiction purchasing and documentation procedures is completed.



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Visual 3.25

Key Points:

Most jurisdictions limit purchasing authority to specific people and specific limits. While administrative rules addressing financial issues may work fine in the 40-hour/daylight-only workweek, it may not serve the organization well in an off-hour emergency. Stories abound of responders forced to purchase supplies with personal credit cards because official fiscal support was not available. Each organization must:

- Determine who, at what level in the organization, has what amount of purchasing authority.
- Ensure that appropriate financial controls are observed at all levels.
- Ensure that appropriate training and refresher training on jurisdiction purchasing and documentation procedures is completed.

CONTROLLING ACCESS TO THE SCENE

Visual 3.26

Controlling Access to the Scene

Plans address how to:

- Identify authorized personnel from other jurisdictions, volunteer organizations, or commercial vendors.
- Clear the incident scene of spectators, unauthorized volunteers, and victims.
- Secure the cleared scene and limit access points.



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Visual 3.26

Key Points:

Planning efforts must consider the issues related to incident scene access. Convergence and self-dispatching represent a significant threat to scene safety and resource management. Your plans should include:

- A method for identifying authorized personnel from other jurisdictions, volunteer organizations, or commercial vendors.
- Procedures for clearing the incident scene of spectators, unauthorized volunteers, and victims.
- Methods for securing the cleared scene and limiting access points.

Personnel qualifications and certification will be discussed in Unit 4: Resource Typing and Readiness.

ACTIVITY

Visual 3.27

Activity: Ordering Resources

Instructions: Working with your table group . . .

1. Read the scenario in your Student Manual.
2. Identify at least three issues that will need to be addressed in order to use the construction company's resources.
3. Write your answers on chart paper and be prepared to present in 5 minutes.



Key Points:

Instructions: Working with your table group . . .

1. Read the scenario in the Student Manual and consider what would need to be addressed in order to use the construction company's resources.
2. Write your answers on chart paper.
3. Select a spokesperson.
4. Be prepared to share your answers with the group in 5 minutes.

ACTIVITY

Visual 3.27 (Continued)

Instructions: Read the following scenario and discuss issues that will need to be addressed in order to use the construction company's resources. Select a spokesperson and record the group's responses. When 5 minutes have elapsed, be prepared to present your group's answers.

Scenario: Ajax Construction Company has a good selection of heavy equipment that you can foresee needing to respond to a hurricane-caused landslide. The owner is eager and willing to do anything he can to assist.

LEGAL REVIEW OF PROCEDURES

Visual 3.28

Legal Review of Procedures

You may want to have legal counsel review your:

- Legal foundations for resource management.
- Resource management plan.
- Associated annexes to the Emergency Operations Plan.



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Visual 3.28

Key Points:

You may want to have your legal counsel review your organization's legal foundations for resource management as well as your resource management plan and/or annex to the Emergency Operations Plan. For example:

- Goods and services frequently make a major leap in price following an incident. Many jurisdictions have put in place ordinances to prevent price gouging.
- Contracting procedures, such as the amount of time contracts must be advertised, may need to be suspended following an incident.
- Emergency purchasing authority may need to be delegated to Incident Commanders, department heads, Logistics Section Chiefs, or emergency managers.

Additional legal questions to consider include:

- Under what circumstances (if any) can personal property be commandeered?
- Are liability measures in place to protect both your jurisdiction and volunteers and their organizations?
- Does your organization have an incident contingency fund? Who can access it, and under what conditions?
- Do you have sufficient intergovernmental agreements in place to provide and receive mutual aid?

Note: The following pages include a sample resolution to contract during a special emergency and an example of emergency purchasing authority.

LEGAL REVIEW OF PROCEDURES

Sample Resolution To Contract During a Special Emergency

Whereas, the city council of _____ (City name) _____ has declared that a special emergency is in effect;

And Whereas, immediate action to respond to the situation is needed in order to protect the health, safety, and welfare of the community;

And Whereas, the immediate purchase of _____ (goods/equipment/supplies) _____ is required to respond to the emergency;

And Whereas, _____ (applicable statutes) _____ provide that the emergency contract is not subject to the normal purchasing and competitive bidding requirements because of the emergency;

Therefore, be it resolved that the city council resolves to purchase the following _____ (goods/equipment/supplies) _____ from _____ (person or company selling the item) _____ for the sum of \$ _____:

[Describe the specific goods/equipment/supplies that will be purchased.]

Be it further resolved that the Mayor and the City Clerk are directed to contract on behalf of the city for the _____ (goods/equipment/supplies) _____.

Passed by vote of the council on _____ (date) _____

Mayor

Unit 3. Resource Management Planning

LEGAL REVIEW OF PROCEDURES

Sample Emergency Purchasing Authority

Dollar Thresholds – What To Do – Attachment B-1

Non-Competitively Bid (NCB) Contracts IT Goods and Services	
Amendments	Amendments to contracts must be in compliance with this MM 03-10 paragraph 7 and Attachment D, paragraph 7.a.
SPECIAL CATEGORY NCB All \$\$ levels Pre-Approval by Category/Type	1) Only source (PCC 12102(a)(1)) 2) Emergency (PCC 12102(a)(2)) 1. See Attachment D, paragraph 11. 2. Departments must use the Special Category NCB Request (SCR) document provided by PD (available on PD's webpage at www.dgs.ca.gov/pd). 3. DGS must execute all contracts for approved SCR's for departments without delegated purchasing authority and for transactions exceeding a department's delegated purchasing authority. Procurement requests must be submitted to PD on a Purchase Estimate (Std. 66) for IT goods and on a memo for IT services and must include the approved SCR number.
Emergency contracts All \$\$ levels	1) Emergency (PCC 12102(a)(2)) Departments may contract for emergencies regardless of dollar limits. Departments must obtain prior approval via the Form 42 process except for natural disasters – contact DGS-PD. The department must submit the Notice of Contract Award (NCA) within 5 working days of award. If the emergency purchase is required to be made by the department in response to a natural disaster (earthquake, fire, flood, etc.) the department must submit the NCA within 20, rather than 5, working days. All NCAs must include a justification describing the nature of the emergency.
\$25,000.01 and above	1) Only source (PCC 12102(a)(1)) 1. Requires approval by Agency Secretary and Department Director or immediate next ranking official OR, for entities not reporting to an Agency Secretary, approval authority is limited to the highest two ranking executive officials. Approval by DGS-PD is required. 2. Departments with delegated authority will submit NCBs \$25,000.01 and above to DGS-PD for approval. DGS-PD will return approved NCBs to departments for execution of contracts. Notice of Contract Award (NCA) reports must be submitted to DGS-PD for all DGS-PD approved NCBs for IT goods and services within 5 days of award of the contract. 3. If the contract exceeds delegated purchasing authority, the contract must be approved and issued by DGS-PD. Procurement requests must be submitted to PD on a Purchase Estimate (Std. 66) for IT goods and on a memo for IT services and must include the approved NCB contract justification and, for services, must include an Exemption from Advertising (Std. 821).
\$5,000.00 to \$25,000.00	1) Only source (PCC 12102(a)(1)) When only one source is known, an NCB is required. Requires approval by Agency Secretary and Department Director or immediate next ranking official OR, for entities not reporting to an Agency Secretary, approval authority is limited to the highest two ranking executive officials. Departments with delegated purchasing authority do not need DGS approval up to this limit; however, the approved NCB contract justification must be maintained in the transaction file.
Under \$5,000.00	1) Only source (PCC 12102(a)(1)) No NCB justification is required if fair and reasonable pricing has been established and documented. If fair and reasonable pricing cannot be established and documented or two bids cannot be obtained, an NCB justification is required (see \$5,000 to \$25,000). Departments without IT delegated purchasing authority must submit a procurement request to PD and attach an approved NCB contract justification.

*Non-Competitively Bid Contracts (NCBs) over \$500,000 may reference CMAS/Master terms and conditions but can only be awarded by DGS.

Unit 3. Resource Management Planning

LEGAL REVIEW OF PROCEDURES

Sample Emergency Purchasing Authority (Continued)

Dollar Thresholds – What To Do – Attachment B-2

Non-Competitively Bid (NCB) Contracts Non-IT Services	
Amendments	Amendments to contracts must be in compliance with MM 03-10 paragraph 7.a. and Attachment D, paragraph 7.b.
SPECIAL CATEGORY NCB All \$\$ levels Pre-Approval by Category/Type	1) PCC 10340 Only source or DGS Director determines compliance with the state's best interest 1. See Attachment D, paragraph 11. 2. Departments must use the Special Category NCB Request (SCR) document provided by PD (available on PD's webpage at www.dgs.ca.gov/pd).
Emergency contracts All \$\$ levels	1) PCC 10340 Departments may contract for emergencies regardless of dollar limits. The department must submit the Notice of Contract Award (NCA) within 5 working days of award. If the emergency purchase is required to be made by the department in response to a natural disaster (earthquake, fire, flood, etc.) the department must submit the NCA within 20, rather than 5, working days.
\$5,000.00 and above	1) PCC 10340 Only source or DGS Director determines compliance with the state's best interest. Requires approval by Agency Secretary and Department Director or immediate next ranking official OR, for entities not reporting to an Agency Secretary, approval authority is limited to the highest two ranking executive officials. All Non-Competitively Bid Contract requests must be submitted to DGS-PD for approval. Attach a Std. 821.
Under \$5,000.00	1) GC 14838.5 DGS approval not required. However, fair and reasonable pricing must be established and documented. If fair and reasonable cannot be established and documented, an NCB is required and the signed form must be maintained in the transaction files for documentation purposes.

Note: NCBs for non-IT services do not require submission of a Notice of Contract Award, except for emergencies.

Unit 3. Resource Management Planning

LEGAL REVIEW OF PROCEDURES

Sample Emergency Purchasing Authority (Continued)

Dollar Thresholds – What To Do – Attachment B-3

Non-Competitively Bid (NCB) Contracts Non-IT Goods	
Amendments	Amendments to contracts must be in compliance with this MM 03-10 paragraph 7.a. and Attachment D, paragraph 7.a.
SPECIAL CATEGORY NCB All \$\$ levels Pre-Approval by Category/Type	1) Only source (PCC 10301) 2) Emergency (PCC 10302) 1. See Attachment D, paragraph 11. 2. Departments must use the Special Category NCB Request (SCR) document provided by PD (available on PD's webpage at www.dgs.ca.gov/pd). 3. DGS must execute all contracts for approved SCRs for departments without delegated purchasing authority and for transactions exceeding a department's delegated purchasing authority. Procurement requests must be submitted to PD on a Purchase Estimate (Std. 66) and must include the approved SCR number.
Emergency contracts All \$\$ levels	1) Emergency (PCC 10302) Departments may contract for emergencies regardless of dollar limits. Departments must obtain prior approval via the Form 42 process except for natural disasters – contact DGS-PD. The department must submit the Notice of Contract Award (NCA) within 5 working days of award. If the emergency purchase is required to be made by the department in response to a natural disaster (earthquake, fire, flood, etc.) the department must submit the NCA within 20, rather than 5, working days. All NCAs must include a justification describing the nature of the emergency.
\$25,000.01 and above	1) Only source (PCC 10301) 1. Requires approval by Agency Secretary and Department Director or immediate next ranking official OR, for entities not reporting to an Agency Secretary, approval authority is limited to the highest two ranking executive officials. Approval by DGS-PD is required. 2. Departments with delegated authority over \$25,000 will submit NCBs \$25,000.01 and above to DGS-PD for approval. DGS-PD will return approved NCBs to departments for execution of contracts. Notice of Contract Award (NCA) reports must be submitted to DGS-PD for all DGS-PD approved NCBs for IT goods and services within 5 days of award of the contract. 3. Notice of Contract Award (NCA) reports must be submitted to DGS-PD for all DGS-PD approved NCBs for non-IT goods within 5 days of award of the contract. 4. If the contract exceeds delegated purchasing authority, the contract must be approved and issued by DGS-PD. Procurement requests must be submitted to PD on a Purchase Estimate (Std. 66) and must include the approved NCB contract justification.
\$5,000.00 to \$25,000.00	1) Only source (PCC 10301) When only one source is known, an NCB is required. Requires approval by Agency Secretary and Department Director or immediate next ranking official OR, for entities not reporting to an Agency Secretary, approval authority is limited to the highest two ranking executive officials. Departments with delegated purchasing authority do not need DGS approval up to this limit; however, the approved NCB contract justification must be maintained in the transaction file.
Under \$5,000.00	1) Only source (PCC 10301) No NCB justification is required if fair and reasonable pricing has been established and documented. If fair and reasonable pricing cannot be established and documented or two bids cannot be obtained, an NCB justification is required (see \$5,000 to \$25,000). All departments have purchasing authority up to \$100; however, departments without goods delegated purchasing authority must submit a procurement request (Purchase Estimate, Std. 66) to DGS-PD and attach an approved NCB contract justification for NCBs above \$100.

Note: Non-Competitively Bid Contracts (NCBs) over \$500,000 may reference CMAS/Master terms and conditions but can only be awarded by DGS.

INVENTORY

Visual 3.29

Step 5: Maintain Resource Inventory



Resource inventories should:

- Include the type of resource, its owner, location, and procurement procedures.
- Be available in different formats stored at different locations.
- Be updated regularly.

 **FEMA**

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Visual 3.29

Key Points:

After you have determined what you need, where you can find it, and how to procure it, the information needs to be organized, made accessible to those who need it, and maintained. Most organizations develop their own versions of “the yellow pages,” including the type of resource, its owner, location, and procurement procedures.

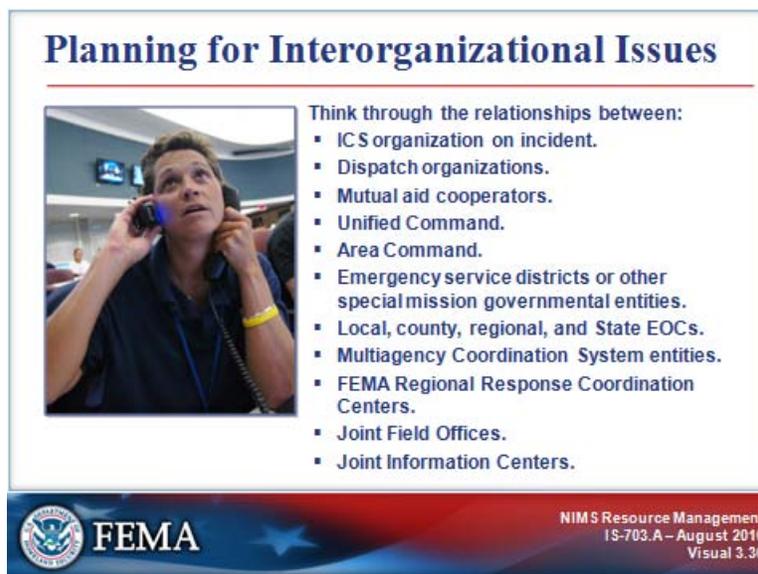
Accessibility is also an issue. The most detailed inventory in the world is useless if staff can’t access it. Inventories should be available in different formats stored at different locations. If the primary inventory is electronic, it may be advisable to have paper copies available for key Logistics and Finance/Administration workers, dispatchers, and Multiagency Coordination (MAC) System/Emergency Operations Center (EOC) staff.

Maintaining such resource inventories is time-consuming work. It takes time and attention to detail to make sure all information is up to date, but there are few things more frustrating than discovering you do not have an after-hours contact for hardware stores when you need plywood at 3:00 a.m.

Most organizations update on an annual or semiannual basis. There is software available that will email your contacts and ask for updates automatically.

INTERORGANIZATIONAL ISSUES

Visual 3.30



Planning for Interorganizational Issues

Think through the relationships between:

- ICS organization on incident.
- Dispatch organizations.
- Mutual aid cooperators.
- Unified Command.
- Area Command.
- Emergency service districts or other special mission governmental entities.
- Local, county, regional, and State EOCs.
- Multiagency Coordination System entities.
- FEMA Regional Response Coordination Centers.
- Joint Field Offices.
- Joint Information Centers.

FEMA

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Visual 3.30

Key Points:

It is critically important to think through the relationships between and among the various command and coordination entities that are likely to be activated during an incident. Included in this analysis should be:

- ICS organization on incident.
- Dispatch organizations.
- Mutual aid cooperators.
- Unified Command.
- Area Command.
- Emergency service districts or other special mission governmental entities.
- Local, county, regional, and State EOCs.
- Multiagency Coordination (MAC) System entities such as MAC Groups, VOAD Councils, State Emergency Boards, etc.
- FEMA Regional Response Coordination Centers (RRCCs).
- Joint Field Offices (JFOs).
- Joint Information Centers (JICs).

A solution that works in one jurisdiction might be inappropriate (or illegal!) in another.

Dispatch centers or offices and agency ordering points manage resources on a day-to-day basis. Therefore, it is important to establish procedures that allow those who are unfamiliar with resource management procedures to integrate smoothly into these administrative structures during the stress and uncertainty inherent in an incident.

It is important that planners consider carefully the relationships among these structures as they relate to resource management.

ACTIVITY

Visual 3.31

Activity: Addressing Interorganizational Issues

Instructions: Working with your table group . . .

1. Select an interorganizational issue you have encountered.
2. Brainstorm potential solutions and make a list on chart paper.
3. Select a team spokesperson and be prepared to share your answers with the class in 15 minutes.



Key Points:

Instructions: Working with your table group . . .

1. Select an interorganizational issue you have encountered.
2. Brainstorm potential solutions and make a list on chart paper.
3. Select a team spokesperson and be prepared to share your answers with the class in 15 minutes.

ACTIVITY

Interorganizational Issues Worksheet

Instructions: Work with your assigned small group to complete this activity. Select an interorganizational issue that you have faced during a disaster or emergency. Working with your group, brainstorm some potential solutions to the issue. You have 15 minutes to complete this activity. Be prepared to discuss your group's issue and potential solutions with the class.

Interoperability Issue:

Proposed Solutions:

UNIT SUMMARY

Visual 3.32

Unit Summary

The planning process:

- **Should include identifying resource needs based on a thorough assessment of risk.**
- **May include the creation of new policies.**
- **Should identify conditions or circumstances that may trigger a specific reaction.**



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Visual 3.32

Key Points:

In this lesson, you learned that the planning process:

- Should include identifying resource needs based on the threats to and vulnerabilities of the jurisdiction and developing alternative strategies to obtain the needed resources.
- May include the creation of new policies to encourage positioning of resources near the expected incident site in response to anticipated resource needs.
- Should identify conditions or circumstances that may trigger a specific reaction, such as the restocking of supplies when inventories reach a predetermined minimum.

The next unit focuses on ensuring interoperability and compatibility of resources through typing, training, and exercising.

Your Notes: