



# IS-800.B: National Response Framework, An Introduction

Instructor Guide

October 2008



# FEMA



---

# **IS-800: National Response Framework, An Introduction**

**Instructor Guide**

---

---

**October 2008**



## Course Background Information

**Purpose** This course provides an introduction to the National Response Framework.

**Course Objective** The course objective is to enable participants to demonstrate basic knowledge of the National Response Framework (NRF).

**Training Content** The training is comprised of the following units:

- Unit 1: Course Overview
- Unit 2: NRF Overview
- Unit 3: Roles and Responsibilities
- Unit 4: Response Actions
- Unit 5: Response Organization
- Unit 6: Planning
- Unit 7: Course Summary – Putting It All Together

The below table presents the recommended training agenda.

**IS-800b Instructor Qualifications** It is recommended that this training be taught by instructors with the following minimum qualifications:

- Successful completion of ICS-100 (Introduction to Incident Command), the most current version of EMI's IS-700 (NIMS: An Introduction), IS-701 (NIMS Multiagency Coordination System), and IS-800b (NRF: An Introduction).
- Formal instructor training (NWCG Facilitative Instructor, M-410, EMI Master Trainer Program, Office for Domestic Preparedness Instructor Course or equivalent).
- Experience teaching emergency management material to adults.
- Emergency-management experience in a multiagency environment.

<b>Morning Session</b>	<b>Unit 1: Course Overview</b>	<b>35 minutes</b>
	<b>Unit 2: NRF Overview</b>	<b>1 hour 20 minutes</b>
	<b>Unit 3: Roles and Responsibilities</b>	<b>1 hour 45 minutes</b>
<b>Afternoon Session</b>	<b>Unit 4: Response Actions</b>	<b>1 hour</b>
	<b>Unit 5: Response Organization</b>	<b>2 hours</b>
	<b>Unit 6: Planning</b>	<b>55 minutes</b>
	<b>Unit 7: Course Summary – Putting It All Together</b>	<b>75 minutes</b>

**Course Logistics Overview**

- Course Materials** Listed below are the materials that you will need in order to conduct this course:
- **Instructor Guide and PowerPoint files:** Obtain one copy of the Instructor Guide and the PowerPoint files for each trainer.
  - **Student Manual:** Secure one copy of the Student Manual for each person attending the session.
  - **Course Evaluation Forms:** Make sure that you have one copy of the course evaluation form for each person attending the training. Course evaluations are typically provided by the organization sponsoring the course.

---

**Course Equipment**

The following equipment is required for conducting this course:

- **Computer and Projection Device:** Make arrangements to have a computer with a PowerPoint slide projector. Be sure to try out the projector in advance of the training, in case you need help getting it to work properly. Make sure all equipment is functioning properly. Test the PowerPoint projector and the lights. If you do not have equipment for projection, plan to refer participants to their Student Manuals. The visuals are reproduced in the Student Manual, but the training is more effective with the projection of the visuals. Arrange for technical assistance to be available during training in the event of equipment malfunction.
- **Speakers or Output to a Sound System:** The speakers built into a typical computer will not be loud enough for the audience to hear the audio elements within the digital video segments.

---

**Copyright**

This course makes no use of copyrighted/proprietary material.

---

---

# Unit 1: Course Overview

---

---

---



## Objectives

At the end of this unit, the participants should be able to describe the purpose of the course.

---

## Scope

- Unit Introduction
  - Course Objective
  - Participant Introductions
  - Expectations: Participant and Instructor
  - Course Logistics
  - Successful Course Completion
- 

## Methodology

The instructors will welcome the participants to the course and introduce themselves. They will also review the course objectives. Following instructor introductions, each participant will introduce himself or herself to the rest of the group. After introductions, the instructors will facilitate a discussion about what the group expects to gain from the course.

The instructors will then provide guidelines for the behavior they expect from each participant. The instructors will also explain the course structure and logistics. Finally, they will describe what is required for successful course completion. The instructors will then transition to Unit 2, which provides an overview of the National Response Framework (NRF).

---

## Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Unit Introduction and Course Objective	5 minutes
Introductions and Expectations	20 minutes
Course Structure and Logistics	5 minutes
Successful Course Completion	5 minutes
<b>Total Time</b>	<b>35 minutes</b>

This page intentionally left blank.



Visual 1.1



**Visual Description:** Unit Introduction

### Instructor Notes

Welcome the participants to the course.

Tell the participants that this course will introduce them to the National Response Framework.

Introduce yourself by providing:

- Your name and organization.
- A brief statement of your experience with emergency or incident response.



Visual 1.2

### Course Objectives (1 of 2)

**Describe:**

- The purpose of the National Response Framework.
- The response doctrine established by the National Response Framework.
- The roles and responsibilities of response partners.



Visual 1.2  
Course Overview



**Visual Description:** Course Objectives (1 of 2)

### Instructor Notes

Tell participants that the objective for this course is for participants to demonstrate basic knowledge of the National Response Framework.

By the end of this course, the participants should be able to describe:

- The purpose of the National Response Framework.
- The response doctrine established by the National Response Framework.
- The roles and responsibilities of response partners.

The next visual presents the rest of the course objectives.



Visual 1.3

### Course Objectives (2 of 2)

**Describe:**

- The actions that support national response.
- The response organizations used for multiagency coordination.
- The relationship between planning and national preparedness.



 **FEMA** 

Visual 1.3  
Course Overview

**Visual Description:** Course Objectives (2 of 2)

### Instructor Notes

Continue presenting the course objectives by telling the participants that, by the end of this course, they should be able to describe:

- The actions that support national response.
- The response organizations used for multiagency coordination.
- The relationship between planning and national preparedness.



Visual 1.4

### Student Introductions



- Name, job title, and organization
- Overall experience with emergency or incident response

 **FEMA** 

Visual 1.4  
Course Overview

**Visual Description:** Participant Introductions

### Instructor Notes

Ask the participants to introduce themselves by providing:

- Their names, job titles, and organizations.
- Their overall experience with emergency or incident response.



Visual 1.5



**Visual Description:** What do you expect to gain from this course?

### Instructor Notes

Ask the participants the following question:

**What do you expect to gain from this course?**

Allow the group time to respond.

Record their responses on chart paper.

If possible, hang the list of their responses in the training room. Revisit the list at the end of the course to ensure that participants have met their learning objectives.



Visual 1.6

### Instructor Expectations



- Cooperate with the group.
- Be open minded to new ideas.
- Participate actively in all of the training activities and exercises.
- Return to class at the stated time.



Visual 1.6  
Course Overview

**Visual Description:** Instructor Expectations

### Instructor Notes

Explain that like the participants, you, as the instructor, also have expectations for the course. You expect that everyone will:

- Cooperate with the group.
- Be open minded to new ideas.
- Participate actively in all of the training activities and exercises.
- Return to class at the stated time.



Visual 1.7

### Course Logistics

- Course agenda
- Sign-in sheet
- Housekeeping:
  - Breaks
  - Message and telephone location
  - Cell phone policy
  - Facilities
  - Other concerns



**Visual Description:** Course Logistics

### Instructor Notes

Review the following information with the group:

- Course agenda
- Sign-in sheet

Review the following housekeeping issues:

- Breaks
- Message and telephone location
- Cell phone policy
- Facilities
- Other concerns



Visual 1.8

### Successful Course Completion

- Participate in unit activities/exercises.
- Achieve 75% or higher on the final exam.
- Complete the end-of-course evaluation.



Visual 1.8  
Course Overview

**Visual Description:** Successful Course Completion

#### Instructor Notes

Tell participants that in order to successfully complete this course, they must:

- Participate in unit activities/exercises.
- Achieve 75% or higher on the final exam.
- Complete the end-of-course evaluation.

**Ask if anyone has any questions about anything covered in this unit.**

Explain that the next unit will provide an overview of the National Response Framework.

Refer the participants to the glossary located at the end of this unit. Encourage participants to refer to this glossary throughout the training session.

**Instructor Note:**

To receive a certificate of completion, students must take the multiple-choice exam, submit an answer sheet (to EMI's Independent Study Office), and score 75% on the test. Two options exist for test submission:

Students submit their tests online, and receive a certificate in the mail.

- Go to <http://training.fema.gov/EMIWeb/IS/> and click on the link for IS-800b.
- Click on "Download Final Exam Questions" (found at the bottom of the page). You may want to print the test.
- Click on "Take Final Exam" (found at the bottom of the page).
- 

Instructions for group delivery: Tests can be provided upon request by calling (301) 447-1200. The completed tests can then be submitted as a group to:

EMI Independent Study  
16825 South Seton Ave.  
Emmitsburg, MD 21727

---

**IS 800: National Response Framework, An Introduction  
Sample Agenda**

**DAY ONE****Morning Session**

- Unit 1: Course Overview (35 minutes)
- Unit 2: NRF Overview (1 hour 20 minutes)
- Unit 3: Roles and Responsibilities (1 hour 45 minutes)

**Afternoon Session**

- Unit 4: Response Actions (1 hour)
- Unit 5: Response Organization (2 hours)
- Unit 6: Planning (55 minutes)
- Unit 7: Course Summary – Putting It All Together (75 minutes)

**Your Notes:**

## A

**Accessible:** Having the legally required features and/or qualities that ensure entrance, participation, and usability of places, programs, services, and activities by individuals with a wide variety of disabilities.

**Advanced Readiness Contracting:** A type of contracting that ensures contracts are in place before an incident for commonly needed commodities and services such as ice, water, plastic sheeting, temporary power, and debris removal.

**Agency:** A division of government with a specific function offering a particular kind of assistance. In the Incident Command System, agencies are defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance). Governmental organizations are most often in charge of an incident, though in certain circumstances private-sector organizations may be included. Additionally, nongovernmental organizations may be included to provide support.

**Agency Representative:** A person assigned by a primary, assisting, or cooperating Federal, State, tribal, or local government agency or private organization that has been delegated authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with the leadership of that agency.

**All-Hazards:** Describing an incident, natural or manmade, that warrants action to protect life, property, environment, and public health or safety, and to minimize disruptions of government, social, or economic activities.

**Annexes:** See **Emergency Support Function Annexes**, **Incident Annexes**, and **Support Annexes**.

**Area Command:** An organization established to oversee the management of multiple incidents that are each being handled by a separate Incident Command System organization or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged. An agency administrator/executive or other public official with jurisdictional responsibility for the incident usually makes the decision to establish an Area Command. An Area Command is activated only if necessary, depending on the complexity of the incident and incident management span-of-control considerations.

**Assessment:** The evaluation and interpretation of measurements and other information to provide a basis for decisionmaking.

**Assignment:** A task given to a resource to perform within a given operational period that is based on operational objectives defined in the Incident Action Plan.

**Attorney General:** The chief law enforcement officer of the United States. Generally acting through the Federal Bureau of Investigation, the Attorney General has the lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States or directed at U.S. citizens or institutions abroad, as well as for coordinating activities of the other members of the law enforcement community to detect, prevent, and disrupt terrorist attacks against the United States.

**B**

**Branch:** The organizational level having functional or geographical responsibility for major aspects of incident operations. A Branch is organizationally situated between the Section Chief and the Division or Group in the Operations Section, and between the Section and Units in the Logistics Section. Branches are identified by the use of Roman numerals or by functional area.

**C**

**Cache:** A predetermined complement of tools, equipment, and/or supplies stored in a designated location, available for incident use.

**Catastrophic Incident:** Any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions.

**Chain of Command:** A series of command, control, executive, or management positions in hierarchical order of authority.

**Chief:** The Incident Command System title for individuals responsible for management of functional Sections: Operations, Planning, Logistics, Finance/Administration, and Intelligence/Investigations (if established as a separate Section).

**Chief Elected Official:** A mayor, city manager, or county manager.

**Citizen Corps:** A community-level program, administered by the Department of Homeland Security, that brings government and private-sector groups together and coordinates the emergency preparedness and response activities of community members. Through its network of community, State, and tribal councils, Citizen Corps increases community preparedness and response capabilities through public education, outreach, training, and volunteer service.

**Command:** The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

**Command Staff:** An incident command component that consists of a Public Information Officer, Safety Officer, Liaison Officer, and other positions as required, who report directly to the Incident Commander.

**Common Operating Picture:** A continuously updated overview of an incident compiled throughout an incident's life cycle from data shared between integrated systems for communication, information management, and intelligence and information sharing. The common operating picture allows incident managers at all levels to make effective, consistent, and timely decisions. The common operating picture also helps ensure consistency at all levels of incident management across jurisdictions, as well as between various governmental jurisdictions and private-sector and nongovernmental entities that are engaged.

**Comprehensive Preparedness Guide (CPG) 101: Producing Emergency Plans: A Guide for All-Hazard Emergency Operations Planning for State, Territorial, Local, and Tribal Governments:** Guide that describes the intersection of the Federal and State, tribal, and local plans and planning. Replaces State and Local Guide (SLG) 101.

**Concept Plan (CONPLAN):** A plan that describes the concept of operations for integrating and synchronizing Federal capabilities to accomplish critical tasks, and describes how Federal capabilities will be integrated into and support regional, State, and local plans to meet the objectives described in the Strategic Plan.

**Coordinate:** To advance systematically an analysis and exchange of information among principals who have or may have a need to know certain information to carry out specific incident management responsibilities.

**Corrective Actions:** Implementing procedures that are based on lessons learned from actual incidents or from training and exercises.

**Counterterrorism Security Group (CSG):** An interagency body convened on a regular basis to develop terrorism prevention policy and to coordinate threat response and law enforcement investigations associated with terrorism. This group evaluates various policy issues of interagency importance regarding counterterrorism and makes recommendations to senior levels of the policymaking structure for decision.

**Critical Infrastructure:** Systems, assets, and networks, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

## D

**Defense Coordinating Officer (DCO):** Individual who serves as the Department of Defense (DOD)'s single point of contact at the Joint Field Office (JFO) for requesting assistance from DOD. With few exceptions, requests for Defense Support of Civil Authorities originating at the JFO are coordinated with and processed through the DCO. The DCO may have a Defense Coordinating Element consisting of a staff and military liaison officers to facilitate coordination and support to activated Emergency Support Functions.

**Defense Support of Civil Authorities (DSCA):** Support provided by U.S. military forces (Regular, Reserve, and National Guard), Department of Defense (DOD) civilians, DOD contract personnel, and DOD agency and component assets, in response to requests for assistance from civilian Federal, State, local, and tribal authorities for domestic emergencies, designated law enforcement support, and other domestic activities..

**Demobilization:** The orderly, safe, and efficient return of a resource to its original location and status.

**DHS:** Department of Homeland Security

**Director of National Intelligence:** Official who leads the Intelligence Community, serves as the President's principal intelligence advisor, and oversees and directs the implementation of the National Intelligence Program.

**Disaster Recovery Center (DRC):** A facility established in a centralized location within or near the disaster area at which disaster victims (individuals, families, or businesses) apply for disaster aid.

**Division:** The partition of an incident into geographical areas of operation. Divisions are established when the number of resources exceeds the manageable span of control of the Operations Chief. A Division is located within the Incident Command System organization between the Branch and resources in the Operations Section.

**DOD:** Department of Defense

**Domestic Readiness Group (DRG):** An interagency body convened on a regular basis to develop and coordinate preparedness, response, and incident management policy. This group evaluates various policy issues of interagency importance regarding domestic preparedness and incident management and makes recommendations to senior levels of the policymaking structure for decision. During an incident, the DRG may be convened by the Department of Homeland Security to evaluate relevant interagency policy issues regarding response and develop recommendations as may be required.

## E

**Emergency:** Any incident, whether natural or manmade, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency means 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.

**Emergency Management:** As subset of incident management, the coordination and integration of all activities necessary to build, sustain, and improve the capability to prepare for, protect against, respond to, recover from, or mitigate against threatened or actual natural disasters, acts of terrorism, or other manmade disasters.

**Emergency Management Assistance Compact (EMAC):** 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.

**Emergency Manager:** The person who has the day-to-day responsibility for emergency management programs and activities. The role is one of coordinating all aspects of a jurisdiction's mitigation, preparedness, response, and recovery capabilities.

**Emergency Operations Center (EOC):** The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., Federal, State, regional, tribal, city, county), or some combination thereof.

**Emergency Plan:** The ongoing plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards.

**Emergency Public Information:** Information that is disseminated primarily in anticipation of an emergency or during an emergency. In addition to providing situational information to the public, it also frequently provides directive actions required to be taken by the general public.

**Emergency Support Function (ESF) Annexes:** Present the missions, policies, structures, and responsibilities of Federal agencies for coordinating resource and programmatic support to States, tribes, and other Federal agencies or other jurisdictions and entities when activated to provide coordinated Federal support during an incident.

**Emergency Support Function (ESF) Coordinator:** The entity with management oversight for that particular ESF. The coordinator has ongoing responsibilities throughout the preparedness, response, and recovery phases of incident management.

**Emergency Support Function (ESF) Primary Agency:** A Federal agency with significant authorities, roles, resources, or capabilities for a particular function within an ESF. A Federal agency designated as an ESF primary agency serves as a Federal executive agent under the Federal Coordinating Officer (or Federal Resource Coordinator for non-Stafford Act incidents) to accomplish the ESF mission.

**Emergency Support Function (ESF) Support Agency:** An entity with specific capabilities or resources that support the primary agencies in executing the mission of the ESF.

**Emergency Support Functions (ESFs):** Used by the Federal Government and many State governments as the primary mechanism at the operational level to organize and provide assistance. ESFs align categories of resources and provide strategic objectives for their use. ESFs utilize standardized resource management concepts such as typing, inventorying, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

**External Affairs:** Organizational element that provides accurate, coordinated, and timely information to affected audiences, including governments, media, the private sector, and the local populace.

**Evacuation:** Organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

**Event:** See **Planned Event**.

## F

**FBI:** Federal Bureau of Investigation

**Federal:** Of or pertaining to the Federal Government of the United States of America.

**Federal Coordinating Officer (FCO):** The official appointed by the President to execute Stafford Act authorities, including the commitment of Federal Emergency Management Agency (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.

**Federal-to-Federal Support:** Support that may occur when a Federal department or agency responding to an incident under its own jurisdictional authorities requests Department of Homeland Security coordination to obtain additional Federal assistance. As part of 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.

**Federal Resource Coordinator (FRC):** Official who may be designated by the Department of Homeland Security in non-Stafford Act situations when a Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security to obtain support from other Federal departments and agencies. In these situations, the FRC coordinates support through interagency agreements and memorandums of understanding. The FRC is responsible for coordinating timely delivery of resources to the requesting agency.

**FEMA:** Federal Emergency Management Agency

**FEMA Regional Offices:** FEMA has 10 regional offices, each headed by a Regional Administrator. The regional field structures are FEMA's permanent presence for communities and States across America.

**Finance/Administration Section:** (1) Incident Command: Section responsible for all administrative and financial considerations surrounding an incident. (2) Joint Field Office (JFO): Section responsible for the financial management, monitoring, and tracking of all Federal costs relating to the incident and the functioning of the JFO while adhering to all Federal laws and regulations.

**Function:** One of the five major activities in the Incident Command System: Command, Operations, Planning, Logistics, and Finance/Administration. The term function is also used when describing the activity involved (e.g., the planning function). A sixth function, Intelligence/Investigations, may be established, if required, to meet incident management needs.

**Fusion Center:** Facility that brings together into one central location law enforcement, intelligence, emergency management, public health, and other agencies, as well as private-sector and nongovernmental organizations when appropriate, and that has the capabilities to evaluate and act appropriately on all available information.

**G**

**General Staff:** A group of incident management personnel organized according to function and reporting to the Incident Commander. The General Staff normally consists of the Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance/Administration Section Chief. An Intelligence/Investigations Chief may be established, if required, to meet incident management needs.

**Governor's Authorized Representative:** An individual empowered by a Governor to: (1) execute all necessary documents for disaster assistance on behalf of the State, including certification of applications for public assistance; (2) represent the Governor of the impacted State in the Unified Coordination Group, when required; (3) coordinate and supervise the State disaster assistance program to include serving as its grant administrator; and (4) identify, in coordination with the State Coordinating Officer, the State's critical information needs for incorporation into a list of Essential Elements of Information.

**Group:** Established to divide the incident management structure into functional areas of operation. Groups are composed of resources assembled to perform a special function not necessarily within a single geographic division. Groups, when activated, are located between Branches and resources in the Operations Section. See **Division**.

**H**

**Hazard:** Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.

**Hazard Identification and Risk Assessment (HIRA):** A process to identify hazards and associated risk to persons, property, and structures and to improve protection from natural and human-caused hazards. HIRA serves as a foundation for planning, resource management, capability development, public education, and training and exercises.

**Homeland Security Council (HSC):** Entity that advises the President on national strategic and policy during large-scale incidents. Together with the National Security Council, ensures coordination for all homeland and national security-related activities among executive departments and agencies and promotes effective development and implementation of related policy.

**Homeland Security Exercise and Evaluation Program (HSEEP):** A capabilities and performance-based exercise program that provides a standardized methodology and terminology for exercise design, development, conduct, evaluation, and improvement planning.

**Homeland Security Information Network (HSIN):** The primary reporting method (common national network) for the Department of Homeland Security to reach departments, agencies, and operations centers at the Federal, State, local, and private-sector levels. HSIN is a collection of systems and communities of interest designed to facilitate information sharing, collaboration, and warnings.

**HSPD-5:** Homeland Security Presidential Directive 5, "Management of Domestic Incidents"

**HSPD-7:** Homeland Security Presidential Directive 7, "Critical Infrastructure, Identification, Prioritization, and Protection"

**HSPD-8:** Homeland Security Presidential Directive 8, “National Preparedness”

**Hurricane Liaison Team (HLT):** A small team designed to enhance hurricane disaster response by facilitating information exchange between the National Hurricane Center in Miami and other National Oceanic and Atmospheric Administration components, as well as Federal, State, tribal, and local government officials.

## I

**Incident:** An occurrence or event, natural or manmade, that requires a response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, civil unrest, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, tsunamis, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

**Incident Action Plan (IAP):** An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

**Incident Annexes:** Describe the concept of operations to address specific contingency or hazard situations or an element of an incident requiring specialized application of the *National Response Framework*.

**Incident Command:** Entity responsible for overall management of the incident. Consists of the Incident Commander, either single or unified command, and any assigned supporting staff.

**Incident Command Post (ICP):** The field location where the primary functions are performed. The ICP may be co-located with the incident base or other incident facilities.

**Incident Command System (ICS):** A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is a management system designed to enable effective incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small as well as large and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations.

**Incident Commander:** The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The Incident Commander has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

**Incident Management:** Refers to how incidents are managed across all homeland security activities, including prevention, protection, and response and recovery.

**Incident Management Assistance Team (IMAT):** An interagency national- or regional-based team composed of subject-matter experts and incident management professionals from multiple Federal departments and agencies.

**Incident Management Team (IMT):** An incident command organization made up of the Command and General Staff members and appropriate functional units of an Incident Command System organization. The level of training and experience of the IMT members, coupled with the identified formal response requirements and responsibilities of the IMT, are factors in determining the “type,” or level, of IMT. IMTs are generally grouped in five types. Types I and II are national teams, Type III are State or regional, Type IV are discipline- or large jurisdiction-specific, and Type V are ad hoc incident command organizations typically used by smaller jurisdictions.

**Incident Objectives:** Statements of guidance and direction needed to select appropriate strategy(s) and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed. Incident objectives must be achievable and measurable, yet flexible enough to allow strategic and tactical alternatives.

**Indian Tribes:** The United States recognizes Indian tribes as domestic dependent nations under its protection and recognizes the right of Indian tribes to self-government. As such, tribes are responsible for coordinating tribal resources to address actual or potential incidents. When their resources are exhausted, tribal leaders seek assistance from States or even the Federal Government.

**Infrastructure Liaison:** Individual assigned by the Department of Homeland Security Office of Infrastructure Protection who advises the Unified Coordination Group on regionally or nationally significant infrastructure and key resources issues.

**Intelligence/Investigations:** Different from operational and situational intelligence gathered and reported by the Planning Section. Intelligence/investigations gathered within the Intelligence/Investigations function is information that either leads to the detection, prevention, apprehension, and prosecution of criminal activities (or the individual(s) involved), including terrorist incidents, or information that leads to determination of the cause of a given incident (regardless of the source) such as public health events or fires with unknown origins.

**Interoperability:** The ability of emergency management/response personnel to interact and work well together. In the context of technology, interoperability also refers to having an emergency communications system that is the same or is linked to the same system that a jurisdiction uses for nonemergency procedures, and that effectively interfaces with national standards as they are developed. The system should allow the sharing of data with other jurisdictions and levels of government during planning and deployment.

## J

**Job Aid:** A checklist or other visual aid intended to ensure that specific steps for completing a task or assignment are accomplished.

**Joint Field Office (JFO):** The primary Federal incident management field structure. The JFO is a temporary Federal facility that provides a central location for the coordination of Federal, State, tribal, and local governments and private-sector and nongovernmental organizations with primary responsibility for response and recovery. The JFO structure is organized, staffed, and managed in a manner consistent with *National Incident Management System* principles and is led by the Unified Coordination Group. Although the JFO uses an Incident Command System structure, the JFO does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site.

**Joint Information Center (JIC):** An interagency entity established to coordinate and disseminate information for the public and media concerning an incident. JICs may be established locally, regionally, or nationally depending on the size and magnitude of the incident.

**Joint Information System (JIS):** Mechanism that integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, accurate, accessible, timely, and complete information during crisis or incident operations. The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the Incident Commander; advising the Incident Commander concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort.

**Joint Operations Center (JOC):** An interagency command post established by the Federal Bureau of Investigation to manage terrorist threats or incidents and investigative and intelligence activities. The JOC coordinates the necessary local, State, and Federal assets required to support the investigation, and to prepare for, respond to, and resolve the threat or incident.

**Joint Task Force (JTF):** Based on the complexity and type of incident, and the anticipated level of Department of Defense (DOD) resource involvement, DOD may elect to designate a JTF to command Federal (Title 10) military activities in support of the incident objectives. If a JTF is established, consistent with operational requirements, its command and control element will be co-located with the senior on-scene leadership at the Joint Field Office (JFO) to ensure coordination and unity of effort. The co-location of the JTF command and control element does not replace the requirement for a Defense Coordinating Officer (DCO)/Defense Coordinating Element as part of the JFO Unified Coordination Staff. The DCO remains the DOD single point of contact in the JFO for requesting assistance from DOD.

**Joint Task Force (JTF) Commander:** Individual who exercises operational control of Federal military personnel and most defense resources in a Federal response. Some Department of Defense (DOD) entities, such as the U.S. Army Corps of Engineers, may respond under separate established authorities and do not provide support under the operational control of a JTF Commander. Unless federalized, National Guard forces remain under the control of a State Governor. Close coordination between Federal military, other DOD entities, and National Guard forces in a response is critical.

**Jurisdiction:** A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographical (e.g., Federal, State, tribal, and local boundary lines) or functional (e.g., law enforcement, public health).

**Jurisdictional Agency:** The agency having jurisdiction and responsibility for a specific geographical area, or a mandated function.

## K

**Key Resources:** Any publicly or privately controlled resources essential to the minimal operations of the economy and government.

## L

**Liaison Officer:** A member of the Command Staff responsible for coordinating with representatives from cooperating and assisting agencies or organizations.

**Local Government:** A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal entity, or in Alaska a Native Village or Alaska Regional Native Corporation; a rural community, unincorporated town or village, or other public entity. See Section 2 (10), Homeland Security Act of 2002, P.L. 107-296, 116 Stat. 2135 (2002).

**Logistics Section:** (1) Incident Command: Section responsible for providing facilities, services, and material support for the incident. (2) Joint Field Office (JFO): Section that coordinates logistics support to include control of and accountability for Federal supplies and equipment; resource ordering; delivery of equipment, supplies, and services to the JFO and other field locations; facility location, setup, space management, building services, and general facility operations; transportation coordination and fleet management services; information and technology systems services; administrative services such as mail management and reproduction; and customer assistance.

**Long-Term Recovery:** A process of recovery that may continue for a number of months or years, depending on the severity and extent of the damage sustained. For example, long-term recovery may include the complete redevelopment of damaged areas.

## M

**Major Disaster:** Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought) or, regardless of cause, any fire, flood, or explosion in any part of the United States that, in the determination of the President, causes damage of sufficient severity and magnitude to warrant major disaster assistance under the Stafford Act 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.

**Mission Assignment:** The mechanism used to support Federal operations in a Stafford Act major disaster or emergency declaration. It orders immediate, short-term emergency response assistance when an applicable State or local government is overwhelmed by the event and lacks the capability to perform, or contract for, the necessary work. See also **Pre-Scripted Mission Assignment**.

**Mitigation:** Activities providing a critical foundation in the effort to reduce the loss of life and property from natural and/or manmade disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

**Mobile Emergency Response Support (MERS):** Response capability whose primary function is to provide mobile telecommunications capabilities and life, logistics, operational and power generation support required for the on-site management of disaster response activities. MERS support falls into three broad categories: (1) operational support elements; (2) communications equipment and operators; and (3) logistics support.

**Mobilization:** The process and procedures used by all organizations—Federal, State, tribal, and local—for activating, assembling, and transporting all resources that have been requested to respond to or support an incident.

**Multiagency Coordination (MAC) Group:** Typically, administrators/executives, or their appointed representatives, who are authorized to commit agency resources and funds, are brought together and form MAC Groups. MAC Groups may also be known as multiagency committees, emergency management committees, or as otherwise defined by the system. A MAC Group can provide coordinated decisionmaking and resource allocation among cooperating agencies, and may establish the priorities among incidents, harmonize agency policies, and provide strategic guidance and direction to support incident management activities.

**Multiagency Coordination System(s) (MACS):** Multiagency coordination systems provide the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The elements of multiagency coordination systems include facilities, equipment, personnel, procedures, and communications. Two of the most commonly used elements are emergency operations centers and MAC Groups. These systems assist agencies and organizations responding to an incident.

**Multijurisdictional Incident:** An incident requiring action from multiple agencies that each have jurisdiction to manage certain aspects of the incident. In the Incident Command System, these incidents will be managed under Unified Command.

**Mutual Aid and Assistance Agreement:** Written or oral agreement between and among agencies/organizations and/or jurisdictions that provides 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.

## N

**National:** Of a nationwide character, including the Federal, State, tribal, and local aspects of governance and policy.

**National Counterterrorism Center (NCTC):** The primary Federal organization for integrating and analyzing all intelligence pertaining to terrorism and counterterrorism and for conducting strategic operational planning by integrating all instruments of national power.

**National Disaster Medical System (NDMS):** A federally coordinated system that augments the Nation's medical response capability. The overall purpose of the NDMS is to establish a single, integrated national medical response capability for assisting State and local authorities in dealing with the medical impacts of major peacetime disasters. NDMS, under Emergency Support Function #8 – Public Health and Medical Services, supports Federal agencies in the management and coordination of the Federal medical response to major emergencies and federally declared disasters.

**National Exercise Program:** A Department of Homeland Security-coordinated exercise program based upon the National Planning Scenarios contained which are 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.

**National Incident Management System (NIMS):** System that provides a proactive approach guiding government agencies at all levels, 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 or property and harm to the environment

**National Infrastructure Coordinating Center (NICC):** As part of the National Operations Center, monitors the Nation's critical infrastructure and key resources on an ongoing basis. During an incident, the NICC provides a coordinating forum to share information across infrastructure and key resources sectors through appropriate information-sharing entities.

**National Infrastructure Protection Plan (NIPP):** Plan that provides a coordinated approach to critical infrastructure and key resources protection roles and responsibilities for Federal, State, tribal, local, and private-sector security partners. The *NIPP* sets national priorities, goals, and requirements for effective distribution of funding and resources that will help ensure that our government, economy, and public services continue in the event of a terrorist attack or other disaster.

**National Joint Terrorism Task Force (NJTTF):** Entity responsible for enhancing communications, coordination, and cooperation among Federal, State, tribal, and local agencies representing the intelligence, law enforcement, defense, diplomatic, public safety, and homeland security communities by providing a point of fusion for terrorism intelligence and by supporting Joint Terrorism Task Forces throughout the United States.

**National Military Command Center (NMCC):** Facility that serves as the Nation's focal point for continuous monitoring and coordination of worldwide military operations. It directly supports combatant commanders, the Chairman of the Joint Chiefs of Staff, the Secretary of Defense, and the President in the command of U.S. Armed Forces in peacetime contingencies and war. Structured to support the President and Secretary of Defense effectively and efficiently, the NMCC participates in a wide variety of activities, ranging from missile warning and attack assessment to management of peacetime contingencies such as Defense Support of Civil Authorities activities. In conjunction with monitoring the current worldwide situation, the Center alerts the Joint Staff and other national agencies to developing crises and will initially coordinate any military response required.

**National Operations Center (NOC):** Serves as the primary national hub for situational awareness and operations coordination across the Federal Government for incident management. The NOC provides the Secretary of Homeland Security and other principals with information necessary to make critical national-level incident management decisions.

**National Planning Scenarios:** Planning tools that represent a minimum number of credible scenarios depicting the range of potential terrorist attacks and natural disasters and related impacts facing our Nation. They form a basis for coordinated Federal planning, training, and exercises.

**National Preparedness Guidelines:** Guidance that establishes a vision for national preparedness and provides a systematic approach for prioritizing preparedness efforts across the Nation. These *Guidelines* focus policy, planning, and investments at all levels of government and the private sector. The *Guidelines* replace the Interim National Preparedness Goal and integrate recent lessons learned.

**National Preparedness Vision:** Provides a concise statement of the core preparedness goal for the Nation.

**National Response Coordination Center (NRCC):** As a component of the National Operations Center, serves as the Department of Homeland Security/Federal Emergency Management Agency primary operations center responsible for national incident response and recovery as well as national resource coordination. As a 24/7 operations center, the NRCC monitors potential or developing incidents and supports the efforts of regional and field components.

**National Response Framework (NRF):** Guides how the Nation conducts all-hazards response. The *Framework* documents the key response principles, roles, and structures that organize national response. It describes how communities, States, the Federal Government, and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response. And it describes special circumstances where the Federal Government exercises a larger role, including incidents where Federal interests are involved and catastrophic incidents where a State would require significant support. It allows first responders, decisionmakers, and supporting entities to provide a unified national response.

**National Security Council (NSC):** Advises the President on national strategic and policy during large-scale incidents. Together with the Homeland Security Council, ensures coordination for all homeland and national security-related activities among executive departments and agencies and promotes effective development and implementation of related policy.

**National Urban Search and Rescue (SAR) Response System:** Specialized teams that locate, rescue (extricate), and provide initial medical stabilization of victims trapped in confined spaces.

**National Voluntary Organizations Active in Disaster (National VOAD):** A consortium of more than 30 recognized national organizations active in disaster relief. Their organizations provide capabilities to incident management and response efforts at all levels. During major incidents, National VOAD typically sends representatives to the National Response Coordination Center to represent the voluntary organizations and assist in response coordination.

**Nongovernmental Organization (NGO):** An entity with an association that is based on interests of its members, individuals, or institutions. It is not created by a government, but it may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross. NGOs, including voluntary and faith-based groups, provide relief services to sustain life, reduce physical and emotional distress, and promote the recovery of disaster victims. Often these groups provide specialized services that help individuals with disabilities. NGOs and voluntary organizations play a major role in assisting emergency managers before, during, and after an emergency.

## O

**Officer:** The ICS title for the personnel responsible for the Command Staff positions of Safety, Liaison, and Public Information.

**Operations Section:** (1) Incident Command: Responsible for all tactical incident operations and implementation of the Incident Action Plan. In the Incident Command System, it normally includes subordinate Branches, Divisions, and/or Groups. (2) Joint Field Office: Coordinates operational support with on-scene incident management efforts. Branches, divisions, and groups may be added or deleted as required, depending on the nature of the incident. The Operations Section is also responsible for coordinating with other Federal facilities that may be established to support incident management activities.

**Operations Plan (OPLAN):** A plan developed by and for each Federal department or agency describing detailed resource, personnel, and asset allocations necessary to support the concept of operations detailed in the **Concept Plan**.

**Other Senior Officials:** Representatives of other Federal departments and agencies; State, tribal, or local governments; and the private sector or nongovernmental organizations who may participate in a Unified Coordination Group.

## P

**Planned Event:** A planned, nonemergency activity (e.g., sporting event, concert, parade, etc.).

**Planning Section:** (1) Incident Command: Section responsible for the collection, evaluation, and dissemination of operational information related to the incident, and for the preparation and documentation of the Incident Action Plan. This Section also maintains information on the current and forecasted situation and on the status of resources assigned to the incident. (2) Joint Field Office: Section that collects, evaluates, disseminates, and uses information regarding the threat or incident and the status of Federal resources. The Planning Section prepares and documents Federal support actions and develops unified action, contingency, long-term, and other plans.

**Preparedness:** Actions that involve a combination of planning, resources, training, exercising, and organizing to build, sustain, and improve operational capabilities. Preparedness is the process of identifying the personnel, training, and equipment needed for a wide range of potential incidents, and developing jurisdiction-specific plans for delivering capabilities when needed for an incident.

**Pre-Positioned Resources:** Resources moved to an area near the expected incident site in response to anticipated resource needs.

**Pre-Scripted Mission Assignment:** A mechanism used by the Federal Government to facilitate rapid Federal resource response. Pre-scripted mission assignments identify resources or capabilities that Federal departments and agencies, through various Emergency Support Functions (ESFs), are commonly called upon to provide during incident response. Pre-scripted mission assignments allow primary and supporting ESF agencies to organize resources that will be deployed during incident response. ,

**Prevention:** Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.

**Primary Agency:** See **Emergency Support Function (ESF) Primary Agency**.

**Principal Federal Official (PFO):** May be appointed to serve as the Secretary of Homeland Security's primary representative to ensure consistency of Federal support as well as the overall effectiveness of the Federal incident management for catastrophic or unusually complex incidents that require extraordinary coordination.

**Private Sector:** Organizations and entities that are not part of any governmental structure. The private sector includes for-profit and not-for-profit organizations, formal and informal structures, commerce, and industry.

**Protocol:** A set of established guidelines for actions (which may be designated by individuals, teams, functions, or capabilities) under various specified conditions.

**Public Information:** Processes, procedures, and systems for communicating timely, accurate, accessible information on an incident's cause, size, and current situation; resources committed; and other matters of general interest to the public, responders, and additional stakeholders (both directly affected and indirectly affected).

**Public Information Officer (PIO):** A member of the Command Staff responsible for interfacing with the public and media and/or with other agencies with incident-related information requirements.

## R

**Recovery:** The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; postincident reporting; and development of initiatives to mitigate the effects of future incidents.

**Regional Response Coordination Centers (RRCCs):** Located in each Federal Emergency Management Agency (FEMA) region, these multiagency agency coordination centers are staffed by Emergency Support Functions in anticipation of a serious incident in the region or immediately following an incident. Operating under the direction of the FEMA Regional Administrator, the RRCCs coordinate Federal regional response efforts and maintain connectivity with State emergency operations centers, State fusion centers, Federal Executive Boards, and other Federal and State operations and coordination centers that have potential to contribute to development of situational awareness.

**Resource Management:** A system for identifying available resources at all jurisdictional levels to enable timely and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management includes mutual aid and assistance agreements; the use of special Federal, State, tribal, and local teams; and resource mobilization protocols.

**Resources:** Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Under the *National Incident Management System*, resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an emergency operations center.

**Response:** Immediate actions to save lives, protect property and the environment, and meet basic human needs. Response also includes the execution of emergency plans and actions to support short-term recovery.

## S

**Secretary of Defense:** Responsible for homeland defense and may also authorize Defense Support of Civil Authorities for domestic incidents as directed by the President or when consistent with military readiness operations and appropriate under the circumstances and the law. When Department of Defense military forces are authorized to support the needs of civil authorities, command of those forces remains with the Secretary of Defense.

**Secretary of Homeland Security:** Serves as the principal Federal official for domestic incident management, which includes coordinating both Federal operations within the United States and Federal resources used in response to or recovery from terrorist attacks, major disasters, or other emergencies. The Secretary of Homeland Security is by Presidential directive and statutory authority also responsible for coordination of Federal resources utilized in the prevention of, preparation for, response to, or recovery from terrorist attacks, major disasters, or other emergencies, excluding law enforcement responsibilities otherwise reserved to the Attorney General.

**Secretary of State:** Responsible for managing international preparedness, response, and recovery activities relating to domestic incidents and the protection of U.S. citizens and U.S. interests overseas.

**Section:** The organizational level having responsibility for a major functional area of incident management (e.g., Operations, Planning, Logistics, Finance/Administration, and Intelligence/Investigations (if established)).

**Senior Federal Law Enforcement Official (SFLEO):** An official appointed by the Attorney General during an incident requiring a coordinated Federal response to coordinate all law enforcement, public safety, and security operations with intelligence or investigative law enforcement operations directly related to the incident. The SFLEO is a member of the Unified Coordination Group and, as such, is responsible to ensure that allocation of law enforcement requirements and resource allocations are coordinated as appropriate with all other members of the Group. In the event of a terrorist incident, the SFLEO will normally be a senior Federal Bureau of Investigation official who has coordinating authority over all law enforcement activities related to the incident, both those falling within the Attorney General's explicit authority as recognized in Homeland Security Presidential Directive 5 and those otherwise directly related to the incident itself.

**Short-Term Recovery:** A process of recovery that is immediate and overlaps with response. It includes such actions as providing essential public health and safety services, restoring interrupted utility and other essential services, reestablishing transportation routes, and providing food and shelter for those displaced by a disaster. Although called "short term," some of these activities may last for weeks.

**Situation Report:** Document that contains confirmed or verified information and explicit details (who, what, where, and how) relating to an incident.

**Situational Awareness:** The ability to identify, process, and comprehend the critical elements of information about an incident.

**Span of Control:** The number of resources for which a supervisor is responsible, usually expressed as the ratio of supervisors to individuals. (Under the *National Incident Management System*, an appropriate span of control is between 1:3 and 1:7, with optimal being 1:5.)

**Special Needs Populations:** Populations whose members may have additional needs before, during, and after an incident in functional areas, including but not limited to: maintaining independence, communication, transportation, supervision, and medical care. Individuals in need of additional response assistance may include those who have disabilities; who live in institutionalized settings; who are elderly; who are children; who are from diverse cultures; who have limited English proficiency or are non-English speaking; or who are transportation disadvantaged.

**Stafford Act:** The Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288, as amended. This Act 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. The Stafford Act covers all hazards, including natural disasters and terrorist events.

**Staging Area:** Any location in which personnel, supplies, and equipment can be temporarily housed or parked while awaiting operational assignment.

**Standard Operating Procedure (SOP):** Complete reference document or an operations manual that provides the purpose, authorities, duration, and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner.

**State:** When capitalized, refers to any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. See Section 2 (14), Homeland Security Act of 2002, P.L. 107-296, 116 Stat. 2135 (2002).

**State Coordinating Officer (SCO):** The individual appointed by the Governor to coordinate State disaster assistance efforts with those of the Federal Government. The SCO plays a critical role in managing the State response and recovery operations following Stafford Act declarations. The Governor of the affected State appoints the SCO, and lines of authority flow from the Governor to the SCO, following the State's policies and laws.

**State Emergency Management Agency Director:** The official responsible for ensuring that the State is prepared to deal with large-scale emergencies and for coordinating 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.

**State Homeland Security Advisor:** Person who 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, the Department of Homeland Security, and other organizations both inside and outside of the State.

**Status Report:** Relays information specifically related to the status of resources (e.g., the availability or assignment of resources).

**Strategic Guidance Statement and Strategic Plan:** Documents that together define the broad national strategic objectives; delineate authorities, roles, and responsibilities; determine required capabilities; and develop performance and effectiveness measures essential to prevent, protect against, respond to, and recover from domestic incidents.

**Strategic Information and Operations Center (SIOC):** The focal point and operational control center for all Federal intelligence, law enforcement, and investigative law enforcement activities related to domestic terrorist incidents or credible threats, including leading attribution investigations. The SIOC serves as an information clearinghouse to help collect, process, vet, and disseminate information relevant to law enforcement and criminal investigation efforts in a timely manner.

**Strategy:** The general plan or direction selected to accomplish incident objectives.

**Support Agency:** See **Emergency Support Function (ESF) Support Agency**.

**Support Annexes:** Describe how Federal departments and agencies, the private sector, volunteer organizations, and nongovernmental organizations coordinate and execute the common support processes and administrative tasks required during an incident. The actions described in the Support Annexes are not limited to particular types of events, but are overarching in nature and applicable to nearly every type of incident.

## T

**Tactics:** Deploying and directing resources on an incident to accomplish the objectives designated by the strategy.

**Target Capabilities List:** Defines specific capabilities that all levels of government should possess in order to respond effectively to incidents.

**Task Force:** Any combination of resources assembled to support a specific mission or operational need. All resource elements within a Task Force must have common communications and a designated leader.

**Territories:** Under the Stafford Act, U.S. territories are may receive federally coordinated response within the U.S. possessions, including the insular areas, and within the Federated States of Micronesia (FSM) and the Republic of the Marshall Islands (RMI). Stafford Act assistance is available to Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, which are included in the definition of "State" in the Stafford Act. At present, Stafford Act assistance also is available to the FSM and the RMI under the compact of free association.

**Terrorism:** As defined under the Homeland Security Act of 2002, any activity that involves an act dangerous to human life or potentially destructive of critical infrastructure or key resources; is a violation of the criminal laws of the United States or of any State or other subdivision of the United States in which it occurs; and is intended to intimidate or coerce the civilian population or influence or affect the conduct of a government by mass destruction, assassination, or kidnapping. See Section 2 (15), Homeland Security Act of 2002, P.L. 107-296, 116 Stat. 2135 (2002).

**Threat:** An indication of possible violence, harm, or danger.

**Tribal:** Referring to any Indian tribe, band, nation, or other organized group or community, including any Alaskan Native Village as defined in or established pursuant to the Alaskan Native Claims Settlement Act (85 Stat. 688) [43 U.S.C.A. and 1601 et seq.], that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Tribal Leader:** Individual responsible for the public safety and welfare of the people of that tribe.

## U

**Unified Area Command:** Command system established when incidents under an Area Command are multijurisdictional. See **Area Command**.

**Unified Command (UC):** An Incident Command System 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 Coordination Group:** Provides leadership within the Joint Field Office. The Unified Coordination Group is comprised of specified senior leaders representing State and Federal interests, and in certain circumstances tribal governments, local jurisdictions, the private sector, or nongovernmental organizations. The Unified Coordination Group typically consists of the Principal Federal Official (if designated), Federal Coordinating Officer, State Coordinating Officer, and senior officials from other entities with primary statutory or jurisdictional responsibility and significant operational responsibility for an aspect of an incident (e.g., the Senior Health Official, Department of Defense representative, or Senior Federal Law Enforcement Official if assigned). Within the Unified Coordination Group, the Federal Coordinating Officer is the primary Federal official responsible for coordinating, integrating, and synchronizing Federal response activities.

**Unity of Command:** Principle of management stating that each individual involved in incident operations will be assigned to only one supervisor.

**Universal Task List:** A menu of unique tasks that link strategies to prevention, protection, response, and recovery tasks for the major events represented by the National Planning Scenarios. It provides a common vocabulary of critical tasks that support development of essential capabilities among organizations at all levels. The List was used to assist in creating the Target Capabilities List.

**Urban Search and Rescue (US&R) Task Forces:** A framework for structuring local emergency services personnel into integrated disaster response task forces. The 28 National US&R Task Forces, complete with the necessary tools, equipment, skills, and techniques, can be deployed by the Federal Emergency Management Agency to assist State and local governments in rescuing victims of structural collapse incidents or to assist in other search and rescue missions.

## V

**Volunteer:** Any individual accepted to perform services by the lead agency (which has authority to accept volunteer services) when the individual performs services without promise, expectation, or receipt of compensation for services performed. See 16 U.S.C. 742f(c) and 29 CFR 553.101.

Your Notes:

---

## Unit 2: NRF Overview

---

---

---



## Objectives

At the end of this unit, the participants should be able to describe:

- The purpose of the National Response Framework (NRF).
  - The response doctrine established by the NRF.
- 

## Scope

- Unit Introduction
  - Unit Objectives
  - Introduction to the Framework
    - Video: Introducing the NRF
    - Mandates
    - Purpose
    - Scope
    - National Strategy
    - Focus
    - Premises
    - Knowledge Review
  - Response Doctrine
    - Engaged Partnership
    - Tiered Response
    - Scalable, Flexible, Adaptable Operational Capabilities
    - Unified Command
    - Readiness to Act
    - Activity: NRF Best Practices
  - Organization
  - Implementation
  - Activity: Response Doctrine
  - Summary
- 

## Methodology

The instructors will introduce the unit by displaying a visual, which outlines the unit objectives. Then the instructors will show a video that introduces the Framework. The instructors will present a basic overview of the mandates that gave rise to the NRF, the purpose of the document, its place within a broader strategy, the focus of the document, and the premises that guide its use. The class will participate in a knowledge review and transition into the next part of the lesson.

The next part of the unit presents the five elements of NRF response doctrine, including a discussion question about each. The instructors will then conduct an activity in which participants review the key concepts, read real-world examples, and discuss best practices they've observed.

(Continued on next page.)

The instructors will next describe how the Framework is organized, and briefly discuss how it is being implemented. Participants will complete an activity that involves reading a scenario and determining whether possible actions are consistent or inconsistent with the response doctrine of the NRF.

After answering any questions that the participants have, the instructors will summarize the key points from the unit and transition to Unit 3.

---

### Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Unit Objectives	5 minutes
Introducing the Framework	15 minutes
Knowledge Review	5 minutes
Response Doctrine	20 minutes
Activity: NRF Best Practices	15 minutes
Organization and Implementation	5 minutes
Activity: Response Doctrine	10 minutes
Summary	5 minutes
<b>Total Time</b>	<b>1 hour 20 minutes</b>



Visual 2.1



**Visual Description:** Unit Introduction

### Instructor Notes

Explain that Unit 2 provides a general overview of the National Response Framework, or NRF. The next visual will outline the objectives for this unit.



Visual 2.2

**Unit Objectives**

**Describe:**

- The purpose of the National Response Framework (NRF).
- The response doctrine established by the NRF.

**Lesson List**

- Overview
- Roles & Responsibilities
- Response Action
- Response Organization
- Planning
- Additional Resources & Summary

FEMA

Visual 2.2  
NRF Overview

**Visual Description:** Unit Objectives

### Instructor Notes

Review the unit objectives with the group. Tell the participants that by the end of this unit, they should be able to describe:

- The purpose of the National Response Framework (NRF).
- The response doctrine established by the NRF.



Visual 2.3



**Visual Description:** Video: Introducing the NRF

### Instructor Notes

Tell the participants that this video provides an introduction to the NRF.

**Instructions for playing the video:** The videos are activated by a single click on the image in Slide Show mode. If you click a second time on the video, it will stop. The videos will not work unless you are in Slide Show mode.

The total running time for the video is 3:04.

### Video Transcript:

In recent years, our Nation has faced an unprecedented series of disasters and emergencies. As a result, our national response structures have evolved and improved to meet these threats.

The National Response Framework is the next step in this evolution, and as such defines how we respond as a Nation. Based on best practices and stakeholder input, the Framework presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies – from the smallest incident to the largest catastrophe.

Building on the National Incident Management System, the Framework's coordinating structures align key roles and responsibilities fostering response partnerships at all levels of government, and with nongovernmental organizations and the private sector. Given its flexibility and scalability, the National Response Framework is always in effect and elements can be implemented at any level and at any time.

**Video Transcript: (Continued)**

The Framework establishes a response vision through five key principles. Let's take a closer look at these principles, starting with engaged partnership.

Engaged partnership means that leaders at all levels develop shared response goals and align capabilities so that no one is overwhelmed in times of crisis.

The next principle is tiered response. Incidents must be managed at the lowest possible jurisdictional level and supported by additional capabilities when needed.

The third principle is scalable, flexible, and adaptable operational capabilities. As incidents change in size, scope, and complexity, the response must adapt to meet requirements.

The fourth principle is unity of effort through unified command. Unity of effort respects the chain of command of each participating organization while harnessing seamless coordination across jurisdictions in support of common objectives.

The last principle is readiness to act. It is our collective duty to provide the best response possible. From individuals, households, and communities to local, tribal, State, and Federal governments, national response depends on our readiness to act.

The National Response Framework strives to improve coordination among all response partners. And through these partnerships, we can work together to help save lives and protect America's communities.

[end of transcript]



Visual 2.4



**Visual Description:** National Mandates: Homeland Security Presidential Directives 5 and 8

### Instructor Notes

Explain to the participants that Homeland Security Presidential Directive (HSPD) 5 called for a single, comprehensive system to enhance the ability of the United States to manage domestic incidents. It requires the Department of Homeland Security (DHS) to coordinate with other Federal departments and agencies and State, local, and tribal governments to establish a National Incident Management System (NIMS) and a National Response Framework (NRF).

Inform the participants that HSPD-8 describes the way Federal departments and agencies will prepare. It requires DHS to coordinate with other Federal departments and agencies and State, local, and tribal governments to develop national preparedness guidelines.

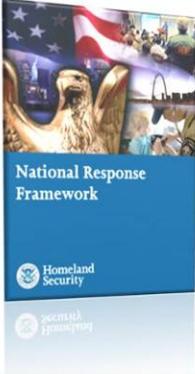
Note that these related efforts align Federal, State, local, tribal, private sector, and nongovernmental preparedness, incident management, and emergency response plans into an effective and efficient national structure.

Mention that the rest of this unit covers the organizational structures outlined in the video presentation.



Visual 2.5

### Framework Purpose



The purpose of the National Response Framework is to ensure that all response partners:

- Understand domestic incident response roles, responsibilities, and relationships.
- Respond effectively to any type of incident.

 **FEMA** Visual 2.5  
NRF Overview

**Visual Description:** Framework Purpose

### Instructor Notes

Explain that the purpose of the National Response Framework is to ensure that all response partners across the Nation understand domestic incident response roles, responsibilities, and relationships in order to respond more effectively to any type of incident.

Tell the participants that the Framework is written especially for government executives, private-sector and nongovernmental organization leaders, and emergency management practitioners.



Visual 2.6

### Scope: Domestic Incident Response

**Response** includes:

- Immediate actions to save lives, protect property and the environment, and meet basic human needs.
- The execution of emergency plans and actions to support short-term recovery.



**Visual Description:** Scope: Domestic Incident Response

### Instructor Notes

Tell the participants that the Framework provides structures for implementing national-level policy and operational coordination for domestic incident response.

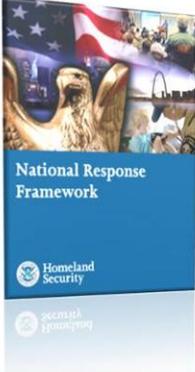
Explain that the term “**response**” as used in this Framework includes:

- Immediate actions to save lives, protect property and the environment, and meet basic human needs.
- The execution of emergency plans and actions to support short-term recovery.



Visual 2.7

**Key Concept: Always in Effect**



The Framework is always in effect, and elements can be implemented as needed on a scalable, flexible basis to improve response.

National Response Framework

Homeland Security

Department of Homeland Security

FEMA

Visual 2.7  
NRF Overview

**Visual Description:** Always in Effect

### Instructor Notes

Explain that the Framework is always in effect, and elements can be implemented as needed on a scalable, flexible basis to improve response.

Note that it is not always obvious at the outset whether a seemingly minor event might be the initial phase of a larger, rapidly growing threat.

Tell the participants that the National Response Framework allows for the rapid acceleration of response efforts without the need for a formal trigger mechanism.



Visual 2.8

**Part of a Broader Strategy**

The National Response Framework is required by, and integrates under, a larger National Strategy for Homeland Security.



The image shows two book covers. The larger one is 'National Strategy for Homeland Security' with a red cover and the text 'NATIONAL STRATEGY FOR HOMELAND SECURITY' and 'HOMELAND SECURITY OCTOBER 2002'. The smaller one is 'National Response Framework' with a blue cover and the text 'National Response Framework' and 'October 2008'. Both covers feature the Homeland Security logo and a central image of an eagle with wings spread over a globe.

 **FEMA**

Visual 2.8  
NRF Overview

**Visual Description:** Part of a Broader Strategy

### Instructor Notes

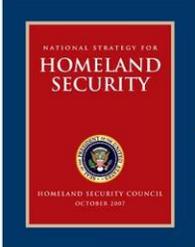
Explain to the participants that the National Response Framework is required by, and integrates under, a larger National Strategy for Homeland Security that:

- Serves to guide, organize, and unify our Nation's homeland security efforts.
- Reflects our increased understanding of the threats confronting the United States.
- Incorporates lessons learned from exercises and real-world catastrophes.
- Articulates how we should ensure our long-term success by strengthening the homeland security foundation we have built.



Visual 2.9

**National Strategy for Homeland Security Goals**



1. Prevent and disrupt terrorist attacks.
2. Protect the American people and our critical infrastructure and key resources.
- 3. Respond to and recover from incidents that do occur.**
4. Continue to strengthen the foundation to ensure our long-term success.



**FEMA**

Visual 2.9  
NRF Overview

**Visual Description:** National Strategy for Homeland Security Goals

### Instructor Notes

Remind participants that the National Response Framework is a component of the larger National Strategy for Homeland Security. Explain that this overall National Strategy includes the following goals:

- Prevent and disrupt terrorist attacks.
- Protect the American people, critical infrastructure, and key resources.
- **Respond to and recover from incidents that do occur.**
- Continue to strengthen the foundation to ensure long-term success.



Visual 2.10

### NRF Focus



**The Framework:**

- Focuses on **response** and **short-term recovery** instead of all of the phases of incident management.
- Represents a key component of a broader **National Homeland Security Strategy** for integrating national efforts for prevention, protection, preparedness, response, and recovery.



**FEMA**

Visual 2.10  
NRF Overview

**Visual Description:** NRF Focus

### Instructor Notes

Explain to the participants that the Framework focuses on response and **short-term recovery** instead of all of the phases of incident management.

Note that in the context of the overall National Strategy, the NRF primarily focuses on the third goal of “responding to and recovering from incidents.”



Visual 2.11

### NRF Premises

- The Framework is **always in effect** and can be implemented at any level at any time.
- Incident management activities are initiated and conducted using the principles contained in the **National Incident Management System (NIMS)**.



Visual 2.11  
NRF Overview



Visual Description: NRF Premises

### Instructor Notes

Review the following premises of the NRF with participants:

- **The Framework provides structures for implementing nationwide response policy and operational coordination for all types of domestic incidents.** It can be partially or fully implemented in the context of a threat, in anticipation of a significant event, or in response to an incident. Selective implementation allows for a scaled response, delivery of the resources needed, and an appropriate level of coordination.

**The Framework is always in effect, and elements can be implemented as needed on a flexible, scalable basis that can help improve response.**

- The Framework retains the same core principles of the National Incident Management System (NIMS) in which first responders from different jurisdictions and disciplines can work together better to respond to natural disasters and emergencies, including acts of terrorism. **Once response activities have begun, on-scene actions are based on NIMS principles.**
- Federal assistance can be provided to State, tribal, and local jurisdictions, and to other Federal departments and agencies, in a number of different ways through various mechanisms and authorities. **Often, Federal assistance does not require coordination by DHS and can be provided without a Presidential major disaster or emergency declaration.**



Visual 2.12

**Knowledge Review (1 of 4)**

**Instructions:** Complete the following sentence.

The National Response Framework presents the guiding principles that \_\_\_\_\_.

 **FEMA**  Visual 2.12  
NRF Overview

**Visual Description:** Fill in the blank: The NRF presents the guiding principles that (blank).

### Instructor Notes

**Ask the participants to complete the following sentence: The National Response Framework presents the guiding principals that \_\_\_\_\_.**

Facilitate a discussion. If not mentioned by the participants, explain that the National Response Framework establishes a comprehensive, national, all-hazards approach to domestic incident response. The Framework identifies key response principles, as well as the roles and structures that organize national response. It also describes how communities, States, the Federal Government, and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response.



Visual 2.13

**Knowledge Review (2 of 4)**

**Instructions:** Decide if the statement is TRUE or FALSE.

The Secretary of Homeland Security must make a declaration in order to trigger the use of the Framework mechanisms.

 FEMA Visual 2.13  
NRF Overview

**Visual Description:** True or False: The Secretary of Homeland Security must make a declaration in order to trigger the use of the Framework mechanisms.

### Instructor Notes

**Ask the participants to decide if the following statement is TRUE or FALSE: The Secretary of Homeland Security must make a declaration in order to trigger the use of the Framework mechanisms.**

Facilitate a discussion. If not mentioned by the participants, tell them that the statement is **false**, and explain that the Framework is always in effect, and elements can be implemented as needed on a flexible, scalable basis to improve response. There is no triggering mechanism necessary. The "Incident of National Significance" term utilized in the previous National Response Framework has been eliminated.



Visual 2.14

**Knowledge Review (3 of 4)**

Instructions: Answer the question below.

**To what types of incidents does the NRF apply?**

 **FEMA** 

Visual 2.14  
NRF Overview

**Visual Description:** To what types of incidents does the NRF apply?

### Instructor Notes

**Ask the participants:** To what types of incidents does the NRF apply?

Facilitate a discussion. If not mentioned by participants, explain that the Framework is applicable to all incidents. Incidents include actual or potential emergencies or all-hazards events that range from accidents and natural disasters to actual or potential terrorist attacks. They include events wholly contained within a single jurisdiction and others that are catastrophic in nature and national in their scope or consequences.



Visual 2.15

**Knowledge Review (4 of 4)**

**Instructions:** Answer the following question.

What is the relationship between the National Strategy for Homeland Security and the National Response Framework?

 FEMA Visual 2.15  
NRF Overview

**Visual Description:** What is the relationship between the National Strategy for Homeland Security and the National Response Framework?

### Instructor Notes

**Ask the participants:** What is the relationship between the National Strategy for Homeland Security and the National Response Framework?

Facilitate a discussion. If not mentioned by participants, explain that the National Response Framework is required by, and integrates under, a larger National Strategy for Homeland Security that:

- Serves to guide, organize, and unify our Nation's homeland security efforts.
- Reflects our increased understanding of the threats confronting the United States.
- Incorporates lessons learned from exercises and real-world catastrophes.
- Articulates how we should ensure our long-term success by strengthening the homeland security foundation we have built.

Note that in the context of the overall National Strategy, the NRF primarily focuses on the third goal of “responding to and recovering from incidents.”



Visual 2.16

### Response Doctrine: Overview

**Response doctrine** defines basic roles, responsibilities, and operational concepts for response across all levels of government and with the private sector and nongovernmental organizations.



 **FEMA** 

Visual 2.16  
NRF Overview

**Visual Description:** Response Doctrine: Overview

#### Instructor Notes

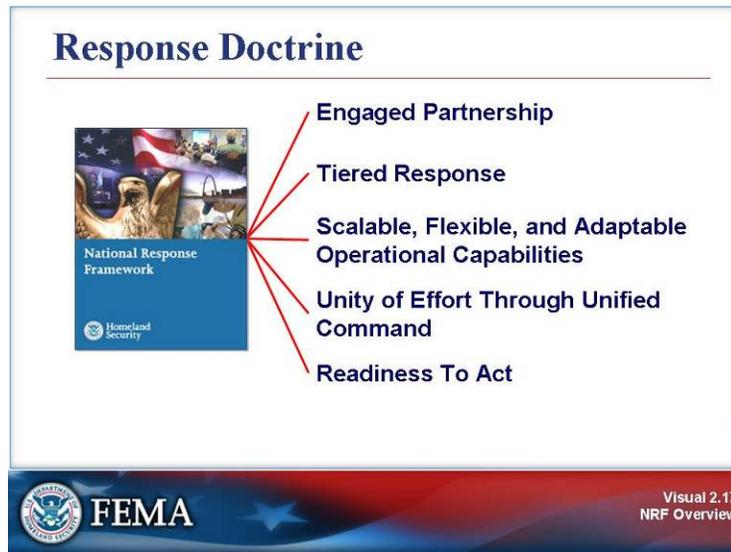
Explain that response doctrine defines basic roles, responsibilities, and operational concepts for response across all levels of government and with the private sector and nongovernmental organizations.

Remind participants that it is important to remember that the overarching objective of response activities is life safety, followed by protecting property and the environment.

Tell the participants that the next visual reviews the five key principles of operations that support the Nation's response mission.



Visual 2.17



**Visual Description:** Principles of NRF Response Doctrine

### Instructor Notes

Explain that the Framework establishes the following key principles of response doctrine:

**Engaged partnership:** 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.

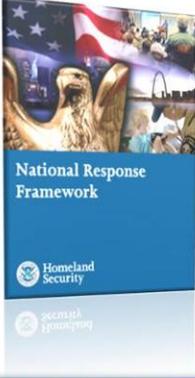
**Unity of effort through unified command:** Response is a team effort. Effective unified command is indispensable to all response activities and requires clear understanding of the roles and responsibilities of each participating organization.

**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 2.18

**Key Principle: Engaged Partnership**



**Engaged partnership** means that leaders at all levels develop shared response goals and align capabilities so that no one is overwhelmed in times of crisis. Engaged partnerships are essential to preparedness.

 **FEMA**

Visual 2.18  
NRF Overview

**Visual Description:** Engaged Partnership

### Instructor Notes

Tell the participants that engaged partnership means that leaders at all levels develop shared response goals and align capabilities so that no one is overwhelmed in times of crisis.

Note that effective response activities begin with a host of preparedness activities conducted well in advance of an incident. Preparedness involves a combination of planning, resources, training, exercising, and organizing to build, sustain, and improve operational capabilities.



Visual 2.19

**Discussion Question**

**Think about a recent incident. What actions demonstrated “engaged partnerships?”**

 **FEMA**  Visual 2.19  
NRF Overview

**Visual Description:** Think about a recent incident. What actions demonstrated “engaged partnerships?”

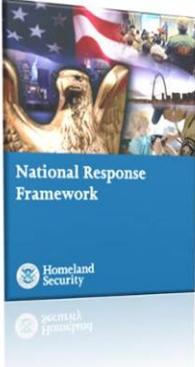
### Instructor Notes

**Ask the participants to think about a recent incident and answer the question: What actions demonstrated “engaged partnerships?”**



Visual 2.20

**Key Principle: Tiered Response**



**A basic premise of the Framework is that incidents are generally handled at the lowest jurisdictional level possible.**

National Response Framework

Homeland Security

Department of Homeland Security

FEMA

Visual 2.20  
NRF Overview

**Visual Description:** Tiered Response

### Instructor Notes

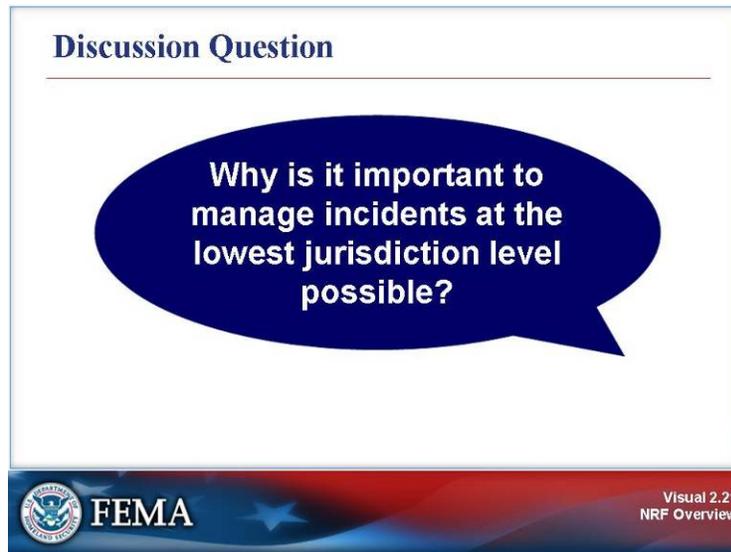
Note that incidents begin and end locally, and most are managed at the local level. A basic premise of the Framework is that incidents are generally handled at the lowest jurisdictional level possible.

Many incidents require unified response from local agencies, the private sector, and nongovernmental organizations. Other incidents may require additional support from neighboring jurisdictions or the State.

A small number require Federal support. National response protocols recognize this and are structured to provide additional, tiered levels of support.



Visual 2.21



**Visual Description:** Why is it important to manage incidents at the lowest jurisdictional level possible?

### Instructor Notes

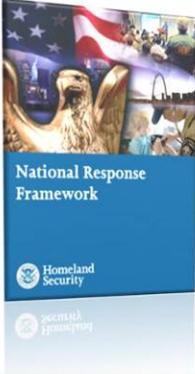
**Ask the participants:** Why is it important to manage incidents at the lowest jurisdictional level possible?

Facilitate a discussion. If not mentioned by participants, explain that incidents begin and end locally. Managing incidents at the lowest jurisdictional level possible ensures that resources are available where and when they're needed.



Visual 2.22

**Key Principle: Scalable, Flexible, Adaptable**



As incidents change in size, scope, and complexity, the response must adapt to meet requirements.

National Response Framework

Homeland Security

Department of Homeland Security

FEMA

Visual 2.22  
NRF Overview

**Visual Description:** Scalable, Flexible, Adaptable

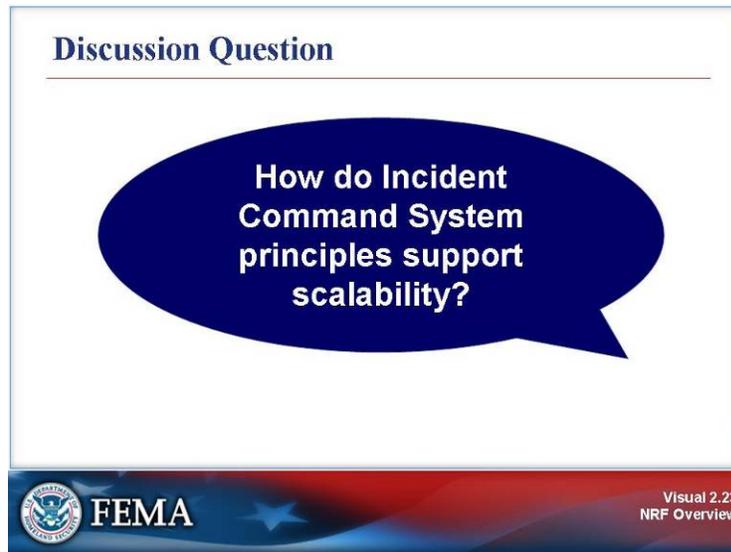
### Instructor Notes

Explain to participants that the number, type, and sources of resources must be able to expand rapidly to meet needs associated with a given incident.

Remind participants that the Framework builds on the National Incident Management System (NIMS). Together, the Framework and NIMS help to ensure that all response partners use standard command and management structures that allow for scalable, flexible, and adaptable operational capabilities.



Visual 2.23



**Visual Description:** How do Incident Command System principles support scalability?

### Instructor Notes

**Ask the participants:** How do Incident Command System principles support scalability?

Facilitate a discussion. If not mentioned by participants, explain that the ICS structure can expand or contract rapidly to meet needs associated with a given incident. Through the use of local mutual aid and assistance agreements, State assistance to local jurisdictions, State-to-State assistance, and Federal assistance, ICS scales to provide the appropriate number, type, and source of resources to support each response.



Visual 2.24

**Key Principle: Unified Command**

**Unity of effort through Unified Command:**

- Is a collective, strategic approach.
- Enables different agencies and jurisdictions to coordinate, plan, and interact effectively.
- Uses joint priorities and resource allocation.
- Relies on a single plan and set of objectives.

Visual 2.24  
NRF Overview

**Visual Description:** Unified Command

### Instructor Notes

Explain that unified command is an Incident Command System (ICS) application used when more than one agency has jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the unified command to establish a common set of objectives and strategies and a single Incident Action Plan.

Tell the participants that success requires unity of effort, which respects the chain of command of each participating organization while harnessing seamless coordination across jurisdictions in support of common objectives.

As a team effort, unified command allows all agencies with jurisdictional authority and/or functional responsibility for the incident to provide joint support through mutually developed incident objectives and strategies. Each participating agency maintains its own authority, responsibility, and accountability.



Visual 2.25

### Advantages of Unified Command



- Improves information flow.
- Fosters a mutual understanding of priorities and restrictions.
- Ensures that agency authority is not compromised.
- Allows for awareness of others' tactics.
- Optimizes response through combined efforts.
- Avoids duplication of efforts/ resources reduced or eliminated.

 **FEMA** Visual 2.25  
NRF Overview

**Visual Description:** Advantages of Unified Command

#### Instructor Notes

Tell the participants that unified command:

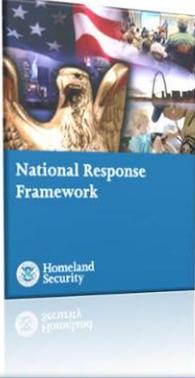
- Improves information flow.
- Fosters a mutual understanding of priorities and restrictions.
- Ensures that agency authority is not compromised.
- Allows for awareness of others' tactics.
- Optimizes response through combined efforts.
- Avoids duplication of efforts and allows for unneeded resources to be reduced or eliminated.



Visual 2.26

**Key Principle: Readiness to Act**

Readiness is a collective responsibility. Effective national response depends on our **readiness to act.**



National Response Framework

Homeland Security

Security Council

FEMA

Visual 2.26  
NRF Overview

**Visual Description:** Readiness to Act

### Instructor Notes

Explain to participants that forward-leaning posture is imperative for incidents that have the potential to expand rapidly in size, scope, or complexity, and for no-notice incidents.

Note that once response activities have begun, on-scene actions are based on NIMS principles. An effective national response relies on disciplined processes, procedures, and systems.

Tell participants that a key concept is “readiness to act.” Explain that readiness is a collective responsibility, and effective national response depends on our readiness to act.



Visual 2.27

**Discussion Question**

What does “readiness to act” mean to you? What actions does your jurisdiction take to be prepared?

 **FEMA**  Visual 2.27  
NRF Overview

**Visual Description:** What does “readiness to act” mean to you? What actions does your jurisdiction take to be prepared?

---

### Instructor Notes

---

Facilitate a discussion by asking the following questions:

**What does “readiness to act” mean to you?**

**What actions does your jurisdiction take to be prepared?**

## Topic

## Activity



Visual 2.28

### Activity: NRF Best Practices

**Instructions:**

1. In your Student Manual, review the chart of key principles and best practices.
2. In the space provided, make note of other best practices implemented by your own agency or jurisdiction or others that you've observed.
3. Be prepared to share your answers with the class in 10 minutes.



**Visual Description:** Activity: NRF Best Practices

### Instructor Notes

**Instructions:** Present the following instructions to the participants:

1. In your Student Manual, review the chart of key principles and best practices.
2. In the space provided, make note of other best practices implemented by your own agency or jurisdiction or others that you've observed.
3. Be prepared to share your answers with the class in 10 minutes.

**Debrief:** Monitor the time. When 10 minutes have passed, ask a volunteer to share answers for each of the key concepts.

**Your Notes:**

Principles	Examples	Your Examples
<p><b>Engaged Partnership</b></p>	<p>1. For many people, pets are part of the family. Every day, companion animals provide vital services. In the case of farming, animals play a valuable role in the agricultural economy of the community. Studies show that up to 60 percent of pet owners may not evacuate unless they can take their pets along. In many jurisdictions, such as the city of Lansing, Michigan, Animals in Disaster Planning Taskforces are working to train local workers and volunteers to set up and operate emergency pet shelters in a disaster. The Taskforce is also developing plans to assist pet owners who were not able to evacuate their pets before the disaster. The Animals in Disaster Planning Taskforce in Lansing is a true partnership and includes the local and county emergency management agencies, Capital Area Humane Society, Ingham County Animal Control, Michigan State University Veterinary Clinic, and Mid-Michigan Red Cross.</p> <p>2. In the aftermath of the 2007 firestorms in Southern California, the Business Executives for National Security (BENS) served as a crucial bridge between the public and private sectors. Private-sector liaisons from BENS's Bay Area Business Force and Los Angeles Business Force/Homeland Security Advisory Council worked side-by-side with Federal, State, and local officials inside emergency operations centers to quickly match local needs with business assets. In that role, Business Force staff helped route millions of dollars worth of food and supplies to affected areas. Just as importantly, they helped prevent major duplications in requests for and delivery of emergency donations and volunteers.</p>	

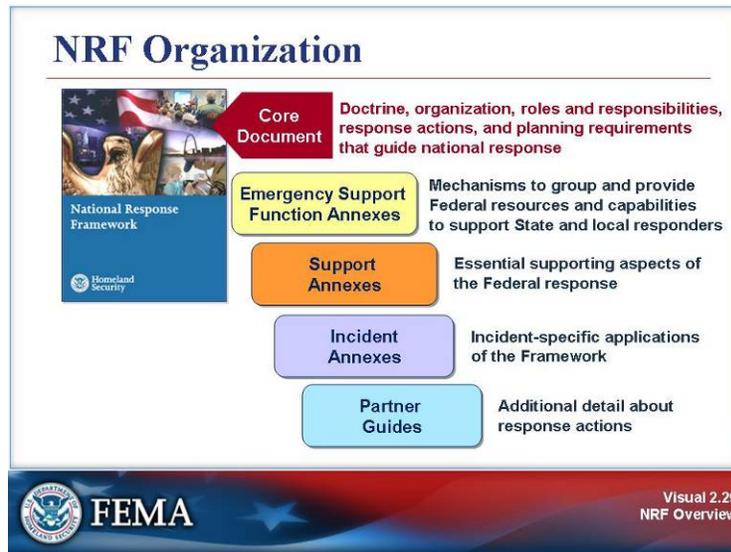
Principles	Examples	Your Examples
<p><b>Scalable, Flexible, and Adaptable Operational Capabilities</b></p>	<p>Based on lessons learned from the 9/11 attacks, the New York City Fire Department (FDNY) established and trained Incident Management Teams (IMTs). The IMTs are designed to provide operational capabilities to ensure that the department has adequate around-the-clock coverage during prolonged incidents. Each team member is trained and credentialed to assume specific Incident Command System (ICS) functions. When Hurricane Katrina made landfall in August 2005, FDNY had enough trained personnel to deploy a full IMT to assist in the response.</p>	
<p><b>Unity of Effort through Unified Command</b></p>	<ol style="list-style-type: none"> <li>1. In Boston, planned events can attract crowds of 1 million or more participants and spectators, providing an optimal environment to test and improve disaster plans. Medical planners, led by Boston Emergency Medical Services, began treating special events as “planned disasters” during preparations for events such as the Boston Marathon. Agencies and organizations involved adopted the Incident Command System, conducted planning and operations using unified command, and integrated aspects of the region’s disaster plans into the event’s operations plan.</li> <li>2. In the aftermath of the devastating winds and flooding from Hurricane Katrina, more than 8.1 million gallons of oil escaped from numerous damaged oil infrastructure sources. Each responding company had its own incident management teams and incident command posts. An area unified command was established to set the priorities for the incident and ensure that competing demands were resolved for the benefit of the entire response effort. The unified command organizations included industry, State, and Federal representatives. This system enabled government and industry to execute an effective response and avoid catastrophic pollution levels.</li> </ol>	

Principles	Examples	Your Examples
<b>Tiered Response</b>	<p>Mutual aid is provided through the Mutual Aid Box Alarm System (MABAS). More than 11,000 of the State of Illinois's 12,000 fire agencies belong to MABAS. There are also MABAS-affiliated agencies in Wisconsin, Indiana, and Missouri. Throughout the Great Lakes region, the groundwork is being laid to establish a compatible mutual aid system modeled after MABAS. Since the late 1960s, MABAS has provided needed resources to non-declared incidents such as extra-alarm fires, multiple-victim accidents, technical rescues, and hazmat accidents. MABAS may be activated for larger incidents under the Illinois Emergency Management Agency's statewide mutual aid plan. The statewide plan allows for resource deployment to a stricken area while leaving at least 80 percent of local resources in place to respond to ongoing, routine local emergencies.</p>	

Principles	Examples	Your Examples
<p><b>Readiness to Act</b></p>	<ol style="list-style-type: none"> <li>1. Through a public-private partnership, the Linn County, Iowa, Emergency Management Agency and the local nuclear power plant have developed a plan for evacuating individuals with special needs (including the elderly, those with mobility limitations, those on medical assistance devices, etc.) during emergencies or disasters. The voluntary program compiles information on individuals who feel they may need special assistance and enters this information into a database, where it is crosswalked with the county's Geographic Information System (GIS). This allows emergency personnel to quickly determine the location and specific needs of individuals during a disaster.</li>   <li>2. In Washington State, the King County Office of Emergency Management, in collaboration with other regional emergency management agencies, a local radio station, the Seattle Mariners baseball team, nongovernmental organizations, and the private sector, promoted community preparedness through the 3 Days, 3 Ways, Are You Ready? campaign. The program combined the use of print advertisements, outreach activities, and giveaways.</li> </ol>	



Visual 2.29



**Visual Description:** NRF Organization

### Instructor Notes

Tell the participants that the National Response Framework is comprised of the core document, the Emergency Support Function (ESF), Support, and Incident Annexes, and the Partner Guides.

Explain that the core document describes the doctrine that guides our national response, roles and responsibilities, response actions, response organizations, and planning requirements to achieve an effective national response to any incident that occurs.

Note that the following documents provide more detailed information to assist practitioners in implementing the Framework:

**Emergency Support Function Annexes** group Federal resources and capabilities into functional areas that are most frequently needed in a national response (e.g., Transportation, Firefighting, Search and Rescue).

**Support Annexes** describe essential supporting aspects that are common to all incidents (e.g., Financial Management, Volunteer and Donations Management, Private-Sector Coordination).

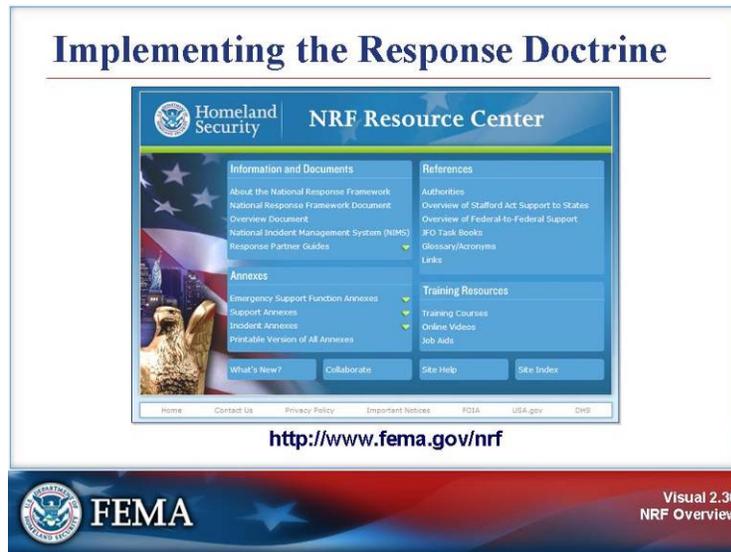
**Incident Annexes** address the unique aspects of how we respond to seven broad incident categories (e.g., Biological, Nuclear/Radiological, Cyber, Mass Evacuation).

**Partner Guides** provide ready references describing key roles and actions for local, tribal, State, Federal, and private-sector response partners.

These documents are available at the **NRF Resource Center**, [www.fema.gov/emergency/NRF](http://www.fema.gov/emergency/NRF).



Visual 2.30



**Visual Description:** Implementing the Response Doctrine

### Instructor Notes

Explain that the response doctrine is not just a philosophy, but rather actions we all can take to be better prepared. To support the doctrine, the National Response Framework is a compendium of resources, not just a single document.



Visual 2.31

### Activity: NRF Response Doctrine (1 of 2)

#### Instructions:

1. Working as a team, review the scenario presented on the next visual.
2. Determine whether each bulleted point is consistent with NRF doctrine. Explain why or why not. Write your answers on chart paper.
3. Select a spokesperson. Be prepared to present in 5 minutes.



**Visual Description:** Activity: NRF Response Doctrine (1 of 2)

#### Instructor Notes

**Instructions:** Conduct the activity as follows:

1. Divide the participants into three groups.
2. Explain that the participants should read the scenario on the next visual and determine if each bulleted point is consistent with NRF doctrine.
3. Tell the participants that they should record their answers on chart paper and select a spokesperson to report back to the group. Answers should explain why or why not.
4. Inform the groups that they will have 5 minutes to complete this activity.

**Scenario:** A severe ice storm hits the Midwest, causing massive damage and several casualties.

- Before the storm hits, FEMA sends a liaison to the State Emergency Operations Center to provide support and ensure that any request for assistance will be expedited.
- Each response organization establishes its own separate command structure based on their authorities.
- A private-sector association deploys its forward-leaning task force to collect donated items without waiting for a formal request.



Visual 2.32

### Activity: NRF Response Doctrine (2 of 2)

**Scenario:** A severe ice storm hits the Midwest, causing massive damage and several casualties.

- Before the storm hits, FEMA sends a liaison to the State Emergency Operations Center to provide support and ensure that requests for assistance will be expedited.
- Each response organization establishes its own separate command structure and plans based on its authorities.
- A private-sector association deploys its forward-leaning task force to collect donated items without waiting for a formal request.



**Visual Description:** Activity: NRF Response Doctrine (2 of 2)

### Instructor Notes

**Debrief:** Monitor the time. When 5 minutes have passed, have a spokesperson from each group present the answer to one of the questions. If not mentioned by participants, provide the following information.

**Before the storm hits, FEMA sends a liaison to the State Emergency Operations Center to provide support and ensure that any request for assistance will be expedited.**

This statement is **consistent** with NRF response doctrine because national response protocols recognize the need for expedited action and are structured to provide additional, tiered levels of support when there is a need for more resources or capabilities to support and sustain the response and initial recovery. All levels should be prepared to respond, anticipating resources that may be required.

**Each response organization establishes its own separate command structure based on their authorities.**

This statement is **not consistent** with NRF response doctrine, because establishing separate command structures and incident plans does not help to promote unity of effort through unity of command. As a team effort, unified command allows all agencies with jurisdictional authority and/or functional responsibility for the incident to provide joint support through mutually developed incident objectives and strategies established at the command level.

(Continued on next page.)

**Activity Debrief (Continued)**

**A private-sector association deploys its forward-leaning task force to collect donated items without waiting for a formal request.**

This statement is not consistent with NRF response doctrine, because engaged partnerships require ongoing communication of incident activity among all partners to the Framework. Although well intended, an uncoordinated bias toward action is dangerous and ineffectual. An effective national response relies on disciplined processes, procedures, and systems to communicate timely, accurate, and accessible information on the incident's cause, size, and current situation to the public, responders, and others.



Visual 2.33

**Summary**

Are you now able to describe:

- The purpose of the NRF?
- The response doctrine established by the NRF?

**Lesson List**

- ✓ Overview
- Roles & Responsibilities
- Response Action
- Response Organization
- Planning
- Additional Resources & Summary

FEMA

Visual 2.33  
NRF Overview

**Visual Description:** Summary

### Instructor Notes

Ask the participants if they are now able to describe:

- The purpose of the NRF.
- The response doctrine established by the NRF.

**Ask if anyone has any questions about anything covered in this unit.**

Transition to the next unit by explaining that it presents the response roles and responsibilities.

---

## Unit 3: Roles and Responsibilities

---

---

---



## Objectives

At the end of this unit, the participants should be able to describe:

- The roles and responsibilities of response partners.
  - The process for requesting assistance.
- 

## Scope

- Unit Introduction
  - Unit Objectives
  - Roles and Responsibilities
    - Partnerships
    - Video: Roles and Responsibilities
    - Local Response
    - Tribal Response
    - Nongovernmental Organizations
    - Individuals and Households
    - Private Sector
    - State Response
    - Federal Response
    - Activity: Roles and Responsibilities
  - Requesting Assistance
    - Mutual Aid and Assistance
    - State Assistance
    - Federal Assistance
    - Video: Requesting Federal Assistance
    - Stafford Act
    - Federal Assistance
    - Knowledge Review
  - Summary
- 

## Methodology

The instructors will introduce the unit by displaying a visual, which outlines the unit objectives. The instructors will introduce partnerships under the NRF and show a video presentation that provides an overview of roles and responsibilities of response partners.

Next, the instructors will present information about the roles and responsibilities of partners involved in local and tribal response. Then, the instructors will discuss how nongovernmental organizations, individuals and households, and the private sector play an important role in response. The instructors will cover roles and responsibilities of key players involved in State response and Federal response. Then the participants will participate in an activity that demonstrates their ability to determine which key players perform certain duties during a response.

In the second portion of the lesson, instructors will explain how mutual aid and assistance agreements allow neighboring jurisdictions to support one another during incidents. Then, the instructors will explain how, when local capabilities are exceeded, States provide assistance to

local governments and neighboring States. Finally, the instructors will explain the types of Federal assistance available and the process for requesting and receiving Federal assistance. The participants will demonstrate knowledge of the lesson's contents by answering a series of knowledge review questions.

After answering any questions that the participants have, the instructors will summarize the key points from the unit and transition to Unit 4.

---

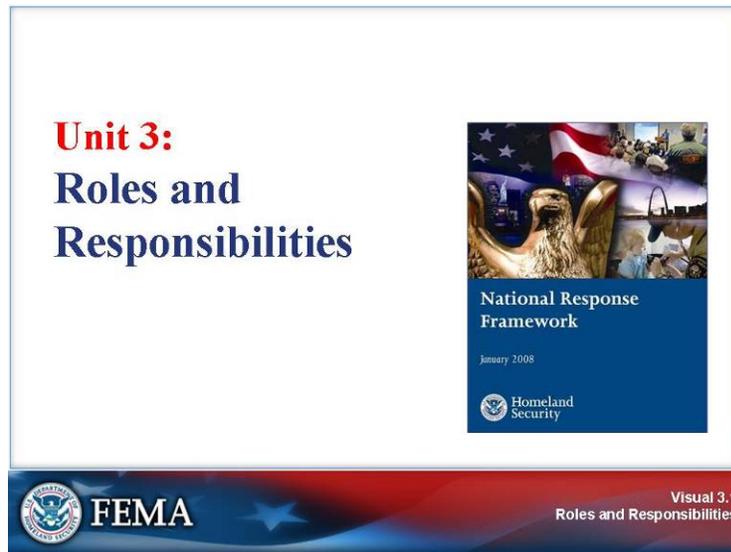
### **Time Plan**

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<b>Topic</b>	<b>Time</b>
Unit Objectives	5 minutes
Roles and Responsibilities	35 minutes
Activity: Roles and Responsibilities	15 minutes
Requesting Assistance	35 minutes
Knowledge Review	10 minutes
Summary	5 minutes
<b>Total Time</b>	<b>1 hour 45 minutes</b>



Visual 3.1



**Visual Description:** Unit Introduction

### Instructor Notes

Explain that Unit 3 covers the roles and responsibilities of response partners and the process through which they request and receive assistance.

The next visual will outline the objectives for this unit.



Visual 3.2

**Unit Objectives**

**Describe:**

- The roles and responsibilities of response partners.
- The process for requesting assistance.

**Lesson List**

- ✓ Overview
- Roles & Responsibilities
- Response Action
- Response Organization
- Planning
- Additional Resources & Summary

FEMA

Visual 3.2  
Roles and Responsibilities

**Visual Description:** Unit Objectives

### Instructor Notes

Review the unit objectives with the group. Tell the participants that by the end of this unit, they should be able to describe:

- The roles and responsibilities of response partners.
- The process for requesting assistance.



Visual 3.3

**Lesson Topics**

**Roles and Responsibilities**

**Requesting Assistance**

**FEMA**

Visual 3.3  
Roles and Responsibilities

**Visual Description:** Lesson Topics: Roles and Responsibilities

### Instructor Notes

Explain that this lesson is broken into two topics: roles and responsibilities, and requesting assistance. The first part of this unit covers roles and responsibilities.



Visual 3.4



**Visual Description:** NRF Emphasizes Partnerships

### Instructor Notes

Explain to the participants that an effective, unified national response requires layered mutually supporting capabilities.

Response to an incident is a shared responsibility of governments at all levels. Present the following information about the responsibilities at each level of government:

**Local and Tribal Governments.** The responsibility for responding to incidents, both natural and manmade, begins at the local level.

**States and Territorial Governments.** States and territorial governments have responsibility for the public health and welfare of the people in their jurisdiction. During response, States play a key role coordinating resources and capabilities from across the State and obtaining resources and capabilities from other States.

**Federal Government.** 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.

(Continued on next page.)

Explain that effective response requires partnerships with:

**Individuals and Households.** Individuals and households can contribute by reducing hazards in and around their homes, preparing an emergency supply kit and household emergency plan, and monitoring emergency communications carefully.

**Private Sector.** The private sector plays a key role before, during, and after an incident. First, they must provide for the welfare and protection of their employees in the workplace. Many private-sector organizations are responsible for operating and maintaining portions of the Nation's critical infrastructure.

**Nongovernmental Organizations (NGOs).** NGOs play important roles before, during, and after an incident. For example, NGOs provide sheltering, emergency food supplies, counseling services, and other vital support services to support response and promote the recovery of disaster victims. These groups often provide specialized services that help individuals with special needs, including those with disabilities.



Visual 3.5



**Visual Description:** Video: Roles and Responsibilities

### Instructor Notes

Tell the participants that this video illustrates how response partners work together to meet incident management challenges

**Instructions for playing the video:** The videos are activated by a single click on the image in Slide Show mode. If you click a second time on the video, it will stop. The videos will not work unless you are in Slide Show mode.

The total running time for the video is 5:08.

### Video Transcript

Effective response requires partnerships among levels of government, the private sector, and nongovernmental organizations. The following scenario illustrates how the various response partners work together within the National Response Framework.

The earthquake comes without warning as residents go about their business on a typical weekday. Measuring 7.5 on the Richter scale, the quake occurs along a fault in the Bay Area. Ninety minutes later, an 8.0 magnitude aftershock occurs along a second fault line to the east.

The effects of the two shocks are profound—10 times more powerful than the 1989 Loma Prieta quake. More than 100,000 people are injured and thousands more are missing. Because the quakes occur during the day, most families in the area are separated.

(Continued on next page.)

**Video Transcript (Continued)**

Damage to bridges as well as public transportation systems essentially severs access to the hardest hit areas. More than 46,000 buildings, including 37 percent of homes, have been destroyed.

The magnitude of this incident results in a nationwide response. As soon as they are able, neighbors rush to help neighbors, and office workers guide their colleagues to safety from unstable buildings.

Under the direction of Incident Commanders, first responders begin critical lifesaving operations, while the local Emergency Operations Center, or EOC, provides support by assessing damage reports and obtaining needed resources. The Mayor's Policy Group is stood up. As representatives of the city's response agencies, this group ensures coordination of response efforts across departments.

The Mayor asks the Governor to declare a state of emergency. At first report of the earthquake, the Governor and emergency management staff began activating State response plans. While the Mayor leads the local response, the Governor has overall responsibility for the public safety and welfare of the residents and provides needed resources and capabilities.

Despite preparedness for earthquakes, the scale of this disaster clearly exceeds the capability of local responders and the State government. The Governor activates existing mutual aid agreements with other States. The Governor also requests a Presidential disaster declaration.

The Secretary of Homeland Security, as the principal Federal official for domestic incident management, immediately begins to coordinate supporting Federal operations. As the State begins to identify the range of its requirements for support, Federal departments and agencies activate their emergency response plans, surge their operations centers, and coordinate their activities through the regional and national coordination centers. FEMA deploys an Incident Management Assistance Team to the State EOC and begins establishing the field structures that will ultimately become the Joint Field Office and coordinate Federal response efforts in the field.

All aspects of the Federal response are organized using the principle of Unified Command, thus allowing various Federal departments and agencies to support State and local responders in a coordinated and unified manner.

The President responds to the Governor's request and issues a major disaster declaration under the Robert T. Stafford Disaster Relief Act. In the declaration, the President designates a Federal Coordinating Officer and provides Federal resources and funds to help support the response and recovery.

(Continued on next page.)

**Video Transcript (Continued)**

The private sector plays many important roles during the response. Activating their emergency plans, businesses begin contacting employees to ensure their well being. Next, the private sector assesses the damage and begins working to restore essential community services, with priority given to restoring infrastructure and providing key resources.

Voluntary and nongovernmental organizations activate their response plans and mobilize their networks to provide requested assistance through the emergency management structures. By integrating into the response structures, these groups provide invaluable capabilities and resources to support the response.

Although just a scenario, this disaster unfortunately is all too plausible. The National Response Framework clearly defines the roles of response partners so that we can effectively work together to meet these challenges.

(end of transcript)



Visual 3.6

### Local Roles

Examples of local roles include:

- Rescue and treatment
- Law enforcement
- Protection and restoration of critical infrastructure including utilities, transportation systems, etc.
- Sheltering evacuees
- Controlling hazards
- Managing resources (use mutual aid and assistance agreements)
- Developing incident action plans
- Determining needs and shortfalls



 **FEMA**

Visual 3.6  
Roles and Responsibilities

**Visual Description:** Local Roles

### Instructor Notes

Explain to the participants that local jurisdictions are responsible for ensuring the public safety and welfare of their residents. Local police, fire, emergency medical services, public health and medical providers, emergency management, public works, environmental response professionals, and others in the community are often the first to detect a threat or hazard, or respond to an incident. They also are often the last to leave an incident site or otherwise to cope with the effects of an incident.

Local and tribal governments:

- Are generally responsible for the health, welfare, and safety of their citizens.
- Carry out these mandates using authorities enumerated in their laws and codes.

**Review the above list of local/tribal roles. Add any additional roles in the space below.**



Visual 3.7

Title	Responsibility
Chief Elected or Appointed Official	Public safety and welfare
Emergency Manager	Overall emergency management programs
Department/Agency Heads	Collaboration and support

Visual 3.7  
Roles and Responsibilities

**Visual Description:** Local Response: Key Players

### Instructor Notes

Present the following information about the roles of key players in local response:

#### Chief Elected or Appointed Official

**Role:** A mayor, city manager, or county manager, as a jurisdiction's chief executive officer, is responsible for ensuring the public safety and welfare of the people of that jurisdiction.

**Responsibilities:**

- 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 special needs, including those with service animals.
  - Individuals with household pets.
- Encourage residents to participate in volunteer organizations and training courses.

(Continued on the next page.)

**Emergency Manager**

Role: The local emergency manager has the day-to-day authority and responsibility for overseeing emergency management programs and activities.

## Responsibilities:

- 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.

**Department and Agency Heads**

Role: Department and agency heads collaborate with the emergency manager during development of local emergency plans and provide key response resources.

## Responsibilities:

- Participate in the planning process to build specific capabilities (e.g., firefighting, law enforcement, emergency medical services, public works, environmental and natural resources agencies).
- Integrate capabilities into a workable plan to safeguard the community.
- Develop internal policies and procedures to meet response and recovery needs safely.
- Train personnel and participating in interagency training and exercises.
- When an incident occurs, respond according to emergency plans.



Visual 3.8



**Visual Description:** Local Government: Incident Response Process

### Instructor Notes

Explain that in response to a threat or incident, local governments:

- Execute emergency operations plan (EOC activation)
- Declare a local State of Emergency
- Issue warnings and evacuation notices
- Establish Incident Command
- Conduct sizeup and damage assessment
- Identify incident objectives/begin tactical operations
- Manage incident resources
- Activate mutual aid and assistance agreements
- Request State assistance

Although these steps are shown in a sequence, many of them may overlap or occur simultaneously.

**Note:** The first three response processes listed above are only applicable for a forecasted disaster, such as a hurricane or planned event. The highlighted boxes – Establish Incident Command, Conduct sizeup and damage assessment, Identify incident objectives/begin tactical operations, and Manage incident resources – occur in all incidents, while the rest are more likely to occur on more complex incidents.

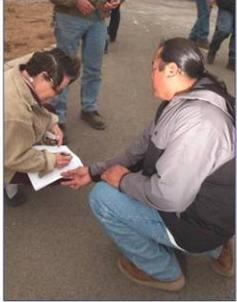


Visual 3.9

### Tribal Roles

**Tribal governments:**

- Respond to the same range of emergencies and disasters that other jurisdictions face.
- May request and provide assistance from neighboring jurisdictions under mutual aid and assistance agreements.



 **FEMA** 

Visual 3.9  
Roles and Responsibilities

**Visual Description:** Tribal Roles

### Instructor Notes

Tell the participants that tribal governments are responsible for the public safety and welfare of the people of that tribe.

Explain that tribal governments:

- Respond to the same range of emergencies and disasters that other jurisdictions face.
- May request and provide assistance from neighboring jurisdictions under mutual aid and assistance agreements.

Note that although tribal governments can elect to deal directly with the Federal Government, a State Governor must request a Presidential declaration on behalf of a tribe under the Stafford Act.



Visual 3.10

### Tribal Government: Key Players

#### Tribal leaders:

- Coordinate tribal resources needed to prevent, protect against, respond to, and recover from incidents of all types.
- Communicate with the tribal community to help people, businesses, and organizations cope with the consequences of any type of incident.
- Negotiate mutual aid and assistance agreements.
- Request State and/or Federal assistance.



**Visual Description:** Tribal Government: Key Players

#### Instructor Notes

Tell the participants that key players in tribal response are tribal leaders. Explain that tribal leaders have a responsibility to:

- Coordinate tribal resources needed to prevent, protect against, respond to, and recover from incidents of all types.
- Communicate with the tribal community to help people, businesses, and organizations cope with the consequences of any type of incident.
- Negotiate mutual aid and assistance agreements.
- Request State and/or Federal assistance.

Note that participants can find more information about the roles and responsibilities of tribal leaders by referring to Tribal Relations Support Annex.



Visual 3.11

### Nongovernmental Organizations

Nongovernmental and voluntary organizations help provide:

- Shelter, emergency food supplies, counseling services, and other vital services.
- Specialized services that help individuals with special needs.



Visual 3.11  
Roles and Responsibilities



**Visual Description:** Nongovernmental Organizations

#### Instructor Notes

Tell the participants that nongovernmental and voluntary organizations are essential partners in responding to incidents.

Explain that, by working through emergency operations centers and other structures, nongovernmental and voluntary organizations assist in providing:

- Sheltering, emergency food supplies, counseling services, and other vital services to support response and promote the recovery of disaster victims.
- Specialized services that help individuals with special needs, including those with disabilities.

Mention that to engage these key partners most effectively, all levels of governments coordinate with voluntary agencies, existing Voluntary Organizations Active in Disaster (VOADs), community and faith-based organizations, and other entities.

Note that, for more information, participants can refer to the Volunteer and Donations Support Annex.



Visual 3.12

**Discussion Questions**

At what levels of government does coordination with NGOs occur?

What are some examples in your jurisdiction of effective partnerships with nongovernmental organizations (NGOs)?

FEMA

Visual 3.12  
Roles and Responsibilities

**Visual Description:** At what levels of government does coordination with NGOs occur? What are some examples of effective partnerships with nongovernmental organizations (NGOs)?

### Instructor Notes

Facilitate a discussion by asking the participants the following questions:

**At what levels of government does coordination with nongovernmental organizations (NGOs) occur?**

If not mentioned by participants, explain nongovernmental and voluntary organizations are essential partners in responding to incidents. To engage these key partners most effectively, **all levels of governments** coordinate with voluntary agencies, existing Voluntary Organizations Active in Disaster (VOADs), community and faith-based organizations, and other entities.

**What are some examples of effective partnerships with NGOs?**



Visual 3.13

### Individuals and Households

Individuals can contribute by:

- Reducing hazards in and around their homes.
- Preparing an emergency supply kit and household emergency plan.
- Monitoring emergency communications carefully.
- Volunteering with an established organization.
- Enrolling in emergency response training courses.



Visual 3.13  
Roles and Responsibilities



**Visual Description:** Individuals and Households

### Instructor Notes

Tell the participants that individuals and households play an important role in the overall emergency management strategy.

Explain that community members can contribute by:

- Reducing hazards in and around their homes.
- Preparing an emergency supply kit and household emergency plan.
- Monitoring emergency communications carefully.
- Volunteering with an established organization.
- Enrolling in emergency response training courses.



Visual 3.14



**Visual Description:** What roles does the private sector play in incident response and recovery? Why is private-sector involvement important?

### Instructor Notes

Facilitate a discussion by asking participants the following questions:

#### **What roles does the private sector play in incident response and recovery?**

If not mentioned by participants, explain that the private sector:

- Is responsible for most of the critical infrastructure and key resources in the Nation and thus may require assistance in the wake of a disaster or emergency.
- Provides goods and services critical to the response and recovery process, either on a paid basis or through donations.

#### **Why is private-sector involvement important?**

If not mentioned by participants, explain that the private sector is responsible for most of the critical infrastructure and key resources in the Nation and thus may require assistance in the wake of a disaster or emergency. Forming the foundation for the health of the Nation's economy, the private sector is a key partner in incident management activities at all levels.



Visual 3.15

### Private Sector

The private sector:

- Is responsible for most of the critical infrastructure and may be required to assist the response efforts.
- Provides critical goods and services to support response and recovery.



 **FEMA**

Visual 3.15  
Roles and Responsibilities

**Visual Description:** Private Sector Roles

### Instructor Notes

Tell the participants that the private sector forms the foundation for the health of the Nation's economy and is a key partner in incident management activities at all levels.

Explain that the private sector:

- Is responsible for most of the critical infrastructure and key resources in the Nation and thus may require assistance in the wake of a disaster or emergency.
- Provides goods and services critical to the response and recovery process, either on a paid basis or through donations.

Mention that participants can learn more about the role of the private sector by referring to the Private-Sector Coordination Support Annex and the Critical Infrastructure and Key Resources Support Annex.



Visual 3.16

### State Roles



- Supplement and facilitate local efforts before, during, and after incidents.
- Deploy State resources such as:
  - Food, ice, other emergency supplies
  - Law enforcement assets
  - Public works teams
  - Specialized technical assistance
  - National Guard assets
- Serve as a conduit for Federal assistance.

 **FEMA** 

Visual 3.16  
Roles and Responsibilities

**Visual Description:** State Roles

### Instructor Notes

Explain to the participants that States play a key role during response by coordinating resources and capabilities throughout the State and obtaining resources and capabilities from other States. States have significant resources of their own, including emergency management and homeland security agencies, State police, health agencies, transportation agencies, incident management teams, specialized teams, and the National Guard. The key role of the State government in response is to supplement and facilitate local efforts before, during, and after incidents.

Note that the State provides direct and routine assistance to its local jurisdictions through emergency management program development and by routinely coordinating in these efforts with Federal officials. States must be prepared to maintain or accelerate services to local governments when local capabilities fall short of demands. States are also responsible for requesting Federal emergency assistance for communities and tribal governments within their area of responsibility.

**Review the above list of State roles. Add any additional roles in the space below.**



Visual 3.17

State Response: Key Players	
Title	Responsibility
Governor	Public safety and welfare
State Homeland Security Advisor	Security issues; Liaison with other State and Federal organizations
Director, State Emergency Management Agency	Coordination of State response; Support to local governments
Other State Department/Agency Heads	Collaboration and support

Visual 3.17  
Roles and Responsibilities

**Visual Description:** State Response: Key Players

### Instructor Notes

Present the following information about the roles of key players in State response:

#### Governor

Role: Public safety and welfare of a State's citizens are fundamental responsibilities of every Governor. For the purposes of the Framework, any reference to a State Governor also references the chief executive of a U.S. territory.

#### Responsibilities:

- Coordinate State resources and provide the strategic guidance needed to prevent, mitigate, prepare for, respond to, and recover from incidents of all types.
- In accordance with State law, may be able to make, amend, or suspend certain orders or regulations associated with response.
- Communicate to the public and help people, businesses, and organizations cope with the consequences of any type of incident.
- Command the State military forces (National Guard personnel not in Federal service and State militias).
- Coordinate assistance from other States through interstate mutual aid and assistance compacts, such as the Emergency Management Assistance Compact.
- Request Federal assistance including, if appropriate, a Stafford Act Presidential declaration of an emergency or major disaster, when it becomes clear that State capabilities will be insufficient or have been exceeded.
- Coordinate with impacted tribal governments within the State and initiate requests for a Stafford Act Presidential declaration of an emergency or major disaster on behalf of an impacted tribe when appropriate.

(Continued on next page.)

**State Response: Key Players (Continued)****State Homeland Security Advisor**

Role: 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, the Department of Homeland Security (DHS), and other organizations both inside and outside of the State.

Responsibilities:

- Chair a committee comprised of representatives of relevant State agencies.
- Develop prevention, protection, response, and recovery strategies. This also includes preparedness activities associated with these strategies.

**Director, State Emergency Management Agency**

Role: 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.

Responsibilities:

- Coordinate the State response in any incident.
- Support local governments as needed or requested and coordinate assistance with other States and/or the Federal Government.

**Other State Department and Agency Heads**

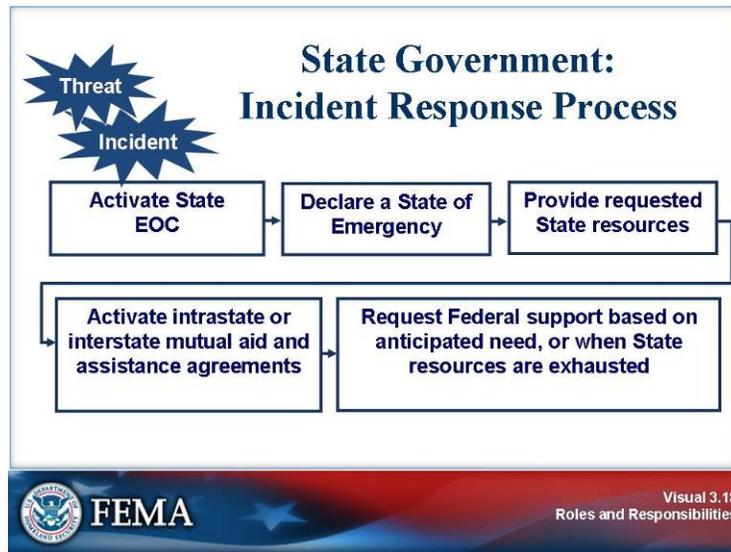
Role: Department and agency heads collaborate with and support the State Emergency Management Director.

Responsibilities:

- Develop, plan, and train to internal policies and procedures to meet response and recovery needs safely.
- Participate in interagency training and exercises to develop and maintain the necessary capabilities.



Visual 3.18



**Visual Description:** State Government: Incident Response Process

### Instructor Notes

Explain that, in response to a threat or incident, local governments:

- Activate State EOC.
- Declare a State of Emergency. After a State of Emergency is declared, the Governor may:
  - Suspend provisions of any State law or regulation.
  - Order evacuation of any area in the State.
  - Authorize use of private property in emergency response.
  - Control access to the emergency area/disaster scene.
- Activate the National Guard.
- Provide requested State resources.
- Activate intrastate or interstate mutual aid and assistance agreements.
- Request Federal support based on anticipated need, including specialized resources, or when it becomes clear that State capabilities will be insufficient or have been exceeded.

Tell the participants that additional information on intrastate and interstate mutual aid will be presented in a later lesson.

**Note:** Providing requested State resources, and activating intrastate or interstate mutual aid or assistance agreements are **not** dependent upon the activation of a State EOC and/or the declaration of a State of Emergency.



Visual 3.19

**Discussion Question**

Why is it beneficial for the State to serve as a conduit for requesting Federal assistance?

 **FEMA** 

Visual 3.19  
Roles and Responsibilities

**Visual Description:** Why is it beneficial for the State to serve as a conduit for requesting Federal assistance?

### Instructor Notes

**Ask the participants:** Why is it beneficial for the State to serve as a conduit for requesting Federal assistance?

Facilitate a discussion. If not mentioned by participants, explain that having the State serve as a conduit for requesting Federal assistance:

- Avoids duplication of resource requests.
- Helps prioritize critical resource needs to the locations in most need.
- Allows State-based or EMAC resources to arrive at the incident scene quickly.
- Maintains State sovereignty and is required under the Stafford Act.



Visual 3.20

### Federal Roles

- Provide resources and capabilities to support the State response.
- Serve as first responders for incidents involving primary Federal jurisdiction or authorities.
- Work with private sector and nongovernmental organizations who support response efforts.



 **FEMA**

Visual 3.20  
Roles and Responsibilities

**Visual Description:** Federal Roles

### Instructor Notes

Tell the participants that the Federal Government maintains a wide array of capabilities and resources that can be made available upon request of the Governor.

Explain that, for incidents involving primary Federal jurisdiction or authorities (e.g., on a military base or a Federal facility or lands), Federal departments or agencies may be the first responders and first line of defense, coordinating activities with State, territorial, tribal, and local partners. The Federal Government also maintains working relationships with private-sector businesses and NGOs.



Visual 3.21

### Federal Response Goals

The Federal Government supports the State:

- To save lives, and to protect property and the environment.
- To ensure basic human needs are met:
  - Public health and safety,
  - Temporary shelter, and
  - Critical resources (water, food, ice, etc.).
- To restore critical infrastructure:
  - Utilities,
  - Telecommunications, and
  - Transportation.
- To restore essential Government services.



 **FEMA** 

Visual 3.21  
Roles and Responsibilities

**Visual Description:** Federal Response Goals

---

#### Instructor Notes

---

Review the goals listed on the visual. Facilitate a discussion by asking the participants:

**Can you think of any additional goals that should be added to those listed on the visual?**

**How do you use these goals when setting priorities during a response?**



Visual 3.22

### Federal Response: Key Players



- The President leads the Federal Government response.
- The Secretary of Homeland Security is the principal Federal official for domestic incident management consistent with HSPD-5.
- The FEMA Administrator is responsible of the preparation for, protection against, response to, and recovery from all-hazards incidents.
- When DHS coordination is NOT required, Federal agencies may provide assistance consistent with their authorities.



Visual 3.22  
Roles and Responsibilities

**Visual Description:** Federal Response: Key Players

### Instructor Notes

Explain that the President leads the Federal Government response effort to ensure that the necessary coordinating structures, leadership, and resources are applied quickly and efficiently to large-scale and catastrophic incidents. The President's Homeland Security Council and National Security Council, which bring together Cabinet officers and other department or agency heads as necessary, provide national strategic and policy advice to the President during large-scale incidents that affect the Nation.

Note that overall coordination of Federal incident management activities is the responsibility of DHS. Depending upon the incident, the Secretary also contributes elements of the response consistent with DHS's mission, capabilities, and authorities.

Tell the participants that the FEMA Administrator supports the Secretary in meeting these HSPD-5 responsibilities as the principal advisor to the President, the Secretary, and the Homeland Security Council on all matters regarding emergency management.

Note that other Federal departments and agencies carry out their incident management authorities and responsibilities.



Visual 3.23

Other Key Players	
Title	Responsibility
Attorney General	Serves as the Chief Law Enforcement Officer
Secretary of Defense	Approves Requests for Military Support
Secretary of State	Coordinates International Response
Director of National Intelligence	Oversees National Intelligence
Other Department/Agency Heads	Provides Coordination and Support Under Their Authorities

Notes: When DHS coordination is NOT required, Federal agencies may provide assistance consistent with their authorities.

Visual 3.23  
Roles and Responsibilities

**Visual Description:** Other Key Players

### Instructor Notes

Present the following information about the roles of other key players in Federal response:

#### Law Enforcement: Attorney General

- Serves as the chief law enforcement officer of the United States.
- Generally acting through the Federal Bureau of Investigation:
- Assumes lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States or directed at U.S. citizens or institutions abroad.
- Coordinates activities of the other members of the law enforcement community to detect, prevent, and disrupt terrorist attacks against the United States.
- Approves requests submitted by State Governors pursuant to the Emergency Federal Law Enforcement Assistance Act for personnel and other Federal law enforcement support during incidents.
- Enforces Federal civil rights laws and provides expertise to ensure that these laws are appropriately addressed.

(Continued on the next page.)

**National Defense and Defense Support of Civil Authorities: Secretary of Defense**

- Approves requests for response resources.

The primary mission of the Department of Defense (DOD) and its components is national defense. Because of this critical role, resources are committed after approval by the Secretary of Defense or at the direction of the President. Many DOD components and agencies are authorized to respond to save lives, protect property and the environment, and mitigate human suffering under imminently serious conditions, as well as to provide support under their separate established authorities, as appropriate. The provision of defense support is evaluated by its legality, lethality, risk, cost, appropriateness, and impact on readiness.

Retains command of military forces.

When Federal military and civilian personnel and resources are authorized to support civil authorities, command of those forces will remain with the Secretary of Defense. DOD elements in the incident area of operations and National Guard forces under the command of a Governor will coordinate closely with response organizations at all levels.

**International Coordination: Secretary of State**

- Manages international preparedness, response, and recovery activities relating to domestic incidents.
- Manages efforts related to the protection of U.S. citizens and U.S. interests overseas.

**Intelligence: Director of National Intelligence**

- Leads the Intelligence Community and serves as the President's principal intelligence advisor.
- Oversees and directs the implementation of the National Intelligence Program.

**Other Federal Department and Agency Heads**

- Serve in primary, coordinating, and/or support roles based on their authorities and resources and the nature of the threat or incident.
- Participate as members of the Unified Coordination Group in situations where their agency or department has responsibility for directing or managing a major aspect of a response.
- Execute their own authorities to declare disasters or emergencies. For example, the Secretary of Health and Human Services can declare a public health emergency. These declarations may be made independently or as part of a coordinated Federal response. Where those declarations are part of an incident requiring a coordinated Federal response, those Federal departments or agencies act within the overall coordination structure of the Framework.

**Note:** When the overall coordination of Federal response activities is required, it is implemented through the Secretary of Homeland Security consistent with Homeland Security Presidential Directive (HSPD) 5. Other Federal departments and agencies carry out their response authorities and responsibilities within this overarching construct. Nothing in the Framework alters or impedes the ability of Federal, State, tribal, or local departments and agencies to carry out their specific authorities or perform their responsibilities under all applicable laws, Executive orders, and directives. Additionally, nothing in the Framework is intended to impact or impede the ability of any Federal department or agency to take an issue of concern directly to the President or any member of the President's staff.

## Topic

## Activity



Visual 3.24

### Activity: Roles and Responsibilities

**Instructions:** Working as a team . . .

- Select a leader.
- Review your assigned role.
- Working with your group, use what you've learned to answer the "Who Am I?" questions in your Student Manual.
- Be prepared to present your answers with the class in 5 minutes.



**Visual Description:** Activity: Roles and Responsibilities

#### Instructor Notes

**Instructions:** Conduct this activity as follows:

1. Divide the participants into five groups and have each group select a leader.
2. Tell the participants to work with their groups to answer the "Who Am I?" questions on the next page in their Student Manuals.
3. Inform the participants that they have 5 minutes and should be prepared to present their answers to the class.

**Debrief:** Conduct the activity debrief as follows.

1. Monitor the time. When 5 minutes has passed, ask each group leader to provide the answer to one of the questions.
2. If not mentioned by participants, provide the following answers listed on the next page of the Instructor Guide.

1. I serve as the chief law enforcement officer of the United States, enforce Federal civil rights laws, and provide expertise to ensure that these laws are appropriately addressed. Who am I?

Answer: **Attorney General**

2. As the principal Federal official for domestic incident management, I coordinate the Federal resources utilized in the prevention of, preparation for, response to, or recovery from terrorist attacks, major disasters, or other emergencies. Who am I?

Answer: **Secretary of Homeland Security**

3. I manage the operation of the National Response Coordination Center and provide for the effective support of all Emergency Support Functions. Who am I?

Answer: **FEMA Administrator**

4. I lead the overall national response and consult with the Homeland Security Council and National Security Council during large-scale incidents that affect the Nation. Who am I?

Answer: **President**

5. Under the Stafford Act, I request a Presidential declaration on behalf of a tribe. Who am I?

Answer: **State Governor**



Visual 3.25

**Lesson Topics**

---

 **Roles and Responsibilities**

 **Requesting Assistance**

 **FEMA**  Visual 3.25  
Roles and Responsibilities

**Visual Description:** Requesting Assistance

---

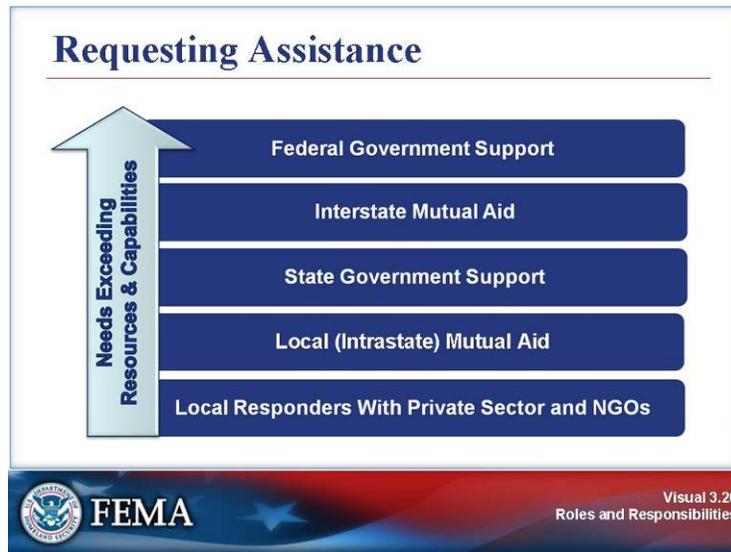
### Instructor Notes

---

Explain that the next part of this unit covers the process for requesting assistance.



Visual 3.26



**Visual Description:** Requesting Assistance

### Instructor Notes

Explain the process for requesting assistance:

- First, local agencies respond with help from the private sector and NGOs.
- As incident needs exceed local resources and capabilities, local (intrastate) mutual aid and assistance agreements are activated.
- When mutual aid resources are exhausted, the State government provides support.
- If the State resources and capabilities are exceeded, interstate mutual aid and assistance agreements are used.
- Finally, if it becomes clear that State capabilities will be insufficient or have been exceeded., the Federal Government provides support.



Visual 3.27

### Neighbors Helping Neighbors

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.



 **FEMA** 

Visual 3.27  
Roles and Responsibilities

**Visual Description:** Neighbors Helping Neighbors

### Instructor Notes

Explain that 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.

According to NIMS, 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.



Visual 3.28

### State Assistance to Local Governments

**States:**

- Provide the majority of the external assistance to local jurisdictions.
- Request assistance from other States by using interstate mutual aid and assistance agreements such as the Emergency Management Assistance Compact (EMAC).



 **FEMA**

Visual 3.28  
Roles and Responsibilities

**Visual Description:** State Assistance to Local Governments

### Instructor Notes

Tell the participants that States provide the majority of the external assistance to local jurisdictions. The State is the gateway to several government programs that help communities prepare. When an incident grows beyond the capability of a local jurisdiction, and responders cannot meet the needs with mutual aid and assistance resources, the local emergency manager contacts the State.

Explain that, upon receiving a request for assistance from a local government, immediate State response activities may include:

- Coordinating warnings and public information through the activation of the State's public communications strategy and the establishment of a Joint Information Center.
- Distributing supplies stockpiled to meet the emergency.
- Providing needed technical assistance and support to meet the response and recovery needs of individuals and households.
- The Governor suspending existing statutes, rules, ordinances, and orders for the duration of the emergency, to the extent permitted by law, to ensure timely performance of response functions.
- Implementing State donations management plans and coordinating with nongovernmental organizations and the private sector.
- Ordering the evacuation of persons from any portions of the State threatened by the incident, giving consideration to the requirements of special needs populations and those with household pets or service animals.
- Mobilizing resources to meet the requirements of people with special needs, in accordance with the State's preexisting plan and in compliance with Federal civil rights laws.

(Continued on the next page.)

Continue by explaining that, in addition to these actions, the Governor may activate elements of the National Guard. The National Guard is a crucial State resource, with expertise in communications, logistics, search and rescue, and decontamination. National Guard forces employed under State Active Duty or Title 32 status are under the command and control of the Governor of their State and are not part of Federal military response efforts.

Inform the participants that Title 32 Full-Time National Guard Duty refers to Federal training or other duty, other than inactive duty, performed by a member of the National Guard. Title 32 is not subject to *posse comitatus* restrictions and allows the Governor, with the approval of the President or the Secretary of Defense, to order a Guard member to duty to:

- Perform training and other operational activities.
- Conduct homeland defense activities for the military protection of the territory or domestic population of the United States, or of the infrastructure or other assets of the United States determined by the Secretary of Defense to be critical to national security, from a threat or aggression against the United States.

Note that in rare circumstances, the President can federalize National Guard forces for domestic duties under Title 10 (e.g., in cases of invasion by a foreign nation, rebellion against the authority of the United States, or where the President is unable to execute the laws of the United States with regular forces (10 U.S.C. 12406)). When mobilized under Title 10 of the U.S. Code, the forces are no longer under the command of the Governor. Instead, the Department of Defense assumes full responsibility for all aspects of the deployment, including command and control over National Guard forces.



Visual 3.29

### State-to-State Assistance

**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.



 **FEMA** 

Visual 3.29  
Roles and Responsibilities

**Visual Description:** State-to-State Assistance

### Instructor Notes

Explain to the participants that if additional resources are required, the State often requests assistance from other States by using interstate mutual aid and assistance agreements such as the Emergency Management Assistance Compact (EMAC).

Note that EMAC is administered by the National Emergency Management Association, 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.

Review the information about EMAC on the next page.

### Emergency Management Assistance Compact (EMAC)

The Emergency Management Assistance Compact (EMAC), established in 1996, has weathered the storm when tested and stands today as the cornerstone of mutual aid. The EMAC mutual aid agreement and partnership between member States exist because from hurricanes to earthquakes, wildfires to toxic waste spills, and terrorist attacks to biological and chemical incidents, all States share a common enemy: the threat of disaster.

Since being ratified by Congress and signed into law, in 1996, (Public Law 104-321), 50 States, the District of Columbia, Puerto Rico, Guam, and the U.S. Virgin Islands have enacted legislation to become members of EMAC. EMAC is the first national disaster-relief compact since the Civil Defense and Disaster Compact of 1950 to be ratified by Congress.

The strength of EMAC and the quality that distinguishes it from other plans and compacts lies in its governance structure, its relationship with Federal organizations, States, counties, territories, and regions, and the ability to move just about any resource one State has to assist another State, including medical resources.

EMAC offers the following benefits:

- EMAC assistance may be more readily available than other resources.
- EMAC allows for a quick response to disasters using the unique human resources and expertise possessed by member States.
- EMAC offers State-to-State assistance during Governor-declared state of emergencies. 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 establishes a firm legal foundation. Once the conditions for providing assistance to a requesting State have been set, the terms constitute a legally binding contractual agreement that makes affected States responsible for reimbursement. Responding States can rest assured that sending aid will not be a financial or legal burden and personnel sent are protected under workers compensation and liability provisions. The EMAC legislation solves the problems of liability and responsibilities of cost and allows for credentials to be honored across State lines.
- EMAC provides fast and flexible assistance. EMAC allows States to ask for whatever assistance they need for any type of emergency, from earthquakes to acts of terrorism.
- EMAC can move resources other compacts can't – like medical resources.
- Thanks to EMAC, States are able to join forces and help one another when they need it the most: whenever disaster strikes!

**Information Source:** National Emergency Management Association, EMAC Web site



Visual 3.30

### Federal Assistance

Federal support to States and local jurisdictions:

- **Non-Stafford Act:** Agencies responding under their own authorities.
- **Stafford Act:** Most widely known authority.



 **FEMA** 

Visual 3.30  
Roles and Responsibilities

**Visual Description:** Federal Assistance

### Instructor Notes

Tell the participants that Federal support to States and local jurisdictions takes many forms. Explain that the most widely known authority under which assistance is provided for major incidents is the Stafford Act.

Note that the next part of this unit covers how the National Response Framework applies to both Stafford Act and non-Stafford Act incidents, including when one Federal department or agency is called on to support another.



Visual 3.31



**Visual Description:** Video: Requesting Federal Assistance

### Instructor Notes

Tell the participants that this video provides an introduction to the NRF.

**Instructions for playing the video:** The videos are activated by a single click on the image in Slide Show mode. If you click a second time on the video, it will stop. The videos will not work unless you are in Slide Show mode.

The total running time for the video is 5:05.

### Video Transcript

The Federal Government maintains a wide array of capabilities and resources. During this presentation we'll review the various mechanisms within the National Response Framework for providing Federal support.

Perhaps the most widely known authority under which Federal assistance is provided for major incidents is the Stafford Act. In fact, Federal disaster assistance is often thought of as synonymous with Presidential declarations and the Stafford Act. However, Federal assistance under the Stafford Act is only available when the incident exceeds State, tribal, and local resources.

(Continued on the next page.)

**Video Transcript (Continued)**

In those circumstances, a Governor may ask the President to declare an emergency or major disaster. Before making a declaration request, the Governor must activate the State's emergency plan and ensure that all appropriate State and local actions have been taken or initiated. Examples of these actions include surveying the affected areas to determine the extent of private and public damage, and conducting joint Preliminary Damage Assessments with FEMA officials to estimate the types and extent of Federal disaster assistance required.

The Governor's request is made through the FEMA Regional Administrator and includes information on the extent and nature of State resources that have been or will be used; a certification by the Governor that State and local governments will assume all applicable non-Federal costs required by the Stafford Act; an estimate of the types and amounts of supplementary Federal assistance required; and designation of the State Coordinating Officer.

The FEMA Regional Administrator evaluates the damage and requirements for Federal assistance and makes a recommendation to the FEMA Administrator. The FEMA Administrator, acting through the Secretary of Homeland Security, then recommends a course of action to the President. In extraordinary circumstances, the President may unilaterally make such a declaration to expedite the delivery of lifesaving assistance.

Following a Presidential declaration, the President appoints a Federal Coordinating Officer to execute Stafford Act authorities. The Federal Coordinating Officer represents the FEMA Administrator in the field and uses the structures and process specified in the National Response Framework to manage the response and recovery efforts.

While the Stafford Act may be the most familiar mechanism for Federal support, it is not the only one.

Often, Federal assistance does not require coordination by the Department of Homeland Security and can be provided without a Presidential emergency or major disaster declaration. In these instances, Federal departments and agencies provide assistance to States, as well as directly to tribes and local jurisdictions, consistent with their own authorities.

It is important to note that the National Response Framework does not alter or impede the ability of Federal departments and agencies to carry out their specific response authorities. For example, local and tribal governments can request assistance directly from the Environmental Protection Agency and the U.S. Coast Guard under the Comprehensive Environmental Response, Compensation, and Liability Act.

In addition, Federal departments and agencies routinely manage the response to incidents under their statutory or executive authorities. An example of such an authority is the wildland firefighting support provided by the U.S. Forest Service. When assistance is being coordinated by a Federal agency with primary jurisdiction, the Department of Homeland Security may activate Framework mechanisms to support the response without assuming overall leadership for the incident.

(Continued on the next page.)

**Video Transcript (Continued)**

In addition to providing assistance to local, tribal, and State governments, the National Response Framework allows for Federal-to-Federal support. A Federal entity with primary responsibility and authority for handling an incident may request Federal assistance under the National Response Framework. In these circumstances, the Department of Homeland Security coordinates the response using multiagency coordination structures established in the Framework.

The National Response Framework provides structures for implementing nationwide response policy and operational coordination for all types of domestic incidents. Given its flexibility and scalability, the Framework can be implemented to deliver the resources at the needed level of coordination across a wide range of authorities.



Visual 3.32

### The Stafford Act



Robert T. Stafford

- Provides a system of emergency preparedness for the protection of life and property from hazards.
- Places responsibility for emergency preparedness jointly in the Federal Government, State governments, and their political subdivisions.
- Gives FEMA responsibility for coordinating government response.



Visual 3.32  
Roles and Responsibilities

**Visual Description:** Stafford Act

### Instructor Notes

Explain that the **Disaster Relief Act of 1974 (Public Law 93-288)** is the Federal law that established the process of presidential disaster declarations. In November 1988, Congress amended the act and renamed it the **Robert T. Stafford Disaster Relief and Emergency Assistance Act** (Public Law 100-707).

Tell the participants that the Stafford Act authorizes the President to provide financial and other forms of assistance to State and local governments, certain private nonprofit organizations, and individuals to support response, recovery, and mitigation efforts following Presidential emergency or disaster declarations.

The Stafford Act:

- Covers all hazards, including natural disasters and terrorist events.
- Provides primary 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.

Note that most incidents are not of sufficient magnitude to warrant a Presidential declaration. If State and local resources are insufficient, a Governor may ask the President to make such a declaration.

(Continued on the next page.)

Explain the process for requesting assistance under the Stafford Act by presenting the following points:

Before making a declaration request, the Governor must activate the State's emergency plan and ensure that all appropriate State and local actions have been taken or initiated, including:

- Surveying the affected areas to determine the extent of private and public damage.
- Conducting joint preliminary damage assessments with FEMA officials to estimate the types and extent of Federal disaster assistance required.
- Consulting with the FEMA Regional Administrator on Federal disaster assistance eligibility, and advising the FEMA regional office if a Presidential declaration will be requested.

The Governor's request is made through the FEMA Regional Administrator and based on a finding that the disaster is of such severity and magnitude that effective response is beyond the capabilities of the State and affected local governments, and that Federal assistance is necessary. The request must include:

- Information on the extent and nature of State resources that have been or will be used to address the consequences of the disaster.
- A certification by the Governor that State and local governments will assume all applicable non-Federal costs required by the Stafford Act, per Section 501(b) of the Stafford Act.

Ordinarily, only a Governor can initiate a request for a Presidential emergency or major disaster declaration. **In extraordinary circumstances, the President may unilaterally declare a major disaster or emergency.** For example, the President unilaterally declared an emergency after the Oklahoma City bombing, because it was a Federal office building.



Visual 3.33



**Visual Description:** Major Disaster Declaration Process

### Instructor Notes

Explain that the Stafford Act major disaster declaration process includes the following major steps:

- **Step 1: FEMA/Federal and State representatives complete a joint Preliminary Damage Assessment (PDA).**
- **Step 2: The Governor formally requests assistance.**
- **Step 3: FEMA reviews the request and makes a recommendation.**
- **Step 4: The President makes a major disaster declaration, if warranted.**

**Note:** In a catastrophic incident, the above steps may be expedited.

Tell the participants that they can review the steps of this process in more detail on the next page.

**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.
- A Federal Coordinating Officer (FCO) is designated to oversee the disaster operations.

**Note:** In a catastrophic incident, the above steps may be expedited.



Visual 3.34

### Defense Support of Civil Authorities

- Title 10 U.S.C. authorizes the Secretary of Defense to provide DOD supplies, services, and equipment to persons affected by a public emergency.
- Defense Coordinating Officers serve as the Federal coordination point for DOD assistance.
- National Guard assets remain under the control of the Governor.



Visual 3.34  
Roles and Responsibilities

**Visual Description:** Defense Support of Civil Authorities

### Instructor Notes

Present the following information about defense support of civil authorities:

Many **Department of Defense (DOD)** components and agencies are authorized to respond to save lives, protect property and the environment, and mitigate human suffering under imminently serious conditions, as well as to provide support under their separate established authorities, as appropriate.

**Defense Support of Civil Authorities (DSCA)** refers to support provided by U.S. military forces. The DOD normally provides DSCA in response to requests for assistance (RFAs) from other Federal departments or agencies, or in some cases, local, State, or tribal governments. In providing DSCA, the Secretary of Defense will always retain command of DOD personnel, with the exception of National Guard forces under the command and control of the Governors.

**Prior to a Presidential Declaration of a Disaster and/or Emergency:** During the immediate aftermath of an incident that may ultimately qualify for assistance under the Stafford Act, the Governor of the State in which the incident occurred may request the President to direct the Secretary of Defense to utilize DOD resources to perform emergency work that is essential for the preservation of life and property.

(Continued on the next page.)

### Defense Support of Civil Authorities (Continued)

**After a Presidential Declaration of a Disaster and/or Emergency:** After the President issues a major disaster and/or emergency declaration, DOD is normally in direct support of a primary Federal agency. All requests are routed through the **Defense Coordinating Officer** at the disaster site to:

- Office of the Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs
- Joint Director of Military Support

The primary mission of the Department of Defense (DOD) and its components is national defense. **Because of this critical role, resources are committed after approval by the Secretary of Defense or at the direction of the President.**

The provision of defense support is evaluated by its legality, lethality, risk, cost, appropriateness, and impact on readiness. Section 2567 of Title 10, U.S.C (2006), authorizes the Secretary of Defense (following a determination by the President to invoke 10 U.S.C. § 333(a)(1)(A) of the Restoration Act) to provide supplies, services, and equipment to persons affected by a public emergency.

The Posse Comitatus Act, 18 U.S.C. § 1385 (2005), prohibits the use of the Army or the Air Force for law enforcement purposes, except as otherwise authorized by the Constitution or statute.

When Federal military and civilian personnel and resources are authorized to support civil authorities, command of those forces will remain with the Secretary of Defense. DOD elements in the incident area of operations, and National Guard forces under the command of a Governor (unless the Guard has been Federalized), will coordinate closely with response organizations at all levels.

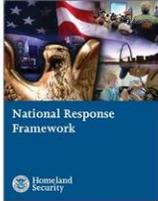
DOD has appointed 10 Defense Coordinating Officers (DCOs) and assigned one to each FEMA region. The DCO assigned to FEMA R-10 is designated as the liaison to the NICC. If requested and approved, the DCO serves as DOD's single point of contact at the Joint Field Office (JFO) for requesting assistance from DOD.

Requests for Defense Support of Civil Authorities (DSCA) originating at the JFO are coordinated with and processed through the DCO. The DCO may have a Defense Coordinating Element consisting of a staff and military liaison officers to facilitate coordination and support to activated ESFs.



Visual 3.35

### NRF Federal-to-Federal Assistance



- Coordinated by DHS using the NRF multiagency coordination structures.
- Generally funded by the Federal entity with primary responsibility and statutory authority in accordance with provisions of the Economy Act.
- Facilitated by the interagency memorandum of understanding for Mutual Aid (see the NRF Financial Management Support Annex).



Visual 3.35  
Roles and Responsibilities

**Visual Description:** NRF Federal-to-Federal Assistance

#### Instructor Notes

Tell the participants that when a Federal entity with primary responsibility and authority for handling an incident requires Federal assistance above and beyond its interagency mechanisms (e.g., Executive orders, memorandums of understanding (MOUs), MOAs, etc.), that department or agency can request additional Federal assistance through DHS.

Explain that when this happens, this support is:

- Coordinated by DHS using the multiagency coordination structures established in the Framework and in accordance with the NIMS.
- Generally funded by the Federal entity with primary responsibility and statutory authority for the incident in accordance with provisions of the Economy Act, unless other statutory authorities exist.
- Facilitated by the interagency MOU for Mutual Aid, and executed at the time of the incident through interagency agreements (see the Financial Management Support Annex for more information).

Note that Federal departments and agencies routinely manage the response to incidents under their statutory or executive authorities and agreements. These types of responses do **NOT** require DHS coordination and are not subject to the NRF Financial Management Support Annex.



Visual 3.36

**Knowledge Review (1 of 4)**

**Instructions:** Decide if the statement is TRUE or FALSE.

In extraordinary circumstances, the President may unilaterally make an emergency declaration to expedite the delivery of lifesaving assistance.

 FEMA Visual 3.36  
Roles and Responsibilities

**Visual Description:** True or False: In extraordinary circumstances, the President may unilaterally make an emergency declaration to expedite the delivery of lifesaving assistance.

### Instructor Notes

**Ask the participants to determine if the following statement is true or false: In extraordinary circumstances, the President may unilaterally make an emergency declaration to expedite the delivery of lifesaving assistance.**

If not mentioned by participants, note that the statement is **true** and explain that, 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.



Visual 3.37

**Knowledge Review (2 of 4)**

**Instructions:** Decide if the statement is TRUE or FALSE.

A Presidential emergency or major disaster declaration is required prior to the delivery of any Federal assistance.

 **FEMA** 

Visual 3.37  
Roles and Responsibilities

**Visual Description:** True or False: A Presidential emergency or major disaster declaration is required prior to the delivery of any Federal assistance.

### Instructor Notes

**Ask the participants to determine if the following statement is true or false: A Presidential emergency or major disaster declaration is required prior to the delivery of Federal assistance.**

If not mentioned by participants, note that the statement is **false**. Explain that, in many cases, assistance may be obtained from the Federal Government without a Presidential declaration. For example, FEMA places liaisons in State Emergency Operations Centers and moves commodities near incident sites that may require Federal assistance prior to a Presidential declaration. Additionally, some types of assistance, such as Fire Management Assistance Grants – which provide support to States experiencing severe wildfires – 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.



Visual 3.38

**Knowledge Review (3 of 4)**

**Instructions:** Decide if the statement is TRUE or FALSE.

A Federal entity may request Federal assistance under the National Response Framework.

 **FEMA** 

Visual 3.38  
Roles and Responsibilities

**Visual Description:** True or False: A Federal entity may request Federal assistance under the NRF.

### Instructor Notes

**Ask the participants to determine if the following statement is true or false: A Federal entity may request Federal assistance under the National Response Framework.**

If not mentioned by participants, note that the statement is **true** because a Federal entity with primary responsibility and authority for handling an incident may request Federal assistance under the National Response Framework. In these circumstances, DHS coordinates the response using multiagency coordination structures established in the Framework.



Visual 3.39

**Knowledge Review (4 of 4)**

**Instructions:** Decide if the statement is TRUE or FALSE.

Whenever Framework mechanisms are activated, the Secretary of Homeland Security assumes an overall leadership role.

 FEMA  Visual 3.39  
Roles and Responsibilities

**Visual Description:** True or False: Whenever Framework mechanisms are activated, the Secretary of Homeland Security assumes an overall leadership role.

### Instructor Notes

**Ask the participants to determine if the following statement is true or false: Whenever Framework mechanisms are activated, the Secretary of Homeland Security assumes an overall leadership role.**

If not mentioned by participants, note that the statement is **false**, because Federal departments and agencies routinely manage the response to incidents under their statutory or executive authorities. An example of such an authority is the wildland firefighting support provided by the U.S. Forest Services. When assistance is being coordinated by a Federal agency with primary jurisdiction, DHS may activate Framework mechanisms to support the response without assuming overall leadership for the incident. Remind participants that the Framework is always in effect.



Visual 3.40

**Summary**

Are you now able to describe:

- The roles and responsibilities of response partners?
- The process for requesting assistance?

**Lesson List**

- ✓ Overview
- ✓ Roles & Responsibilities
- Response Action
- Response Organization
- Planning
- Additional Resources & Summary

FEMA

Visual 3.40  
Roles and Responsibilities

Visual Description:

---

### Instructor Notes

---

Ask the participants if they are now able to describe:

- The roles and responsibilities of response partners.
- The process for requesting assistance.

**Ask if anyone has any questions about anything covered in this unit.**

Transition to the next unit by explaining that it presents the response actions.

---

## Unit 4: Response Actions

---

---

---



## Objectives

At the end of this unit, the participants should be able to describe the actions from all levels of government that support national response.

---

## Scope

- Unit Introduction
  - Unit Objective
  - Preparedness
    - Video: Response Actions
    - Preparedness Cycle
    - Plan
    - Self-Assessment Activity
    - Organize, Train & Equip
    - National Incident Management System
    - Exercise
    - Evaluate & Improve
    - Homeland Security Exercise and Evaluation Program
    - Knowledge Review
  - Response
    - Response Overview
    - Support Annexes
    - Situational Awareness
    - Knowledge Review
    - Activation and Deployment
    - Coordination
    - Command and Management
    - Demobilization
    - Recovery
  - Summary
- 

## Methodology

The instructors will introduce the unit by displaying a visual, which outlines the unit objectives. The unit is divided into two sections: preparedness and response.

The instructors will begin by showing a video about response actions. They will then explain the preparedness cycle and its planning stage. Participants will complete a self-assessment activity to evaluate the strength of their agency/jurisdiction's plans.

Next, instructors will explain the step of the preparedness cycle that involves organizing, training, and equipping responders. The instructors will explain how NIMS ensures that responders are properly trained and equipped so that they can work together effectively. Next, the unit covers the evaluation and improvement stage of the preparedness cycle and discusses the Homeland Security Exercise and Evaluation Program (HSEEP). Participants will then demonstrate what they've learned with a scenario-based activity.

In the second half of the unit, the instructors will begin with an overview of response. They will next review the Support Annexes that guide response. Following a discussion of situational awareness, the participants will complete another knowledge review.

The instructors will then explain activation and deployment, coordination, and the Command and Management component of NIMS. The unit closes with demobilization and recovery.

After answering any questions that the participants have, the instructors will summarize the key points from the unit and transition to Unit 5.

---

### Time Plan

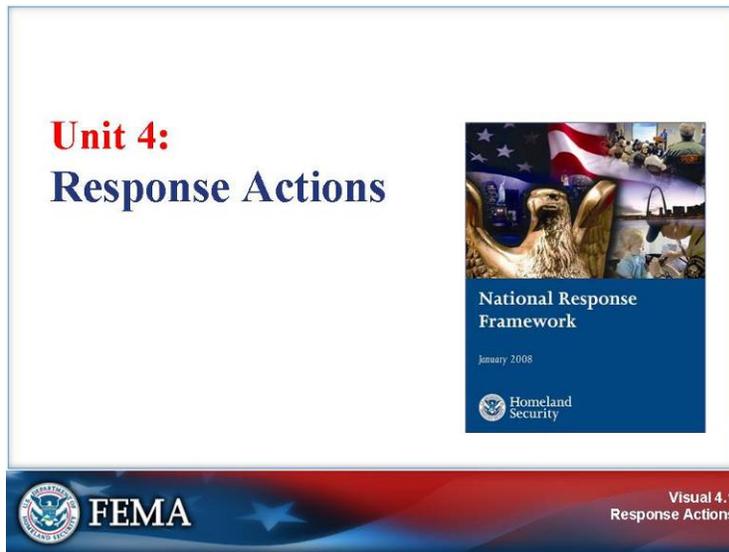
A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Unit Objective	5 minutes
Preparedness	20 minutes
Knowledge Review	5 minutes
Response	25 minutes
Summary	5 minutes
<b>Total Time</b>	<b>1 hour</b>

---



Visual 4.1



**Visual Description:** Unit Introduction

### Instructor Notes

Explain that the Framework is intended to strengthen, organize, and coordinate response actions across all levels. Unit 4 describes and outlines key tasks related to the three phases of effective response: prepare, respond, and recover.

The next visual will outline the objectives for this unit.



Visual 4.2

**Unit Objective**

**Describe actions that support national response.**

**Lesson List**

- ✓ Overview
- ✓ Roles & Responsibilities
- Response Action
- Response Organization
- Planning
- Additional Resources & Summary

FEMA

Visual 4.2  
Response Actions

**Visual Description:** Unit Objective

### Instructor Notes

Review the unit objective with the group. Tell the participants that by the end of this unit, they should be able to describe the actions at all levels of government that support national response.



Visual 4.3

The slide titled "Lesson Topics" features two blue rounded rectangular buttons. The top button is labeled "Preparedness" and includes a small image of people in a field setting. The bottom button is labeled "Response" and includes a small image of people in a control room. At the bottom of the slide, there is a red and blue banner with the FEMA logo on the left and the text "Visual 4.3 Response Actions" on the right.

**Visual Description:** Lesson Topic: Preparedness

### Instructor Notes

Explain that this unit is divided into two sections—preparedness and response. Tell the participants that the first part of the lesson covers preparedness.



Visual 4.4



**Visual Description:** Video: Response Actions

### Instructor Notes

Tell the participants that this video provides an overview of response actions.

The total running time for the video is 4:48.

### Video Transcript:

Responders and emergency managers are both doers and planners, which means to lead response and recovery efforts effectively, they must also prepare effectively. In this segment, we'll look at how the National Response Framework strengthens our ability to prepare for, respond to, and recover from incidents.

Let's begin with how we prepare as a Nation. Preparedness is essential for effective response. During preparedness, response partners plan; organize, train, and equip; exercise; and evaluate and improve.

Planning includes the development of policies, plans, procedures, mutual aid and assistance agreements, strategies, and other arrangements to perform missions and tasks. Plans should address all hazards and be tailored to each jurisdiction.

Organizing to execute response activities includes developing an overall organizational structure, strengthening leadership at each level, and assembling well-qualified teams of paid and volunteer staff for essential response and recovery tasks. The National Incident Management System, or NIMS, provides standard command and management structures used during response. These common structures enable responders from different jurisdictions and disciplines to work together to respond to incidents.

**Video Transcript: (Continued)**

Once responders are equipped with resources, training helps build essential response capabilities and readiness.

Exercises provide opportunities to test plans and improve proficiency. When response partners exercise together, interagency coordination and communications are improved and capability gaps and opportunities for improvement are identified.

Evaluation and continuous improvement are cornerstones of effective preparedness. Corrective action programs help response partners to evaluate response operations, capture lessons learned, and make improvements.

Once an incident occurs, priorities shift – from building capabilities to taking actions to save lives, protect property and the environment, and preserve the social, economic, and political structure of the jurisdiction. Let's look at the four key actions that typically occur in support of a response.

Situational awareness requires continuous monitoring of relevant sources of information regarding actual and developing incidents. For an effective national response, jurisdictions must continuously refine their ability to assess the situation as an incident unfolds and rapidly provide accurate and accessible information to decisionmakers. It is essential that all response partners develop a common operating picture and synchronize their response operations and resources.

When an incident occurs, responders assess the situation, identify and prioritize requirements, and activate available resources and capabilities to save lives, protect property and the environment, and meet basic human needs.

Response is guided by the common principles, structures, and coordinating processes established by NIMS.

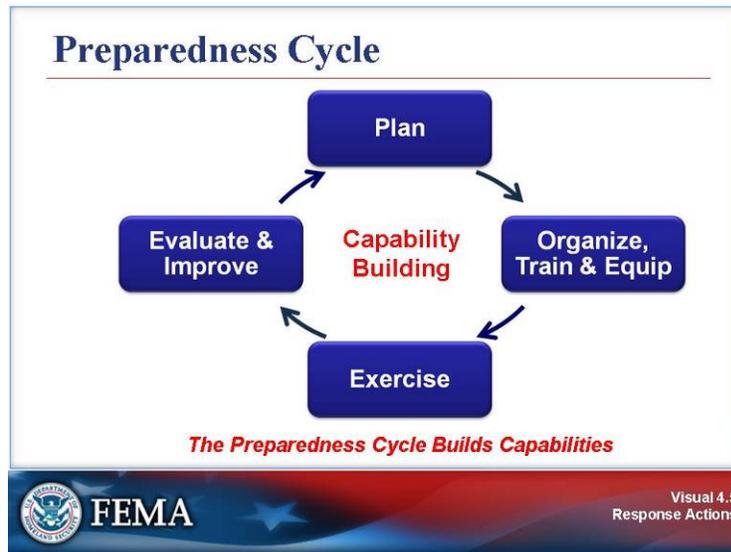
Demobilization is the orderly, safe, and efficient return of a resource to its original location and status. Demobilization begins as soon as possible to facilitate accountability of the resources and to make resources available for other incidents as needed.

Once immediate lifesaving activities are complete, the focus shifts to recovery. During short-term recovery, basic services and functions are restored. In the long term, recovery is a restoration of both the personal lives of individuals and the livelihood of the community.

Each member of our society, including our leaders, professional emergency managers, private-sector representatives, and nongovernmental organizations plays a vital role in strengthening the Nation's response capabilities. The partnerships fostered by the National Response Framework greatly improve our ability to work together to prepare, respond, and recover.



Visual 4.5



**Visual Description:** Preparedness Cycle: Plan, Organize, Train, Equip, Exercise, Evaluate, Improve

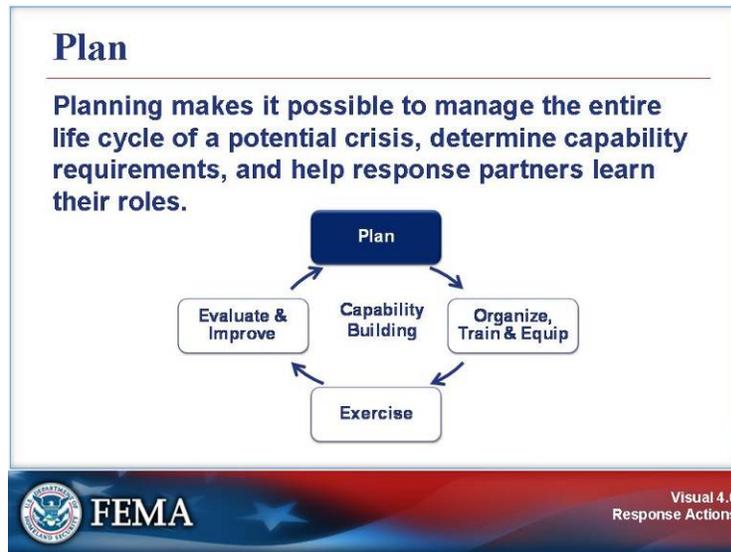
### Instructor Notes

Remind participants that, as described in the video presentation, preparedness is essential for effective response.

Note that the next portion of this lesson briefly reviews the six essential activities for preparing to respond to an incident: plan, organize, train, equip, exercise, and evaluate and improve.



Visual 4.6



**Visual Description:** Preparedness Cycle: Plan

### Instructor Notes

Explain that planning makes it possible to manage the entire life cycle of a potential crisis, determine capability requirements, and help response partners learn their roles. In addition, planning:

- Includes the collection and analysis of intelligence and information, as well as the development of policies, plans, procedures, mutual aid and assistance agreements, strategies, and other arrangements to perform missions and tasks.
- Improves effectiveness by clearly defining required capabilities, shortening the time required to gain control of an incident, and facilitating the rapid exchange of information.

Have the participants take a few minutes to complete the self-assessment checklist on the next page in their Student Manuals.

**Instructions:** Complete the following self-assessment of your jurisdiction's, agency's, and organization's plans. When you are finished, click on the Submit button.

Our Plans . . .	Yes	No
Are developed using hazard identification and risk assessment methodologies.	<input type="checkbox"/>	<input type="checkbox"/>
Are all-hazards in scope while providing hazard-specific guidance.	<input type="checkbox"/>	<input type="checkbox"/>
Define leadership roles and responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>
Identify the decisions that need to be made, who will make them, and when.	<input type="checkbox"/>	<input type="checkbox"/>
Are integrated, operational, and incorporate key private-sector and nongovernmental elements.	<input type="checkbox"/>	<input type="checkbox"/>
Include provisions for all persons, including special needs populations and those with household pets.	<input type="checkbox"/>	<input type="checkbox"/>
Address all contingencies across various scenarios, including no-notice and forewarned events.	<input type="checkbox"/>	<input type="checkbox"/>
Are augmented by specific procedures and protocols to guide rapid implementation.	<input type="checkbox"/>	<input type="checkbox"/>
Are living documents that are updated continuously based on changing conditions and lessons learned.	<input type="checkbox"/>	<input type="checkbox"/>



Visual 4.7



**Visual Description:** Preparedness Cycle: Organize, Train & Equip

### Instructor Notes

Present the following points to the group:

**Organize:** Executing response activities includes developing an overall organizational structure, strengthening leadership at each level, and assembling well-qualified teams of paid and volunteer staff for essential response and recovery tasks.

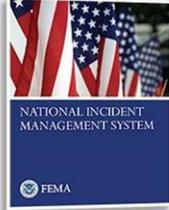
**Train:** Building essential response capabilities nationwide requires a systematic program to train individual teams and organizations – to include governmental, nongovernmental, private-sector, and voluntary organizations – to meet a common baseline of performance and certification standards.

**Equip:** It is critical to acquire equipment that will perform to established standards, including the capability to be interoperable with equipment used by other jurisdictions and/or participating organizations.



Visual 4.8

### National Incident Management System



**NIMS:**

- Provides a consistent nationwide template.
- Enables Federal, State, tribal, and local governments, the private sector, and nongovernmental organizations to work together.
- Helps to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents regardless of cause, size, location, or complexity.
- Reduces the loss of life and property, and harm to the environment.

 **FEMA**

Visual 4.8  
Response Actions

**Visual Description:** National Incident Management System

### Instructor Notes

Explain that the National Incident Management System (NIMS) provides a comprehensive framework to ensure that responders from across the country are organized, trained, and equipped in a manner that allows them to work together seamlessly.

Tell the participants that response organizations should:

- Conduct a thorough, systematic inventory of their response resources.
- Establish resource management practices that conform to NIMS.
- Have a cadre of personnel (which can include full-time employees, temporary or reserve personnel, and contractors) who are trained in incident management and response principles and organized into teams.
- Pre-position resources close to those localities most at risk.



Visual 4.9



**Visual Description:** Why is planning important? What steps can you take to ensure that responders work together seamlessly?

### Instructor Notes

Facilitate a discussion by asking the participants the following questions:

#### **Why is planning important?**

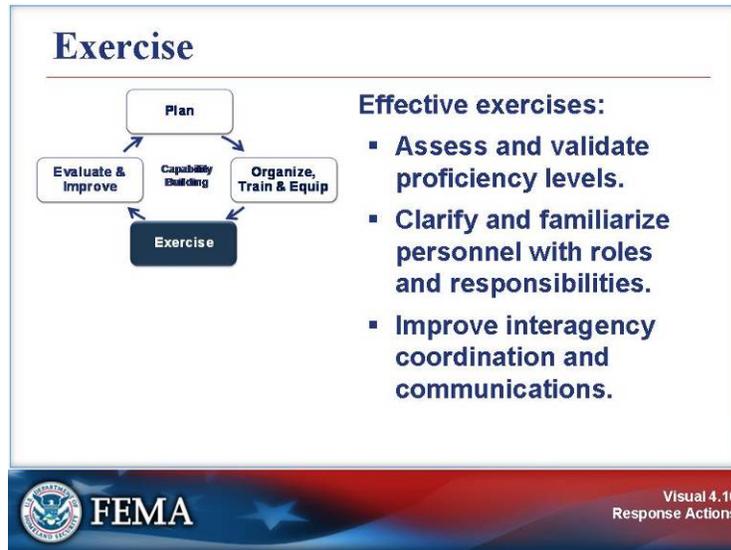
If not mentioned by participants, note that planning is the cornerstone of preparedness. Planning improves effectiveness by clearly defining required capabilities, shortening the time required to gain control of an incident, and facilitating the rapid exchange of information.

#### **What steps can you take to ensure that responders work together seamlessly?**

If not mentioned by participants, explain that an organization can ensure that its resources are organized, trained, and equipped in a manner that allows responders to work together seamlessly by following NIMS. The NIMS Preparedness and Resource Management components provide a systematic process for ensuring that responders are organized, trained, and equipped.



Visual 4.10



**Visual Description:** Preparedness Cycle: Exercise

### Instructor Notes

Explain to the participants that exercises provide opportunities to test plans and improve proficiency in a risk-free environment. Effective exercises:

- Assess and validate proficiency levels.
- Clarify and familiarize personnel with roles and responsibilities.
- Improve interagency coordination and communications, highlight capability gaps, and identify opportunities for improvement.

Note that 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.

Explain that 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.



Visual 4.11

### Criteria for Effective Exercises

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.



 **FEMA**

Visual 4.11  
Response Actions

**Visual Description:** Criteria for Effective Exercises

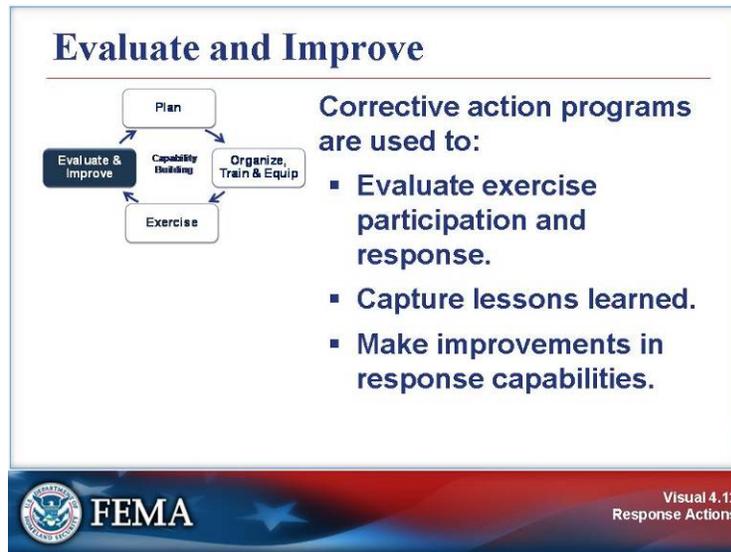
### Instructor Notes

Explain to the participants that 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.



Visual 4.12



**Visual Description:** Preparedness Cycle: Evaluate and Improve

### Instructor Notes

Evaluation and continual process improvement are cornerstones of effective preparedness. Upon concluding an exercise or significant response, jurisdictions should:

- Evaluate performance against relevant capability objectives and identify gaps.
- Develop corrective action plans with specific recommendations for changes in practice, timelines for implementation, and assignments for completion.

All local, tribal, State, and Federal entities should institute a corrective action program to evaluate exercise participation and response, capture lessons learned, and make improvements in their response capabilities.



Visual 4.13

## HSEEP

The Homeland Security Exercise and Evaluation Program (HSEEP):

- Is a capabilities- and performance-based exercise program.
- Establishes standardized policy, methodology, and language for designing, developing, conducting, and evaluating all exercises.
- Provides tools and resources.



Visual 4.13  
Response Actions



FEMA

**Visual Description:** Homeland Security Exercise and Evaluation Program (HSEEP)

### Instructor Notes

Describe the Homeland Security Exercise and Evaluation Program (HSEEP), which:

- Is a capabilities- and performance-based exercise program.
- Establishes standardized policy, methodology, and language for designing, developing, conducting, and evaluating all exercises.
- Provides tools and resources including policy and guidance, training, technology, and direct exercise support.

Note that the HSEEP Toolkit is a Web-based system that enables implementation of the corrective action program process.



Visual 4.14

### Knowledge Review

**Instructions:** Read the description below, and talk with a partner about how the exercise could be improved. Be prepared to share with the class in 2 minutes.

**Scenario:** A local fire department conducts annual exercises to prepare for the possibility of an accidental release of hazardous materials within the county.

**Question:** How could this exercise be improved?



Visual 4.14  
Response Actions

**Visual Description:** Knowledge Review

### Instructor Notes

Review the scenario on the visual and have participants talk with a partner about how the exercise could be improved. Tell the participants that they should be prepared to share their answers with the class in 2 minutes.

**Scenario:** A local fire department conducts annual exercises to prepare for the possibility of an accidental release of hazardous materials within the county.

**Question:** How could this exercise be improved?

Facilitate a discussion. If not mentioned by participants, note that exercises should include multidisciplinary, multijurisdictional incidents and involve participation of private-sector and nongovernmental organizations. Exercises should cover aspects of preparedness plans, particularly the processes and procedures for activating local, intrastate, and interstate mutual aid and assistance agreements.



Visual 4.15



**Visual Description:** Lesson Topic: Response

### Instructor Notes

Remind the participants that the National Response Framework is required by, and integrates under, a larger National Strategy for Homeland Security that:

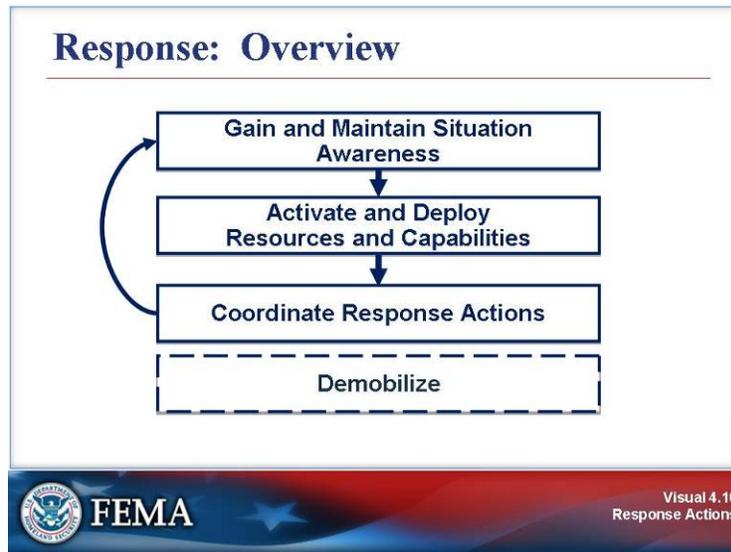
- Serves to guide, organize, and unify our Nation's homeland security efforts.
- Reflects our increased understanding of the threats confronting the United States.
- Incorporates lessons learned from exercises and real-world catastrophes.
- Articulates how we should ensure our long-term success by strengthening the homeland security foundation we have built.

Note that in the context of the overall National Strategy, the NRF primarily focuses on the third goal of “responding to and recovering from incidents.”

Explain that the next part of this unit covers response.



Visual 4.16



**Visual Description:** Response: Overview

### Instructor Notes

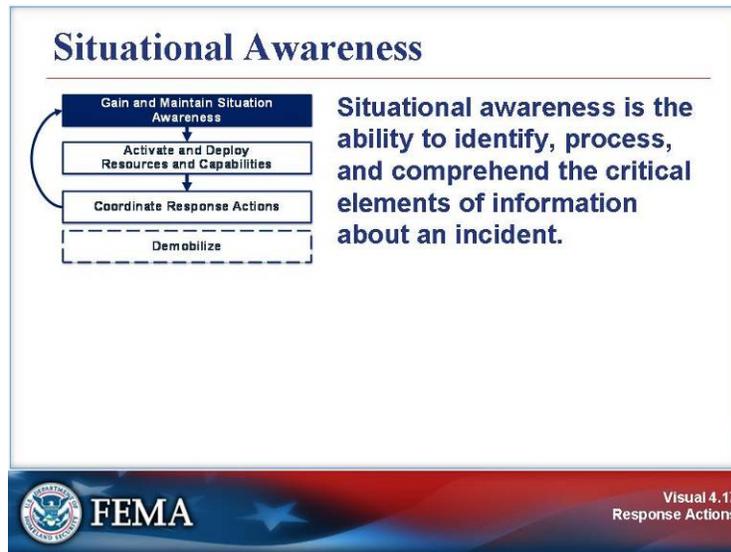
Tell the participants that, depending on the size, scope, and magnitude of an incident, communities, States, and, in some cases, the Federal Government will respond.

Note that the next part of this lesson covers four key actions that typically occur in support of a response:

- Gain and maintain situational awareness;
- Activate and deploy key resources and capabilities;
- Coordinate response actions; and
- Demobilize.



Visual 4.17



**Visual Description:** Gain and Maintain Situational Awareness

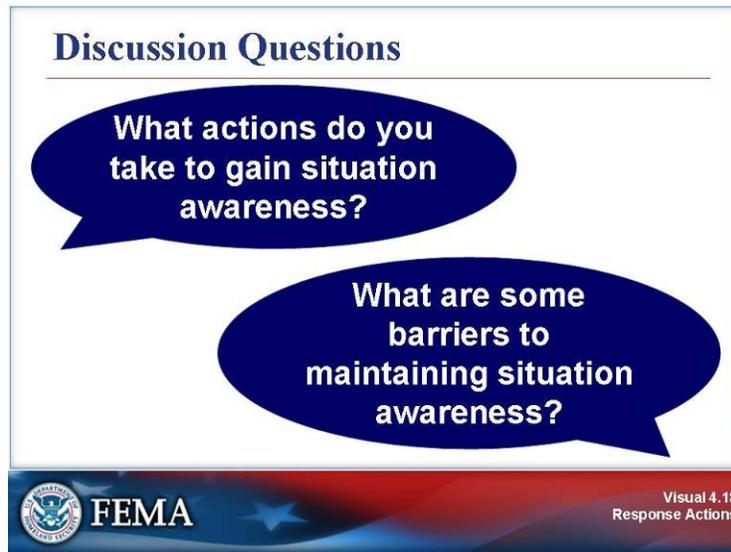
### Instructor Notes

Tell the participants that situational awareness requires continuous monitoring of relevant sources of information regarding actual and developing incidents.

Explain that the scope and type of monitoring vary based on the type of incidents being evaluated and needed reporting thresholds. Critical information is passed through established reporting channels according to established security protocols.



Visual 4.18



**Visual Description:** What actions do you take to gain situation awareness? What are some barriers to maintaining situation awareness?

### Instructor Notes

Transition into the topic of situational awareness by facilitating a discussion. Ask the participants:

What actions do you take to gain situational awareness?

What are some barriers to maintaining situation awareness?

Present the following example:

The Mid-America Regional Council (MARC) serves as the association of city and county governments and the metropolitan planning organization for the bi-State Kansas City metropolitan region. MARC has developed a system that allows emergency responders to share information and to coordinate planning and responses for large-scale incidents by:

- Connecting approximately 100 government agencies and private organizations across 8 counties and 2 States in the Kansas City region.
- Allowing agencies throughout the region to share data on emergency personnel, plans, and assets.
- Sharing purchasing guidelines and fund management information.



Visual 4.19

### Situational Awareness Priorities

When developing protocols for situational awareness, priority should be given to:

- Providing the right information at the right time.
- Improving and integrating national reporting.
- Linking operations centers and tapping subject-matter experts.
- Standardizing reporting.



Visual 4.19  
Response Actions



**Visual Description:** Situational Awareness Priorities

### Instructor Notes

Explain that for an effective national response, jurisdictions must continuously refine their ability to assess the situation as an incident unfolds and rapidly provide accurate and accessible information to decisionmakers in a user-friendly manner. It is essential that all levels of government, the private sector (in particular, owners/operators of critical infrastructure and key resources), and nongovernmental organizations share information to develop a common operating picture and synchronize their response operations and resources.

Present the following points about situational awareness priorities:

#### **Improving and integrating national reporting.**

Situational awareness must start at the incident scene and be effectively communicated to local, tribal, State, and Federal governments and the private sector, to include critical infrastructure and key resources. Jurisdictions must integrate existing reporting systems to develop an information and knowledge management system that fulfills national information requirements.

#### **Linking operations centers and tapping subject-matter experts.**

Local governments, tribes, States, and the Federal Government have a wide range of operations centers that monitor events and provide situational awareness. Based on their roles and responsibilities, operations centers should identify information requirements, establish reporting thresholds, and be familiar with the expectations of decisionmakers and partners. Situational awareness is greatly improved when experienced technical specialists identify critical elements of information and use them to form a common operating picture.

(Continued on the next page.)

**Standardizing reporting.**

Reporting and documentation procedures should be standardized to enhance situational awareness and provide emergency management and response personnel with ready access to critical information. Situation reports should contain verified information and explicit details (who, what, where, when, and how) related to the incident. Status reports, which may be contained in situation reports, relay specific information about resources. Based on an analysis of the threats, jurisdictions issue accessible warnings to the public and provide emergency public information.



Visual 4.20

**Knowledge Review**

Instructions: Answer the question below.

**What is the role of documentation and information sharing in enhancing situational awareness?**

 **FEMA** 

Visual 4.20  
Response Actions

**Visual Description:** What is the role of the documentation and information sharing in enhancing situational awareness?

---

### Instructor Notes

---

**Ask the participants:** What is the role of documentation and information sharing in enhancing situational awareness?

Facilitate a discussion. If not mentioned by participants, add that gaining and maintaining situational awareness requires that critical information is passed through established reporting channels according to established security protocols.



Visual 4.21



**Visual Description:** What are some typical initial response activities?

### Instructor Notes

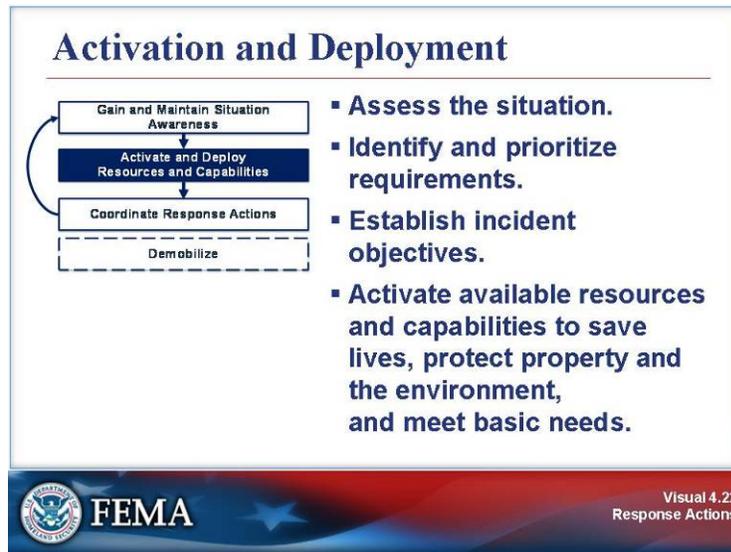
#### **Ask the participants: What are some typical initial response activities?**

Facilitate a discussion. If not mentioned by participants, provide the following examples:

- Warning the public and providing accessible emergency public information.
- Implementing evacuation and sheltering plans that include provisions for special needs populations and household pets.
- Sheltering evacuees in preidentified, physically accessible shelters.
- Providing food, water, and other necessities to meet the needs of all people, including persons with disabilities and other special needs.
- Performing search and rescue.
- Treating the injured.
- Providing law enforcement and investigation.
- Controlling hazards (extinguishing fires, containing hazardous materials spills, etc.).
- Ensuring responder safety and health.



Visual 4.22



**Visual Description:** Activate and Deploy Resources and Capabilities

### Instructor Notes

Explain to the participants that, at the onset of an incident or planned event, responders establish command and then:

- Assess the situation.
- Identify and prioritize requirements.
- Establish incident objectives.
- Activate available resources and capabilities to save lives, protect property and the environment, and meet basic human needs.

At the scene, Incident Commanders develop Incident Action Plans while local, tribal, State, and/or Federal Government entities develop plans for coordinating support efforts.



Visual 4.23



**Visual Description:** Coordinate Response Actions

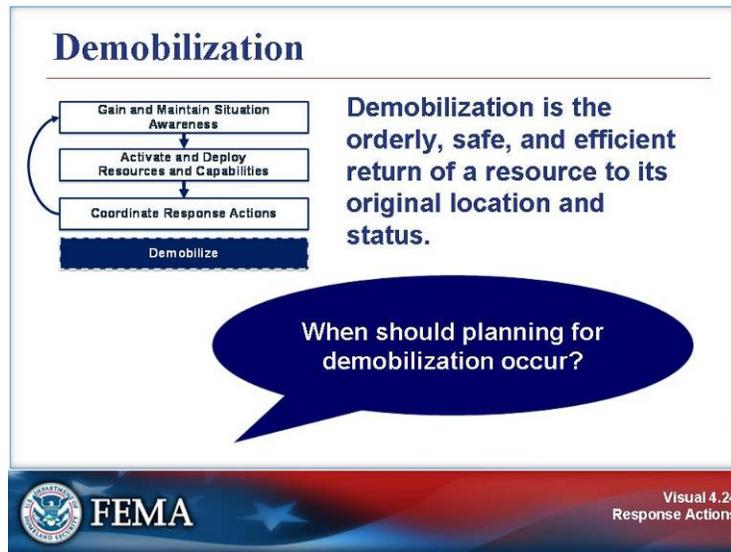
### Instructor Notes

Describe how coordination of response actions:

- Is enhanced through NIMS principles, structures, and coordinating processes.
- Involves the clear delegation of assigned roles and responsibilities.
- Requires that critical information is provided through established reporting mechanisms.



Visual 4.24



**Visual Description:** Demobilize: When should planning for demobilization occur?

### Instructor Notes

Explain to participants that Incident managers should plan and prepare for the demobilization process at the same time that they begin the resource mobilization process.

Tell the group that early planning for demobilization facilitates accountability and makes the logistical management of resources as efficient as possible – in terms of both costs and time of delivery.



Visual 4.25

## Recovery

Recovery includes:

- Assisting individuals and households.
- Restoring critical infrastructure.
- Returning communities to self-sufficiency.



 **FEMA**

Visual 4.25  
Response Actions

**Visual Description:** Recovery

### Instructor Notes

Describe how, after immediate lifesaving activities are complete, the focus shifts to assisting individuals, households, critical infrastructure, and businesses in meeting basic needs and returning to self-sufficiency.

Explain that short-term recovery is immediate and overlaps with response. Recovery actions include providing essential public health and safety services, restoring interrupted utility and other essential services, reestablishing transportation routes, and providing food and shelter for those displaced by the incident. Although called “short term,” some of these activities may last for weeks.

Note that long-term recovery, which is outside the scope of the National Response Framework, may involve some of the same actions but may continue for a number of months or years.



Visual 4.26



**Visual Description:** What is the goal of short-term recovery? When does short-term recovery begin?

---

### Instructor Notes

---

Facilitate a discussion by asking the following questions:

**What is the goal of short-term recovery?**

**When does short-term recovery begin?**

If not mentioned by participants, explain that short-term recovery is immediate and overlaps with response. Recovery actions include providing essential public health and safety services, restoring interrupted utility and other essential services, reestablishing transportation routes, and providing food and shelter for those displaced by the incident. Although called “short term,” some of these activities may last for weeks.



Visual 4.27

### Guiding Response: Support Annexes

- Describe how response partners coordinate and execute the common support processes and administrative tasks required during an incident.
- Are not limited to particular types of events.
- Are overarching in nature and applicable to nearly every type of incident.



 **FEMA**

Visual 4.27  
Response Actions

**Visual Description:** Guiding Response: Support Annexes

### Instructor Notes

Explain to the participants that the Support Annexes guide response because they:

- Describe how response partners coordinate and execute the common support processes and administrative tasks required during an incident.
- Are not limited to particular types of events.
- Are overarching in nature and applicable to nearly every type of incident.



Visual 4.28

Support Annexes
Critical Infrastructure and Key Resources
Financial Management
International Coordination
Private-Sector Coordination
Public Affairs
Tribal Relations
Volunteer and Donations Management
Worker Safety and Health



**Visual Description:** List of Support Annexes

### Instructor Notes

Use the information on the visual and the following pages to review the different Support Annexes with the participants.

**Critical Infrastructure and Key Resources Support Annex**

The Critical Infrastructure and Key Resources Support Annex describes policies, roles and responsibilities, and the concept of operations for assessing, prioritizing, protecting, and restoring critical infrastructure and key resources (CIKR) of the United States and its territories and possessions during actual or potential domestic incidents. The annex details processes to ensure coordination and integration of CIKR-related activities among a wide array of public and private incident managers and CIKR security partners within immediate incident areas as well as at the regional and national levels.

**Financial Management Support Annex**

The Financial Management Support Annex provides basic financial management guidance for all participants in NRF activities. This includes guidance for all Federal departments and agencies providing assistance for incidents requiring a coordinated Federal response. The financial management function is a component of Emergency Support Function #5 – Emergency Management.

The processes and procedures described in this annex ensure that funds are provided expeditiously and that financial operations are conducted in accordance with established Federal law, policies, regulations, and standards.

**International Coordination Support Annex**

The International Coordination Support Annex provides guidance on carrying out responsibilities for international coordination in support of the Federal Government's response to a domestic incident with an international component.

**Private-Sector Coordination Support Annex**

The Private-Sector Coordination Support Annex describes the policies, responsibilities, and concept of operations for Federal incident management activities involving the private sector during incidents requiring a coordinated Federal response. In this context, the annex further describes the activities necessary to ensure effective coordination and integration with the private sector, both for-profit and not-for-profit, including the Nation's critical infrastructure, key resources, other business and industry components, and not-for-profit organizations, including those serving special needs populations, engaged in response and recovery.

**Public Affairs Support Annex**

The Public Affairs Support Annex describes the interagency policies and procedures used to rapidly mobilize Federal assets to prepare and deliver coordinated and sustained messages to the public in response to incidents requiring a coordinated Federal response.

**Tribal Relations Support Annex**

The Tribal Relations Support Annex describes the policies, responsibilities, and concept of operations for effective coordination and interaction of Federal incident management activities with those of tribal governments and communities during incidents requiring a coordinated Federal response. The processes and functions described in this annex help facilitate the delivery of incident management programs, resources, and support to tribal governments and individuals.

(Continued on next page.)

**Volunteer and Donations Management Support Annex**

The Volunteer and Donations Management Support Annex describes the coordination processes used to support the State in ensuring the most efficient and effective use of unaffiliated volunteers, unaffiliated organizations, and unsolicited donated goods to support all Emergency Support Functions for incidents requiring a Federal response, including offers of unaffiliated volunteer services and unsolicited donations to the Federal Government.

**Worker Safety and Health Support Annex**

The Worker Safety and Health Support Annex provides Federal support to Federal, State, tribal, and local response and recovery worker safety and health during incidents requiring a coordinated Federal response. The annex, coordinated by the Department of Labor/Occupational Safety and Health Administration (OSHA), describes the technical assistance resources, capabilities, and other support to ensure that response and recovery worker safety and health risks are anticipated, recognized, evaluated, communicated, and consistently controlled.



Visual 4.29

**Summary**

Are you now able to describe:

- The preparedness cycle used for capability building?
- The key actions that typically occur in support of a response?

**Lesson List**

- ✓ Overview
- ✓ Roles & Responsibilities
- ✓ Response Action
- Response Organization
- Planning
- Additional Resources & Summary

FEMA

Visual 4.29  
Response Actions

**Visual Description:** Summary

### Instructor Notes

Ask the participants if they are now able to describe:

- The preparedness cycle used for capability building.
- The key actions that typically occur in support of a response.

**Ask if anyone has any questions about anything covered in this unit.**

Transition to the next unit by explaining that it presents common organizational structures used in nationwide response.

---

## Unit 5: Response Organization

---

---

---



## Objectives

At the end of this unit, the participants should be able to describe:

- The organizational structures that have been developed, tested, and refined over time and how these structures are applied at all levels to support an effective response.
  - The key staff positions needed to operate this system and their relationships and dependencies.
- 

## Scope

- Unit Introduction
  - Unit Objectives
  - Introduction
    - Video: Response Organization
    - Command vs. Coordination
  - Response Structures
    - Local Response Structures
    - State Response Structures
    - Federal Response Structures
    - Knowledge Review
  - Federal Assets
  - Catastrophic Incidents
  - Joint Field Office
    - Unified Coordination Group
    - Principal Federal Official
    - JFO Organization
    - JFO Coordination Staff
    - JFO Sections
    - Knowledge Review
  - Emergency Support Functions
  - Response Organization
    - Federal Assets at an Incident Scene
    - Agencies Responding Under Own Authorities
    - Knowledge Review
  - Summary
- 

## Methodology

The instructors will introduce the unit by displaying a visual, which outlines the unit objectives. The instructors will begin the unit with a video introducing the NRF response organization. Next they'll explain the distinction between command and coordination.

In the section of the lesson on response structures, instructors will first explain local structures, then State structures, then Federal structures. Participants will demonstrate their understanding with a review activity.

(Continued on the next page.)

Then, the instructors will describe Federal response assets. Next, the instructors will explain how response to catastrophic incidents may differ from other response. Then, the instructors will describe the organization of the JFO, the makeup of the JFO Coordination Staff, and the sections that comprise the JFO.

Next, the instructors will explain the Joint Field Office, including the Unified Coordination Group that leads it. They will cover the Principal Federal Official and the relationship between the PFO and other officials. Participants will complete a question-and-answer based knowledge review.

Using a video, instructors will introduce the Emergency Support Functions, and go on to explain how they are organized by functional areas. They will then explain how the response organization fits together, including how ESFs integrate into the structure and how agencies respond under their own authorities. The unit closes with a scenario-based knowledge review.

After answering any questions that the participants have, the instructors will summarize the key points from the unit and transition to Unit 6.

---

### Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Unit Objectives	5 minutes
Introduction	10 minutes
Response Structures	20 minutes
Knowledge Review	15 minutes
Federal Assets	2 minutes
Catastrophic Incidents	3 minutes
Joint Field Office	20 minutes
Knowledge Review	15 minutes
Emergency Support Functions	10 minutes
Response Organization	10 minutes
Knowledge Review	5 minutes
Summary	5 minutes
<b>Total Time</b>	<b>2 hours</b>



Visual 5.1



**Visual Description:** Unit Introduction

### Instructor Notes

Explain that Unit 5 explains how we as a Nation are organized to implement response actions.

The next visual will outline the objectives for this unit.



Visual 5.2

**Unit Objectives:**

**Identify:**

- **Organizational structures.**
- **Key staff positions and relationships.**

**Lesson List**

- ✓ Overview
- ✓ Roles & Responsibilities
- ✓ Response Action
- **Response Organization**
- Planning
- Additional Resources & Summary

 **FEMA** 

Visual 5.2  
Response Organization

**Visual Description:** Unit Objectives

### Instructor Notes

Review the unit objectives with the group. Tell the participants that by the end of this unit, they should be able to describe:

- The organizational structures that have been developed, tested, and refined over time and how these structures are applied at all levels to support an effective response.
- The key staff positions needed to operate this system and their relationships and dependencies.



Visual 5.3



**Visual Description:** Video: Response Organization

### Instructor Notes

Tell the participants that this video provides an introduction to the Nation's response organization.

**Instructions for playing the video:** The videos are activated by a single click on the image in Slide Show mode. If you click a second time on the video, it will stop. The videos will not work unless you are in Slide Show mode.

The total running time for the video is 6:12.

### Video Transcript:

The National Response Framework integrates organizational structures that have been developed, tested, and refined over time. In this presentation, we'll review the major response organizations used at all levels, beginning with local response organizations.

A basic premise of the Framework is that incidents are generally handled at the lowest jurisdictional level possible. Incidents begin and end locally. And most incidents are managed entirely at the local level.

Local responders use the Incident Command System, or ICS, to manage response operations. ICS is a management system designed to enable effective incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.

**Video Transcript: (Continued)**

The Incident Commander communicates with the local emergency operations center, or EOC, to report on the incident status and request resources. During an incident, the local emergency manager ensures the EOC is staffed to support the incident command and arranges needed resources. The chief elected or appointed official provides policy direction and supports the Incident Commander and emergency manager, as needed.

When an incident grows beyond the capability of a local jurisdiction, and responders cannot meet the needs with mutual aid and assistance resources, the local emergency manager may contact the State. State EOCs are activated as necessary to ensure that responders have the resources they need. The Governor may provide the needed resources or request assistance from other States through mutual aid and assistance agreements such as the Emergency Management Assistance Compact.

When it is clear that State capabilities will be exceeded, the Governor may request Federal assistance. Federal assistance can be provided to State, tribal, and local jurisdictions, and to other Federal agencies, in a number of different ways through various mechanisms and authorities.

For our purposes, let's assume the Governor is requesting assistance under the Stafford Act. In this case, the FEMA Regional Administrator deploys a liaison to the State EOC to provide technical assistance and fully activates the Regional Response Coordination Center, or RRCC. The RRCC coordinates Federal regional response efforts until the Joint Field Office is established. The Joint Field Office, or JFO, is the primary Federal incident management field structure. The JFO provides a central location for the coordination of Federal, State, tribal, and local governments and private-sector and nongovernmental organizations with primary responsibility for response and recovery.

Although the JFO uses an ICS structure, it does not manage on-scene operations. Rather, the JFO provides support to on-scene efforts. The JFO is led by the Unified Coordination Group, which is typically comprised of the Federal Coordinating Officer, who is appointed by the President to execute Stafford Act authorities; the State Coordinating Officer, who is appointed by the Governor to coordinate State disaster assistance efforts; and others, such as the Senior Health Official, Department of Defense representative, or Senior Federal Law Enforcement Official.

For a catastrophic or complex incident, a Principal Federal Official, or PFO, may be appointed to serve as the Secretary of Homeland Security's representative. When appointed, the PFO works within the Unified Coordination Group and interfaces with all levels of responders regarding the overall Federal incident management strategy but does not direct nor replace the incident command structure established at the incident.

**Video Transcript: (Continued)**

At the national level, the President ensures the necessary coordinating structure, leadership, and Federal resources are directed quickly and efficiently to large-scale incidents. The Secretary of Homeland Security is the principal Federal official responsible for domestic incident management. The FEMA Administrator serves as the principal advisor to the President and the Secretary of Homeland Security and is responsible for the preparation for, protection against, response to, and recovery from all-hazards incidents.

To ensure integration of Federal response efforts, the National Operations Center, called the NOC, serves as the primary national hub for situational awareness and operations coordination. The NOC provides the Secretary of Homeland Security and other principals with information necessary to make critical national-level incident management decisions.

One key component of the NOC is the National Response Coordination Center, which is referred to as the NRCC. The NRCC is FEMA's focal point for national resource coordination. The NRCC provides overall emergency management coordination, conducts operational planning, deploys national-level teams, and builds and maintains a common operating picture.

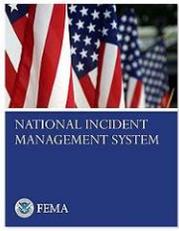
This presentation introduced the major response organizations at the local, regional, field, and national levels. By promoting the use of these flexible, scalable, and adaptable structures, the National Response Framework ensures that we are prepared to respond, together as a Nation.

[end of transcript]



Visual 5.4

### Command vs. Coordination



- **Command:** The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.
- **Multiagency coordination** is a process that allows all levels of government and all disciplines to work together more efficiently and effectively.

FEMA

Visual 5.4  
Response Organization

**Visual Description:** Command vs. Coordination

#### Instructor Notes

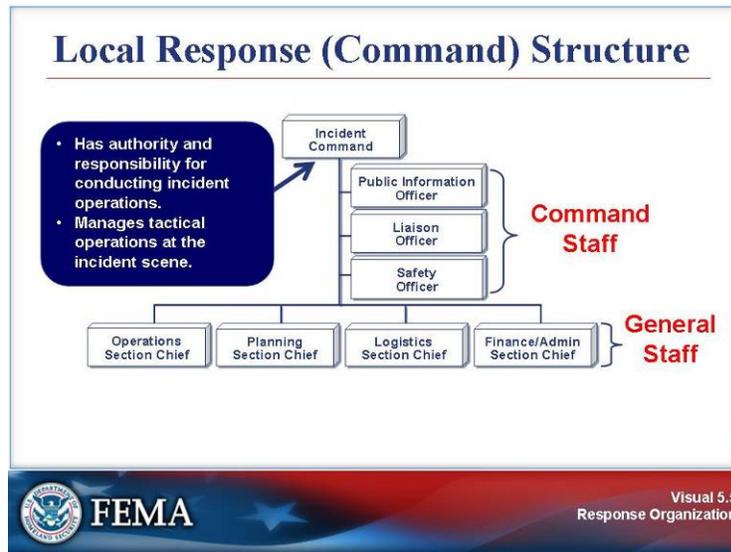
Explain the difference between command and coordination by presenting the following definitions:

**Command:** The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

**Multiagency coordination** is a process that allows all levels of government and all disciplines to work together more efficiently and effectively.



Visual 5.5



**Visual Description:** Local Response (Command) Structure

### Instructor Notes

Use the chart on the visual and the information below to explain the local response structure.

Explain that local responders use the Incident Command System (ICS) to establish standardized organizational structures.

#### Incident Commander

The Incident Commander is the individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The Incident Commander has overall authority and responsibility for conducting incident operations and is responsible for the management of tactical operations at the incident site.

The Incident Commander must:

- Have clear authority and know agency policy.
- Ensure incident safety.
- Establish the Incident Command Post.
- Set priorities, and determine incident objectives and strategies to be followed.
- Establish the Incident Command System organization needed to manage the incident.
- Approve the Incident Action Plan.
- Coordinate Command and General Staff activities.
- Approve resource requests and use of volunteers and auxiliary personnel.
- Order demobilization as needed.
- Ensure after-action reports are completed.
- Authorize information released to the media.

(Continued on the next page.)

**Command Staff**

In an Incident Command organization, the Command Staff typically includes the following personnel:

The **Public Information Officer** is responsible for interfacing with the public and media and/or with other agencies with incident-related information requirements.

The **Safety Officer** monitors incident operations and advises the Incident Commander/Unified Command on all matters relating to operational safety, including the health and safety of emergency responder personnel.

The **Liaison Officer** is the point of contact for representatives of other governmental agencies, nongovernmental organizations, and/or private entities. Additional Command Staff positions may be added depending upon incident needs and requirements

**General Section Staff**

**Operations Section Chief:** The Operations Section Chief is responsible to the Incident Commander/Unified Command for the direct management of all incident-related operational activities. The Operations Section Chief will establish tactics for the assigned operational period and be directly involved in development of the Incident Action Plan. An Operations Section Chief should be designated for each operational period.

**Planning Section Chief:** The Planning Section Chief oversees the collection, evaluation, and dissemination of the incident situation information and intelligence for the Incident Commander/Unified Command and incident management personnel. The Planning Section then prepares status reports, displays situation information, maintains the status of resources assigned to the incident, and prepares and documents the Incident Action Plan, based on Operations Section input and guidance from the Incident Commander/Unified Command.

**Logistics Section Chief:** The Logistics Section Chief is responsible for all service support requirements needed to facilitate effective and efficient incident management, including ordering resources from off-incident locations. The Logistics Section also provides facilities, security (of the Incident Command facilities), transportation, supplies, equipment maintenance and fuel, food services, communications and information technology support, and emergency responder medical services, including inoculations, as required.

**Finance/Administration Section Chief:** A Finance/Administration Section Chief is assigned when the incident management activities require on-scene or incident-specific finance and other administrative support services. Some of the functions that fall within the scope of this Section are recording personnel time, maintaining vendor contracts, overseeing compensation and claims, and conducting an overall cost analysis for the incident. When a Finance/Administration Section is established, close coordination with the Planning Section and Logistics Section is also essential so that operational records can be reconciled with financial documents. In addition to monitoring multiple sources of funds, the Section Chief must track and report to the Incident Command the accrued cost as the incident progresses. This allows the Incident Command to forecast the need for additional funds before operations are affected negatively.



Visual 5.6

### Incident Command Post

The Incident Command Post is:

- The location from which the Incident Command directs operations.
- Generally located at or in the immediate vicinity of the incident site.



 **FEMA** 

Visual 5.6  
Response Organization

**Visual Description:** Incident Command Post

### Instructor Notes

Tell the participants that the Incident Command and management organization is located at the Incident Command Post. The Incident Command directs operations from the Incident Command Post, which is generally located at or in the immediate vicinity of the incident site.

Explain that, as emergency management/response personnel deploy, they must, regardless of agency affiliation, report to and check in at the designated location and receive an assignment in accordance with the established procedures.



Visual 5.7

## Unified Command

In a Unified Command, individuals designated by their jurisdictional or organizational authorities work together to:

- Determine objectives, strategies, plans, resource allocations, and priorities.
- Develops a single Incident Action Plan.
- Execute integrated incident operations and maximize the use of assigned resources.

**FEMA**Visual 5.7  
Response Organization

**Visual Description:** Unified Command

### Instructor Notes

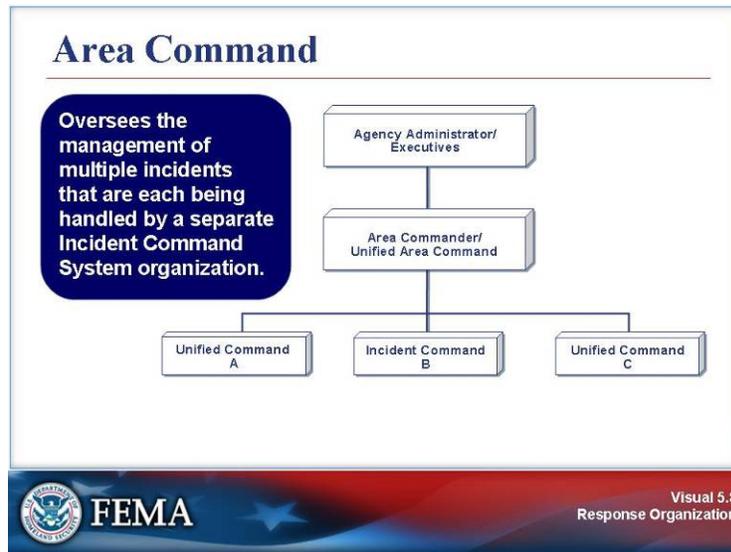
Tell the participants that as an incident expands in complexity, a Unified Command may be established.

Explain that in a Unified Command, individuals designated by their jurisdictional or organizational authorities (or by departments within a single jurisdiction) work together to:

- Determine objectives, strategies, plans, resource allocations, and priorities.
- Develops a single Incident Action Plan.
- Execute integrated incident operations and maximize the use of assigned resources.



Visual 5.8



**Visual Description:** Area Command

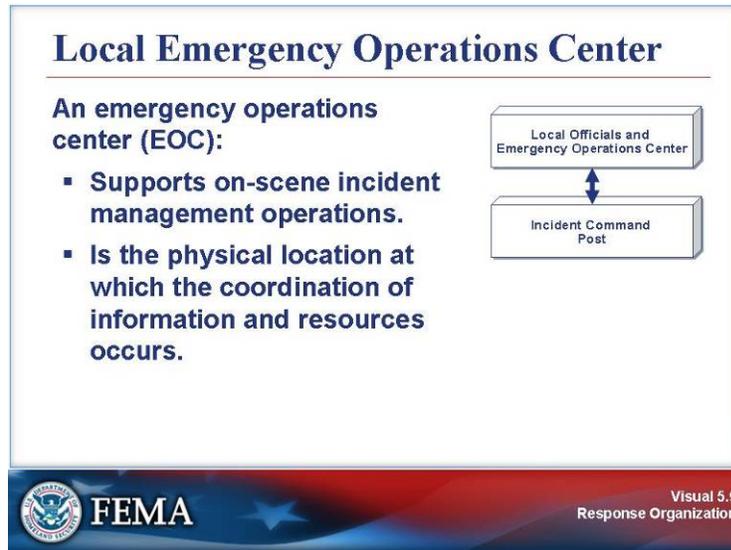
### Instructor Notes

Tell the participants that Area Command is an organization that oversees the management of multiple incidents that are each being handled by a separate command organization.

Explain that an Area Command is activated **only if necessary**, depending on the complexity of the incident and incident management span-of-control considerations.



Visual 5.9



**Visual Description:** Local Emergency Operations Center (EOC)

#### Instructor Notes

Explain that an emergency operations center (EOC) is the physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. During an incident, the local EOC supports the on-scene response by relieving the burden of external coordination and securing additional resources. EOCs may be staffed by personnel representing multiple jurisdictions, the private sector, and nongovernmental organizations.



Visual 5.10

### EOC Functions



An EOC should be able to perform the following functions:

- Coordination
- Communications
- Resource dispatching and tracking
- Information collection, analysis, and dissemination

 **FEMA**

Visual 5.10  
Response Organization

**Visual Description:** EOC Functions

### Instructor Notes

Tell the participants that EOC organization and staffing are flexible, but should be able to perform the following functions:

- Coordination
- Communications
- Resource dispatching and tracking
- Information collection, analysis, and dissemination

Explain that there are four main ways to organize an EOC:

- By major management activities. Includes separate groups for policy, coordination, operations, and resources.
- Using an ICS structure. Consists of sections for operations, planning, logistics, and finance/administration.
- Using an ESF structure. Assigns emergency support functions under the typical ICS staff positions.
- Using the “generic” MAC Group structure. Made up of organization, agency, or jurisdiction representatives who are authorized to commit agency resources and funds.



Visual 5.11

### EOC Benefits

- Helps establish a common operating picture.
- Simplifies information verification.
- Facilitates long-term operations.
- Increases continuity.
- Provides ready access to all available information.
- Aids resource identification and use.



Visual 5.11  
Response Organization



**Visual Description:** EOC Benefits

### Instructor Notes

Explain that the advantages of a single EOC location include:

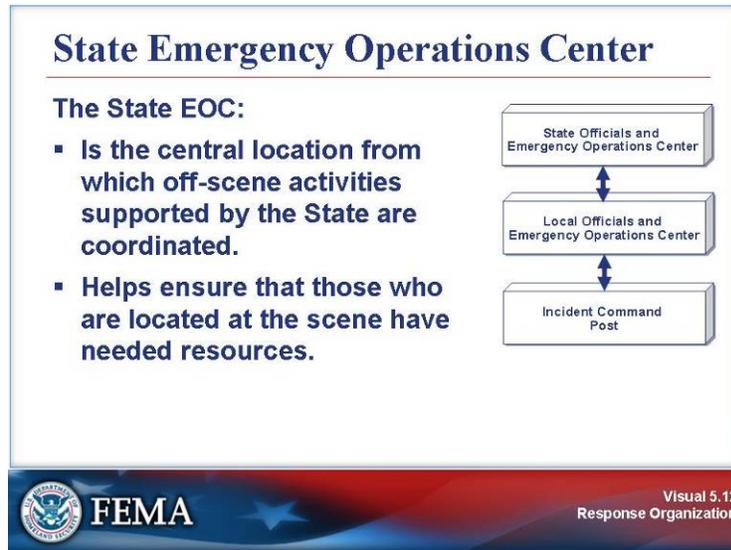
- Information management and development of a common operating picture.
- Easier verification of information. The EOC staff can compile the information reported from various sources and confirm that it is consistent and accurate. This helps ensure the common operating picture is correct.
- Simplified long-term operation.
- Increased continuity.
- Better access to all available information.
- Easier identification and deployment of available resources.

Point out that the single facility can function more efficiently because calls for assistance can be made to a single location where key officials can:

- Meet.
- Make decisions.
- Coordinate activities.



Visual 5.12



**Visual Description:** State Emergency Operations Center (EOC)

### Instructor Notes

Tell the participants that State emergency operations centers (EOCs) are activated as necessary to support local EOCs. The key function of State EOC personnel is to ensure that those who are located at the scene have the resources (e.g., personnel, tools, and equipment) they need for the response.

Explain that the State EOC is the central location from which off-scene activities supported by the State are coordinated. Chief elected and appointed officials are located at the State EOC, as well as personnel supporting core functions.



Visual 5.13

## Joint Information Center

A Joint Information Center (JIC):

- May be established to coordinate public affairs functions.
- Serves as a focal point for coordinated and timely release of incident related information to the public and the media



Visual 5.13  
Response Organization

**Visual Description:** Joint Information Center (JIC)

### Instructor Notes

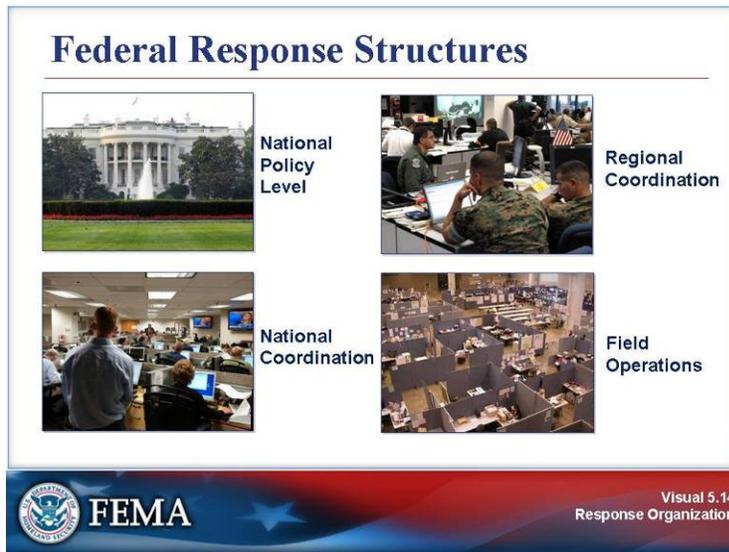
Note that in order to coordinate the release of emergency information and other public affairs functions, a Joint Information Center (JIC) may be established.

Explain that the JIC serves as a focal point for coordinated and timely release of incident-related information to the public and the media. Information about where to receive assistance is communicated directly to victims and their families in an accessible format and in appropriate languages for those with limited English proficiency.

Tell the participants that JICs may be established at all levels of government, at incident sites, or can be components of Multiagency Coordination Systems (i.e., emergency operations centers and the Joint Field Office). If multiple JICs are established, they coordinate using the Joint Information System (JIS) to ensure they issue consistent and accurate information.



Visual 5.14



**Visual Description:** Federal Response Structures Overview

### Instructor Notes

Tell the participants that the next portion of this lesson presents the following levels of Federal response structures:

- National Policy Level
- National Coordination
- Regional Coordination
- Field Operations

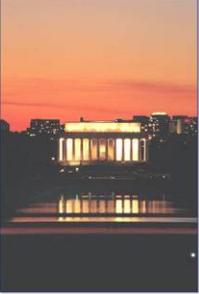


Visual 5.15

### National Response Policy

The following entities provide policy-level guidance on national response issues:

- Homeland Security Council (HSC)
- National Security Council (NSC)
- Domestic Readiness Group (DRG)
- Counterterrorism Security Group (CSG)



 **FEMA**

Visual 5.15  
Response Organization

**Visual Description:** National Response Policy

### Instructor Notes

Present the following key points about Federal policy-level entities:

#### **Homeland Security Council and National Security Council**

The Homeland Security Council (HSC) and National Security Council (NSC) advise the President on national strategic issues and policy during large-scale incidents. The HSC and NSC ensure coordination for all homeland and national security-related activities among executive departments and agencies and promote effective development and implementation of related policy. The HSC and NSC ensure unified leadership across the Federal Government.

#### **Domestic Readiness Group**

The Domestic Readiness Group (DRG) is an interagency body convened on a regular basis to develop and coordinate preparedness, response, and incident management policy. This group evaluates various policy issues of interagency importance regarding domestic preparedness and incident management and makes recommendations to senior levels of the policymaking structure for decision. During an incident, the DRG may be convened by DHS to evaluate relevant interagency policy issues regarding response and develop recommendations as may be required.

#### **Counterterrorism Security Group**

The Counterterrorism Security Group (CSG) is an interagency body convened on a regular basis to develop terrorism prevention policy and to coordinate threat response and law enforcement investigations associated with terrorism. This group evaluates various policy issues of interagency importance regarding counterterrorism and makes recommendations to senior levels of the policymaking structure for decision.



Visual 5.16



**Visual Description:** National Operations Center

### Instructor Notes

Use the following points to explain the chart on the visual:

- To ensure integration of Federal response efforts, the National Operations Center (NOC) serves as the primary national hub for situational awareness and operations coordination.
- The NOC provides the Secretary of Homeland Security and other principals with information necessary to make critical national-level incident management decisions.
- The NOC is a continuously operating multiagency operations center. The NOC's staff monitors many sources of threat and hazard information from across the United States and abroad. It is supported by a 24/7 watch officer contingent, including: (1) NOC managers; (2) selected Federal interagency, State, and local law enforcement representatives; (3) Intelligence Community liaison officers provided by the DHS Chief Intelligence Officer; (4) analysts from the Operations Division's interagency planning element; and (5) watch standers representing dozens of organizations and disciplines from the Federal Government and others from the private sector.
- The NOC facilitates homeland security information sharing and operations coordination with other Federal, State, tribal, local, and nongovernmental partners. During a response to a significant incident, the NOC meets its information-fusion and information-sharing responsibilities by providing spot reports, situation reports, and other information-sharing tools, all supported by and distributed through its common operating picture. The continued development and rapid integration at the Federal, State, tribal, and local levels of electronic reporting and information-sharing tools supporting the NOC's common operating picture is a very high priority of the Framework.

(Continued on the next page.)

**National Infrastructure Coordinating Center**

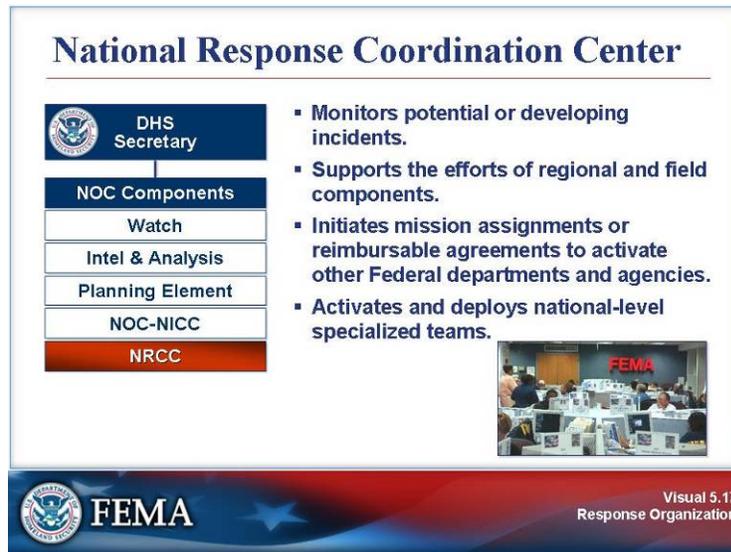
The goal of the National Infrastructure Protection Plan is to build a safer, more secure, and more resilient America by enhancing protection of the Nation's critical infrastructure and key resources.

The National Infrastructure Coordinating Center (NICC), another NOC component, monitors the Nation's critical infrastructure and key resources on an ongoing basis. During an incident, the NICC provides a coordinating forum to share information across infrastructure and key resources sectors through appropriate information-sharing entities.

Tell the participants that for more information, they can refer to the CIKR Support Annex.



Visual 5.17



**Visual Description:** National Response Coordination Center (NRCC)

### Instructor Notes

Explain that the NRCC:

- Is FEMA's focal point for national resource coordination.
- Provides overall emergency management coordination.
- Conducts operational planning.
- Deploys national-level teams.
- Builds and maintains a common operating picture.

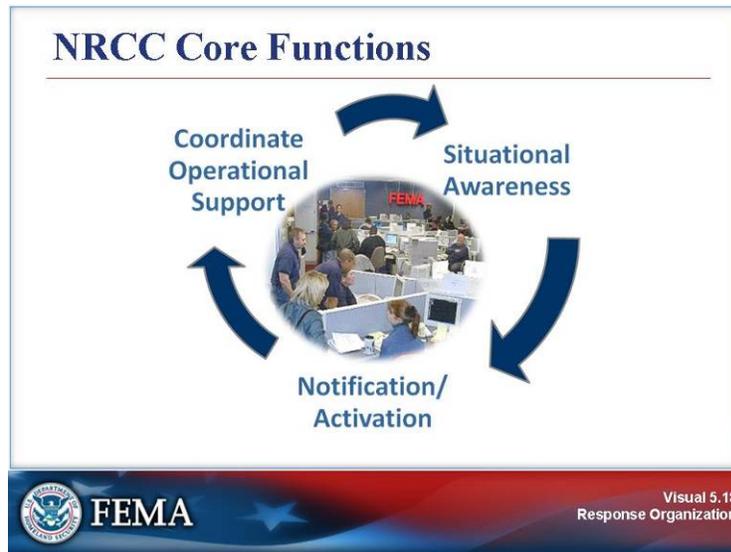
Note that the National Response Coordination Center (NRCC) is FEMA's primary operations management center, as well as the focal point for national resource coordination. As a 24/7 operations center, the NRCC monitors potential or developing incidents and supports the efforts of regional and field components.

Inform the participants that the NRCC also has the capacity to increase staffing immediately in anticipation of or in response to an incident by activating the full range of Emergency Support Functions and other personnel as needed to provide resources and policy guidance to a Joint Field Office or other local incident management structures.

Tell the participants that the NRCC provides overall emergency management coordination, conducts operational planning, deploys national-level entities, and collects and disseminates incident information as it builds and maintains a common operating picture. Representatives of nonprofit organizations within the private sector may participate in the NRCC to enhance information exchange and cooperation between these entities and the Federal Government.



Visual 5.18



**Visual Description:** NRCC Core Functions

### Instructor Notes

Describe the following NRCC core functions:

#### **Situational Awareness**

Maintain a 24-hour, 7 days a week (24/7) national situational awareness of potential, developing, or ongoing situations with a Federal response to an incident/event. Monitor the preparedness and status of national-level emergency teams and resources. Collect, analyze, evaluate, and distribute incident response and status of resources information. Support the collection and distribution of information to the NOC for development of the national Common Operating Picture (COP).

#### **Notification/Activation**

Initiate activation orders and mission assignments to alert and assign other Federal departments and agencies in support of the Stafford Act. Activate and deploy national-level teams such as the Hurricane Liaison Team (HLT), Urban Search and Rescue Task Forces (US&R), Mobile Emergency Response System (MERS), and other national emergency response teams. Develop, distribute, and implement executive orders, operational orders, warning orders, and operational plans.

#### **Coordinate Operational Support**

Coordinate national-level assessment operations to rapidly determine the impact of an incident and the status of the national response efforts. Coordinate the deployment of nationally managed disaster relief commodities. Coordinate national-level acquisition of remote sensing and satellite imagery as part of the national-level assessment activity. Track and manage Federal resource allocations and de-conflict competing requirements.

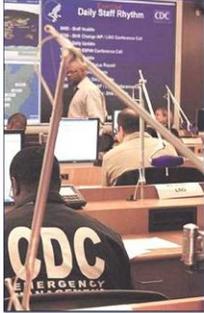


Visual 5.19

### Additional Federal Operations Centers

Other Federal operations centers include:

- National Military Command Center (NMCC)
- National Counterterrorism Center (NCTC)
- Strategic Information and Operations Center (SIOC)
- DHS Operations Centers



Visual 5.19  
Response Organization



**Visual Description:** Additional Federal Operations Centers

### Instructor Notes

Use the information below to explain the Federal operations centers listed on the visual:

#### **National Military Command Center**

The National Military Command Center (NMCC) is the Nation's focal point for continuous monitoring and coordination of worldwide military operations. It directly supports combatant commanders, the Chairman of the Joint Chiefs of Staff, the Secretary of Defense, and the President in the command of U.S. Armed Forces in peacetime contingencies and war. Structured to support the President and Secretary of Defense effectively and efficiently, the Center participates in a wide variety of activities, ranging from missile warning and attack assessment to management of peacetime contingencies such as Defense Support of Civil Authorities (DSCA) activities. In conjunction with monitoring the current worldwide situation, the Center alerts the Joint Staff and other national agencies to developing crises and will initially coordinate any military response required.

#### **National Counterterrorism Center**

The National Counterterrorism Center (NCTC) serves as the primary Federal organization for integrating and analyzing all intelligence pertaining to terrorism and counterterrorism and for conducting strategic operational planning by integrating all instruments of national power.

**Strategic Information and Operations Center**

The FBI Strategic Information and Operations Center (SIOC) is the focal point and operational control center for all Federal intelligence, law enforcement, and investigative law enforcement activities related to domestic terrorist incidents or credible threats, including leading attribution investigations. The SIOC serves as an information clearinghouse to help collect, process, vet, and disseminate information relevant to law enforcement and criminal investigation efforts in a timely manner. The SIOC maintains direct connectivity with the NOC. The SIOC, located at FBI Headquarters, supports the FBI's mission in leading efforts of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the United States.

The SIOC maintains liaison with the National Joint Terrorism Task Force (NJTTF). The mission of the NJTTF is to enhance communications, coordination, and cooperation among Federal, State, tribal, and local agencies representing the intelligence, law enforcement, defense, diplomatic, public safety, and homeland security communities by providing a point of fusion for terrorism intelligence and by supporting Joint Terrorism Task Forces throughout the United States.

**DHS Operations Centers**

Depending upon the type of incident (e.g., National Special Security Events), the operations centers of other DHS operating Components may serve as the primary operations management center in support of the Secretary. These are the U.S. Coast Guard, Transportation Security Administration, U.S. Secret Service, and U.S. Customs and Border Protection operations centers.



Visual 5.20

### Regional Response Coordination Centers

RRCCs coordinate regional response efforts, including:

- Establishing initial Federal objectives.
- Providing Federal support to the affected States.
- Deploying teams to establish the Joint Field Office (JFO) that will assume these functions.



 **FEMA**

Visual 5.20  
Response Organization

**Visual Description:** Regional Response Coordination Centers (RRCCs)

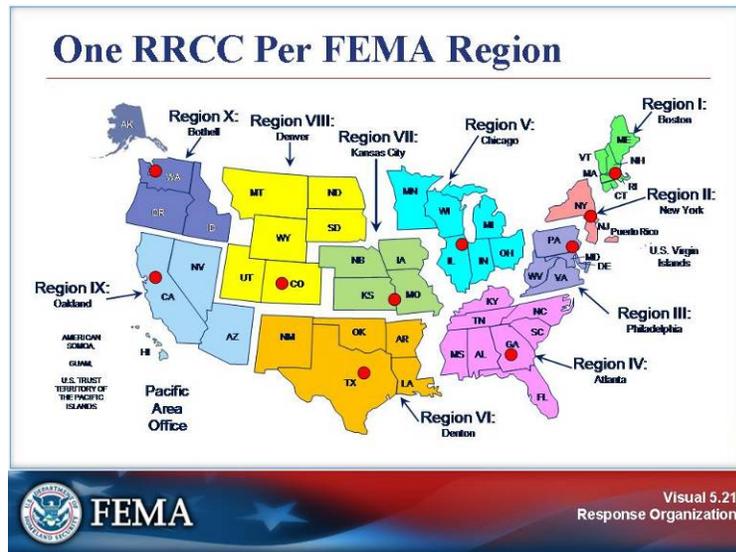
### Instructor Notes

Explain that Regional Response Coordination Centers (RRCCs) are 24/7 coordination centers that expand to become an interagency facility staffed by Emergency Support Functions in anticipation of a serious incident in the region or immediately following an incident. Operating under the direction of the FEMA Regional Administrator, the RRCCs coordinate Federal regional response efforts, and maintain connectivity with State EOCs, State fusion centers, Federal Executive Boards, and other Federal and State operations and coordination centers that have potential to contribute to development of situational awareness. Ongoing RRCC operations transition to a JFO once it is established, so that the RRCC can remain ready to deal with new incidents.

Note that other Federal departments and agencies have regional or field offices that may participate with State, tribal, and local governments in planning for incidents under their jurisdiction and provide initial response assets to the incident.



Visual 5.21



**Visual Description:** One RRCC Per FEMA Region

### Instructor Notes

Tell the participants that each of FEMA's regional offices maintains an RRCC. FEMA has 10 regional offices, each headed by a Regional Administrator.

Explain that regional offices:

- Are FEMA's permanent presence for communities and States across the Nation.
- Develop all-hazards operational plans and generally help States and communities become better prepared.



Visual 5.22

## Knowledge Review

### Instructions:

- Working as a team, review the description of an element of response organization provided by your instructor.
- Identify which element is being described. Use your Student Manual to find other important information about this concept. Summarize your findings on chart paper using bullet points.
- Select a spokesperson. Be prepared to present in 10 minutes.



**Visual Description:** Knowledge Review

### Instructor Notes

**Instructions:** Conduct the activity as follows:

1. Divide the participants into six groups and assign each group one of the descriptions listed on the next page in the Student Manual.
2. Present the following instructions to the participants:
  1. Working as a team, review the description of an element of a response organization provided by your instructor.
  2. Identify which element is being described. Use your Student Manual to find other important information about this concept. Summarize your findings on chart paper using bullet points.
  3. Select a spokesperson. Be prepared to present in 10 minutes.
3. Monitor the time. When 10 minutes has passed, ask the groups to present to the class. If not mentioned by the participants, offer the answers provided under Debrief Information in the Instructor Guide

**Instructions:**

1. Working as a team, review the description of an element of a response organization assigned by your instructor.
2. Identify which element is being described. Use your Student Manual to find other important information about this concept. Summarize your findings on chart paper using bullet points.
3. Select a spokesperson. Be prepared to present in 10 minutes.

**1. Assumes authority to direct multiple incident command organizations.**

**2. Allows agencies and departments with different jurisdictional authorities to work together to manage an incident.**

**3. Supports the response by coordinating with external entities and securing additional resources.**

**4. Gathers reports from the private sector on potential threats to the Nation's critical infrastructure and key resources.**

**5. Deploys a liaison and advanced teams to assist the State until the Joint Field Office can be established.**

**6. Provides overall national emergency management coordination and maintains a common operating picture.**

**1. Area Command:** Assumes authority to direct multiple incident command organizations. Area Command is an organization established to oversee the management of multiple incidents that are each being handled by a separate Incident Command System organization or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged. An Area Command is activated only if necessary, depending on the complexity of the incident and incident management span-of-control considerations.

**2. Unified Command:** Allows agencies and departments with different jurisdictional authorities to work together to manage an incident.

Unified Command is used when more than one agency has incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the Unified Command, often the senior person from agencies and/or disciplines participating in the Unified Command, to establish a common set of objectives and strategies and a single Incident Action Plan.

**3. Local EOC:** Supports the response by coordinating with external entities and securing additional resources.

An emergency operations center (EOC) is the physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. During an incident, the local EOC supports the on-scene response by relieving the burden of external coordination and securing additional resources.

**4. National Infrastructure Coordinating Center (NICC):** Gathers reports from the private sector on potential threats to the Nation's critical infrastructure and key resources.

As part of the National Operations Center, monitors the Nation's critical infrastructure and key resources on an ongoing basis. During an incident, the NICC provides a coordinating forum to share information across infrastructure and key resources sectors through appropriate information-sharing entities.

**5. Regional Response Coordination Center (RRCC):** Deploys a liaison and advanced teams to assist the State until the Joint Field Office can be established.

Located in each FEMA region, the RRCCs are staffed by Emergency Support Functions in anticipation of a serious incident in the region or immediately following an incident. Operating under the direction of the FEMA Regional Administrator, the RRCCs coordinate Federal regional response efforts and maintain connectivity with State emergency operations centers, State fusion centers, Federal Executive Boards, and other Federal and State operations and coordination centers that have potential to contribute to development of situational awareness.

**6. National Response Coordination Center (NRCC):** Provides overall national emergency management coordination and maintains a common operating picture.

As a component of the National Operations Center, serves as the FEMA primary operations center responsible for national incident response and recovery as well as national resource coordination. As a 24/7 operations center, the NRCC monitors potential or developing incidents and supports the efforts of regional and field components.



Visual 5.23

### Initial Federal Response Assets



Examples of initial Federal response assets include:

- Incident Management Assistance Teams (IMATs)
- Hurricane Liaison Team (HLT)
- Urban Search and Rescue (US&R) Task Forces
- Mobile Emergency Response Support (MERS)

 FEMA

Visual 5.23  
Response Organization

**Visual Description:** Initial Federal Response Assets

### Instructor Notes

Explain to the participants that FEMA liaisons coordinate with the State to ensure that needed initial Federal assets are dispatched before or during the first hours of an incident.

Examples of initial Federal response assets include:

- Incident Management Assistance Teams (IMATs)
- Hurricane Liaison Team (HLT)
- Urban Search and Rescue (US&R) Task Forces
- Mobile Emergency Response Support (MERS)

Note that more details about each of these assets can be found on the next page.

**Incident Management Assistance Teams**

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 decisionmakers, and support the establishment of Federal coordination efforts with the State.

Hurricane Liaison Team

The **Hurricane Liaison Team (HLT)** is a small team designed to enhance hurricane disaster response by facilitating information exchange between the National Hurricane Center in Miami and other National Oceanic and Atmospheric Administration components, as well as Federal, State, tribal, and local government officials.

**Urban Search and Rescue Task Forces**

The National Urban Search and Rescue (US&R) Response System is a framework for structuring local emergency services personnel into integrated response task forces. The 28 National US&R Task Forces, complete with the necessary tools, equipment, skills, and techniques, can be deployed by FEMA to assist State, tribal, and local governments in rescuing victims of structural collapse incidents or to assist in other search and rescue missions. Each task force must have all its personnel and equipment at the embarkation point within 6 hours of activation. The task force can be dispatched and en route to its destination within a matter of hours.

**Mobile Emergency Response Support**

The primary function of Mobile Emergency Response Support (MERS) is to provide mobile telecommunications capabilities and life, logistics, operational, and power-generation support required for the on-site management of response activities. MERS support falls into three broad categories: (1) operational support elements, (2) communications equipment and operators, and (3) logistics support.

MERS supports Federal, State, tribal, and local responders in their efforts to save lives, protect property, and coordinate response operations. Staged in six strategic locations, one with offshore capabilities, the MERS detachments can concurrently support multiple field operating sites within an incident area.



Visual 5.24

## Catastrophic Incidents

For catastrophic incidents, State and Federal agencies:

- May proactively deploy and mobilize assets.
- Do not need to wait for a formal request for assistance.



 **FEMA**

Visual 5.24  
Response Organization

**Visual Description:** Catastrophic Incidents

### Instructor Notes

Explain to the participants that, 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. Such deployments of significant Federal assets would likely occur for catastrophic events involving chemical, biological, radiological, nuclear, or high-yield explosive weapons of mass destruction, large-magnitude earthquakes, or other catastrophic incidents affecting heavily populated areas.



Visual 5.25

### Joint Field Office

The Joint Field Office (JFO):

- Is the primary Federal incident management field structure.
- Provides a central location for the coordination of response and recovery efforts.



 **FEMA**

Visual 5.25  
Response Organization

**Visual Description:** Joint Field Office (JFO)

### Instructor Notes

Tell the participants that the Joint Field Office (JFO) is the primary Federal incident management field structure.

Explain that the JFO provides a central location for the coordination of Federal, State, tribal, and local governments and private-sector and nongovernmental organizations with primary responsibility for response and recovery.

Note that although the JFO uses an ICS structure, it does not manage on-scene operations. Rather, the JFO provides support to on-scene efforts.

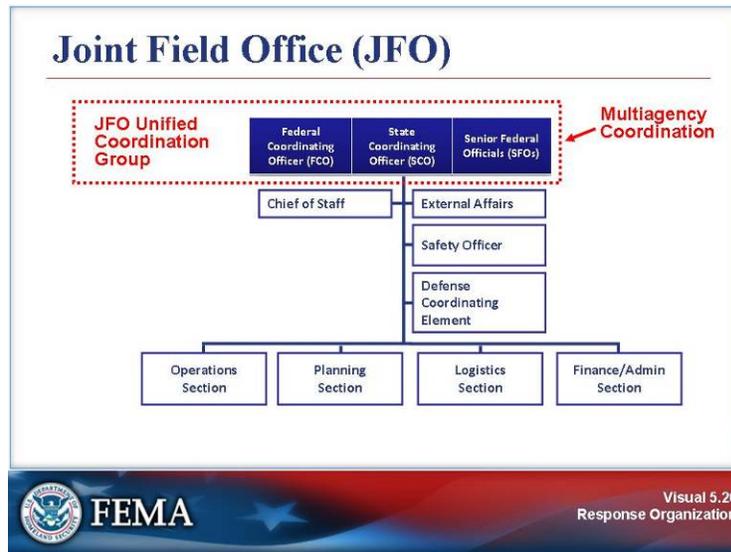
Present the following points about the Joint Field Office (JFO). The JFO is:

- 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**.

When incidents impact the entire Nation or multiple States or localities, multiple JFOs may be established. In these situations, coordination will occur following the principles of Unified Area Command. The physical location of such a coordination entity depends on the situation.



Visual 5.26

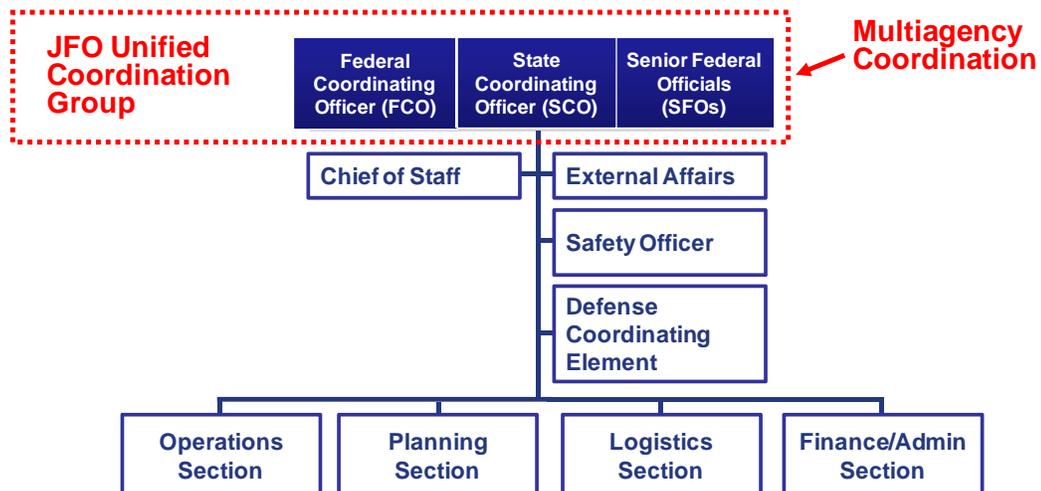


**Visual Description:** Joint Field Office Leadership: Unified Coordination Group

### Instructor Notes

The Unified Coordination Group provides leadership within the Joint Field Office. The Unified Coordination Group:

- Is comprised of senior leaders representing State and Federal interests, and in certain circumstances tribal governments, local jurisdictions, the private sector, or nongovernmental organizations.
- Applies unified command principles to coordinating assistance being provided to support the local, tribal, and State response.



The composition of the Unified Coordination Group varies, depending upon the scope and nature of the incident. For a Stafford Act incident, two key group members include:

- **Federal Coordinating Officer (FCO).** The FCO is appointed by the President to execute Stafford Act authorities. The FCO is the primary Federal representative with whom the State, tribal, and local response officials interface to identify needs and set objectives for an effective collaborative response.
- **State Coordinating Officer (SCO).** The SCO is appointed by the Governor to coordinate State disaster assistance efforts. The SCO works with the FCO to formulate State requirements and set priorities for use of Federal support.
- **Senior Federal Officials (SFOs).** Based on the scope and nature of an incident, senior officials from other Federal departments and agencies; State, tribal, or local governments; and the private sector or nongovernmental organizations may participate in a Unified Coordination Group. Usually, the larger and more complex the incident, the greater the number of entities represented.

The table on the following page lists possible additional members of the Unified Coordination Group.

<b>Additional Unified Coordination Group Members</b>	
<b>Federal Resource Coordinator</b>	In non-Stafford Act situations, when a Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security to obtain support from other Federal departments and agencies, DHS may designate a Federal Resource Coordinator (FRC). In these situations, the FRC coordinates support through interagency agreements and memorandums of understanding. Relying on the same skill set, DHS may select the FRC from the Federal Coordinating Officer cadre or other personnel with equivalent knowledge, skills, and abilities. The FRC is responsible for coordinating timely delivery of resources to the requesting agency.
<b>Senior Federal Law Enforcement Official</b>	The Senior Federal Law Enforcement Official (SFLEO) is an individual appointed by the Attorney General during an incident requiring a coordinated Federal response to coordinate all law enforcement, public safety, and security operations with intelligence or investigative law enforcement operations directly related to the incident. The SFLEO is a member of the Unified Coordination Group and, as such, is responsible to ensure that allocation of law enforcement requirements and resource allocations are coordinated as appropriate with all other members of the Group. In the event of a terrorist incident, the SFLEO will normally be a senior FBI official who has coordinating authority over all law enforcement activities related to the incident, both those falling within the Attorney General's explicit authority as recognized in HSPD-5 and those otherwise directly related to the incident itself.
<b>Defense Coordinating Officer</b>	The Department of Defense (DOD) has appointed 10 Defense Coordinating Officers (DCOs) and assigned one to each FEMA region. If requested and approved, the DCO serves as DOD's single point of contact at the JFO for requesting assistance from DOD. With few exceptions, requests for Defense Support of Civil Authorities (DSCA) originating at the JFO are coordinated with and processed through the DCO. The DCO may have a Defense Coordinating Element consisting of a staff and military liaison officers to facilitate coordination and support to activated Emergency Support Functions (ESFs).
<b>Joint Task Force Commander</b>	Based on the complexity and type of incident, and the anticipated level of DOD resource involvement, DOD may elect to designate a Joint Task Force (JTF) to command Federal (Title 10) military activities in support of the incident objectives. The JTF Commander exercises operational control of Federal military personnel and most defense resources in a Federal response. Some DOD entities, such as the U.S. Army Corps of Engineers, may respond under separate established authorities and do not provide support under the operational control of a JTF Commander. Unless federalized, National Guard forces remain under the control of a State Governor. Close coordination between Federal military, other DOD entities, and National Guard forces in a response is critical.



Visual 5.27

## Principal Federal Official

**Secretary of Homeland Security:**

- Is the principal Federal official responsible for coordination of all domestic incidents.
- May designate a Principal Federal Official (PFO) to act as a field representative.

**When appointed, the PFO:**

- Serves as a member of the Unified Coordination Group.
- Provides a primary point of contact and situational awareness locally for the Secretary.
- Does not direct or replace the incident command structure established at the incident.





Visual 5.27  
Response Organization

**Visual Description:** Principal Federal Official (PFO)

### Instructor Notes

Explain to the participants that for catastrophic or unusually complex incidents, the Secretary of Homeland Security may designate a single **Principal Federal Official (PFO)** to:

- Serve in the field as his or her primary representative to ensure consistency and effectiveness of Federal support and incident management.
- Interface with Federal, State, tribal, and local jurisdictional officials regarding the overall Federal incident management strategy.
- Provide a primary point of contact and situational awareness locally.
- Act as the primary Federal spokesperson for coordinated media and public communications.

Tell the participants that, as a member of the Unified Coordination Group, the PFO promotes collaboration and works to resolve any Federal interagency conflict that may arise. The PFO:

- Does not direct nor replace the incident command structure established at the incident.
- Does not have directive authority over the Federal Coordinating Officer (FCO), Senior Federal Law Enforcement Official, DOD Joint Task Force Commander, or any other Federal or State official.
- During an incident, the same individual cannot serve as both the PFO and the FCO. When both positions are assigned, the FCO will have responsibility for administering Stafford Act authorities.

For more information on the PFO and FCO, refer the participants to the next two pages in their Student Manuals.

**A PFO is a senior Federal official with proven management experience and strong leadership capabilities. The PFO deploys with a small, highly trained mobile support staff.** Both the PFO and support staff undergo specific training prior to appointment to their respective positions. Once formally designated for an ongoing incident, a PFO relinquishes the conduct of all previous duties to focus exclusively on his or her incident management responsibilities.

**The same individual will *not* serve as the Principal Federal Official and the Federal Coordinating Officer (see below) at the same time for the same incident.** When both positions are assigned, the FCO will have responsibility for administering Stafford Act authorities, as described below. The Secretary is not restricted to DHS officials when selecting a PFO.

**The PFO does not direct or replace the incident command structure established at the incident.** Nor does the PFO have directive authority over a Federal Coordinating Officer, a Senior Federal Law Enforcement Official, a DOD Joint Task Force Commander, or any other Federal or State official. Other Federal incident management officials retain their authorities as defined in existing statutes and directives. Rather, the PFO promotes collaboration and, as possible, resolves any Federal interagency conflict that may arise. The PFO identifies and presents to the Secretary of Homeland Security any policy issues that require resolution.

**Federal Coordinating Officer (FCO).** For Stafford Act incidents (i.e., emergencies or major disasters), upon the recommendation of the FEMA Administrator and the Secretary of Homeland Security, the President appoints an FCO.

**The FCO is a senior FEMA official trained, certified, and well experienced in emergency management, and specifically appointed to coordinate Federal support in the response to and recovery from emergencies and major disasters.** The FCO executes Stafford Act authorities, including commitment of FEMA resources and the mission assignment of other Federal departments or agencies. If a major disaster or emergency declaration covers a geographic area that spans all or parts of more than one State, the President may decide to appoint a single FCO for the entire incident, with other individuals as needed serving as Deputy FCOs.

(Continued on next page.)

**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 SCO 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.

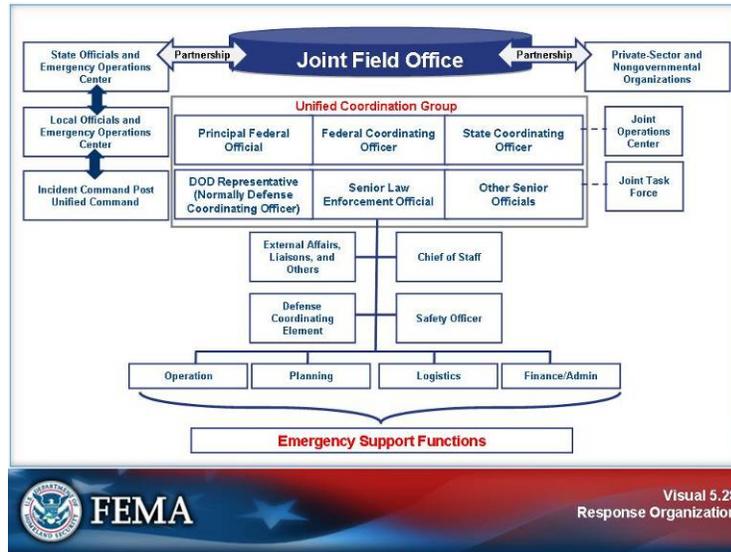
In Stafford Act incidents, the FCO is the focal point of coordination within the Unified Coordination Group, ensuring overall integration of Federal emergency management, resource allocation, and seamless integration of Federal activities in support of, and in coordination with, State, tribal, and local requirements.

Some FCOs are given additional, specialized training regarding unusually complex incidents. For example, one may be further trained for catastrophic earthquake response, whereas another might cultivate unique skills for response related to weapons of mass destruction or pandemic influenza.

**Pre-Designated PFOs and FCOs. In certain scenarios, the Secretary of Homeland Security may pre-designate a PFO and/or FCO.** Such pre-designation can focus on specified geographic areas or be based on specific potential threats – or a combination of both. For example, beginning in 2007, the Secretary pre-designated a national PFO and five regional PFOs together with a national FCO and regional FCOs, who will serve in the event of a nationwide outbreak of pandemic influenza or other similar nationwide biological event.  
Excerpted From: National Response Framework, January 2008



Visual 5.28



Visual Description: Response Organization Chart

### Instructor Notes

Use the chart to review the field-level response structures and partnerships.

The chart illustrates the partnerships among local, State, and Federal government response organizations and the private sector and nongovernmental organizations. The Joint Field Office structure is shown and includes: (1) Unified Coordination Group; (2) Coordination Staff; (3) Operations, Planning, Logistics, and Finance/Admin. Sections; and (4) the Emergency Support Functions being assigned where needed.



Visual 5.29



**Visual Description:** JFO Coordination Staff

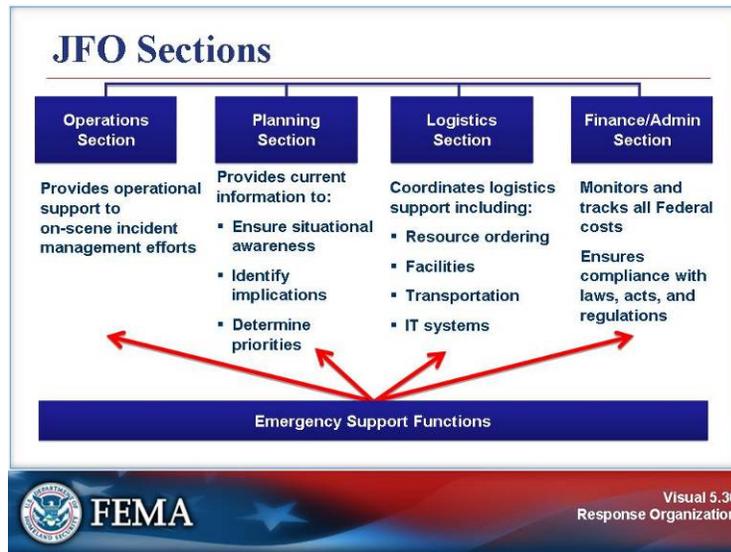
### Instructor Notes

Explain to the participants that the JFO structure typically includes a Unified Coordination Staff. The Unified Coordination Group determines the required staffing based on incident needs.

Tell the participants that they can refer to the JFO Standard Operating Procedure at the NRF Resource Center for further details on these and other Federal staff positions supporting the field operation.



Visual 5.30



Visual Description: JFO Sections

### Instructor Notes

Explain that the JFO is organized into four sections based on the Incident Command System (ICS) standard organization as follows:

**Operations Section.** The Operations Section coordinates operational support with on-scene incident management efforts. Branches, divisions, and groups may be added or deleted as required, depending on the nature of the incident. The Operations Section is also responsible for coordinating with other Federal facilities that may be established to support incident management activities.

**Planning Section.** The Planning Section's functions include the collection, evaluation, dissemination, and use of information regarding the threat or incident and the status of Federal resources. The Planning Section prepares and documents Federal support actions and develops unified action, contingency, long-term, and other plans.

**Logistics Section.** The Logistics Section coordinates logistics support that includes: control of and accountability for Federal supplies and equipment; resource ordering; delivery of equipment, supplies, and services to the JFO and other field locations; facility location, setup, space management, building services, and general facility operations; transportation coordination and fleet management services; information and technology systems services; administrative services such as mail management and reproduction; and customer assistance.

(Continued on the next page.)

**Finance and Administration Section.** The Finance and Administration Section is responsible for the financial management, monitoring, and tracking of all Federal costs relating to the incident and the functioning of the JFO while adhering to all Federal laws and regulations.

All or portions of this organizational structure may be activated based on the nature and magnitude of the threat or incident.

Depending on the scope and nature of the incident, the Unified Coordination Group identifies which Emergency Support Functions (ESFs) to activate. **ESF resources are then integrated into all areas within the JFO structure.**

**Remind participants that although the JFO Sections use ICS titles, their function is to support rather than command the incident.**



Visual 5.31

## Knowledge Review

### Instructions:

- Working as a team, review the questions assigned by your instructor.
- Use your Student Manuals to find the answers, being sure you can explain your rationale. Write your answers on chart paper.
- Select a spokesperson. Be prepared to present in 10 minutes.



**Visual Description:** Knowledge Review

### Instructor Notes

**Instructions:** Conduct the activity as follows:

1. Assign the participants to six groups and give each group a set of questions from the following page.
2. Present the following instructions to the participants:
  1. Working as a team, review the questions assigned by your instructor.
  2. Use your Student Manuals to find the answers, being sure you can explain your rationale. Write your answers on chart paper.
  3. Select a spokesperson. Be prepared to present in 10 minutes.
3. Monitor the time. When 10 minutes has passed, conduct the debrief by having each group present its answers. Supplement, as needed, with the information provided under Debrief Information in the Instructor Guide.

**Group #1**

Must a JFO be established each time a Federal agency provides assistance to a local community? Why or why not?

With regard to on-scene efforts, what does the JFO do?

---

**Group #2**

What is the role of the JFO Unified Coordination Group?

What positions elements might make up the JFO Coordination Staff?

---

**Group #3**

Who can appoint a State Coordinating Officer (SCO)?

When appointed, what is the role of the SCO?

This page intentionally left blank

**Group #4**

What's the role of the Principal Federal Official?

What's the role of the Federal Coordinating Officer?

---

**Group #5**

What are some activities the JFO Operations Section would perform?

What are some activities the JFO Operations Section would not perform?

---

**Group #6**

What are some activities the JFO Logistics Section would perform?

What are some activities the JFO Logistics Section would not perform?

This page intentionally left blank

**1. Must a JFO be established each time a Federal agency provides assistance to a local community? Why or why not?**

Some types of Federal assistance are performed by Federal departments or agencies under their own authorities and do not require Presidential approval. The jurisdiction or agency with functional or statutory authority manages the incident and establishes the appropriate response structures. Depending on the type and magnitude of the incident, a JFO may or may not be established.

**With regard to on-scene efforts, what does the JFO do?**

The JFO does not manage on-scene operations. Rather, the JFO provides support to on-scene efforts. The JFO provides a central location for the coordination of Federal, State, tribal, and local governments and private-sector and nongovernmental organizations with primary responsibility for response and recovery.

---

**2. What is the role of the JFO Unified Coordination Group?**

The JFO Unified Coordination Group applies unified command principles to coordinating assistance being provided to support the local, tribal, and State response. The Unified Coordination Group provides leadership within the Joint Field Office using unified command principles. The Unified Coordination Group is comprised of senior leaders representing State and Federal interests, and in certain circumstances tribal governments, local jurisdictions, the private sector, or nongovernmental organizations.

**What positions elements might make up the JFO Coordination Staff?**

Examples of members of the Unified Coordination Staff include:

**External Affairs.** Organizational element that provides accurate, coordinated, and timely information to affected audiences, including governments, media, the private sector, and the local populace.

**Infrastructure Liaison.** The Infrastructure Liaison is assigned by the DHS Office of Infrastructure Protection and advises the Unified Coordination Group on regionally or nationally significant critical infrastructure and key resources issues.

**Safety Officer.** The JFO Safety Officer is the senior advisor on all occupational safety and health concerns affecting and arising from the incident.

### 3. Who can appoint a State Coordinating Officer (SCO)?

The State Coordinating Officer (SCO) is appointed by the Governor to coordinate State disaster assistance efforts with those of the Federal Government.

#### When appointed, what is the role of the SCO?

The SCO plays a critical role in managing the State response and recovery operations following Stafford Act declarations. The Governor of the affected State appoints the SCO, and lines of authority flow from the Governor to the SCO, following the State's policies and laws.

---

### 4. What's the role of the Principal Federal Official?

For catastrophic or unusually complex incidents, the Secretary of Homeland Security may designate a single Principal Federal Official to serve in the field as his or her primary representative to ensure consistency and effectiveness of Federal support and incident management.

#### What's the role of the Federal Coordinating Officer?

When a Principal Federal Official (PFO) and Federal Coordinating Officer (FCO) are assigned, the FCO will have responsibility for administering Stafford Act authorities. 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.

---

### 5. What are some activities the JFO Operations Section would perform?

The JFO Operations Section coordinates operational support with on-scene incident management efforts.

#### What are some activities the JFO Operations Section would not perform?

The JFO Operations Section would not become involved with on-scene *tactical* operations.

**6. What are some activities the JFO Logistics Section would perform?**

The JFO Logistics Section provides equipment, supplies, and services to the JFO and other Federal response structures in the field.

**What are some activities the JFO Logistics Section would not perform?**

The JFO Logistics Section would not response teams into the local community to clear debris and restore critical infrastructure.



Visual 5.32



**Visual Description:** Video: Emergency Support Functions

### Instructor Notes

Tell the participants that this video provides an introduction to the Emergency Support Functions (ESFs).

**Instructions for playing the video:** The videos are activated by a single click on the image in Slide Show mode. If you click a second time on the video, it will stop. The videos will not work unless you are in Slide Show mode.

The total running time for the video is 2:45.

### Video Transcript

Emergency Support Functions, or ESFs, are used by the Federal Government and many States as the primary mechanism to organize and provide assistance.

ESFs are organized into fifteen functional areas such as transportation, public works and engineering, firefighting, search and rescue, mass care, housing, and human services, public health and medical services, agriculture and natural resources, and many more. ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents and are assigned to support headquarters, regional, and field activities.

(Continued on next page.)

**Video Transcript (continued)**

At the Joint Field Office, these resources are assigned where needed within the Unified Coordination structure. For example, if a State requests assistance with a mass evacuation, resources from several different ESFs may be integrated into a single branch or group within the Operations Section. Regardless of where ESFs may be assigned, they coordinate closely with one another to accomplish their missions.

National Response Framework Annexes describe the scope, policies, and concept of operations of each ESF. In addition, these annexes identify ESF coordinators, primary agencies, and support agencies. Let's take a closer look at each of these roles.

An ESF coordinator has ongoing management oversight throughout the preparedness, response, and recovery phases of incident management.

A primary agency is a Federal agency with significant authorities, roles, resources, or capabilities for a particular function within an ESF. During a Stafford Act incident, the ESF primary agency serves as a Federal executive agent under the Federal Coordinating Officer.

Support agencies are those entities with specific capabilities or resources that assist the primary agency in executing the mission of the ESF.

Throughout the year, ESFs plan and prepare with all participating organizations and form partnerships with the private sector and nongovernmental organizations. In doing so, Emergency Support Functions are a key element for building our national response capability.

[end of transcript]



Visual 5.33

### ESF Functional Areas

- ESF #1 - Transportation
- ESF #2 - Communications
- ESF #3 - Public Works and Engineering
- ESF #4 - Firefighting
- ESF #5 - Emergency Management
- ESF #6 - Mass Care, Emergency Assistance, Housing, and Human Services
- ESF #7 - Logistics Management and Resource Support
- ESF #8 - Public Health and Medical Services
- ESF #9 - Search and Rescue
- ESF #10 - Oil and Hazardous Materials Response
- ESF #11 - Agriculture and Natural Resources
- ESF #12 - Energy
- ESF #13 - Public Safety and Security
- ESF #14 - Long-Term Community Recovery
- ESF #15 - External Affairs



Visual 5.33  
Response Organization

**Visual Description:** ESF Functional Areas

### Instructor Notes

Use the table on the next two pages to review the ESFs with participants.

<p><b>ESF #1 – Transportation</b>  <b>ESF Coordinator: Department of Transportation</b></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>  <b>ESF Coordinator: DHS (National Communications System)</b></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 incident management and response structures</li> </ul>
<p><b>ESF #3 – Public Works and Engineering</b>  <b>ESF Coordinator: Department of Defense (U.S. Army Corps of Engineers)</b></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 lifeaving and lifesustaining services</li> </ul>
<p><b>ESF #4 – Firefighting</b>  <b>ESF Coordinator: Department of Agriculture (U.S. Forest Service)</b></p> <ul style="list-style-type: none"> <li>• Coordination of Federal firefighting activities</li> <li>• Support to wildland, rural, and urban firefighting operations</li> </ul>
<p><b>ESF #5 – Emergency Management</b>  <b>ESF Coordinator: DHS (FEMA)</b></p> <ul style="list-style-type: none"> <li>• Coordination of incident management and response efforts</li> <li>• Issuance of mission assignments</li> <li>• Resource and human capital</li> <li>• Incident action planning</li> <li>• Financial management</li> </ul>
<p><b>ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services</b>  <b>ESF Coordinator: DHS (FEMA)</b></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 Management and Resource Support</b>  <b>ESF Coordinators: General Services Administration and DHS (FEMA)</b></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, etc.)</li> </ul>

<p><b>ESF #8 – Public Health and Medical Services</b>  <b>ESF Coordinator: Department of Health and Human Services</b></p> <ul style="list-style-type: none"> <li>• Public health</li> <li>• Medical</li> <li>• Mental health services</li> <li>• Mass fatality management</li> </ul>
<p><b>ESF #9 – Search and Rescue</b>  <b>ESF Coordinator: DHS (FEMA)</b></p> <ul style="list-style-type: none"> <li>• Life-saving assistance</li> <li>• Search and rescue operations</li> </ul>
<p><b>ESF #10 – Oil and Hazardous Materials Response</b>  <b>ESF Coordinator: Environmental Protection Agency</b></p> <ul style="list-style-type: none"> <li>• Oil and hazardous materials (chemical, biological, radiological, etc.) response</li> <li>• Environmental short- and long-term cleanup</li> </ul>
<p><b>ESF #11 – Agriculture and Natural Resources</b>  <b>ESF Coordinator: Department of Agriculture</b></p> <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</li> </ul>
<p><b>ESF #12 – Energy</b>  <b>ESF Coordinator: Department of Energy</b></p> <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>
<p><b>ESF #13 – Public Safety and Security</b>  <b>ESF Coordinator: Department of Justice</b></p> <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>
<p><b>ESF #14 – Long-Term Community Recovery</b>  <b>ESF Coordinator: DHS (FEMA)</b></p> <ul style="list-style-type: none"> <li>• Social and economic community impact assessment</li> <li>• Long-term community recovery assistance to States, tribes, local governments, and the private sector</li> <li>• Analysis and review of mitigation program implementation</li> </ul>
<p><b>ESF #15 – External Affairs</b>  <b>ESF Coordinator: DHS</b></p> <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 5.34

### ESF Annexes

The ESF Annexes describe the scope, policies, and concept of operations of each ESF. In addition, these annexes identify:

- An ESF coordinator
- A primary agency
- Support agencies



Visual 5.34  
Response Organization



**Visual Description:** ESF Annexes

#### Instructor Notes

Explain that the ESF Annexes describe the scope, policies, and concept of operations of each ESF. In addition, these annexes identify:

- An **ESF coordinator**, who has ongoing management oversight throughout the preparedness, response, and recovery phases of incident management.
- A **primary agency**, which is a Federal agency with significant authorities, roles, resources, or capabilities for a particular function within an ESF.
- **Support agencies**, which are those entities with specific capabilities or resources that assist the primary agency in executing the mission of the ESF.

Tell the participants that they can access the latest copies of the ESF Annexes at the NRF Resource Center, [www.fema.gov/NRF](http://www.fema.gov/NRF).



Visual 5.35

### ESF Activation

- Not every incident requires the activation of ESFs.
- ESFs may be selectively activated for:
  - Stafford Act Emergency and Major Disaster Declarations.
  - Non-Stafford Act incidents as specified in HSPD-5.

ESF deployment must be coordinated even if under agency's own authority!



 **FEMA**

Visual 5.35  
Response Organization

**Visual Description:** ESF Activation

### Instructor Notes

Tell the participants that ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents. Not all incidents requiring Federal support result in the activation of ESFs.

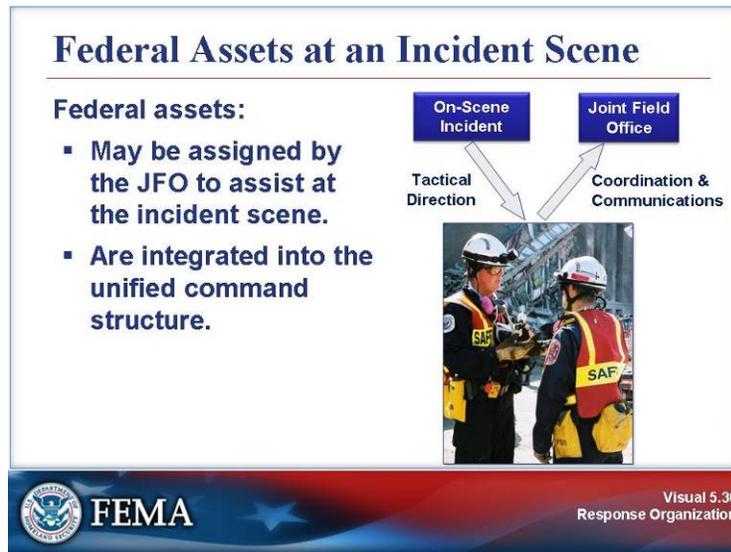
Explain that for Stafford Act incidents, the NRCC or RRCC may activate specific ESFs by directing appropriate departments and agencies to initiate the actions delineated in the ESF Annexes.

Resources coordinated through ESFs are assigned where needed within the response structure. For example, if a State requests assistance with a mass evacuation, resources from several different ESFs may be integrated into a single Branch or Group within the Operations Section. During the response, these resources would report to a supervisor within the assigned Branch or Group.

Note that, regardless of where ESFs may be assigned, they coordinate closely with one another to accomplish their missions.



Visual 5.36



**Visual Description:** Federal Assets at an Incident Scene

### Instructor Notes

Explain that, the JFO may assign Federal assets, such as an Urban Search and Rescue Task Force, to assist at an incident scene. **In these circumstances, Federal assets are integrated into the unified command structure at the incident scene.**

Note that, while integrating into tactical operations managed by the on-scene incident command structure, these Federal assets continue to coordinate and communicate critical information to the JFO.



Visual 5.37

**Agencies Respond Under Own Authorities**

**Some types of assistance:**

- Are performed by Federal departments or agencies under their own authorities.
- Do not require Presidential approval.



 **FEMA** 

Visual 5.37  
Response Organization

**Visual Description:** Agencies Respond Under Own Authorities

### Instructor Notes

Remind participants that some types of Federal assistance are performed by Federal departments or agencies under their own authorities and do not require Presidential approval.

Explain that the jurisdiction or agency with functional or statutory authority manages the incident and establishes the appropriate response structures. Depending on the type and magnitude of the incident, a JFO may or may not be established.



Visual 5.38

**Summary**

Are you now able to identify:

- Organizational structures?
- Key staff positions and relationships?

**Lesson List**

- ✓ Overview
- ✓ Roles & Responsibilities
- ✓ Response Action
- ✓ Response Organization
- Planning
- Additional Resources & Summary

FEMA

Visual 5.38  
Response Organization

**Visual Description:** Summary

### Instructor Notes

Ask the participants if they are now able to describe:

- Organizational structures.
- Key staff positions and relationships.

**Ask if anyone has any questions about anything covered in this unit.**

Transition to the next unit by explaining that it highlights the importance of planning for integrated, effective response.

**Your Notes:**

---

## Unit 6: Planning

---

---

---



## Objective

At the end of this unit, the participants should be able to describe the relationship between planning and national preparedness.

---

## Scope

- Unit Introduction
  - Unit Objective
  - Planning
    - Video: Planning
    - NRF and Planning
    - Key Planning Documents
    - Federal Planning
    - State, Tribal, and Local Planning
    - Criteria for Successful Planning
  - Activity: NRF Response Doctrine
  - Summary
- 

## Methodology

The instructors will introduce the unit by displaying a visual, which outlines the unit objective. The unit begins with a video about planning. The instructors will then explain why plans within the this Framework are “living documents.”

The instructors will review key planning documents with the participants, and then discuss Federal planning structures. Next, they will cover, State, tribal, and local planning structures, and the criteria used to develop successful plans.

The participants will complete an activity in which they work individually to answer questions about planning.

After answering any questions that the participants have, the instructors will summarize the key points from the unit and transition to Unit 7.

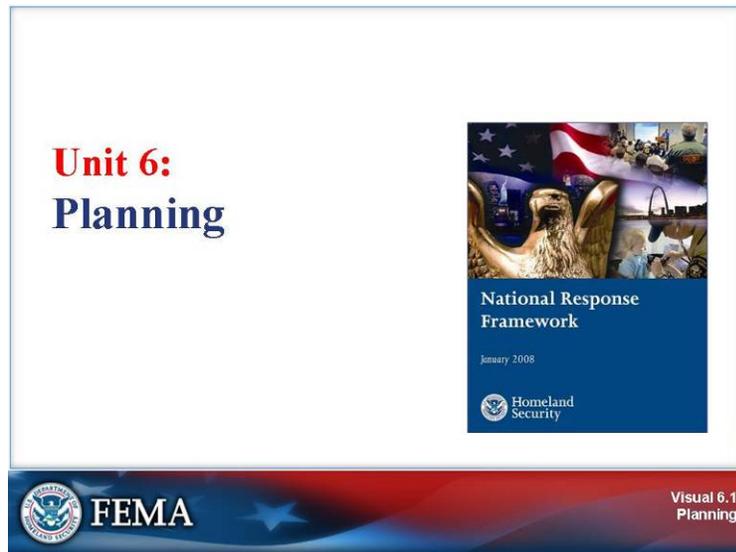
**Time Plan**

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<b>Topic</b>	<b>Time</b>
Unit Objectives	5 minutes
Planning	35 minutes
Activity: NRF Response Doctrine	10 minutes
Summary	5 minutes
<b>Total Time</b>	<b>55 minutes</b>



Visual 6.1



**Visual Description:** Unit Introduction

### Instructor Notes

Explain that Unit 6 summarizes planning structures that are relevant to the National Response Framework. The Framework fosters unity of effort for emergency operations planning by providing common doctrine and purpose.

The next visual will outline the objectives for this unit.



Visual 6.2

**Unit Objective**

At the completion of this lesson, you will be able to describe the relationship between planning and national preparedness.

**Lesson List**

- ✓ Overview
- ✓ Roles & Responsibilities
- ✓ Response Action
- ✓ Response Organization
- Planning
- Additional Resources & Summary

FEMA

Visual 6.2  
Planning

**Visual Description:** Unit Objective

### Instructor Notes

Review the unit objectives with the group. Tell the participants that by the end of this unit, they should be able to describe the relationship between planning and national preparedness.



Visual 6.3



**Visual Description:** Video: Planning

### Instructor Notes

Tell the participants that this video provides an overview of planning structures that are relevant to the NRF.

**Instructions for playing the video:** The videos are activated by a single click on the image in Slide Show mode. If you click a second time on the video, it will stop. The videos will not work unless you are in Slide Show mode.

The total running time for the video is 4:02.

### Video Transcript:

Planning is the cornerstone of national preparedness. The National Response Framework provides a foundation for unified planning for all response partners.

Plans are continuous and evolving. They anticipate actions, maximize opportunities, and guide response operations. That is why plans are best described as “living” documents.

Effective planning allows jurisdictions to influence the course of events by determining actions, policies, and processes in advance of an incident. Planning promotes unity of effort by providing a common blueprint for activity in the event of an emergency.

Emergency planning is a national priority. To address this priority, the National Preparedness Guidelines have been developed.

**Video Transcript: (Continued)**

These Guidelines are comprised of four critical elements. The first element is the National Preparedness Vision, which provides a concise statement of the core preparedness goal for the Nation.

The next element is the National Planning Scenarios, which form a basis for coordinated planning, training, and exercising. These scenarios are planning tools that depict a full range from terrorist attacks to natural disasters.

The third element is the Universal Task List, which provides a menu of unique tasks linked to prevention, protection, response, and recovery strategies. This invaluable resource identifies the critical tasks for which response capabilities must be developed.

The final element is the Target Capabilities List, which defines specific response capabilities that all levels of government should possess.

In addition to these elements, the National Preparedness Guidelines integrate key guidance documents such as: the National Incident Management System, the National Infrastructure Protection Plan, and other national continuity policies and directives.

The Federal planning structure involves the development of three levels of plans for each of the National Planning Scenarios. The first level includes a Strategic Guidance Statement and Strategic Plan. Together these documents define broad national strategic objectives, delineate roles, and establish capabilities and performance measures.

Next is the development of the National-Level Interagency Concept Plan. This plan describes the concept of operations for integrating and synchronizing Federal capabilities.

The third level encompasses Federal department and agency Operations Plans. These plans identify the specific resources, personnel, and assets needed to support the national concept of operations.

The State, tribal, and local planning structure is supported by Federal preparedness assistance.

All levels of government have responsibility to develop detailed, robust, all-hazards plans. These plans are developed using hazard identification and risk assessment methodologies. To ensure that our national planning system is fully integrated, these plans must be tested against all manner and magnitude of threats and hazards.

Planning across the full range of homeland security operations is an inherent responsibility of every level of government. By providing common doctrine and purpose, the National Response Framework lays the foundation for a mutually supportive planning system that fosters engaged partnerships at all levels.

[end of transcript]



Visual 6.4

### The NRF and Planning

Plans are “living documents” because they:

- Anticipate actions.
- Maximize opportunities.
- Guide response operations.



**Visual Description:** The NRF and Planning

#### Instructor Notes

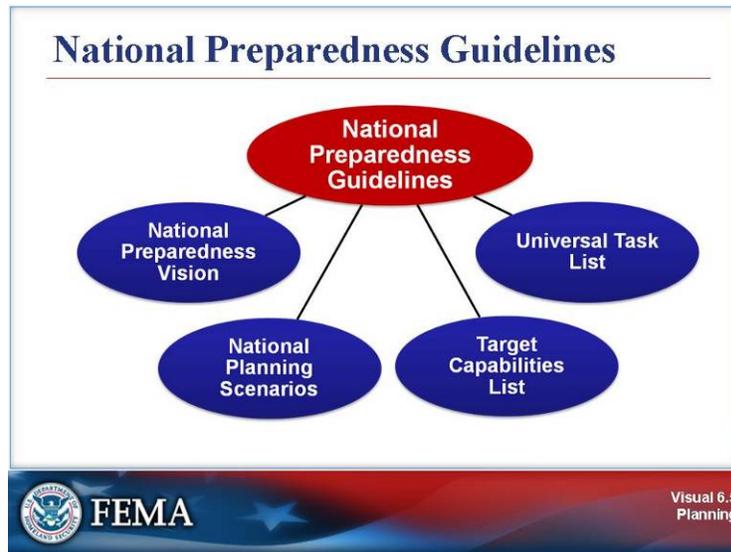
Explain to the participants that plans anticipate actions, maximize opportunities, and guide response operations. That is why plans are best described as “living” documents.

Note that planning across the full range of homeland security operations is an inherent responsibility of every level of government and should include stakeholders from the private sector and nongovernmental organizations.

Tell the participants that the next part of this unit covers the planning structures that are most relevant to the Framework.



Visual 6.5



**Visual Description:** National Preparedness Guidelines

### Instructor Notes

Present the following key points about the components of the National Preparedness Guidelines:

- **National Preparedness Vision**

The National Preparedness Vision provides a concise statement of the core preparedness goal for the Nation. The vision for the National Preparedness Guidelines is:

**“A NATION PREPARED with coordinated capabilities to prevent, protect against, respond to, and recover from all hazards in a way that balances risk with resources and need.”**

- **National Planning Scenarios**

The National Planning Scenarios are planning tools that represent a minimum number of credible scenarios depicting the range of potential terrorist attacks and natural disasters and related impacts facing our Nation. These scenarios form a basis for coordinated Federal planning, training, and exercises.

(Continued on the next page.)

- **Universal Task List**

The Universal Task List is a menu of unique tasks that link strategies to prevention, protection, response, and recovery tasks for the major events represented by the National Planning Scenarios. The List provides a common vocabulary of critical tasks that support development of essential capabilities among organizations at all levels.

- **Target Capabilities List**

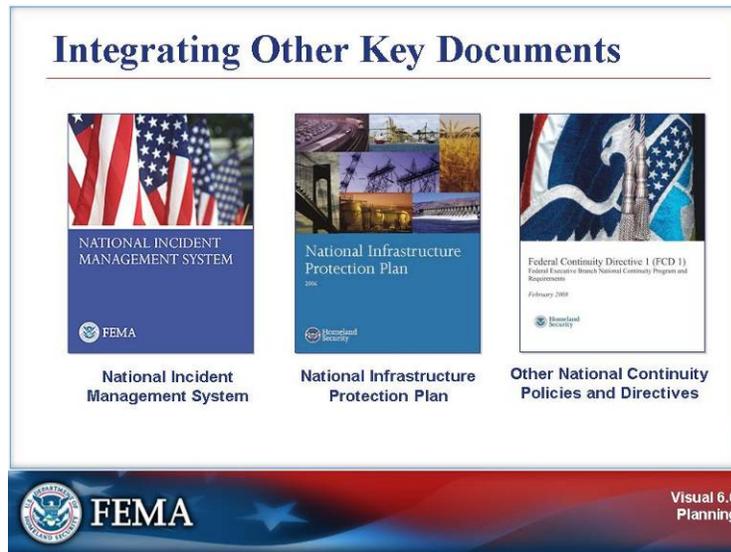
The Target Capabilities List defines specific capabilities that all levels of government should possess in order to respond effectively to incidents.

Note that the National Preparedness Guidelines define capabilities as providing the means to accomplish a mission or function and achieve desired outcomes by performing critical tasks, under specified conditions, to target levels of performance.

Each capability includes a description of the major activities performed within the capability and the critical tasks and measures associated with the activity. Critical tasks are those tasks that must be performed during a major event in order to minimize the impact on lives, property, and the economy.



Visual 6.6



**Visual Description:** Integrating Other Key Documents: NIMS, NIPP, Other National Continuity Policies and Directives

### Instructor Notes

Tell the participants that the National Preparedness Guidelines integrate key guidance documents such as:

- The National Incident Management System (NIMS)
- The National Infrastructure Protection Plan (NIPP)
- Other national continuity policies and directives



Visual 6.7

### National Planning Scenarios

- #1 – Nuclear Detonation – IND
- #2 – Biological Attack – Aerosol Anthrax
- #3 – Biological Disease Outbreak – Pandemic Flu
- #4 – Biological Attack – Plague
- #5 – Chemical Attack – Blister Agent
- #6 – Chemical Agent – Toxic Industrial Chemical
- #7 – Chemical Attack – Nerve Agent
- #8 – Chemical Attack – Chlorine Tank Explosion
- #9 – Natural Disaster – Major Earthquake
- #10 – Natural Disaster – Major Hurricane
- #11 – Radiological Attack – RDD
- #12 – Explosive Attack – Bombing Using IED
- #13 – Biological Attack – Food Contamination
- #14 – Biological Attack – Foreign Animal Disease
- #15 – Cyber Attack



FEMA

Visual 6.7  
Planning

**Visual Description:** National Planning Scenarios

### Instructor Notes

Explain that Homeland Security Presidential Directive 8, “National Preparedness,” Annex I (National Planning), describes the use of the National Planning Scenarios.

Tell the participants that the National Planning Scenarios are the focus of Federal planning efforts. These scenarios represent examples of the gravest dangers facing the United States and have been accorded the highest priority for Federal planning.

Review the list of scenarios on the visual and explain that using a shared set of scenarios provides a common yardstick for determining how to achieve expected planning results.



Visual 6.8



**Visual Description:** Federal Planning Structure

### Instructor Notes

Explain to the participants that the Federal planning structure involves the development of the following three levels of plans for each of the National Planning Scenarios:

- **Strategic Guidance Statement and Strategic Plan.** Together these documents define broad national strategic objectives, delineate roles, and establish capabilities and performance measures.
- **National-Level Interagency Concept Plan.** This plan describes the concept of operations for integrating and synchronizing Federal capabilities.
- **Federal Department and Agency Operations Plans.** These plans identify the specific resources, personnel, and assets needed to support the national concept of operations.



Visual 6.9

### State, Tribal, and Local Planning

State, tribal, and local governments:

- Must develop robust all-hazards plans and hazard- or incident-specific annexes with supporting procedures and protocols.
- Use hazard identification and risk assessment (HIRA).



 **FEMA** 

Visual 6.9  
Planning

**Visual Description:** State, Tribal, and Local Planning

### Instructor Notes

Explain that State, tribal, and local governments:

- Have responsibility to develop robust all-hazards plans and hazard- or incident-specific annexes with supporting procedures and protocols to address their locally identified hazards and risks.
- Use hazard identification and risk assessment (HIRA) to identify hazards and associated risks to persons, property, and structures and to improve protection from natural- and human-caused hazards.

Note that, in most instances, Federal plans are implemented when a State's resources are not sufficient to cope with an incident and the Governor has requested Federal assistance.



Visual 6.10

**Criteria for Successful Planning**

The National Response Framework promotes the use of the following criteria to measure key aspects of response planning:

- Acceptability
- Adequacy
- Completeness
- Consistency and Standardization of Products
- Feasibility
- Flexibility
- Interoperability and Collaboration

FEMA

Visual 6.10  
Planning

**Visual Description:** Criteria for Successful Planning

### Instructor Notes

Present the following key points about effective planning. Successful plans meet standards for:

#### **Acceptability**

A plan is acceptable if it can meet the requirements of anticipated scenarios, can be implemented within the costs and timeframes that senior officials and the public can support, and is consistent with applicable laws.

#### **Adequacy**

A plan is adequate if it complies with applicable planning guidance, planning assumptions are valid and relevant, and the concept of operations identifies and addresses critical tasks specific to the plan's objectives.

#### **Completeness**

A plan is complete if it incorporates major actions, objectives, and tasks to be accomplished. The complete plan addresses the personnel and resources required and sound concepts for how those will be deployed, employed, sustained, and demobilized. It also addresses timelines and criteria for measuring success in achieving objectives, and the desired end state. Completeness of a plan can be greatly enhanced by including in the planning process all those who could be affected.

#### **Consistency and Standardization of Products**

Standardized planning processes and products foster consistency, interoperability, and collaboration.

(Continued on the next page.)

**Feasibility**

A plan is considered feasible if the critical tasks can be accomplished with the resources available internally or through mutual aid, immediate need for additional resources from other sources (in the case of a local plan, from State or Federal partners) are identified in detail and coordinated in advance, and procedures are in place to integrate and employ resources effectively from all potential providers.

**Flexibility**

Flexibility and adaptability are promoted by decentralized decisionmaking and by accommodating all hazards ranging from smaller-scale incidents to wider national contingencies.

**Interoperability and Collaboration**

A plan is interoperable and collaborative if it identifies other plan holders with similar and complementary plans and objectives, and supports regular collaboration focused on integrating with those plans to optimize achievement of individual and collective goals and objectives in an incident.



Visual 6.11

**Activity: NRF Response Doctrine (1 of 2)****Instructions:**

1. Working individually, review the questions presented on the next visual.
2. Use your Student Manuals to find the answers, being sure you can explain your rationale.
3. Be prepared to share your responses in 5 minutes.



**Visual Description:** Activity: NRF Response Doctrine (1 of 2)

**Instructor Notes**

**Instructions:** Present the following instructions to the participants:

1. Working individually, review the questions presented on the next visual.
2. Use your Student Manuals to find the answer, being sure you can explain your rationale.
3. Be prepared to share your responses in 5 minutes.

**Debrief:** Monitor the time. Ask for volunteers to



Visual 6.12

### Activity: NRF Response Doctrine (2 of 2)

#### Questions:

1. Who has the responsibility to plan?
2. What is the Target Capabilities List?
3. True or False: The National Planning Scenarios represent examples of challenges that local responders handle on a daily basis.
4. What is the relationship between the National Preparedness Guidelines and other guidance documents such as the National Infrastructure Protection Plan?
5. How do hazard identification and risk assessment (HIRA) help with the development of plans?



**Visual Description:** Activity: NRF Response Doctrine (2 of 2)

#### Instructor Notes

**Debrief:** Monitor the time. Ask for volunteers to share their information. If not mentioned by participants, provide the following information:

#### 1. Who has the responsibility to plan?

Planning across the full range of homeland security operations is an inherent responsibility of every level of government. The National Response Framework fosters unity of effort for emergency operations planning by providing common doctrine and purpose. Planning at all levels of government should include stakeholders from the private sector and nongovernmental organizations as appropriate.

#### 2. What is the Target Capabilities List?

The Target Capabilities List defines specific capabilities that all levels of government should possess in order to respond effectively to incidents. The National Preparedness Guidelines define capabilities as providing the means to accomplish a mission or function and achieve desired outcomes by performing critical tasks, under specified conditions, to target levels of performance.

Each capability includes a description of the major activities performed within the capability and the critical tasks and measures associated with the activity. Critical tasks are those tasks that must be performed during a major event in order to minimize the impact on lives, property, and the economy.

(Continued on the next page.)

**3. True or False: The National Planning Scenarios represent examples of the challenges that local responders handle on a daily basis.**

The statement is **false**, because the National Planning Scenarios are the focus of Federal planning efforts. These scenarios represent examples of the gravest dangers facing the United States and have been accorded the highest priority for Federal planning. Using a shared set of scenarios provides a common yardstick for determining how to achieve expected planning results.

**4. What is the relationship between the National Preparedness Guidelines and other guidance documents such as the National Infrastructure Protection Plan?**

The National Preparedness Guidelines integrate key guidance documents such as the National Incident Management System, the National Infrastructure Protection Plan, and other national continuity policies and directives.

**5. How does hazard identification and risk assessment (HIRA) help with the development of plans?**

State, tribal, and local governments use HIRA to identify hazards and associated risks to persons, property, and structures and to improve protection from natural- and human-caused hazards. HIRA serves as a foundation for planning, resource management, capability development, public education, and training and exercises.



Visual 6.13

**Summary**

Are you now able to describe the relationship between planning and national preparedness?

**Lesson List**

- ✓ Overview
- ✓ Roles & Responsibilities
- ✓ Response Action
- ✓ Response Organization
- ✓ Planning
- Additional Resources & Summary

FEMA

Visual 6.13  
Planning

**Visual Description:** Summary

### Instructor Notes

Ask the participants if they are now able to describe the relationship between planning and national preparedness.

**Ask if anyone has any questions about anything covered in this unit.**

Transition to the final lesson by telling the participants that it describes the additional resources available to implement the National Response Framework.

**Your Notes:**

---

## Unit 7: Course Summary

---

---

---



## Objectives

At the end of this unit, the participants should be able to:

- Describe additional resources available to support implementation of the NRF.
  - Take the final exam.
- 

## Scope

- Unit Introduction and Unit Overview
  - Resources
    - NRF Components
    - NRF Core Document
    - Annexes
    - Partner Guides and Overview Document
    - NRF Resource Center
  - Review
    - Partnerships
    - Response Doctrine
    - Preparedness Cycle
    - Response Activities
    - Command and Coordination
    - Response Structure
  - Taking the Exam and Feedback
- 

## Methodology

The final unit begins by reviewing the elements of the NRF and introducing additional resources used to implement NRF principles. The next part of the unit is a review of the course material, including the importance of partnerships, the elements of response doctrine, steps of the preparedness cycle, activities taken during response, concepts of command and coordination, and the overall organization structure described by the NRF. The instructors will then provide instructions on taking the final exam. To conclude the unit, the instructors will emphasize to the group the importance of providing course feedback.

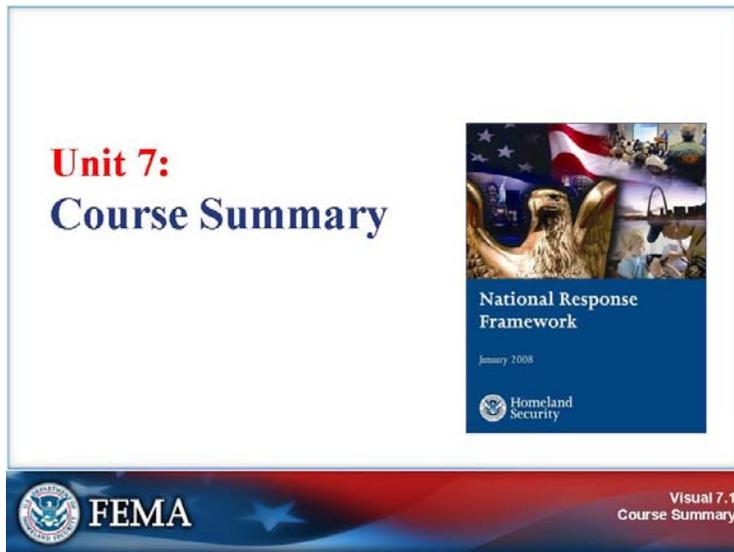
**Time Plan**

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<b>Topic</b>	<b>Time</b>
Unit Objectives and Unit Overview	5 minutes
Resources	15 minutes
Review	15 minutes
Taking the Exam and Feedback	10 minutes
Final Exam	30 minutes
<b>Total Time</b>	<b>75 minutes</b>



Visual 7.1



**Visual Description:** Unit Introduction

### Instructor Notes

Explain that Unit 7 summarizes the course material and describes additional resources that are available.

The next visual will outline the objectives for this unit.



Visual 7.2

**Unit Objectives**

The purposes of this lesson are to:

- Introduce you to the additional resources available to support the implementation of the NRF.
- Summarize the key points presented in this course.

**Lesson List**

- ✓ Overview
- ✓ Roles & Responsibilities
- ✓ Response Action
- ✓ Response Organization
- ✓ Planning
- Additional Resources & Summary

FEMA

Visual 7.2  
Course Summary

**Visual Description:** Unit Objectives

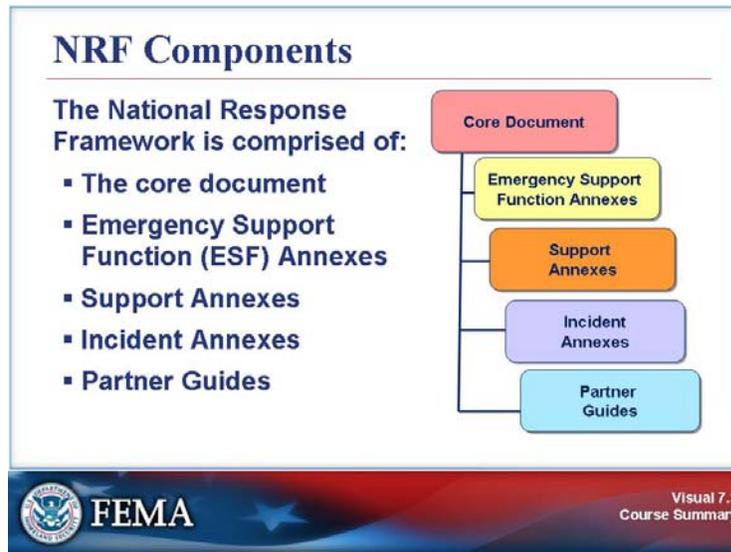
### Instructor Notes

Review the unit objectives with the group. Tell the participants that the purposes of this lesson are to:

- Introduce them to the additional resources available to support the implementation of the NRF.
- Summarize the key points presented in this course.



Visual 7.3



**Visual Description:** NRF Components

### Instructor Notes

Tell the participants that the National Response Framework is comprised of:

- The core document
- Emergency Support Function (ESF) Annexes
- Support Annexes
- Incident Annexes
- Partner Guides

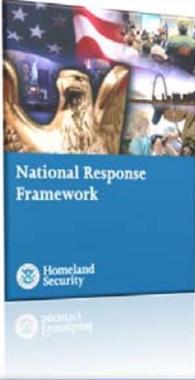
Note that all of the Framework components may be accessed at the NRF Resource Center, [www.fema.gov/nrf](http://www.fema.gov/nrf).

Explain that the FEMA Emergency Management Institute offers additional training on the ESF, Support, and Incident Annexes. More information about training opportunities can be found at [www.training.fema.gov](http://www.training.fema.gov).



Visual 7.4

### NRF: Core Document



- An Introduction
- Roles and Responsibilities
- Response Actions
- Response Organization
- Planning

FEMA

Visual 7.4  
Course Summary

**Visual Description:** NRF: Core Document

### Instructor Notes

Remind the participants that the core document presents:

- An **Introduction** to the doctrine that guides our national response.
- **Roles and Responsibilities** including who is involved with emergency management activities at the local, tribal, State, and Federal levels and with the private sector and nongovernmental organizations.
- **Response Actions** that describe what we as a Nation collectively do to respond to incidents.
- **Response Organization** specifying how we as a Nation are organized to implement response actions.
- **Planning** requirements to achieve an effective national response to any incident that occurs.



Visual 7.5

## Annexes

Annexes to the NRF include:

- **Emergency Support Function Annexes**, which group Federal resources and capabilities into functional areas that are most frequently needed in a national response.
- **Support Annexes**, which describe essential supporting aspects that are common to all incidents.
- **Incident Annexes**, which address the unique aspects of how we respond to seven broad incident categories.



**Visual Description:** Annexes

### Instructor Notes

Present the following points:

- The **Emergency Support Function Annexes** group Federal resources and capabilities into functional areas that are most frequently needed in a national response (e.g., Transportation, Firefighting, Mass Care).
- The **Support Annexes** describe essential supporting aspects that are common to all incidents (e.g., Financial Management, Volunteer and Donations Management, Private-Sector Coordination). The actions described in the Support Annexes are not limited to particular types of events, but are overarching in nature and applicable to nearly every type of incident. In addition, they may support several ESFs.
- The **Incident Annexes** address the unique aspects of how we respond to seven broad incident categories (e.g., Biological, Nuclear/Radiological, Mass Evacuation). The overarching nature of functions described in these annexes frequently involves either support to or cooperation of all Federal departments and agencies involved in incident management efforts to ensure seamless integration of and transitions between preparedness, prevention, response, recovery, and mitigation activities.



Visual 7.6

### Partner Guides and Overview

The NRF is augmented by the following additional resources:

- **Partner Guides**, which provide ready references describing key roles and actions for local, tribal, State, Federal, and private-sector response partners.
- The **Overview Document**, which presents a summary of the process, roles, and responsibilities for requesting and providing all forms of Federal assistance.



**Visual Description:** Partner Guides and Overview

### Instructor Notes

Present the following points:

- The **Partner Guides** provide ready references describing key roles and actions for local, tribal, State, Federal, and private-sector response partners.
- The **Overview Document** presents a summary of the process, roles, and responsibilities for requesting and providing all forms of Federal assistance.



Visual 7.7



**Visual Description:** NRF Resource Center

### Instructor Notes

Explain that the NRF Resource Center includes:

- Authorities
- Overviews of Federal Assistance
- Glossary/Acronyms
- Additional Resources
- Briefings and Training

Tell the participants that the Resource Center may be accessed at [www.fema.gov/NRF](http://www.fema.gov/NRF).

Note that participants can sign up for email updates.



Visual 7.8

**Overarching Concept: Partnership**

The Framework fosters partnerships among:

- All levels of government
- Nongovernmental organizations
- The private sector

Visual 7.8  
Course Summary

**Visual Description:** Overarching Concept: Partnership

### Instructor Notes

Summarize overarching concepts of the course by explaining that the National Response Framework:

- Presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies – from the smallest incident to the largest catastrophe.
- Defines the key principles, roles, and structures that organize the way we respond as a Nation.
- Describes how communities, tribes, States, the Federal Government, and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response.



Visual 7.9



**Visual Description:** NRF Emphasizes Partnerships

### Instructor Notes

Use the visual to review the different types of partnerships that support effective response.



Visual 7.10



**Visual Description:** Review: Response Doctrine

### Instructor Notes

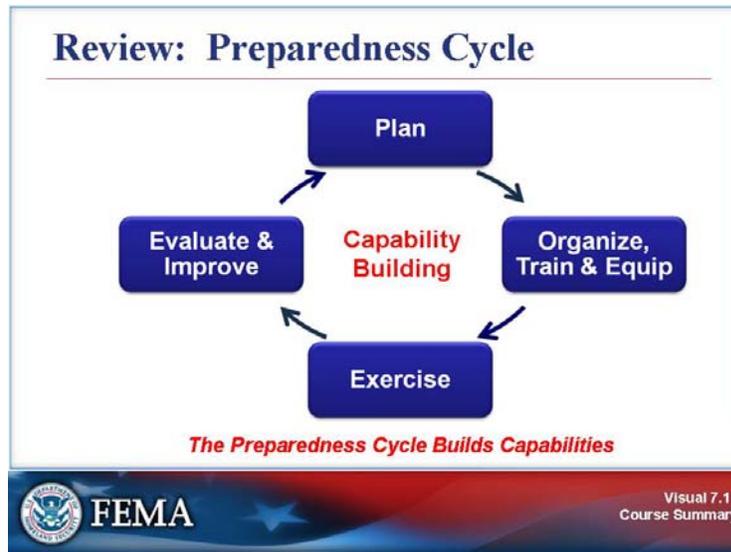
Remind participants that response doctrine defines basic roles, responsibilities, and operational concepts for response across all levels of government and with the private sector and nongovernmental organizations.

Review the five key principles of operations that support the Nation's response mission:

- **Engaged partnership:** 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 7.11

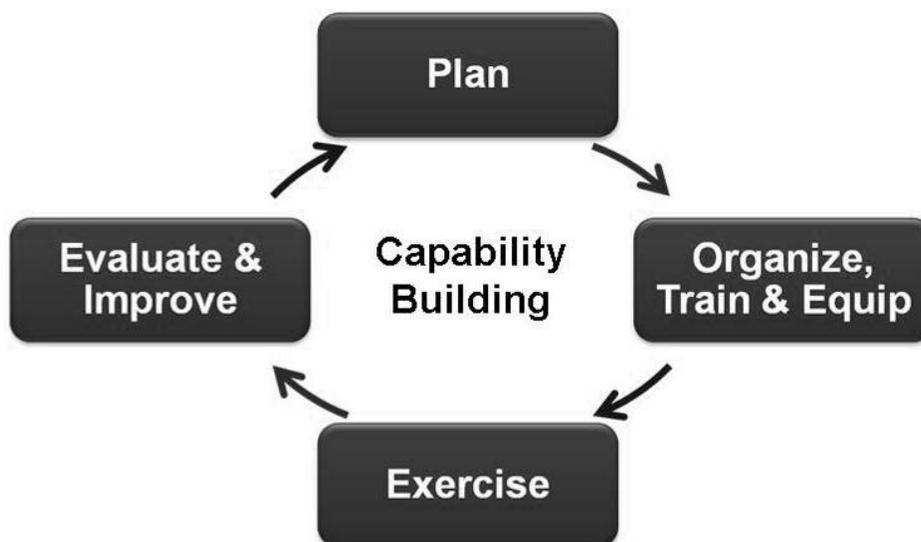


**Visual Description:** Review: Preparedness Cycle

### Instructor Notes

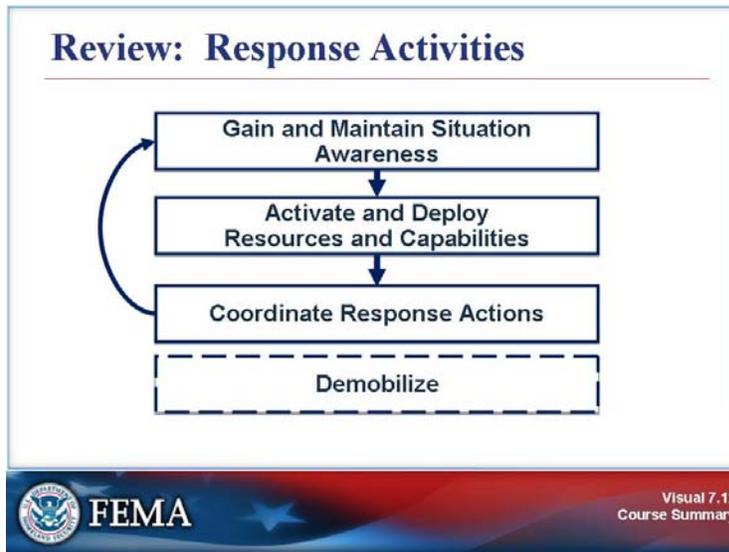
Use the visual to review the stages of the preparedness cycle:

- Plan
- Organize, Train & Equip
- Exercise
- Evaluate & Improve





Visual 7.12

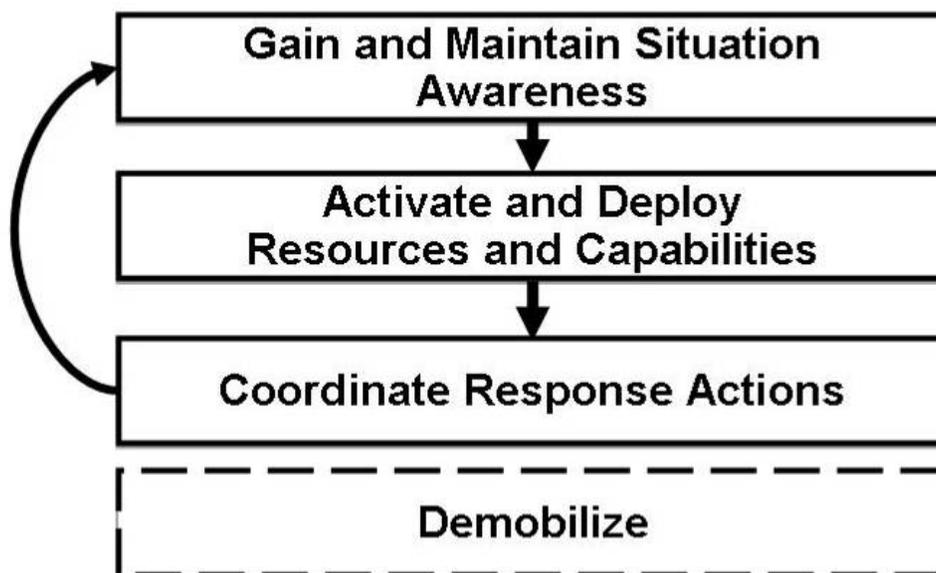


**Visual Description:** Review: Response Activities

### Instructor Notes

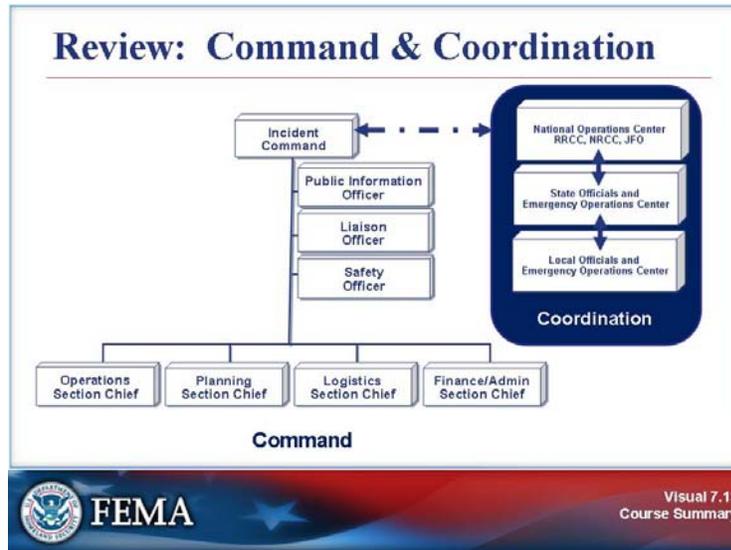
Review the four key actions that typically occur in support of a response:

- Gain and maintain situational awareness;
- Activate and deploy key resources and capabilities;
- Coordinate response actions; and
- Demobilize.





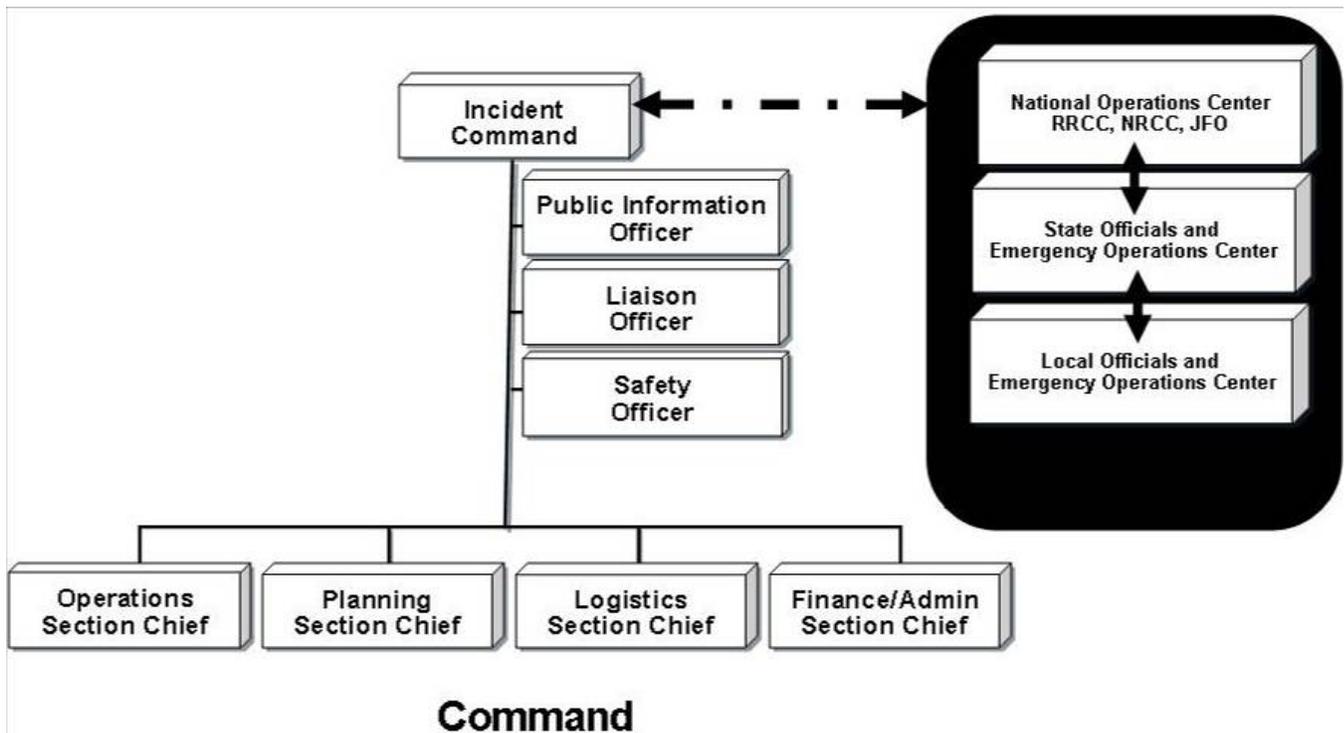
Visual 7.13



**Visual Description:** Review: Command & Coordination

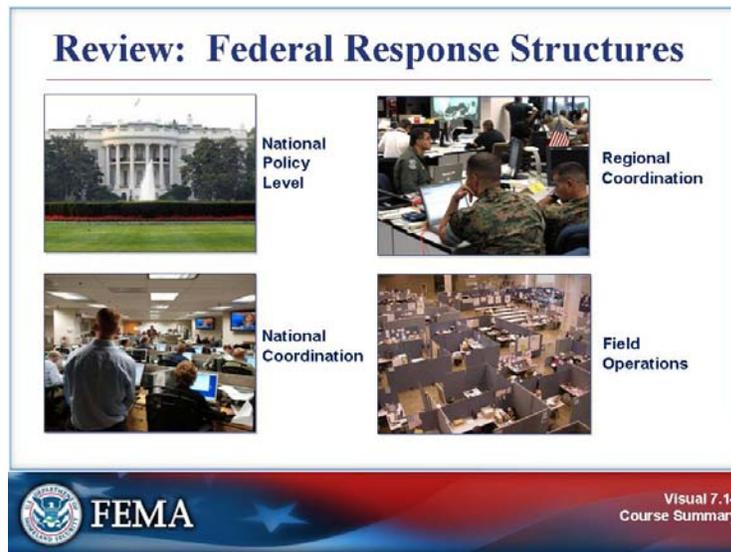
### Instructor Notes

Use the chart on the visual to review command and coordination.





Visual 7.14



**Visual Description:** Review: Federal Response Structures

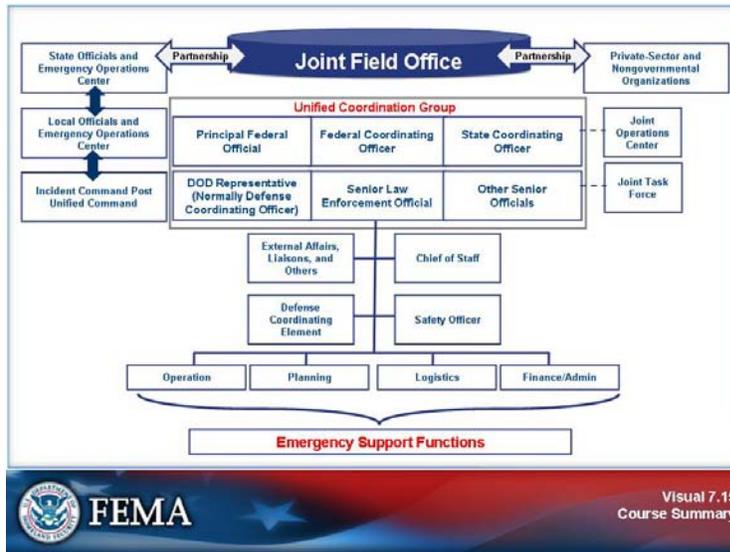
### Instructor Notes

Review the following levels of Federal response structures:

- National Policy Level
- National Coordination
- Regional Coordination
- Field Operations



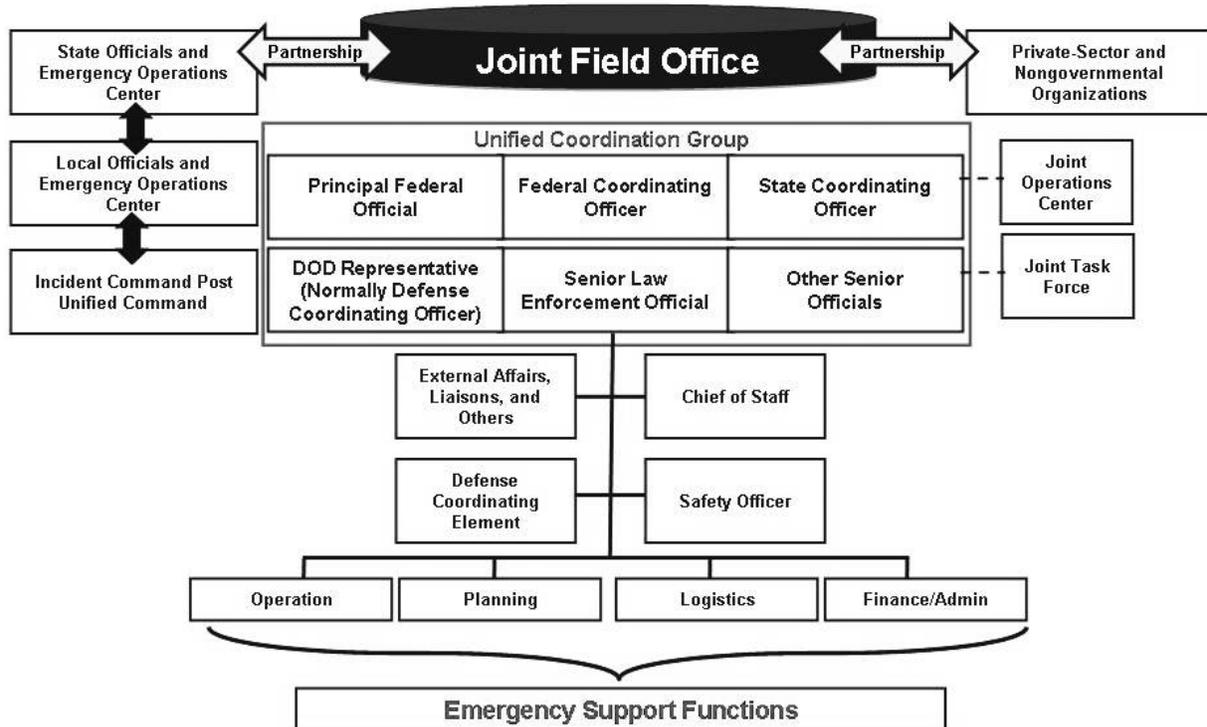
Visual 7.15



Visual Description: Review: JFO Organization Chart

Instructor Notes

Use the chart to review the field-level response structures and partnerships.





Visual 7.16

### Taking the Exam

**Instructions:**

1. Take a few moments to review your Student Manuals and identify any questions.
2. Make sure that you get all of your questions answered prior to beginning the final test.
3. When taking the test . . .
  - Read each item carefully.
  - Circle your answer on the test.
  - Check your work and transfer your answers to the computer-scan (bubble) answer sheet or enter the answers online.

→ You may refer to your Student Manuals and the NRF document when completing this test.



Visual 7.16  
Course Summary

**Visual Description:** Taking the Exam

### Instructor Notes

**Note:** Additional guidance appears on the next page.

Present the following ICS 800 test instructions:

1. Take a few moments to review your Student Manuals and identify any questions.
2. Make sure that you get all of your questions answered prior to beginning the final test.
3. When taking the test . . .
  - Read each item carefully.
  - Circle your answer on the test.
  - Check your work and transfer your answers to the computer-scan (bubble) answer sheet or take the test online.

Tell the participants that they may refer to their Student Manuals when completing this test.

When the review is completed, distribute the exams. Remain in the room to monitor the exam and to be available for questions. Collect the completed exams.

**Instructor Note:**

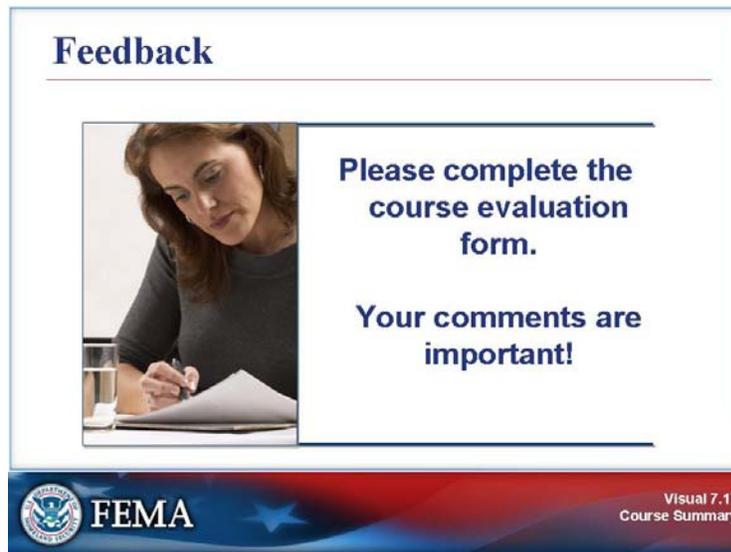
To receive a certificate of completion, participants must take the 25-question multiple-choice posttest, submit an answer sheet (to EMI's Independent Study Office), and score 75% on the test.

Participants submit their tests online, and upon successful completion receive an email message with a link to their electronic certification.

- Go to <http://training.fema.gov/IS/crslst.asp> and click on the link for ICS-800.
  - Click on "Take Final Exam."
-



Visual 7.17



**Visual Description:** Feedback

### Instructor Notes

Emphasize that completing the course evaluation form is important. Participants' comments will be used to evaluate the effectiveness of this course and make changes for future versions.

Please use the course evaluation form provided by the organization sponsoring the course.