

LOVELAND CITY COUNCIL  
LOVELAND MANAGEMENT TEAM  
STUDY SESSION  
TUESDAY, JULY 24, 2012  
CITY COUNCIL CHAMBERS  
500 EAST THIRD STREET  
LOVELAND, COLORADO

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6:30 P.M.                STUDY SESSION - City Council Chambers

1.    **FIRE & RESCUE** **(2 hours)**  
      **“Emergency and Disaster Considerations for Executives” Training Course**  
      This is a two hour training course that covers the basics of the Incident Command System, the National Incident Management System, and the roles and responsibilities of the City Council, City Administration, and members of the Management Team during an emergency or disaster.

**ADJOURN**



**CITY OF LOVELAND**

FIRE & RESCUE DEPARTMENT

Administration Offices • 410 East Fifth Street • Loveland, Colorado 80537

(970) 962-2471 • FAX (970) 962-2922 • TDD (970) 962-2620

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**AGENDA ITEM:** 1  
**MEETING DATE:** 7/24/2012  
**TO:** City Council  
**FROM:** Lt. Pat Mialy, Loveland Fire & Rescue Authority  
**PRESENTER:** Kevin Kuretich CO. Div. of Emergency Management

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**TITLE:** Emergency and Disaster Considerations for Executives course

**RECOMMENDED CITY COUNCIL ACTION:** Training item only; no action required

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**DESCRIPTION:** This is a two hour training course that covers the basics of the Incident Command System, the National Incident Management System, and the roles and responsibilities of the City Council, City Administration, and members of the Management Team during an emergency or disaster.

**BUDGET IMPACT:**

- Positive
  - Negative
  - Neutral or negligible - No Budget Impact
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**SUMMARY:**

This study session item is a training course that describes how emergencies and disaster can be managed by elected officials and city management.

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**REVIEWED BY CITY MANAGER:**

**LIST OF ATTACHMENTS:**

Emergency and Disaster Considerations for Executives / Colorado-Specific Course / G-402 modules 1-2 / Student Manual

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# **EMERGENCY AND DISASTER CONSIDERATIONS FOR EXECUTIVES**

## **COLORADO-SPECIFIC COURSE**

**G-402 Modules 1-2**

**STUDENT MANUAL**



# Introductions

# Emergency and Disaster Considerations for Executives

G-402



Module 1

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G-402 Emergency and Disaster Considerations for Executives

## Instructor and Student Introductions

- Name
- Organization
- Title



Module 1

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# Module 1: Incident Command System Overview

## Objectives (1 of 2)

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- Describe the Incident Command System (ICS), and the ways in which it can be applied.
- Demonstrate basic familiarity with ICS terminology.
- Describe the basic organization of ICS and know the functional responsibilities of the Command and General Staff.
- Define the role and major responsibilities of an Executive/Senior Official relative to the ICS.
- Describe issues that influence incident complexity and the tools available to analyze complexity.
- Describe the decisions and initial actions elected officials should take when an incident occurs.



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## Objectives (2 of 2)

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- Describe the differences between on-incident ICS organizations and the activities accomplished by Emergency Operations Centers (EOCs), Emergency Support Functions (ESFs), and multiagency coordination (MAC) systems.
- Explain the administrative, logistical, financial, and reporting implications of large incident operations.
- Describe the sources of information regarding the incident and how to access them.
- Describe types of agency policies and guidelines that influence management of incident or event activities.
- Describe the resources available in the State of Colorado for local incident response.



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## What Is an Incident?

An incident is . . .

. . . an occurrence, caused by either human or natural phenomena, that requires response actions to prevent or minimize loss of life, or damage to property and/or the environment.



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An *incident* is an occurrence, caused by either human or natural phenomena, that requires response actions to prevent or minimize loss of life, or damage to property and/or the environment.

- The vast majority of incidents are handled on a daily basis by a single jurisdiction at the local level. However, there are instances when incident management must involve multiple jurisdictions, functional agencies, and emergency responder disciplines.
- Any incident can have a mix of political, economic, social, environmental, and cost implications with potentially serious long-term effects.
- Large, complex incidents require effective and efficient coordination across this broad spectrum of organizations and activities. As the Executive or Senior Official, you need to be aware of how ICS and interagency (regional) multiagency coordination systems can work to ensure cooperative response efforts.



## Incident Timeframes



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Executives and Senior Officials must understand the timeframes associated with incident management so that they are prepared. During this 1-hour briefing, many minor, everyday incidents (e.g., structural fires, traffic accidents, medical emergencies, robberies, etc.) may occur and be resolved. However, complex incidents require much longer timeframes.

### 1. How long will a complex incident last?

- The emergency period of a complex incident may be resolved in a matter of days or weeks. However, the long-term recovery needs and implications can be long-lasting. **For example:**
  - Long-term mitigation projects are still underway for the Northridge earthquake.
  - Many 9/11 responders face potential health and psychological conditions for years to come. Even a small hazmat incident may cause long-lasting health effects in a small community.
  - The economic recovery from major incidents such as Hurricanes Andrew and Katrina can take a decade or more.
- As an Executive/Senior Official, you must plan for the long-term recovery and not just the initial incident.

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**2. How long do we need to be self-sufficient?**

- Communities should plan to be self-sufficient for approximately 72 hours.
  - It is important for Executives/Senior Officials to ensure that resources (personnel, equipment, and supplies) are available for the initial incident period. During this time period, personnel will need to be relieved. Ensuring readiness may mean creating budgets for the acquisition and maintenance of essential resources.
  - Conducting training and exercises can help make sure that sufficient resources will be available.
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**3. How will you know that the incident is over?**

- The simple answer is that you may not know for sure.
  - For example, a worker safety issue may arise years later from exposure. Therefore, it is important to keep records in case long-term worker safety issues arise.
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## What Is ICS?

### The Incident Command System:

- Is a standardized, on-scene, all-hazards incident management concept.
- Allows its users to adopt an integrated organizational structure to match the complexities and demands of single or multiple incidents without being hindered by jurisdictional boundaries.



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- **The Incident Command System, or ICS, is a standardized, on-scene, all-hazards incident management concept.** ICS allows its users to adopt an integrated organizational structure to match the complexities and demands of single or multiple incidents without being hindered by jurisdictional boundaries.
- **ICS has considerable internal flexibility.** It can grow or shrink to meet different needs. This flexibility makes it a very cost-effective and efficient management approach for both small and large situations.
- Surprisingly, studies found that response problems were far more likely to result from inadequate.

**A poorly managed incident response can be devastating to our economy and our health and safety.**

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## ICS Purposes

Using management best practices, ICS helps to ensure:

- The safety of responders and others.
- The achievement of tactical objectives.
- The efficient use of resources.



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By using management best practices, ICS helps to ensure:

- The safety of responders and others.
- The achievement of tactical objectives.
- The efficient use of resources

One example is the Southern California Firestorm in 2003: Report for the Wildland Fire Lessons Learned Center reports that the use of Critical Incident Stress Debriefing (CISD) can help protect responder safety and welfare. A CISD team was ordered on day two of the incident. The team organized at a drop-in center. Twenty to 30 people per hour visited the CISD team members. On another incident, roughly 1,800 people took advantage of the availability of CISD staff to just release stress. Data from similar incidents indicate that CISD services are important for up to 2 years after significant traumatic stress situations.

**What resources and plans do you have for ensuring the safety and welfare of your responders?**

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#### Incident management mandates.

- Complex 21st century threats demand that all Americans share responsibility for homeland security. All levels of government, the private sector, and nongovernmental agencies must be prepared to prevent, protect against, respond to, and recover from a wide spectrum of major events that exceed the capabilities of any single entity. These hazards require a unified and coordinated national approach to planning and to domestic incident management.
- To address this need, Homeland Security Presidential Directive 5: Management of Domestic Incidents (HSPD-5) and Homeland Security Presidential Directive 8: National Preparedness (HSPD-8) were national initiatives that were established to develop a common approach to preparedness and response.
- The National Incident Management System (NIMS) and the National Response Framework (NRF) provide the process and structures for meeting these mandates. Together, 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.

HSPD-8 has since been replaced by Presidential Policy Directive 8 (PPD-8) for National Preparedness.

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## PPD-8 National Preparedness

- Presidential Policy Directive 8
- Aimed at “strengthening the security and resilience” of the U.S. through “systematic preparation for the threats that pose the greatest risk to the security of the Nation.”
- Signed March 30, 2011; replaces HSPD-8
- Deliverables:
  - National Preparedness Goal
  - Description of a National Preparedness System
    - National Frameworks
    - Federal Interagency Operational Plans
  - Campaign to Build and Sustain Preparedness
  - Annual National Preparedness Report



### PPD Key Principles:

- Employ an all-of-nation / whole community approach, integrating efforts across federal, state, local, tribal and territorial governments and with private sector, community, non-governmental, and individual partners.
- Use a risk-based approach to support preparedness
- Build core capabilities to confront any challenge
- Integrate efforts across Prevention, Protection, Response, Response, Recovery and Mitigation

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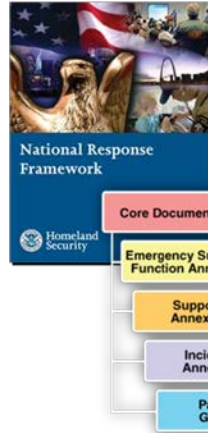
#### National Preparedness Goal

- Informed by the risk of specific threats and vulnerabilities – including regional variations
  - Defines the core capabilities necessary to prepare for the specific types of incidents that pose the greatest risk to the nation’s security
  - Addresses Prevention, Protection, Response, Recovery and Mitigation
  - Emphasizes actions aimed at achieving an integrated, layered, and all-of-nation preparedness approach that optimizes the use of available resources
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#### National Preparedness System

- Provides a description of the national preparedness system – “an integrated set of guidance, programs and processes necessary to meet” the National Preparedness Goal
  - Describes guidance for planning, organization, equipment, training and exercises to build and maintain capabilities
  - Describes a national planning system comprised of national level frameworks focused on preparing capabilities and federal interagency operational plans to deliver capabilities
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## National Response Framework (NRF)



- Establishes a comprehensive, national, all-hazards approach to domestic incident response.
- Presents an overview of key response principles, roles, and structures that guide the national response.
- Includes core document, annexes, and partner guides.
- Replaces the National Response Plan.



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The National Response Framework (NRF):

- Is a guide to how the Nation conducts all-hazards response.
- Builds upon the NIMS coordinating structures to align key roles and responsibilities across the Nation, linking all levels of government, nongovernmental organizations, and the private sector.

The NRF is comprised of:

- The **Core Document**, which 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.
- **Emergency Support Function Annexes** that identify Federal resources and capabilities that are most frequently needed in a national response (e.g., Transportation, Firefighting, Mass Care).
- **Support Annexes** that describe essential supporting aspects that are common to all incidents (e.g., Financial Management, Volunteer and Donations Management, Private-Sector Coordination).
- **Incident Annexes** that address the unique aspects of how we respond to seven broad categories or types of incidents (e.g., Biological, Nuclear/Radiological, Cyber, Mass Evacuation).
- **Partner Guides** that provide ready references describing key roles and actions for local, tribal, State, Federal, and private-sector response partners.





**Why it is important that incidents be managed at the lowest level possible?**

- Local responders have the most knowledge about the needs of their communities.
- Tactical incident command decisions are best made at the incident scene.

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**What can local jurisdictions provide that cannot be provided at any other level of government?**

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**The roles of different levels of Government in response.**

- **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.
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An effective response also 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.
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## NIMS & Institutionalizing ICS

### Governmental officials must:

- Adopt the ICS through executive order, proclamation, or legislation as the agency's/jurisdiction's official incident response system.
- Direct that incident managers and response organizations train, exercise, and use the ICS.
- Integrate ICS into functional and system-wide emergency operations policies, plans, and procedures.
- Conduct ICS training for responders, supervisors, and command-level officers.
- Conduct coordinating ICS-oriented exercises that involve responders from multiple disciplines and jurisdictions.



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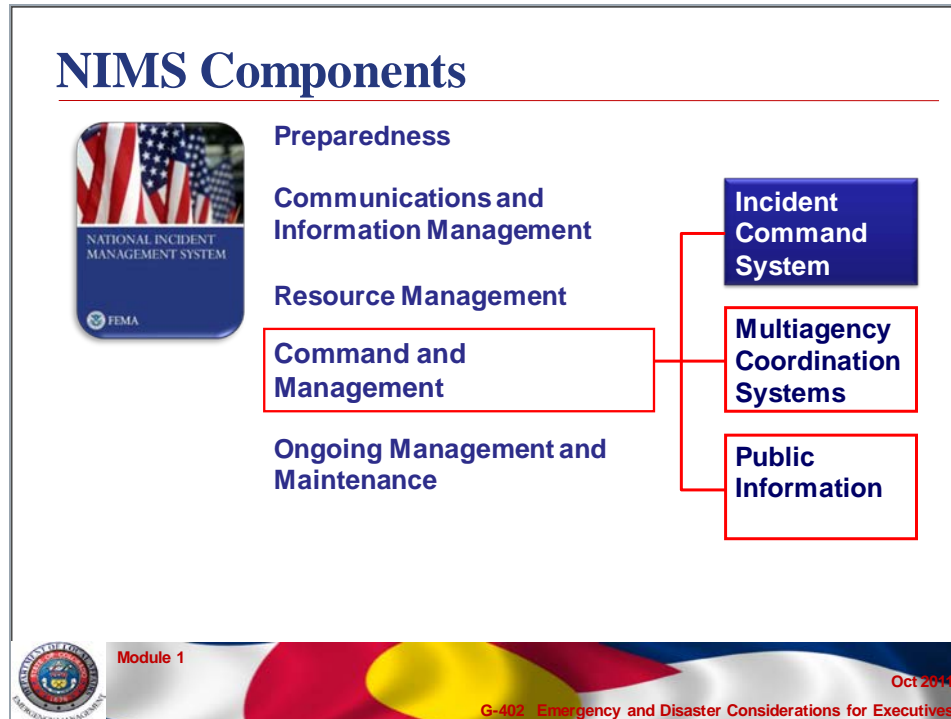
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Additional information about the NIMS requirement regarding “Institutionalizing the Use of ICS”:

- According to the FEMA National Integration Center, "institutionalizing the use of ICS" means that government officials, incident managers, and emergency response organizations at all jurisdictional levels must adopt the Incident Command System. Actions to institutionalize the use of ICS take place at two levels: policy and organizational/operational.
- At the policy level, institutionalizing the ICS means government officials (i.e., agency administrators, governors, mayors, county and city managers, tribal leaders, and others) must:
  - Adopt the ICS through executive order, proclamation, or legislation as the agency's/jurisdiction's official incident response system; and
  - Direct that incident managers and response organizations in their jurisdictions train, exercise, and use the ICS in their response operations.
- At the organizational/operational level, evidence that incident managers and emergency response organizations are institutionalizing the ICS would include the following:
  - ICS is being integrated into functional and system-wide emergency operations policies, plans, and procedures.
  - ICS training is planned or underway for responders, supervisors, and command-level officers.
  - Responders at all levels are participating in and/or coordinating ICS-oriented exercises that involve responders from multiple disciplines and jurisdictions.

Additional information about NIMS can be found online at [www.fema.gov/emergency/nims](http://www.fema.gov/emergency/nims).



ICS is only one facet of NIMS. Following is a synopsis of each major component of NIMS.

- **Preparedness.** Effective incident management and incident response activities begin with a host of preparedness activities conducted on an ongoing basis, in advance of any potential incident. Preparedness involves an integrated combination of planning, procedures and protocols, training and exercises, personnel qualification and certification, and equipment certification.
  - **Communications and Information Management.** Emergency management and incident response activities rely on communications and information systems that provide a common operating picture to all command and coordination sites. NIMS describes the requirements necessary for a standardized framework for communications and emphasizes the need for a common operating picture. NIMS is based on the concepts of interoperability, reliability, scalability, portability, and the resiliency and redundancy of communications and information systems.
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- **Resource Management.** Resources (such as personnel, equipment, and/or supplies) are needed to support critical incident objectives. The flow of resources must be fluid and adaptable to the requirements of the incident. NIMS defines standardized mechanisms and establishes the resource management process to: identify requirements for, order and acquire, mobilize, track and report, recover and demobilize, reimburse for, and inventory resources.
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- **Command and Management.** The Command and Management component within NIMS is designed to enable effective and efficient incident management and coordination by providing flexible, standardized incident management structures. The structure is based on three key organizational constructs: the **Incident Command System, Multiagency Coordination Systems, and Public Information.**
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- **Ongoing Management and Maintenance.** DHS/FEMA manages the development and maintenance of NIMS. This includes developing NIMS programs and processes as well as keeping the NIMS document current.
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## Examples of Incidents Managed Using ICS



- Fire, both structural and wildland
- Natural disasters, such as tornadoes, floods, ice storms, or earthquakes
- Human and animal disease outbreaks
- Search and rescue missions
- Hazardous materials incidents
- Criminal acts and crime scene investigations
- Terrorist incidents, including the use of weapons of mass destruction
- National Security Events, such as the Democratic National Convention and the Olympics
- Other planned events, such as parades or demonstrations



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Here are examples of the types of incidents that have been managed using ICS:

- Fire, both structural and wildland
  - Natural disasters, such as tornadoes, floods, ice storms, or earthquakes
  - Human and animal disease outbreaks
  - Search and rescue missions
  - Hazardous materials incidents
  - Criminal acts and crime scene investigations
  - Terrorist incidents, including the use of weapons of mass destruction
  - National Special Security Events, such as Presidential visits or the Super Bowl
  - Other planned events, such as parades or demonstrations
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Review the following best practice:

The greater Boston area conducts special events as “planned disasters” by employing ICS and integrating portions of the region’s disaster plans into the event’s operations plans. This approach improves coordination during event planning and operations, strengthens relationships between the many agencies and organizations involved in disaster operations, and facilitates the enhancement of regional disaster plans. The Boston area uses ICS to conduct its three regularly occurring events (First Night festivities, the Boston Marathon, and Fourth of July celebrations) and one to two special events (e.g., Super Bowl rallies and Sail Boston) as “planned disasters.” Many of these events can attract crowds of one million or more participants and spectators, providing an optimal environment to test and improve disaster plans.

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## ICS Benefits



- Meets the needs of incidents of any kind or size.
- Allows personnel from a variety of agencies to meld rapidly into a common management structure.
- Provides logistical and administrative support to operational staff.
- Is cost effective by avoiding duplication of efforts.



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ICS is designed to be interdisciplinary and organizationally flexible.

ICS:

- Meets the needs of incidents of any kind or size.
- Allows personnel from a variety of agencies to meld rapidly into a common management structure.
- Provides logistical and administrative support to operational staff.
- Is cost effective by avoiding duplication of efforts.

Can you add any benefits to those listed above?

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Remember that any incident can have a mix of political, economic, social, environmental, and cost implications with potentially serious long-term effects. ICS, as a management system, helps to mitigate the risks by providing accurate information, strict accountability, and planning for any incident.

**It is extremely critical that Executives and Senior Officials support ICS planning, preparedness, and training activities.**

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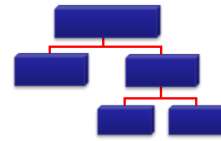
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## ICS Organization

Differs from the day-to-day, administrative organizational structures and positions.

- Unique ICS position titles and organizational structures are designed to avoid confusion during response.
- Rank may change during deployment.

A “chief” may not hold that title when deployed under an ICS structure.



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ICS organization differs from the day-to-day, administrative organizational structures and positions.

- **Unique ICS position title and organizational structures are used.** There is **no** correlation with the administrative structure of any other agency or jurisdiction. This organization’s uniqueness helps to avoid confusion over different position titles and organizational structures.
- **Rank may change.** Someone who serves as a chief every day may not hold that title when deployed under an ICS structure. ICS positions depend on a combination of training and experience.

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## Common Terminology

ICS requires the use of common terminology.  
Common terminology helps to define:

- Organizational functions.
- Incident facilities.
- Resource descriptions.
- Position titles.



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we have a  
10-37,  
Code 2.



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Key points to know:

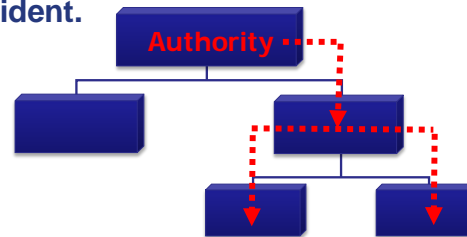
- It is important to use plain English during an incident response because often there is more than one agency involved in an incident.
- Ambiguous codes and acronyms have proven to be major obstacles in communications. Often agencies have a variety of codes and acronyms that they use routinely during normal operations. Not every 10 code is the same nor does every acronym have the same meaning. **When codes and acronyms are used on an incident, confusion is often the result.**
- NIMS requires that all responders use “plain English,” referred to as “clear text.”

ICS establishes common terminology that allows diverse incident management and support entities to work together across a wide variety of incident management functions and hazard scenarios. This common terminology covers the following:

- **Organizational Functions.** Major functions and functional units with domestic incident management responsibilities are named and defined. Terminology for the organizational elements involved is standard and consistent.
- **Incident Facilities.** Common terminology is used to designate the facilities in the vicinity of the incident area that will be used in the course of incident management activities.
- **Resource Descriptions.** Major resources—including personnel, facilities, and major equipment and supply items—used to support incident management activities are given common names and are "typed" with respect to their capabilities, to help avoid confusion and to enhance interoperability.
- **Position Titles.** At each level within the ICS organization, individuals with primary responsibility have distinct titles. Titles provide a common standard for all users, and also make it easier to fill ICS positions with qualified personnel. ICS titles often do NOT correspond to the titles used on a daily basis.

## Chain of Command

- **Chain of command** is an orderly line of authority within the ranks of the incident management organization.
- **Unity of command** means that every individual has a designated supervisor to whom he or she reports at the scene of the incident.



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Within the ICS organization, chain of command and unity of command are maintained. Review the following definitions:

- **Chain of command** refers to the orderly line of authority within the ranks of the incident management organization.
- **Unity of command** means that every individual has a designated supervisor to whom he or she reports at the scene of the incident.

These principles clarify reporting relationships and eliminate the confusion caused by multiple, conflicting directives. Incident managers at all levels must be able to control the actions of all personnel under their supervision.

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**It is imperative that chain of command must be followed at the incident site and by those not deployed to the incident.** After being deployed and receiving an incident assignment, personnel may be assigned by someone who is not their day-to-day supervisor. In this situation, the responders must take direction from their on-scene ICS supervisors only. In addition, someone who is a day-to-day supervisor may not be assigned or qualified to serve as an on-scene supervisor.

**What can Executives and Senior Officials do to ensure that chain of command is maintained?**

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Here are a few key points that Executives and Senior Officials can do to ensure that chain of command is maintained:

- Ensure that only qualified supervisors are assigned.
- Follow the chain of command by working through the Incident Commander rather than calling personnel within the ranks.

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## Incident Commander

Upon arriving at an incident, the higher ranking person will either assume command, maintain command as is, or transfer command to a third party.



The **most qualified** person at the scene is designated as the Incident Commander.



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Incident responses begin by establishing command. Upon arriving at an incident, the higher ranking person will either assume command, maintain command as is, or transfer command to a third party. In some situations, a lower ranking person may be the Incident Commander if he or she is the most qualified person.

Why is it critical to establish command from the beginning of incident operations?

Key points as why command needs to be established at the beginning of incident operations:

- Lack of command becomes a safety hazard for responders.
- Size-up and decision-making are impossible without a command structure.
- It is difficult to expand a disorganized organization if the incident escalates.

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The process of moving responsibility for incident command from one Incident Commander to another is called transfer of command. Transfer of command occurs when:

- A more qualified person assumes command.
- The incident situation changes over time, resulting in a legal requirement to change command.
- There is normal turnover of personnel on extended incidents.
- The incident response is concluded and responsibility is transferred to the responsible agency.

Transfer of command **must include** a transfer of command briefing – which may be oral, written, or a combination of both.



## Incident Commander's Role



### The Incident Commander:

- Provides overall leadership for incident response.
- Takes policy direction from the Executive/Senior Official.
- Delegates authority to others.
- Ensures incident safety.
- Provides information to internal and external stakeholders.
- Establishes and maintains liaison with other agencies participating in the incident.
- Establishes incident objectives.
- Directs the development of the Incident Action Plan.



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### Incident Commander Role:

- Provides the overall leadership for incident response. The Incident Commander is in charge of overall management of the incident and must be fully qualified to manage the incident.
- Takes policy direction from the Executive/Senior Official.
- Delegate's authority to others to manage the ICS organization.
- Ensures the safety of incident responders and the public.
- Provides information to internal and external stakeholders.
- Establishes and maintains liaison with other agencies participating in the incident.
- Establishes incident objectives.
- Directs the development of the Incident Action Plan.

The Incident Command will size up the incident and assess resource needs. If the incident is complex and/or long term, more staff may be needed. In addition, a Deputy Incident Commander may be assigned. Note that if a Deputy is assigned, he or she must be fully qualified to assume the Incident Commander's position.

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## Command Staff

The Incident Commander may designate a Command Staff who:

- Provide information, liaison, and safety services for the entire organization.
- Report directly to the Incident Commander.



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### Key points:

- The Command Staff is assigned to carry out staff functions needed to support the Incident Commander. These functions include interagency liaison, incident safety, and public information.
- Incident Command comprises the Incident Commander and Command Staff. Command Staff positions are established to assign responsibility for key activities not specifically identified in the General Staff functional elements.

The Command Staff includes the following positions:

- **Public Information Officer**
  - Advises the Incident Commander on information dissemination and media relations.
  - Obtains information from and provides information to the Planning Section.
  - Obtains information from and provides information to the community and media.
- **Liaison Officer**
  - Assists the Incident Commander by serving as a point of contact for agency representatives who are helping to support the operation.
  - Provides briefings to and answers questions from supporting agencies.
- **Safety Officer**
  - Advises the Incident Commander on issues regarding incident safety.
  - Works with the Operations Section to ensure the safety of field personnel.

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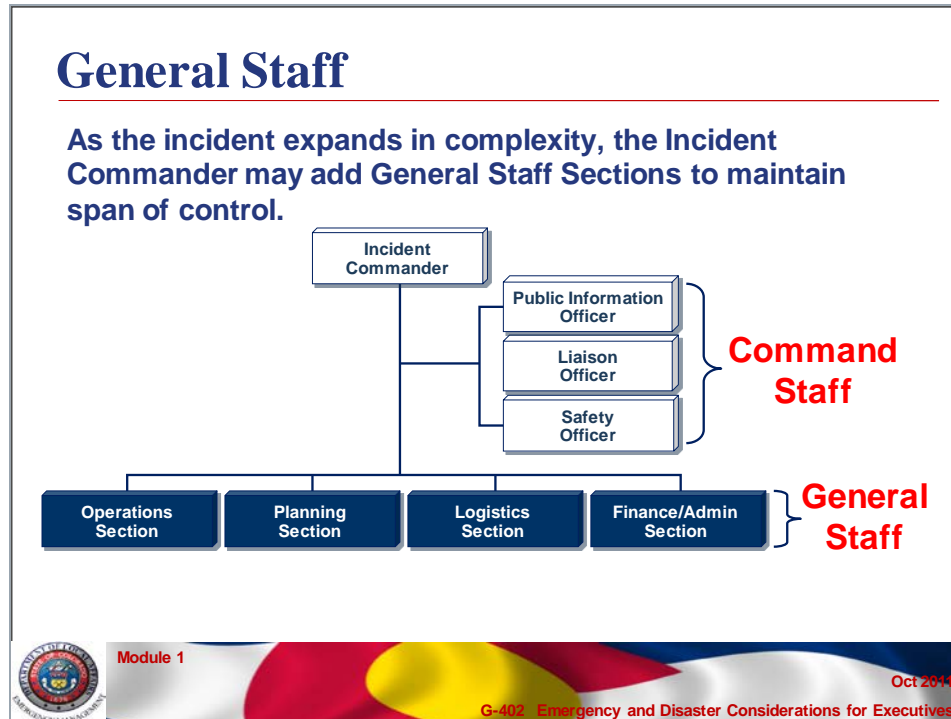
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Identify types of incidents where it would be critical to assign a Safety Officer.

- **The Command Staff may include additional positions as required and assigned by the Incident Commander.**
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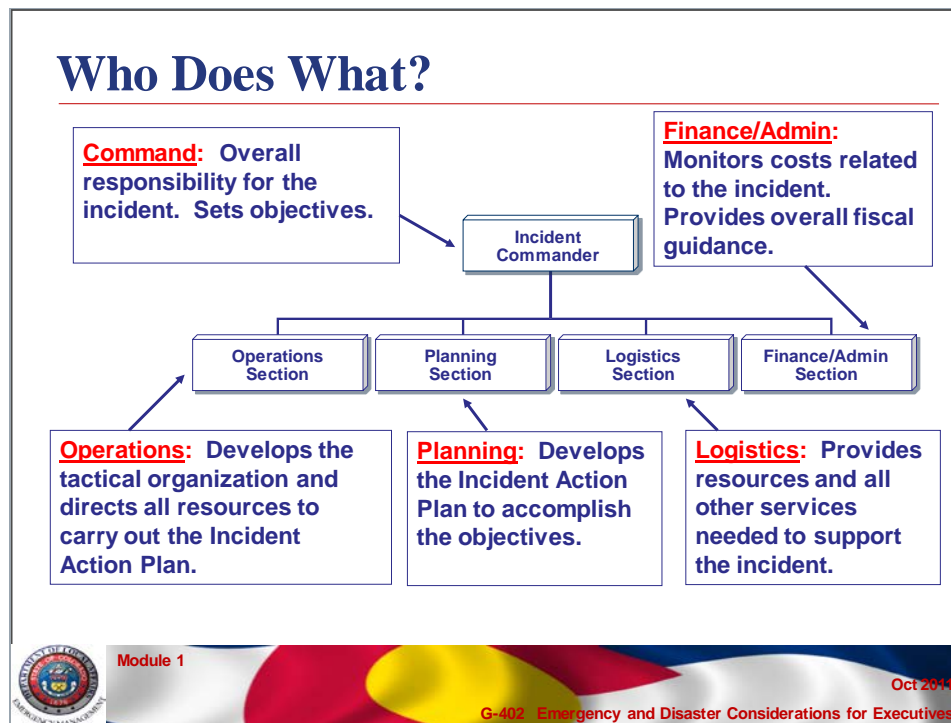


### Key points about the General Staff:

- The General Staff represents and is responsible for the functional aspects of the Incident Command structure.
  - The General Staff typically consists of the Operations, Planning, Logistics, and Finance/Administration Sections.
  - As the number of operational responders (tactical resources) increases, the need for support resources (e.g., food, communications equipment, or supplies) increases.
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General guidelines related to General Staff positions include the following:

- Only one person will be designated to lead each General Staff position.
- General Staff positions may be filled by qualified persons from any agency or jurisdiction.
- Members of the General Staff report directly to the Incident Commander. If a General Staff position is not activated, the Incident Commander will have responsibility for that functional activity.
- Deputy positions may be established for each of the General Staff Section Chiefs and Operations Section Branch Directors. Deputies are individuals fully qualified to fill the primary position. Deputies can be designated from other jurisdictions or agencies, as appropriate. This strategy allows for greater interagency coordination.
- **General Staff members may exchange information with any person within the organization. Direction takes place through the chain of command.** This is an important concept in ICS.
- General Staff positions should not be combined. For example, to establish a "Planning and Logistics Section," it is better to initially create the two separate functions, and if necessary for a short time place one person in charge of both. That way, the transfer of responsibility can be made easier.



Key points of what the Incident Commander, Operations Section Chief, Planning Section Chief, Logistics Section Chief, and the Finance/Administration Section Chief Does:

The **Incident Commander** is responsible for establishing incident objectives.

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The **Operations Section Chief** is responsible for managing all tactical operations at an incident. The Incident Action Plan provides the necessary guidance. The need to expand the Operations Section is generally dictated by the number of tactical resources involved and is influenced by span of control considerations.

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The **Planning Section Chief** is responsible for providing planning services for the incident. Under the direction of the Planning Section Chief, the Planning Section collects situation and resources status information, evaluates it, and processes the information for use in developing action plans. Dissemination of information can be in the form of the Incident Action Plan, in formal briefings, or through map and status board displays.

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The **Logistics Section Chief** provides all incident support needs with the exception of logistics support to air operations.

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The **Finance/Administration Section Chief** is responsible for managing all financial aspects of an incident. Not all incidents will require a Finance/Administration Section. Only when the involved agencies have a specific need for finance services will the Section be activated.

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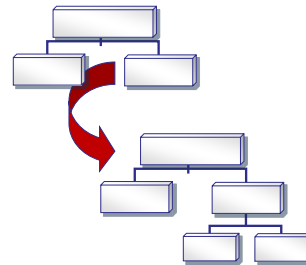
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## Modular Organization (1 of 2)

- Develops in a top-down, modular fashion.
- Is based on the size and complexity of the incident.
- Is based on the hazard environment created by the incident.



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### Key points:

- The ICS organization adheres to a “form follows function” philosophy. The size of the current organization and that of the next operational period are determined through the incident planning process.
- An ICS organization is a modular organization, which means that it:
  - Develops in a top-down, modular fashion.
  - Is based on the size and complexity of the incident.
  - Is based on the hazard environment created by the incident.



ICS organization is expanded and contracted to maintain an optimal span of control. With an ICS organization, span of control for any supervisor:

- Is between 3 and 7 subordinates.
  - Optimally does not exceed 5 subordinates.
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What factors might affect the span of control at an incident?

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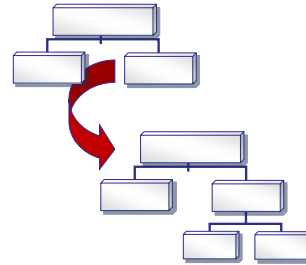
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**Safety is the single most important factor.**

**More hazardous incidents require the smallest span of control to mitigate against risks.**

## Modular Organization (2 of 2)

- Incident objectives determine the organizational size.
- Only functions/positions that are necessary will be filled.
- Each element must have a person in charge.



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Employing a modular organization means that:

- Incident objectives determine the organizational size.
- Only functions/positions that are necessary will be filled.
- Each element must have a person in charge.

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### Incident Complexity and Resource Needs

Incident Complexity

Resource Needs

ICS Structure

Complexity

↑

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It is important to remember that as incidents get more complex, more resources will be needed to insure that the incident can be mitigated.

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## Relationships between Systems

- Incident Command
- Emergency Operations Center
- Multi-Agency Coordination Center
- Joint Information Center / Joint Information System
- Policy Group



The key to this module is to understand how executive and elected officials fit into the various incident management systems that work together to mitigate emergencies and disasters. This slide reviews those systems:

**Incident Command:** The systematic command, control, and coordination of emergency response. This occurs in the field by emergency response agencies, including law enforcement, public works, fire and EMS agencies. This is the operational level of incident management.

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**Emergency Operations Center (EOC):** The physical location where an organization comes together during an emergency to coordinate and support response and recovery actions and resources. The EOC is not an incident command post; rather, it is the operations center where coordination and management decisions are facilitated. The emergency manager for the jurisdiction usually works in the EOC or with the agencies involved in this coordination. The EOC does not handle on-scene operations. Instead, they coordinate activities and resources to support what is going on in the field.

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**Multi-Agency Coordination:** Occurs at various levels and involves a process that allows all levels of government and all disciplines to work together more efficiently and effectively. Multiagency coordination occurs across the different disciplines involved in incident management, across jurisdictional lines, or across levels of government. Multiagency coordination can and does occur on a regular basis whenever personnel from different agencies interact in such activities as preparedness, prevention, response, recovery, and mitigation. Often, cooperating agencies develop a **Multiagency Coordination System (MACS)** to better define how they will work together and to work together more efficiently; however, multiagency coordination can take place without established protocols.

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**Q. What is the relationship between an Incident Command Post and an EOC/MAC Group?**

**A:** The Incident Command Post is a physical location that administers the on-scene incident command and the other major incident management functions. An EOC is a physical location that is located separately from the on-scene Incident Command Post and supports the on-scene response by providing external coordination and securing of additional resources. A MAC Group does not have any direct incident command involvement and will often be located some distance from the incident site(s). EOC/MAC Groups do not command the on-scene level of the incident, but rather supports the Incident Command Post's command and management efforts.

**Public Information:** Public Information consists of the 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 additional stakeholders (both directly and indirectly affected). Public information must be coordinated and integrated across jurisdictions and organizations involved in the incident to include, Federal, State, tribal, and local governments, private sector entities and NGOs. In order to facilitate that process, Public Information includes three major systems/components - Public Information Officers (PIOs), the Joint Information System (JIS), and the Joint Information Center (JIC).

**Joint Information Center:** A Joint Information Center (JIC) is a central location that facilitates operation of the Joint Information System. The JIC is a location where personnel with public information responsibilities perform critical emergency information functions, crisis communications, and public affairs functions. JICs may be established at various levels of government or at incident sites, or can be components of Multiagency Coordination Systems. A single JIC location is preferable, but the system is flexible and adaptable enough to accommodate virtual or multiple JIC locations, as required.

**Joint Information System:** A Joint Information System (JIS) provides the mechanism to organize, integrate, and coordinate information to ensure timely, accurate, accessible, and consistent messaging across multiple jurisdictions and/or disciplines with nongovernmental organizations and the private sector. A JIS includes the plans, protocols, procedures, and structures used to provide public information. Federal, State, tribal, territorial, regional, or local Public Information Officers and established Joint Information Centers (JICs) are critical supporting elements of the JIS.

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**Policy Group:** The Policy Group includes key Senior and Elected Officials who establish community goals, make strategic policy decisions and set priorities while considering the economic, legal, political and social implications of the incident and maintaining the public trust. The Policy Group should be available to make strategic decisions when that emergency or disaster begins to stress the emergency response system and the community.

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## Executive/Senior Officials' Role & Responsibilities (1 of 2)

### Executives/Senior Officials:

- Provide policy guidance on priorities and objectives based on situational needs and the Emergency Plan.
- Oversee resource coordination and support to the on-scene command from the Emergency Operations Center (EOC) or through dispatch.



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### Key points for Executive/Senior Official:

- The Executive/Senior Official (elected official, city/county manager, agency administrator, etc.) is responsible for the incident. In most jurisdictions, responsibility for the protection of the citizens rests with the chief elected official. Along with this responsibility, by virtue of their office, these people have the authority to make decisions, commit resources, obligate funds, and command the resources necessary to protect the population, stop the spread of damage, and protect the environment.
- Having the responsibility does not mean that the Executive/Senior Official assumes a command role over the on-scene incident operation. Rather, the Executive/Senior Official:
  - Provides policy guidance on priorities and objectives based on situational needs and the Emergency Plan.
  - Oversees resource coordination and support to the on-scene command from the Emergency Operations Center or through dispatch.
- Typically, the Executive/Senior Official is NOT at the scene of the incident, but must have the ability to communicate and meet with the Incident Commander as necessary.

Identify reasons why an Executive's/Senior Official's presence at the incident scene may be detrimental. Key points to know:

- A visit from leadership personnel could draw more media and bystanders into a hazardous area.
- Response resources may be diverted away from critical tactical operations to attend to a visiting Executive/Senior Official.
- The presence of the Executive/Senior Official could cause confusion about the chain of command (who's in charge of on-scene operations).

Even though a visit to the scene by an Executive/Senior Official may be beneficial to the operation, it must be coordinated with the Incident Commander and should not jeopardize the response efforts.

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**Executive/Senior Officials' Role & Responsibilities (2 of 2)**

**The Executive/Senior Officials must focus on the strategic decisions during an incident; they must focus on the community as a whole.**



**Key Questions to Consider:**

- What do you already know?
- What do you need to know?
- Who has the answers you need?
- What key tasks need to be completed?
- What are your priorities?



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### Policy Group Functions in Support of the EOC



- Make policy and financial decisions related to the incident.
- Provide legal guidance to the IC and EOC.
- Consider cultural, economic, political and social implications of the incident.
- Create Delegations of Authority, Declarations of Emergency/Disaster, and any other necessary legal documentation.



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These policies and financial decisions should be addressed and defined before an incident occurs.

What process is used to guide the emergency manager or Incident Commander regarding legal, economic or political considerations?

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Who process exists to change current policies and procedures during an emergency?

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Who can make financial decisions during an emergency?

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Is there a policy in place that allows the IC or EOC to spend funds without further approval?

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What does your Policy Group look like? Who is involved or who should be involved?

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### Executives/Senior Officials Delegate Command Authority

- Executives/Senior Officials delegate authority to the designated Incident Commander for on-scene operations.
- The Incident Commander has direct tactical and operational responsibility for conducting incident management activities.



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Executives/Senior Officials **delegate** authority to the designated Incident Commander for on-scene operations. The Incident Commander is accountable to the Executive/Senior Official but has the complete authority to direct the operation.

Direct tactical and operational responsibility for conducting incident management activities rests with the Incident Commander, while the Executive/Senior Official plays a vital coordination role.

**Why is it important to keep the command role solely with the Incident Command?**

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## Delegation of Authority

Delegation of authority may be in writing (established in advance) or verbal, and include:

- Legal authorities and restrictions.
- Financial authorities and restrictions.
- Reporting requirements.
- Demographic issues.
- Political implications.
- Agency or jurisdictional priorities.
- Plan for public information management.
- Process for communications.
- Plan for ongoing incident evaluation.

Delegation  
of  
Authority



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Delegation of Authority key points:

- An Incident Commander's scope of authority is derived:
  - From existing laws and agency policies and procedures, and/or
  - Through a delegation of authority from the agency administrator or elected official.
- A delegation of authority:
  - Grants authority to carry out specific functions.
  - Is issued by the chief elected official, chief executive officer, or agency administrator in writing or verbally.
  - Allows the Incident Commander to assume command.
  - Does NOT relieve the granting authority of the ultimate responsibility for the incident.
- Whether it is granted in writing or verbally, the authorities granted remain with the Incident Commander until such time as the incident is terminated, or a relief shift Incident Commander is appointed, or the Incident Commander is relieved of his or her duties for just cause.

Delegation of authority may not be required if the Incident Commander is acting within his or her existing authorities or under a pre-established delegation in the Emergency Plan.

**Examples:**

- Example 1: An emergency manager may already have the authority to deploy response resources to a small flash flood.
- Example 2: A fire chief probably has the authority (as part of the job description) to serve as an Incident Commander at a structure fire.

Note that the delegation should also specify when the authority ends and conditions for demobilization (e.g., the teams will not be released until the following conditions have been met). A sample delegation of authority can be found at the end of this briefing package.

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## Summary: Incident Management Roles

### Incident Commander's Role

The Incident Commander:

- Manages the incident at the scene.
- Keeps the EOC informed on all important matters pertaining to the incident.

### Agency Executives'/Senior Officials' Role

These officials provide the following to the Incident Commander:

- Policy
- Mission
- Strategic direction
- Authority

To maintain unity of command and safety of responders, the chain of command must NOT be bypassed.



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The Executive's/Senior Official's task is to ensure that you are informed and that your Incident Commander is functioning in a responsible manner. You set policy, establish the mission to be accomplished, shape the overall direction, and give the trained responders the authority to accomplish the incident objectives.

The Incident Commander is the primary person in charge at the incident. In addition to managing the incident scene, he or she is trained to keep you informed and up to date on all important matters pertaining to the incident.

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Case Study: The Washington area sniper case was one of the most infamous crimes in recent law enforcement history, instilling fear in thousands of people. According to the after-action report, communication was clearly the most compelling concern in the sniper case. Investigations of this kind succeed or fail based on executives' ability to effectively manage and communicate information in a timely manner. Incident Commanders must balance the incident needs with the obligations of local executives to be responsive to their citizens. In the words of one police chief, "You cannot expect leaders to stop leading."

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The final responsibility for the resolution of the incident remains with the chief elected official, chief executive officer, or agency administrator. It is imperative then that the chief elected official, chief executive officer, or agency administrator remain an active participant, supporter, supervisor, and evaluator of the Incident Commander.

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## Requesting State Resource Assistance

✓ All local resources as well as Mutual Aid (discussed in Module 2) should be exhausted.

✓ All local commercial resources should be exhausted.

**EMERGENCY EQUIPMENT**

### Authority to Request Resource Mobilization:

- Jurisdictional EM
- County Sheriff
- Jurisdictional Fire Chief
- Jurisdictional Executives, BOCC, City Council, Town Council or Tribal Council (as appropriate)
- Incident Commander acting under a *direct delegation of authority* from any of the above.



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The Colorado Division of Emergency Management or the State Emergency Operations Center (SEOC) will help with this mobilization process at any time.

It is important to determine, at the local level, who has jurisdictional authority to request outside resources. The Incident Commander is usually given this authority through a Delegation of Authority.

Those that are authorized to request resources should be familiar with the assistance documents or agreements that are required.

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## Leadership



Most importantly, Executives/Senior Officials provide leadership.

Leadership means . . .

- **Motivating and supporting trained, on-scene responders so that they can accomplish difficult tasks under dangerous, stressful circumstances.**
- **Instilling confidence in the public that the incident is being managed effectively.**



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Executives/Senior Officials have an important leadership role. This leadership role means providing motivation and support to allow the trained, on-scene responders to accomplish difficult tasks under dangerous, stressful circumstances. It also means instilling confidence in the public that the incident is being managed effectively.

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## Additional Resources

**ICS Resource Center:**  
[www.training.fema.gov/emiweb/IS/ICSResource](http://www.training.fema.gov/emiweb/IS/ICSResource)



**NRF Resource Center:**  
[www.fema.gov/nrf](http://www.fema.gov/nrf)



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Additional resources are available including job aids, checklists, and additional training.

Visit the FEMA Emergency Management Institute (EMI)'s ICS Resource Center to gain access to:

- Resources and tools.
- Additional courses.

Visit the NRF Resource Center to gain access to:

- National Response Framework information and documents.
- References.
- Briefings and training.

Module 2:  
Agreements,  
Emergency Declarations  
and Finance

## G-402

### Module 2: Agreements, Emergency Declarations and Finance



Module 2

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G-402 Emergency and Disaster Considerations for Executives

## Instructor and Student Introductions

- Name
- Organization
- Title



Module 2

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## Objectives

- Explain the different types of aid agreements available to local jurisdictions.
- Describe the steps taken in the emergency declaration process at the local, state and federal levels.
- Explain the reasons for declaring an emergency at the local, state and federal level.
- Describe the different types of disaster assistance provided by State and Federal agencies.
- Describe the financial planning for disasters process.
- Explain the important financial actions to take during a disaster response.



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## Aid Agreements

- Agreements are a tool for when your jurisdiction's resources become strained.
- Agreements should be developed prior to an emergency or disaster.
- The governing body or elected board of a jurisdiction has the authority to sign an agreement.
- Agreements cannot be contingent upon reimbursement.



Aid agreements are tools for when your jurisdiction's resources become strained due to an emergency that overwhelms typical day-to-day response.

These agreements should be developed before an emergency or a disaster strikes, and should be included or referenced in your Local Emergency Operations Plan or in policies. If an agreement is not in place prior to an emergency, costs for response and recovery could be higher and may not be reimbursable.

The governing body or elected board of a jurisdiction has the authority to sign an agreement and make any amendments needed.

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FEMA will reimburse according to local policies and procedures, and these policies and procedures cannot be changed during a disaster due to a federal declaration or other program. FEMA will follow what you had in place before that disaster occurred. For example, if you do not have an overtime policy for personnel in your emergency procedures, you cannot expect reimbursement through FEMA for overtime, and cannot change that policy during the disaster.

Agreements cannot be contingent upon reimbursement from the State or from FEMA. All agreements must be valid whether or not a declaration is made or approved.

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What is your procedure for putting agreements into place prior to a disaster?

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What is your procedure for putting agreements into place during a disaster?

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## Types of Agreements (1 of 2)

### Mutual Aid Agreement:

-Between two parties which allows for rapid response of resources from neighboring communities

### Memorandum of Understanding (MOU):

-Outlines an agreement between two parties for services or support.

### ▪ Intergovernmental Agreement (IGA):

-Binding contract for support or services. If your agreement has a financial obligation, an IGA should be used.



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A **mutual aid agreement** is an agreement between two parties that allows for a rapid response of resources from neighboring communities.

\*Example of a mutual aid agreement would be a neighboring department (Denver) would allocate resources to a neighboring department (Aurora) to support operational needs. Many mutual aid agreements are automatic and dispatch will dispatch both resources simultaneously.

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**Memorandum of Understanding (MOU)** outlines an agreement between two parties for services or support.

\* A good example of a MOU is when multiple parties sign an agreement stating they will utilize the same radio frequencies or channels during an emergency or disaster situation.

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**Intergovernmental Agreement (IGA)** is a binding contract for support or services. If the agreement has a financial obligation, an IGA should be used.

\* The State of Colorado has about 56 IGA's with several different counties, jurisdictions and municipalities.

\* The main difference between a MOU and an IGA is that an IGA is a binding contract, where a MOU is merely an agreement between two parties.

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## Types of Agreements (2 of 2)

### Contractual Agreements:

- Used to procure outside commercial resources, such as food or sanitation services, during a disaster or emergency.
- Should be set up well in advance by procurement departments.

### Other Agreements:

- Colorado Resource Rate Form (CRRF)
- Mobilization Plan

### Land Use Agreements:

- Created to obtain the use of land not owned by the local government, such as a lake for water drops or for camping facilities.



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**Contractual Agreements** are just that, contract agreements, which allow agencies to procure outside commercial resources during a disaster or an emergency. These resources could include:

- Food
- Water
- Sanitation services
- Heavy equipment
- Construction supplies and material

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**Land Use Agreement** is very important because we have to get permission from land owners to use their land/water on any property that is not owned by the local government. Once we receive their permission, we need to create an agreement to ensure that during a disaster or emergency we can still use the land to set up camps, use for staging areas, etc. and be able to use the water on that land. There should also be conditions within the agreement that outline what the standards are for when the land/water is turned back over to the owner (clean-up work, water replacement, etc)

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**Other Types of Agreements:** Two other common agreements we work with for resources specifically include the Colorado Resource Rate From, through the Colorado State Forest Service, and the Colorado Resource Mobilization Plan, which outlines how resource ordering takes place.

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**When should these agreements be made?**

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# Emergency Declarations

This section will discuss the Emergency Declaration process at the local, state and federal levels.



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## Who Can Declare?

*According to C.R.S. 24-32-2104: "A local disaster may be declared only by the principal executive officer of a political subdivision. It shall not be continued or renewed for a period in excess of seven days except by or with the consent of the governing board of the political subdivision."*

**-A Declaration can be made verbally, but ultimately it must be filed with the county clerk and recorder, city clerk, or other authorized record-keeping agency and with the DEM.**

**-The declaration may extend to all or any part of the geographical area of the jurisdiction.**



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When a local disaster strikes the principal executive officer of a political subdivision may declare a disaster. Initially, the declaration can be made verbally to get needed resources and equipment into the area, but this should always be followed up by a written declaration, which **MUST** also be filed with the county clerk and recorder, city clerk or the authorized record-keeping agency, and with the Division of Emergency Management (DEM).

The declaration can be declared to a specific geographical area or can include the entire geographic area of the jurisdiction.

\* If the disaster effects one specific area of the jurisdiction but people are evacuated, be sure to include details about the area (evacuations, shelters, geographical boundaries, etc.)

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## Why Declare?

The main benefit of declaring an emergency is to activate your Local Emergency Operations Plan (LEOP).

- By activating the LEOP a jurisdiction will have access to policies, procedures, and agreements that aren't necessarily available during day to day operations.



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The biggest benefit of declaring an emergency is to allow the activation of the Local Emergency Operation Plan (LEOP).

With the activation of the LEOP, jurisdictions can:

- Access to policies and procedures that are not available in do to day operations (emergency waiver procedures).
- Activate key partners and agencies/departments that can help fulfill certain roles and responsibilities.
- Activate the Emergency Operation Center (EOC) as needed to assist the incident commander on scene (EOC Activations also commonly occur without a declaration).

## State Assistance

### State Assistance Available without a State Declaration

- Multi-Agency Coordination- State agency support across multiple agencies and departments
- Organizational tools and resources
- Technical Assistance
- Connect the local/tribal government to non-governmental agencies and non-profits to help support local goals.



Even if the incident is not large enough for a State Declaration, the State can provide a wide variety of assistance to the local/tribal government or jurisdiction.

The State can assist with providing Multi-Agency Coordination support across multiple agencies and departments. The Department of Local Affairs can provide technical assistance through the Division of Local Government, Division of Housing, Division of Insurance and the Division of Emergency Management. Many of these divisions under DOLA have field representatives that should be tied into your local system well before a disaster strikes. Additionally, these field representatives can help provide a liaison to other state departments, such as the Department of Public Safety, Department of Transportation, and the Department of Public Health and Environment.

The State can help connect you to non-governmental agencies and non-profit agencies to help support the goals of the local government. This may include support for sheltering, housing, debris management, phone bank support, donations/volunteer management, and other response and recovery actions.

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## Local Emergency Operations Plan

The following is a list of measures that may be covered in an LEOP.

- The performance of public works
- Entering into contracts
- Hiring permanent/temporary workers
- Using volunteers
- Securing rental equipment
- The acquisition of supplies
- The distribution of supplies
- The appropriation and distribution of public funds
- Price gouging
- Transportation regulations
- Resource management

Before implementing any emergency policy, know the trigger points at which you will return to normal business practices!



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Typically, when you create the LEOP, you will have a provision to activate your emergency policies and procedures upon any local emergency or disaster declaration.

Here are few key points that you may want to include in your LEOP or your emergency policies and procedures:

### The performance of public works

- What tasks do they have?
- What are their roles in all types and phases of a disaster?
- What are the policies and procedures for procurement, contracting, and payroll?

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**Entering into contracts**

- Who has the authority to enter into contracts?
  - Is there a predetermined outline to allow staff to enter a new contract in the event of a disaster or are only elected officials allowed to do this?
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**Hiring temporary/permanent workers**

- Depending on the disaster or emergency, you may choose to hire temporary or permanent workers.
  - Do you know the federal guidelines for reimbursement for these workers?
  - <http://www.fema.gov/assistance/index.shtm>
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**Using volunteers**

- Citizen Emergency Response Teams (CERT)
  - Citizen Corps
  - Do you have a policy in place for the use of unaffiliated volunteers and how they will be covered in the event of an emergency?
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**Securing rental equipment**

- Generators, Tents , Lavatories, etc.
  - What is your current policy for procuring rental equipment?
  - Is this policy sufficient during a disaster or emergency?
  - Are changes or an emergency waiver required?
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**The acquisition and distribution of supplies**

- Securing needed supplies and distributing them to first responders to help respond and recover and to give to the public for assistance is a key role of emergency management.
  - Are your policies, spending limits, and procedures sufficient for this task?
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**Appropriation and distribution of public funds**

- Who in your organization will be responsible for managing all public funding related to the disaster?
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**Price gouging**

- Locking in a set price so that prices won't be inflated due to the emergency is a key action prior to an emergency in your jurisdiction.
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**Transportation regulations**

- Limiting the amount of vehicles on the road to slow down efforts or keeping them out of dangerous areas.
  - What are the current regulations for working on public / private roadways? Are these changeable in the event of a disaster?
  - What is needed to ensure adequate response and recovery actions?
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**Resource management**

- Resource management is a key task of emergency managers and the Emergency Operations Center.
  - At the local level, procedures should be put into place to obtain necessary resources in a timely and cost-effective manner. This is where pre-disaster agreements and contracts are critical.
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**\* Before implementing any emergency policy, know what the trigger points are for when you will return to normal business practice!**

## State Declaration (1 of 2)

- If a municipality determines that their resources will be exhausted, they can ask the county for assistance through a declaration.
  - If the county exhausts their resources, they can declare a county emergency or disaster, asking the governor for assistance.
  - The Governor can then declare a state of emergency if federal support is needed.
- The state declaration will be in support of the local jurisdiction's express needs.
- A State declaration has two effects:
- Activate the State Emergency Operations Plan
  - Provide authority for the mobilization and deployment of all resources



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Once the local jurisdiction has determined that their resources will be exhausted, they can turn to the county and ask for assistance through a declaration.

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Just like at the local level, if the county has exhausted their resources, they can then turn and ask the governor for assistance through a county declaration. The Governor will then decide if a state declaration is necessary to provide adequate support.

**The state declaration will be in support of the local jurisdiction's express needs.**

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**Only the Governor of the state can declare a state of emergency**

The state declaration has two effects:

1. Activates the state's EOP
    - Provides access to policies and procedures that are not available in do to day operations.
    - Activates the Emergency Operation Center (EOC) which assists the local EOC and the incident commander.
    - Has many of the same measures that the local EOC has.
  2. Provides authorization for the mobilization and deployment of all resources.
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## State Declaration (2 of 2)

Each State Declaration can last no longer than 30 days without renewal from the Governor.

It can be terminated via Executive Order or proclamation when the Governor determines that a state of emergency no longer exists.

The Executive Order shall indicate:

- The nature of the disaster
- The area threatened
- The conditions which have led to the termination of the state of emergency

All Executive Orders are filed with the DEM and Secretary of State.



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Any state of emergency that has been declared is only good for 30 days unless the Governor renews the declaration

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The declaration can be terminated by way of Executive Order or Proclamation when the Governor determines that a state of emergency no longer exists.

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**The Executive Order should include the following points:**

- **The nature of the emergency**
    - Flood
    - Fire
    - Snow storm
    - Drought
    - Terrorist attack
    - Etc.
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- **The area that is threatened**
    - One jurisdiction
    - One region
    - Half the state
    - Entire state
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- **The conditions that have led to the termination of the state of emergency**
    - Further destruction has stopped
    - Recovery efforts are well under way
    - Etc
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## Federal Declaration

If the resources of the state are strained, then the Governor may request Federal disaster assistance. This request for a Federal declaration is allowed via the Stafford Act.



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Just like at the local jurisdictional level, once the state has exhausted its resources, the Governor can request federal assistance.

This request for the federal declaration is possible by the use of the Stafford Act.

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**Robert T. Stafford Disaster Relief and Emergency Assistance Act**

**Public Law 100-707, passed in 1988.**

**Enacted to support state and local governments when disasters exceed their capabilities.**



**The Act allows for Federal assistance via a Presidential Disaster Declaration.**



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The Stafford Act establishes a process for requesting and obtaining a Presidential Disaster Declaration (PDD), defined the type and scope of assistance available from the federal government, and sets the conditions for obtaining that assistance.

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## Presidential Disaster Declaration (PDD)

•The Governor requests aid via a written request to FEMA Region VIII in Denver.

•FEMA gathers additional information, which is sent with the Governor's request to the President.

•If the President issues the declaration, then FEMA is tasked with the coordination of federal agencies.

•Not all Federal programs are activated for every emergency.



### How would a Presidential Disaster Declaration (PDD) go into effect in Colorado?

1. The Governor would draft a written request to FEMA Region VIII in Denver
2. FEMA then gathers additional information and sends the additional information along with the Governor's request to the president. The disposition of the request is transmitted through FEMA Region VIII back to the Governor.
3. If the President issues a declaration, then FEMA is tasked with the coordination of federal agencies.

\* Not all of the federal programs will be activated for every emergency

## Process to a PDD

There are several steps which must be taken at both the state and local levels before the President can issue a PDD.

1. Following the disaster, an Initial Damage Assessment is performed by the local jurisdictions to assess the impact of the disaster.
2. State and Federal officials then conduct a joint Preliminary Damage Assessment (PDA) which estimates the extent of the disaster and its impact on the community.
3. This PDA is included with the Governor's request to the President to show that the disaster is of a significant size, and is beyond the capabilities of the State and local levels.



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Oct 2014

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### Steps that both state and local levels MUST take before the President can issue a PPD

1. Immediately following a disaster, the local jurisdiction that is affected by the disaster must perform an Initial Damage Assessment to determine the impact the disaster had on the area both on the infrastructure and the safety of the citizens.
2. After the Initial Damage Assessment is completed, the State and Federal officials conduct a joint Preliminary Damage Assessment (PDA) to estimate the extent of the disaster and the impact that it had on the community.
3. The PDA is included with the Governor's request to the President to show what the impact and the size of the disaster is on the community, and it is well beyond the capabilities for the State and the local levels to handle.

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## Types of FEMA Assistance

**Individual Assistance:** Aid to individuals and households.

**Public Assistance:** Aid to public entities for certain emergency services and the repair/replacement of disaster-damaged public facilities.

**Hazard Mitigation Assistance:** Funding for measures designed to reduce future losses to public and private property.



### **Types of FEMA Assistance**

**Individual Assistance:** Is designed to give aid to individuals and households. Here a few areas where assistance is given to individuals.

- **Temporary Housing:** Give those affected by the disaster a place to live temporarily while their homes are repaired and cleaned up.
  - **Repair:** Money is available to homeowners to repair damage from the disaster to their primary residence that is not covered by insurance.
  - **Replacement:** Money is available to homeowners to replace their home destroyed in the disaster that is not covered by insurance.
  - **Disaster-related medical and dental costs**
  - **Clothing and household items:** room furnishings, appliances, tools (specialized or protective clothing and equipment) required for your job, necessary educational materials (computers, school books, supplies).
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**Public Assistance:** Aid to public entities for certain emergency services and the repair/replacement of disaster damaged facilities.

- Public Buildings
  - Equipment
  - Other public infrastructure, including roads, bridges, critical facilities, etc.
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**Hazard Mitigation Assistance:** Hazard mitigation is defined as cost-effective action taken to prevent or reduce the threat of future damage to a facility. The applicant, FEMA, or the State may recommend that hazard mitigation measures be included in a request. The costs of eligible hazard mitigation actions will be included in the overall funding of a project.

See [FEMA Policy 9526.1, Hazard Mitigation Funding Under Section 406 \(Stafford Act\)](#).

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**Some declarations will provide only individual or public assistance.**

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**FEMA will only reimburse a portion of total allowable costs (typically 75%).**

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## Other Program Assistance

**FEMA Fire Management Assistance Grant**

**Small Business Administration Disaster Loans**

**Agricultural Emergency Disaster Designation and Declaration Process**



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### Other Program Assistance

#### **FEMA Fire Management Assistance Grant:**

- Fire Management Assistance is available to States, local and tribal governments, for the mitigation, management, and control of fires on publicly or privately owned forests or grasslands, which threaten such destruction as would constitute a major disaster.
- The Fire Management Assistance Grant Program (FMAG) provides a 75 percent Federal cost share and the State pays the remaining 25 percent for allowable costs.
- Typically, an FMAG declaration covers costs associated with suppression of the fire.
- Eligible firefighting costs may include expenses for field camps; equipment use, repair and replacement; tools, materials and supplies; and mobilization and demobilization activities.

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**Small Business Administration Disaster Loans:** The U.S. Small Business Administration (SBA) can make federally subsidized loans to repair or replace homes, personal property or businesses that sustained damages not covered by insurance. The Small Business Administration can provide three types of disaster loans to qualified homeowners and businesses

- **Home Disaster Loans** to homeowners and renters to repair or replace disaster-related damages to home or personal property.
  - **Business Physical Disaster Loans** to business owners to repair or replace disaster-damaged property, including inventory, and supplies.
  - **Economic Injury Disaster Loans** which provide capital to small businesses and to small agricultural cooperatives to assist them through the disaster recovery period.
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**Agricultural Emergency Disaster Designation and Declaration Process:** Producers may apply for low-interest emergency (EM) loans in counties named as primary or contiguous under a disaster designation.

Four types are possible:

1. A presidential major disaster declaration
2. A USDA Secretarial disaster designation
3. A Farm Service Agency (FSA) Administrator's Physical Loss Notification
4. A Quarantine designation

For more information of these types of declarations, refer to: [www.fsa.usda.gov](http://www.fsa.usda.gov)

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## Finance

One of the most important jobs for Executives/Senior Officials, both pre-disaster and during a disaster, is handling the financial ramifications of the incident.



- This section will outline the pre-disaster financial considerations and financial actions to take during a disaster response.



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## Financial Planning Process (1 of 3)

- Develop pre-disaster contracts for equipment and supplies to eliminate inflated pricing during a disaster.
- Know and understand your procurement process.
- If the procurement process doesn't have an "emergency waiver" process, add one to allow for streamlined purchasing during a disaster.
- Know overtime policies for the jurisdiction, and ensure they are applied routinely regardless of disaster declarations. *The policy must be written and used prior to a disaster for any overtime costs to be eligible for reimbursement.*
- Develop and maintain Mutual Aid Agreements.



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- Before a disaster or emergency occurs, contracts should be in place to guarantee availability and fixed prices with vendors for equipment and supplies to prevent price gouging and ensure the availability of equipment and supplies available for the emergency.
- **It is important to know and understand your Procurement process.** Steps should be included in the process to help you during a disaster. If there is not an "emergency waiver" process, then you will need to add one so that you can have streamlined purchasing during a disaster.

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- What are your overtime policies for your jurisdiction?
- Are they applied routinely regardless of a disaster declaration?
- This policy must be written and used before a disaster in order to have any overtime costs can be eligible for reimbursement.

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- Mutual aid agreements need to be developed and maintained. As jurisdictions change, modifications may be needed to mutual aid agreements or new agreements may need to be made.
- Does your jurisdiction have any mutual aid agreements?

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## Financial Planning Process (2 of 3)

- Consider local budget and other funding sources available during the disaster.
- Determine a cost analysis to request state and federal disaster funds.
- Be familiar with the threshold requirements for a federal declaration.
- Be familiar with FEMA's policy on what can and cannot be included in Mutual Aid Agreements.
- Be familiar with local disaster declarations to access TABOR funds.
- Implement an expense tracking system to begin immediately during a disaster.



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### When a disaster strikes how are you going to get the funds that are needed?

- Consider other areas within the local budget that funding can be pulled from.
- Are there any fundraisers that can help with any of the response or recovery efforts?
- Determine a cost analysis so that you can request for state and federal disaster funds

\* **Make sure that you are familiar with the threshold requirements for a federal declaration.**

**Taxpayer Bill of Rights (TABOR):** Unless your jurisdiction has "De-Bruced", you must be familiar with local disaster declaration procedures so that that you can access TABOR funds as available.

**\* Remember that unless otherwise decided by voters TABOR funds need to be replenished within a year after a disaster. This should be a consideration when deciding whether to use TABOR funds.**

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**A tracking system needs to be implemented immediately upon the start of a disaster.** The sooner you start tracking costs and resources, the better able you will be as a jurisdiction to see if state or federal thresholds are met for declarations.

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**FEMA's Public Assistance Policy on Mutual Aid Agreements:** Certain things can and cannot be included when seeking reimbursement from FEMA in a Mutual Aid Agreement. See FEMA's Public Assistance webpage for further information: <http://www.fema.gov/government/grant/pa/index.shtm>

## Financial Planning Process (3 of 3)

- Track all expenses including direct costs, and any indirect costs associated with the disaster.
- Continue tracking expenses after the response and throughout the recovery.
- Form an Executive Team for decision-making during the disaster.
- Introduce yourself to your DEM Regional Field Manager and your DLG representative for technical needs during a disaster.



It is important to track all the expenses including direct costs and all indirect costs associated with the disaster.

**Direct costs:** are costs that can be identified specifically with a project and therefore are charged to that project.

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**Indirect costs:** are costs incurred for common or joint objectives and therefore cannot be readily and specifically identified with a particular project or activity. These costs are grouped into common pool(s) and distributed to benefiting activities by a cost allocation process.

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**It is imperative to continue to track costs even after the response is over and recovery efforts are still in progress, so that you can account for all allowable expenses and the receive the highest possible reimbursement.**

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**Because there is so much involved in the finance section, an Executive Team is a valuable asset and should be established and available on sight during a disaster to make vital financial decisions.**

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**To better understand your roles and responsibilities, introduce yourself to your DEM regional field manager and the DLG field representative so they can assist you with technical needs before and during a disaster.**

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### Financial Actions During Response (1 of 2)

- Contact Accounting to implement the expense tracking system immediately.
- Contact your Executive Team and/or backups immediately for financial impact of the disaster.



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Finance and accounting personnel should be a part of the routine notification procedures for emergencies and disasters to ensure they can implement the expense tracking system as soon as possible.

Contact the Executive Team and/or their backups so that the financial impact of the disaster can be tracked and decisions can be made early to ensure that the funds needed can become more readily available.

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## Financial Actions During Response (2 of 2)

- Begin your analysis for a local disaster declaration and options for funding the response.
- Begin considering the need to request state aid.
- Maintain an open dialogue with your mutual aid partners.



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Start the analysis process early for the decision to make a local disaster declaration.

Consider the need to ask for State aid. The sooner you determine the need for State aid, the sooner you will receive the aid you will need.

Maintain an open dialogue with your mutual aid partners so that you will know when they are becoming stretched, which will help you look for help in other locations or the need to start asking the State for aid.

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## Additional Resources

ICS Resource Center: [www.training.fema.gov/emiweb/IS/ICSResource](http://www.training.fema.gov/emiweb/IS/ICSResource)

NRF Resource Center:  
[www.fema.gov/nrf](http://www.fema.gov/nrf)

Colorado Department of Local Affairs (DOLA):  
[www.colorado.gov/cs/Satellite/DOLA-Main/CBON/1251589672852](http://www.colorado.gov/cs/Satellite/DOLA-Main/CBON/1251589672852)

- Division of Local Government
- Division of Emergency Management
- Division of Housing
- Division of Insurance

Federal Emergency Management Agency (FEMA):  
[www.fema.gov](http://www.fema.gov)



Explain that additional resources are available including job aids, checklists, and additional training.

Visit the FEMA Emergency Management Institute (EMI)'s ICS Resource Center to gain access to:

- Resources and tools.
- Additional courses.

Visit the NRF Resource Center to gain access to:

- National Response Framework information and documents.
- References.
- Briefings and training

Visit the Colorado Department of Local Affairs website for information on various state departments that can provide assistance during and after emergencies and disasters.