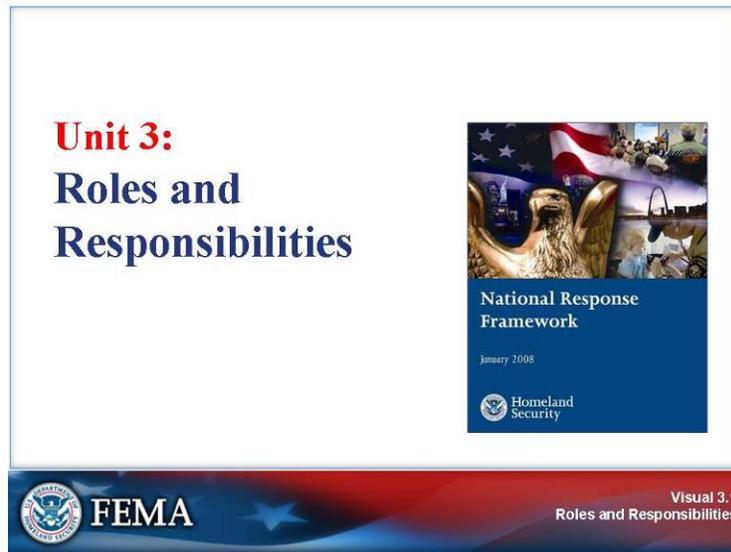

Unit 3: Roles and Responsibilities



Visual 3.1



Visual Description: Unit Introduction

Key Points

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



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

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Visual 3.2
Roles and Responsibilities

Visual Description: Unit Objectives

Key Points

By the end of this unit, you 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

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Visual 3.3
Roles and Responsibilities

Visual Description: Lesson Topics: Roles and Responsibilities

Key Points

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

Key Points

An effective, unified national response requires layered mutually supporting capabilities.

Response to an incident is a shared responsibility of governments at all levels. The responsibilities at each level of government are explained below:

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.)

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

Key Points

This video illustrates how response partners work together to meet incident management challenges.

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



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Visual 3.6
Roles and Responsibilities

Visual Description: Local Roles

Key Points

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

Local Response: Key Players	
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

Key Points

Read 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

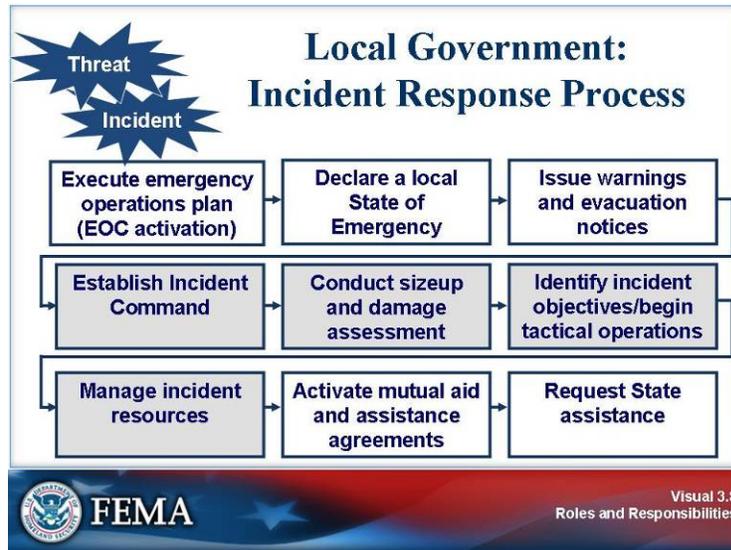
Role: Department and agency heads collaborate with the emergency manager during development of local emergency plans and provide key response resources.

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

Key Points

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.

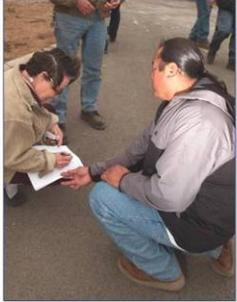


Visual 3.9

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.



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Visual 3.9
Roles and Responsibilities

Visual Description: Tribal Roles

Key Points

Tribal governments are responsible for the public safety and welfare of the people of that tribe.

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

Key Points

Key players in tribal response are tribal leaders. 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: You 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.



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Visual 3.11
Roles and Responsibilities

Visual Description: Nongovernmental Organizations

Key Points

Nongovernmental and voluntary organizations are essential partners in responding to incidents.

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.

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: For more information, 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)?

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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)?

Key Points

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

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

Key Points

Individuals and households play an important role in the overall emergency management strategy.

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

Discussion Questions

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

Why is private-sector involvement important?

 **FEMA** Visual 3.14
Roles and Responsibilities

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

Key Points

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

Why is private-sector involvement important?



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.



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Visual 3.15
Roles and Responsibilities

Visual Description: Private Sector Roles

Key Points

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.

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.

You 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.

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Visual 3.16
Roles and Responsibilities

Visual Description: State Roles

Key Points

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.

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

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

Key Points

Read 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

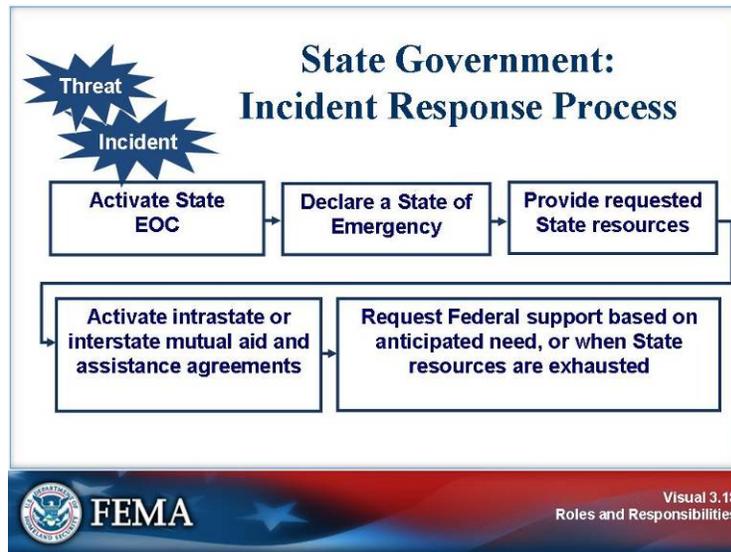
Role: Department and agency heads collaborate with and support the State Emergency Management Director.

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

Key Points

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.

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?

Visual 3.19
Roles and Responsibilities

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

Key Points

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



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.



Visual 3.20
Roles and Responsibilities



Visual Description: Federal Roles

Key Points

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

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.



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Visual 3.21
Roles and Responsibilities

Visual Description: Federal Response Goals

Key Points

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 Description: Federal Response: Key Players

Key Points

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.

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

Key Points

Read 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

Key Points

Instructions:

1. Working as a team, select a leader.
2. Review your assigned role.
3. Work with your groups to answer the "Who Am I?" questions on the next page in your Student Manual.
4. Be prepared to present you answers to the class in 5 minutes.



Visual 3.25

Lesson Topics

 **Roles and Responsibilities**

 **Requesting Assistance**

 **FEMA**  Visual 3.25
Roles and Responsibilities

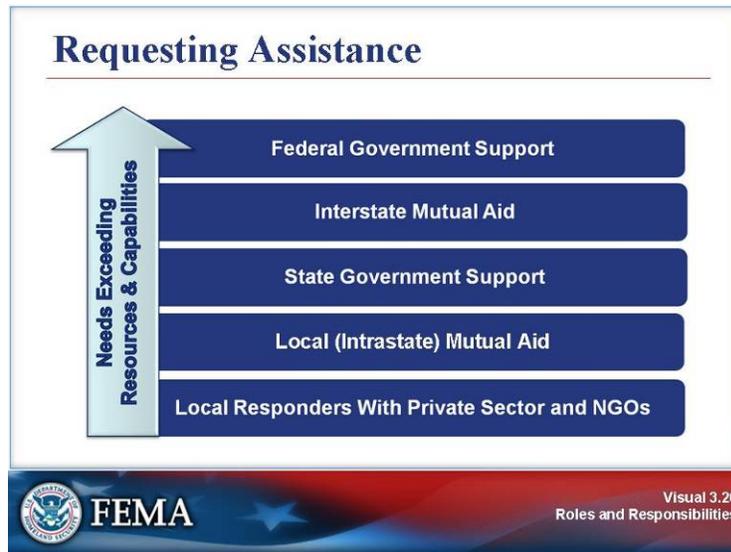
Visual Description: Requesting Assistance

Key Points

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



Visual 3.26



Visual Description: Requesting Assistance

Key Points

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.



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Visual 3.27
Roles and Responsibilities

Visual Description: Neighbors Helping Neighbors

Key Points

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).





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Visual 3.28
 Roles and Responsibilities

Visual Description: State Assistance to Local Governments

Key Points

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.

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.)

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.



Visual Description: State-to-State Assistance

Key Points

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).

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.

Read 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

Key Points

Federal support to States and local jurisdictions takes many forms. The most widely known authority where assistance is provided for major incidents is the Stafford Act.

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

Key Points

This video provides an introduction to the NRF.

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

Key Points

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).

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.

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.)

The process for requesting assistance under the Stafford Act is presented in 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

Key Points

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.

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.






FEMA

Visual 3.34
 Roles and Responsibilities

Visual Description: Defense Support of Civil Authorities

Key Points

Read 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.

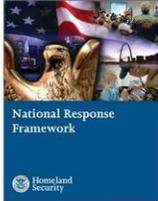
DOD has appointed 10 Defense Coordinating Officers (DCOs) and assigned one to each FEMA region. The DCO assigned to FEMA R-10 is designated as the liaison to the NICC. If requested and approved, the DCO serves as DOD's single point of contact at the Joint Field Office (JFO) for requesting assistance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

Key Points

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.

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).

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.

Key Points

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.



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.

Key Points

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.



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.

Key Points

Determine if the following statement is true or false:

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

Key Points

Determine if the following statement is true or false:

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



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

Visual 3.40
Roles and Responsibilities

Visual Description:

Key Points

Are you now able to describe:

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

The next unit presents the response actions.

Your Notes: