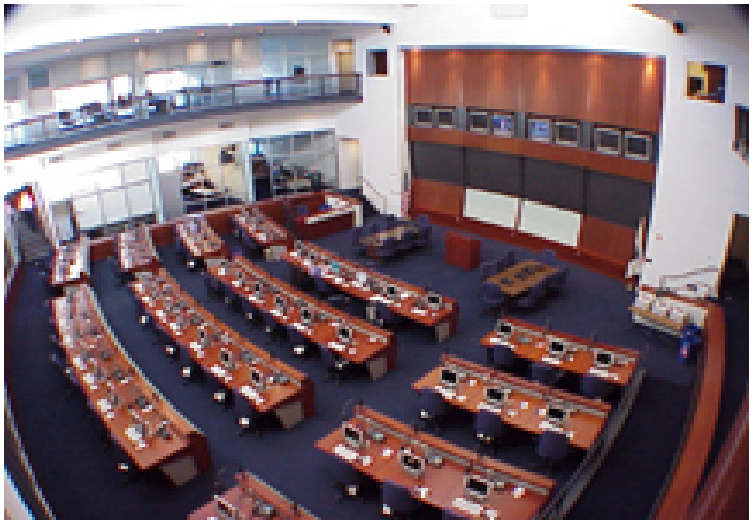
STANDARDIZED EMERGENCY MANAGEMENT SYSTEM (SEMS)
APPROVED COURSE OF INSTRUCTION



EOC Course 2007

Participant Reference Manual
2007

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EOC COURSE 2007

COURSE DESCRIPTION

I. INSTRUCTIONAL GOAL

The SEMS Emergency Operations Center (EOC) course provides participants with the necessary background to function in EOCs at all SEMS levels using the five functions specified in the SEMS regulation.

The course is presented in three chapters. Chapter One provides emergency management background, and describes EOC principles and applications appropriate for all SEMS levels. Chapter Two provides more specific information applicable to EOCs at each SEMS level, and discusses the coordination required between each level. Chapter Three consists of SEMS Function Specific Handbooks for each of the five primary SEMS functions required for use in EOCs, and the specific positions that support each function.

II. GENERAL TARGET AUDIENCE

The SEMS EOC course is designed for support/assistance, supervisory, management and executive personnel, who, as part of their job duties or special assignment, may perform SEMS functions within an organization's or jurisdiction's EOC or at a Department Operations Center (DOC). Personnel at all SEMS levels may be expected to activate the SEMS organization, work within that SEMS organization, and/or supervise one or more of the five SEMS functions.

The materials in this course are applicable to the four SEMS EOC levels (local government, operational area, region and state EOCs) as well as to Department Operations Centers (DOCs) functioning in response to emergencies.

III. COURSE OBJECTIVES

1. Understand essential SEMS terms related to an Emergency Operations Center (EOC), as well as the five SEMS response levels and their relationship to the four SEMS EOC levels.

2. Understand the essential principles associated with disaster management, including knowledge of the fundamental differences and similarities between an emergency vs. a disaster, the role of the Emergency Services Director, the goals of emergency/disaster management, and keys to successful emergency/disaster management.

3. Understand how an Emergency Operations Center (EOC) relates to disaster management and SEMS, the diversity in purpose and scope of California EOCs, and the basic principles for an effective EOC.

4. Understand the principles of ICS applicable to EOCs, EOC functions and responsibilities, and the use of inter-agency coordination in EOCs.

5. Understand the functions, responsibilities and procedures for EOCs at all SEMS levels including checklists for activation, operational and demobilization phases during an emergency.

6. Understand how coordination takes place between SEMS levels during an inter-agency disaster response, including similarities, differences and key principles associated with a field and EOC SEMS response.

CHAPTER 1:

BACKGROUND ON CALIFORNIA EMERGENCY MANAGEMENT RELATED TO EOCS

I. CALIFORNIA EMERGENCY SERVICES ACT

The California Emergency Services Act was formally established in 1970. It is found in Chapter 7 of Division 1 of Title 2 of the Government Code. The Emergency Services Act brought together for the first time many of the components of California Emergency Services including the Master Mutual Aid Agreement of 1950. Prior to the Emergency Services Act, emergency services in California were defined in the California Disaster Act of 1943, which was part of the Military and Veterans Code.

The Emergency Services Act provides for the following:

1. Confers emergency powers on the Governor and chief executives and governing bodies of political subdivisions of the state.

2. Provides for state assistance in the organization and maintenance of political subdivision emergency programs.

3. Provides for a state Office of Emergency Services (OES) within the Governor's Office and gives OES certain powers and duties.

4. Provides for the assignment of duties to state agencies to be performed during an emergency.

5. Provides for rendering of mutual aid by the state government, departments and agencies and political subdivisions.

6. Provides for three conditions or degrees of emergency within the state.

The Act does not explicitly state the necessity for an EOC. The primary reference to EOCs in the act is the presumption that they exist under the declaration of a state of war emergency, where operational areas..."shall serve as a link in the system of communications and coordination between the state's EOC and the operating centers of the political subdivisions comprising the operational area." (Sec. 8605)

Section 8635 of the act states that "…the interdependence of political subdivisions requires that for their mutual preservation and for the protection of all the citizens of the state of California, all political subdivision have the power to take the minimum precautions....by which continued function of political subdivision will be assured."

Sections 8637 – 8644 of the act describe the need for establishing a line of succession and provides a list of duties for standby officers. One of these duties is to report for duty

in the event of an emergency at the place and in the method previously designated by the political subdivision.

Section 8642 states that when an emergency exists, the governing body of the political subdivision shall meet as soon as possible. The place of this meeting need not be within the political subdivision. The duties of the governing body (Sec. 8643) are to ascertain the damage to the political subdivision and its personnel and property to reconstitute the governing body.

II. SEMS LAW AND REGULATION

Senate Bill 1841 was passed by the California legislature and made effective January 1, 1993. The legislation established the Standardized Emergency Management System (SEMS). The intent of the law is to improve the coordination of state and local emergency response in California. The law is found in Section 8607 of the Government Code, and the Regulation governing SEMS became effective September 2, 1994.

The law directs the Office of Emergency Services (OES), in coordination with other state agencies and interested local emergency management agencies, to establish, implement and maintain the Standardized Emergency Management System as of December 1, 1996.

The basic framework of SEMS incorporates five major elements. These are:

- The Incident Command System (ICS)
- Inter-agency coordination
- The State's Mutual Aid Program
- Operational Areas

The law stipulates that all state agencies must use SEMS in responding to emergencies involving multiple jurisdictions or multiple agencies. Local governments must use SEMS in responding to emergencies involving multiple jurisdictions or multiple agencies in order to be eligible for state funding of response-related personnel costs.

III. SEMS LEVELS AND FUNCTIONS

A. SEMS Levels

There are five designated levels in the SEMS organization:

- Field Response Level
- Local Government
- Operational Area
- Regional
- State

The Field Response Level is the subject of the SEMS Field Course. The other four levels are discussed in Chapter 5.

B. SEMS Functions

There are five primary SEMS functions that are derived from the Incident Command System (ICS). These functions are basic to all SEMS levels and must be used in the field and all EOCs. The functions are:

- Command (Field) – Management (EOC)
- Operations
- Planning/Intelligence
- Logistics
- Finance/Administration

Chapter 3 will discuss each function.

IV. DEFINITIONS AND TERMS RELATED TO EOCs

An understanding of the most common terms listed below will help to understand and make the most efficient use of this system. A full SEMS Glossary is a part of the SEMS Guidelines and Approved Course of Instruction (ACI) and should be referred to for complete definitions.

- **Emergency Operations Center (EOC)**

  A location from which centralized emergency management can be performed. EOCs provide overall centralized coordination to ensure that there is an effective response. The EOC may also have a primary role in setting jurisdictional objectives and priorities, which may have an impact on resource allocations and incident level planning.

- **Department Operations Center (DOC)**

  A facility used by a discipline or agency as a department level EOC. Examples are departments within a political jurisdiction such as fire, police, public works as well as agency divisions, districts or regional offices.

  DOCs can be used at all SEMS levels above the field response level, depending on the impacts of the emergency, demographic nature of the agency or organization, local policy and procedures, and configuration of communications systems.

- **Action Plan**

A plan prepared in the EOC containing the emergency response objectives of that SEMS level. The action plan should reflect overall priorities and supporting activities for a designated period and will be updated on a periodic basis. The plan is shared with supporting agencies.

- **Inter-agency Coordination**

Agencies and disciplines at any SEMS level working together in a coordinated effort to develop joint plans, coordinate inter-agency resource use and to facilitate decisions. SEMS Regulation requires the use of inter-agency coordination in all EOCs.

- **Mutual Aid**

Voluntary provision of services and facilities when existing resources prove to be inadequate. There are several standardized statewide mutual aid systems that function in California. Some of these are coordinated from within jurisdictional EOCs, and others are coordinated by disciplines such as law and fire from other facilities.

CHAPTER 2:

PRINCIPLES OF DISASTER MANAGEMENT - ICS

I. INCIDENT COMMAND SYSTEM (ICS) OVERVIEW

SEMS has adopted several features of ICS for use in EOCs at other SEMS levels. In addition to the five primary management functions that will be the subject of Chapter Three, the features of ICS, which apply to EOCs, are:

- Managing by Objectives
- Management Unity and Delegation of Authority
- Span of Control
- Action Planning

A. Management by Objectives

The EOC management team should develop prioritized objectives for the organization's response to an emergency. When the EOC management accomplishes this, clear policy and direction is then given to all departments and agencies. When this is not done individual departments and agencies can, even unintentionally, move unilaterally. This may cause confusion in the EOC and also at the field level, resulting in a less effective overall response.

A recommended set of steps in the EOC management by objectives approach are:

1. Set the overall EOC objectives to be achieved and the organization or jurisdictions priorities related to meeting those objectives.

2. Define as necessary the authority of the EOC and policy issues as they apply to the emergency.

3. Ensure that current policy, objectives and priorities are made known to all responding organizations.

4. Develop, maintain, and make available, a current overall information base related to the emergency.

5. Ensure an adequate field response organization is in place, and provide necessary support to field response elements.

6. Obtain and allocate essential resources to field organizations.

7. Consider future overall requirements and plan ahead.

B. Management Unity and Delegation of Authority

The EOC organization must have the flexibility to shape itself to the emergency. That means that it should not be so rigid or inflexible that it cannot be easily modified, expanded or diminished, as the situation requires. The concept of "form follows function" clearly applies in establishing an EOC organization. Some of the tenets of management unity as applied in SEMS are:

1. The person at the top, or in charge of the organization, has the overall responsibility for accomplishing the EOC mission. At the EOC, this person is the EOC Director.

2. Authority to manage parts of that responsibility may be delegated. In an EOC the primary delegations are for the coordination of four major functions:
   - Operations
   - Planning/Intelligence
   - Logistics
   - Finance/Administration

   When assigned, the persons responsible for these functions are known as the EOC Directors General Staff. Other authority may be delegated for:
   - Public Information
   - Liaison
   - Safety
   - Security

   When assigned these persons are known as the Management Staff.

3. Unless the authority for functional responsibility has been delegated, the EOC Director will retain and be responsible for direct management of previously listed functions.

4. Within operations, planning/intelligence, logistics and finance/administration, authority may be further delegated as needed.

5. The EOC Director has freedom to only activate elements of the organization that are required. For example, it is not necessary to activate a Logistics Section Coordinator prior to activation of the Communications Unit that falls under the logistics function. The only requirement is to maintain an effective span of control.

6. The size of the current organization and that of the next operational period is determined through the EOC action planning process.

7. A number of organizational elements may be activated in the various sections. Each activated element must have a person in charge of it. In some cases a single supervisor may be in charge of more than one unit. As a general rule, units should not be merged, as this may cause difficulty and confusion if they are separated at a later time.

8. Elements, which have been activated and are clearly no longer needed, should be deactivated to decrease organizational size.

C. Span of Control

Maintaining an effective span of control is particularly important in an EOC to provide effective coordination services and for accountability reasons.

In the EOC, the span of control for any supervisor during an emergency response activation should fall within a range of 3 to 7. If a supervisor has fewer than three people reporting, or more than seven, some adjustment to the organization should be considered. The general rule for span of control in the EOC is one supervisor to five subordinates. If necessary in some functions, a deputy should be considered to ease span of control problems.

D. Use of EOC Action Plans

An action plan should be established within the EOC for each operational period. The operational period is defined by the time required to perform stated objectives. The purpose of the EOC Action Plan is to provide all personnel with appropriate direction for future actions.

The EOC Action Plan should always be written. Essential elements in any action plan include:

1. Basic information identifying the agency, the emergency and the Operational period being planned for.

2. A summary of the current situation.

3. A statement of overall EOC objectives related to the emergency or event. Objectives should be realistic and measurable and should include who is responsible.

4. Statements of operational period objectives for each of the major sections. These objectives should be measurable and be as specific as possible, to include when appropriate, the expected time of completion.

5. Action items to carry out section objectives should be listed along with the responsible party and current status or comments.

6. A current organization chart for the EOC.

7. A listing of Agency Representatives shown by agency and their functional assignment in the EOC.

8. Supporting information as required.

II. COMMAND AND GENERAL STAFF

A. Background Related to Command and General Staff Development

The Incident Command System was developed in response to problems that create major difficulties in incident management. These problems are often familiar to emergency service personnel. They include, for example, several agencies or jurisdictions with shared responsibility on a single incident, different organization structures, lack of communications, different terminology, etc.

In addition to the problem of the single agency approach to incident management, one of the major other problems in previous incident management organizations were that there was too much authority vested in the top leadership role. The person in charge made virtually all the decisions. Assistants and deputies were usually not empowered to take independent actions. The result was that the incident organization took on the character, training and experience of the person in charge.

One result was that as an incident grew, the management and decision-making load on the organization's leader also increased. As a result, major decisions often were not being made in a timely manner.

Another consequence was that span of control also expanded as the organization grew. Often, the organizational leader had far too many "points of contact" to be effective. Too large a span of control has often been cited as a major problem in incident management.

To resolve these problems, the ICS design contained the following requirements:

1. A standardized functional organization must be established.

2. Related functions should be grouped together within the organization.

3. Subordinates within the organization must be delegated the necessary authority to manage their assigned functions with maximum autonomy, in accordance with the action plan objectives.

4. Every incident, small or large, simple or complex, must have some form of an action plan whether oral or written. The action plan must be made known to all supervisory personnel. It will guide their operational actions for a prescribed period of time.

As a result of including these requirements in the ICS design, it was possible to adequately organize and manage, delegate authority, and share responsibility.

Obvious outgrowths of this were to reduce the span of control for the organizational leader to an effective level, and reduce the need for continual instructions to subordinates.

The use of distributed authority in ICS is a primary factor in creating an incident organization that is responsive to management by objectives.

B. Determination of Command and General Staff Functions

ICS was designed by identifying the primary activities or functions necessary to effectively respond to incidents.

Analyses of incident reports, and review of military organizations were all used in ICS development. These analyses identified the primary needs of incidents.

As incidents became more complex, difficult, and expensive, the need for an organizational manager became more evident. Thus in ICS, and especially in larger incidents, the Incident Commander manages the organization and not the incident.

In addition to the Command function, other desired functions and activities were:

- To delegate authority and to provide a separate organizational level within the ICS structure with sole responsibility for the tactical direction and control of resources.

- To provide logistical support to the incident organization.

- To provide planning services for both current and future activities.

- To provide cost assessment, time recording, and procurement control necessary to support the incident and the managing of claims.

- To promptly and effectively interact with the media, and provide informational services for the incident, involved agencies, and the public.

- To provide a safe operating environment within all parts of the incident organization.

- To ensure that assisting and cooperating agencies needs are met, and to see that they are used in an effective manner.

While other activities were identified, these major incident activities became the basis for the ICS organization. All other functions support these activities.

1. Line and Staff Organizations

In reviewing the list of the seven primary activities, some of them, e.g., tactical direction and logistical support, have quite specific responsibilities. These kinds of activities also require the most support to accomplish their assignments. Other functional areas, e.g., "safety or information," have a more general relationship to the incident.

Therefore, the ICS development team placed certain functions into a classic direct line management organization, and the others became support staff functions.

The primary direct line management functions were established as Sections in the ICS organization and were called:

- Operations
- Planning
- Logistics
- Finance/Administration

The primary Support Staff functions were designated as:

- Information
- Safety
- Liaison

From this breakout, the ICS Command and General Staff organizations developed.

The four line General Staff functions and the three Command Staff support functions have worked well in a variety of incident applications.

It became evident as ICS was used for a wider variety of incident types, that these functions would apply to the management of any incident of any size, independent of the nature of the incident, and could also be applied to the management of planned events.

2. Command and General Staff Titles

- All General Staff managers in the ICS are: *Chiefs*
- All Command Staff personnel are: *Officers*
- All other levels within the organization have distinctive titles to help in identifying their position in the organization.

The reason for using titles in the organization is often not understood. The use of titles provides another level of consistency, especially in:

a. Multi-agency incidents - where many agencies must come together rapidly and work together effectively.

b. In ordering resources - where ordering will require some title be attached to the position.

c. Having unique position titles allows for the use of the best qualified persons in the position without regard to any single agency's rank structure.

C. Major Responsibilities of Command and General Staff Positions

Responsibilities of the Command and General Staff positions have been covered in previous modules. The following is a brief summary of each position.

The Incident Commander is technically not a part of either the General or Command staff.

1. Responsibilities of the Incident Commander:

a. Make sure you have clear authority and know agency policy.

b. Ensure incident safety.

c. Establish an Incident Command Post.

d. Obtain a briefing from the prior Incident Commander and/or assess the situation.

e. Establish immediate priorities.

f. Determine incident objectives and strategy(s) to be followed.

g. Establish the level of organization needed, and continuously monitor the operation and effectiveness of that organization.

h. Manage planning meetings as required.

i. Approve and implement the Incident Action Plan.

j. Coordinate the activities of the Command and General Staff.

k. Approve requests for additional resources or for the release of resources.

l. Approve the use of students, volunteers and auxiliary personnel.

m. Authorize the release of information to the news media.

n. Order demobilization of the incident when appropriate.

o. Ensure incident after-action reports are complete.

2. The Command Staff

There are three other important activities that are the responsibility of the Incident Commander, in addition to the primary command and general staff functions.

- Handling public information and media relations.
- Maintaining close contact with assisting and cooperating agencies.
- Ensuring maximum possible safety for all assigned personnel.

As incidents grow in size or become more complex, any one of these activities can consume much of the Incident Commander's time. Therefore, it is important for the Incident Commander to recognize the importance of and quickly fill needed Command Staff positions.

The ICS Command Staff consists of:

a. Information Officer

The Information Officer is responsible for developing information about the incident for the news media, incident personnel, and other appropriate agencies and organizations.

Reasons for the Incident Commander to designate an Information Officer include:

- An obvious high visibility or sensitive incident.
- Media demands for information may interfere with the IC's effectiveness.
- The media's capability to acquire (and interpret) its own information is increasing.
- Reduces the risk of multiple sources releasing possibly conflicting information.

b. Safety Officer

The Safety Officer's function on the Command Staff is to identify, assess and/or anticipate hazardous and unsafe situations, and to develop and recommend measures for assuring personnel safety. Working through the chain of command, the Safety Officer will correct unsafe situations.

An important point to remember is that the
Safety Officer may exercise emergency authority to directly stop unsafe acts if personnel are in imminent life-threatening danger.

Under OSHA regulation 1910.120, the Safety Officer function is required by law at the tactical operations level on hazardous materials incidents.

c. Liaison Officer

Incidents that are multi-jurisdictional or that have several agencies involved at the incident scene may require the establishment of the Liaison Officer position on the Command Staff.

The Liaison Officer will be the point of contact for Agency Representatives assigned to the incident by assisting or cooperating agencies. These are usually personnel other than those directly associated with resources on direct tactical assignments.

The following are some of the main reasons to establish the Liaison Officer position at an incident:

- When several agencies send or plan to send Agency Representatives to an incident in support of their resources.
- When the IC can no longer provide the time for individual coordination with each Agency Representative.

3. Agency Representatives

An Agency Representative is an individual assigned to an incident from an assisting or cooperating agency.
An Agency Representative is different than an individual assigned to an incident to be a part of a Unified Command.

The Agency Representative must be given authority to make decisions on matters affecting that agency's participation at the incident.

Agency Representatives can function as IC's in a Unified Command if they are IC qualified by their agencies.

Even in a Unified Command organization, agencies may provide other Agency Representatives to assist in the multi-agency coordination.

Agency Representatives report to the Liaison Officer, or to the Incident Commander in the absence of a Liaison Officer.

4. The ICS General Staff Positions

The ICS General Staff consists of the following positions:

a. Operations Section Chief

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.

b. Planning Section Chief

The Planning Section Chief is responsible for providing planning and status 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, formal briefings, or through map and status board displays.

c. Logistics Section Chief

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

d. Finance/Administration Section Chief

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.

Due to the specialized nature of the administration and finance function, the Finance/Administration Section Chief is usually a member of the jurisdiction or agency requiring financial services. However, that is not an absolute requirement.

General guidelines related to General Staff Positions:

- 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 positions. Deputies are individuals fully qualified to fill the primary position. Deputies can be designated from other jurisdictions or agencies, as appropriate. This is a good way to bring about 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.

Reasons NOT to combine positions are:

- If they need to be separated at a later time, this could cause confusion due to the mix of assignments, staffing, etc.

- This creates a "non-standard" organization, which would be confusing to incoming agencies.

Activating General Staff Positions

General Staff positions on an incident are activated only as needed. Smaller incidents may not require activation. A primary concern is always span of control.

There are no guidelines as to which positions would be activated first. The complexity of the incident, experience, training, and the judgment of the Incident Commander will determine the order of activation.

An important consideration in ICS is that those positions not activated remain the responsibility of the Incident Commander.

III. INCIDENT MANAGEMENT

Organizing for incidents in the ICS is a simple and straightforward process if done according to procedure. There are two approaches that can be used to organize for incidents and events. One approach involves planning for a known upcoming event. The other, more common, approach is reacting to an unplanned incident.

A. Organizing for Events

Events are the easiest to prepare for. Planners can establish exactly what is required prior to the event and in advance of any activation of the organization.

Examples of the kinds of events that lend themselves to an ICS application include, but are certainly not limited to:

- Organizing for a major field-training exercise or simulated emergency.
- A planned public event such as a major parade or concert.
- A planned activity such as a prescribed fire, a law enforcement sweep, a major pest control effort, or a marine hazardous materials exercise.

In order to plan effectively, the planner must know as much as possible about the intended event.

Considerations in the planning stage are:

- Type of event
- Location, size, expected duration
- Single or multi-agency
- Single or multi-jurisdiction
- Command staff needs (information, safety, liaison)
- Kind, type, and number of resources required
- Projected aviation operations
- Staging areas required
- Other facilities required
- Kind and type of logistical support needs, e.g., communications, food, medical, finance considerations
- Known limitations or restrictions
- Available communications

With information about each of those factors, the planning staff can develop the appropriate organizational structure to meet the essential needs of the event.

B. Organizing for Incidents

The second type of situation, and the one that is by far the most common, is the unplanned incident.

This kind of incident is often characterized by several important factors:

- An incident situation of some form occurs.
- Time is of the essence.
- The situation is unstable.

- The incident has the potential to expand rapidly.
- Communications and information may be incomplete.
- Staff on-scene may be experienced in control measures, but are usually junior in the organization and not necessarily experienced in managing expanding incidents.

This kind of situation requires immediate organizing actions must be taken to ensure effective incident management and control.

It is obvious, but too often overlooked that the number of considerations will increase as the situation deteriorates and the incident grows.

The first responding units to the incident MUST take the initial steps to provide organization for the incident. While that may appear obvious, the longer-term importance of these initial decisions is often overlooked.

What are the first things that need to be done? Emergencies such as fires, searches, law enforcement, hazardous materials, and emergency medical situations have different characteristics and require specially trained personnel. Yet, they are quite similar in how they are approached from an incident management standpoint.

For any incident, the person currently in charge (Incident Commander) must do at least the following:

- Size up the situation.
- Determine if human life is at immediate risk.
- Establish the immediate objectives.
- Determine if there are enough and the right kind of resources on-scene and/or ordered.
- Develop an action plan.
- Establish an initial organization.
- Consider if span of control is or will soon approach practical limits. Ensure that personnel safety factors are taken into account.
- Determine if there are any environmental issues that need to be considered.
- Monitor work progress.
- Review and modify objectives and adjust the action plan as necessary.

C. Organizing Incident Operations

The Operations Section organization generally develops from the bottom up. As more resources are assigned to the incident, it is necessary to find ways to effectively organize and manage them. This is often accomplished initially by the Incident

Commander establishing Divisions and/or Groups. This often will be done before an Operations Section Chief is assigned.

1. Divisions/Groups

The primary consideration for the IC (or the Operations Section Chief if designated), when expanding to a division and/or group structure is usually span of control, but functional considerations may also affect that decision.

2. Divisions

Divisions define areas of the incident geographically. Examples might be floors of a building, from point A to point B on the ground, the east side of a building, etc.

3. Groups

The Operations Section may also be organized functionally. Where organization by function would be beneficial, there may be no need to establish geographic boundaries. In this instance, the organizational unit denoting a functional organization is a group. Examples include Medical Group, Search Group, Perimeter Security Group, etc.

Not all incidents will lend themselves to just geographic or just functional organization. One of the advantages of ICS is the ability to use both Divisions and Groups on an incident.

4. Branches

Divisions and Groups can be clustered together into Branches. This is usually done when it is evident that the combined number of Divisions and Groups will soon exceed the recommended span of control guidelines.

In addition, there are other reasons that a branch structure may be needed on an incident.

The ICS Branch structure can be established to represent geographic or functional areas. Geographic branches can either be defined areas on the ground or they may be set up by jurisdiction. Examples of functional branches could be medical, fire, security, etc.

D. Using Unified Command

Any kind or size incident involving multi-jurisdiction or multi-agency responsibility should use (highly recommended) a Unified Command structure.

Unified Command is a management concept for coordinating responses to emergency incidents by two or more service agencies. It provides guidelines for agencies with different legal, geographic, and functional responsibilities to work together effectively in any given situation.

Unified Command is a team effort, which allows all agencies with responsibility for the incident, either jurisdictional or functional, to jointly provide management direction to an incident through a common set of incident objectives and strategies established at the command level. This is accomplished without losing or abdicating agency authority, responsibility, or accountability.

Under Unified Command, the various jurisdictions and/or agencies are blended together into an integrated unified team. The resulting organization may be a mix of personnel from several jurisdictions or agencies, each performing functions as appropriate and working toward a common set of objectives.

Under Unified Command, one person, the Operations Section Chief, is given the authority by the Unified Command Team to implement the tactical operations portion of the Incident Action Plan.

If desired by the agencies, or because of the size of the incident, the Operations Section Chief can have one or more deputies from the other agencies involved at the incident.

Examples for use of Unified Command are in hazardous materials situations, floods, fires, or other natural disasters where multiple departments must work together. Even in a small incident in which there may only be a few resources, it makes sense for the agencies that have incident level jurisdiction to work together.

Unified Command represents an important element in increasing the effectiveness of multi-jurisdictional or multi-agency incidents. As incidents become more complex and involve more agencies, the need for
Unified Command is increased.

Unified Command works the best when agencies that have to work together often decide in advance that they will use Unified Command. This allows the opportunity for them to know each other and to develop joint plans.

<u>Advantages of using Unified Command</u>:

- One set of objectives is developed for the entire incident, and a collective approach is made to developing strategies.
- Information flow and coordination is improved between all jurisdictions and agencies involved in the incident.
- No agency's authority or legal requirements will be compromised or neglected.
- Each agency is fully aware of the plans, actions, and constraints of all others.

- The combined efforts of all agencies is optimized as they perform their respective assignments under a single Incident Action Plan.
- Duplicative efforts are reduced or eliminated, thus reducing cost and chances for frustration and conflict.

Primary Features of a Unified Command Incident Organization. Under Unified Command, there is:

- A single integrated incident organization.
- One Operations Section Chief to direct all tactical efforts.
- Collocated (shared) facilities.
- A single integrated planning process and Incident Action Plan.
- Shared planning, logistical, and finance/ administration operations wherever possible.
- A coordinated process for resource ordering.

The proper mix of participants in a Unified Command organization will depend on:

- The location of the incident, which often determines the jurisdictions that must be involved.
- The kind of incident, which dictates the functional agencies of the involved jurisdiction(s), as well as other agencies that may be involved.

Examples

Here are two examples of situations where Unified Command may be and probably should be applied:

A. Initial Response Incident

A small incident occurs where two agencies have jurisdictional responsibility. The two Incident Commanders will come together and establish a single command post (probably from a vehicle). They will brief each other on the situation. Together they will establish objectives and priorities, decide on an Action Plan and distribution of resources. During the course of the incident, the Commanders will stay together, modify the Action Plan if necessary, and issue orders individually to their agency resources.
(No General or Command Staff assigned.)

This is the type of situation most of you will encounter as an Incident Commander. It is simple, direct but requires the principles and concepts of Unified Command.

B. Large/Complicated Incident

A large and/or complicated incident occurs involving three or more agencies. Each agency's Incident Commander meets the others at a single command post to establish objective, priorities, and the sharing of resources. The Unified Command and Staff develop a single Incident Action Plan, which is implemented by the Operations Section Chief. The Operations Section Chief normally will be from the agency with greatest present or potential involvement.

Problems pertaining to a jurisdiction are addressed to that jurisdiction's Commander for consideration with the other Commanders. Problems pertaining to the Action Plan are taken to the Incident Commander representing the Operations Section Chief's agency for consideration with other Commanders. The Incident Commanders (for the most part) will stay together at the Incident Command Post.

E. Staffing the ICS Organization

Staffing considerations are always based on the needs of the incident. The number of personnel and the organization structure are totally dependent on the size and complexity of the incident. There is no absolute standard to follow.

Some general guidelines are:

1. Deputies may be used at Incident Command, General Staff (Section), and Branch levels.

2. Command Staff personnel may have assistants as required. Assistants may also be used to manage units established at camps (i.e., Assistant Ground Support Unit Leader, Camp #2).

3. The Incident Commander may establish divisions and/or groups prior to designating an Operations Section.

4. In most multi-jurisdictional incidents, the use of a Unified Command structure is recommended, including an individual from each functional agency or jurisdiction assigned to the Unified Command.

5. After expanding into divisions, activation of planning and logistics functions should be considered. The decision will always be based on the present and anticipated needs of the incident.

The following table is an example (only) of how the staffing table might be developed for an incident. The key point is that as the operations section grows, additional staff will be required in Planning, Logistics and Finance/Administration Sections.

EXAMPLE ONLY

ICS POSITION	TWO DIVISIONS OR GROUPS	FIVE DIVISIONS OR GROUPS	TWO BRANCHES
OPERATIONS SECTION CHIEF		**1**	**1**
BRANCH DIRECTOR			**2**
DIVISION/GROUP SUPERVISORS	**2**	**5**	**Up to 10**
PLANNING SECTION CHIEF		**1**	**1**
STATUS RECORDERS	**1**	**1**	**2**
FIELD OBSERVERS		**2**	**4**
LOGISTICS SECTION CHIEF			**1**
INCIDENT DISPATCHER			**1**
MESSAGE CENTER OPERATOR			**2**
MESSENGERS			**2**
COMMUNICATIONS TECHNICIAN	**1**	**1**	**3**
FOOD UNIT	**4**	**6**	**10**
SUPPLY UNIT		**2**	**4**
FACILITY UNIT		**2**	**4**
GROUND SUPPORT	**1**	**2**	**4**
FINANCE/ADMINISTRATION SECTION			
TOTALS	**9**	**23**	**51**

F. Developing the Organization for a Planned Event - EXERCISE

Exercise No. 1 - The Planned Event

You are the Planning Director of Riverdale, a city with a population of 125,000.

Riverdale is planning to have a centennial celebration during the month of August. The major activity will be an afternoon and evening celebration at the grandstand at the fairgrounds to include:

- A variety of sporting activities.
- A barbecue to serve an estimated 2500 - 5000 people.
- Speeches and presentations. A U.S. Senator and the Governor will be present. They represent different political parties.
- A giant fireworks display.
- Dancing to a nationally known rock group.

Additional Background:

- No other jurisdictions are involved.
- Beer, wine, and hard liquor will be available at the fairgrounds activities.
- Your job is to develop the operating organization for this event. Your city manager has heard a lot about ICS, and wants ICS used for this event.
- Other city departments have been directed to cooperate.

For this exercise, you are to produce:

1. The Incident Objectives
2. The organization to cover the afternoon and evening of the event (as detailed as possible).
3. Recommendations for staff sizes for the various units within the organization.

Things to keep in mind:

1. Are the objectives clearly stated and measurable?
2. Does the makeup of the operations organization generally support the strategy?
3. Are necessary General Staff supporting positions filled?
4. Are staff sizes adequate?
5. Has the need for Command Staff positions been considered?
6. Is span of control adequate?
7. If you were the incoming Incident Commander, would you accept this organization and staff sizes? If not, why not?

IV. AREA COMMAND

A. Definition

Area Command is an organization established to:

1. Oversee the management of multiple incidents that are each being handled by an Incident Command System organization; or

2. To oversee the management of a very large incident that has multiple Incident Management Teams assigned to it. Area Command is used when there are a number of incidents generally in the same area, and often of the same kind. For example, two or more:

HAZMAT spills, fires, etc. It is usually these kinds of incidents that may be vying for the same resources.

When incidents are of different kinds and/or do not have similar resource demands, they would usually be handled as separate incidents or would be coordinated through an EOC.

If the incidents under the authority of the Area Command are multijurisdictional, a Unified Area Command should be established. This allows each jurisdiction to have representation in the Area Command.

B. Terminology Related to Area Command

Experience has demonstrated that there is often confusion in how terminology is used and applied. For purposes of this module, it is important to remember the following:

A more detailed coverage of Multi-agency Coordination Reference Text and EOCs will be presented in Multi-agency Coordination.

C. Responsibility

For the incidents under its authority, Area Command has the responsibility to:

- Set overall agency incident-related priorities.
- Allocate critical resources based on priorities.
- Ensure that incidents are properly managed.
- Ensure that incident(s) objectives are met and do not conflict with each other or with agency policy.

D. Reporting Relationships

When Area Command is established, Incident Commander(s) for the incidents under the authority of the Area Command will report to the Area Commander.

The Area Commander is executive or administrator.

If one or more of the incidents within the Area Command are multi-jurisdictional, a Unified Area Command should be established. Incident Commanders would report to the Unified Area Commander for their jurisdiction.

E. The Use of Area Command

Major natural disasters such as earthquakes, floods, fires, or major storms create a large number of incidents affecting multijurisdictional areas. Due to their size and potential impact, these incidents provide an appropriate environment for the possible use of Area Command.

The most common situations in which Area Command has been used are for wildland fires. Area Command was also used in response to the Exxon Valdez oil spill.

1. The Need For Area Command

In situations where multiple incidents are occurring, the use of an Area Command makes the jobs of Incident Commanders and Agency Executives easier for the following reasons:

- Much of the inter-incident coordination normally required of each IC will be accomplished at the Area Command level. Using an Area Command allows the Incident Commanders and their incident management teams to focus their attention on their assigned incident.
- Area Command sets priorities between incidents and allocates critical resources according to priorities established by the Agency Executive.
- Area Command helps the Agency Executive by ensuring that agency policies, priorities, constraints, and guidance are being made known to the respective Incident Commanders.
- Area Command also reduces the workload of the Agency Executive, especially if there are multiple incidents going on at the same time.

2. Establishing Area Command

It is best to be proactive when considering the use of Area Command. Area Command should be established for like incidents in the same proximity to ensure that conflicts do not arise. Often, agency dispatchers will recognize inter- incident coordination problems first.

It may take some hours to establish the Area Command. If there are existing facilities and communication systems that can be used, e.g., at a jurisdictional EOC, then the time needed to set up the Area Command may be reduced.

Some criteria for using Area Command are:

- Several major or complex incidents of the same kind are in close proximity.
- Critical human or property values are at risk due to incidents.

- Incidents will continue into the next operational period.
- Incidents are using similar and limited critical resources.
- Difficulties are encountered with inter- incident resource allocation and coordination.

Area Command is established by the Agency Executive.

When Area Command is activated, an Area Commander will be designated and given appropriate delegated authority.

The authority given to the Area Commander should be written as a Delegation of Authority statement. This will eliminate confusion and provides the Area Commander with authority to oversee the management of the incidents.

Depending upon the agencies and incidents involved, the Area Command may issue delegation of authority or re-delegations to the respective Incident Commanders. This will help to ensure that Agency direction is made clear to all parties.

If the incidents under the Area Command are in adjacent jurisdictions, then a Unified Area Command should be established. The following could apply to either an Area Command or a Unified Area Command.

a. Incident Commanders covered by the Area Command must be notified that an Area Command is being established.

b. The Area Command team should consist of the best-qualified personnel with respect to their functional areas. The functions of Area Command require personnel that have experience in, and are qualified to oversee, complex incident situations.

c. The Area Command organization operates under the same basic principles as does the Incident Command System.

d. The Area Command organization should always be kept as small as possible. Area Command organizational positions could consist of:

The Area Commander and, only as necessary,:

- Area Command Logistics Chief
- Area Command Planning Chief
- Area Command Critical Resources Unit Leader
- Area Command Situation Unit Leader
- Area Command Information Officer

- Area Command Liaison Officer to help in maintaining off-incident interagency contacts

It is important to remember, that Area Command does not in any way replace the incident level ICS organizations or functions. The above positions, if established, are strictly related to Area Command operations. Specific duties and responsibilities will be established by the Area Commander.

Incident Commanders under the designated Area Commander are responsible to, and should be considered as part of, the overall Area Command organization. They must be provided adequate and clear delegation of authority.

Technical Specialists can be added to the Area Command organization. This will depend on the kinds of incidents involved. Technical Specialists at the Area Command would provide specific information and expertise relating to their specialty.

For example, in incidents involving use of aircraft, and where hazardous materials are involved, it may be useful to have the following specialists assigned to the Area Command team:

- Aviation Specialist
- Hazardous Materials Specialist
- Environmental Specialist
- Communications Specialist

3. The Location for Area Command

The Area Command should, to the extent possible, be located in close proximity to the incidents under its authority. This will make it easier to have meetings and direct contact between the Area Commander and Incident Commanders.

It is best not to collocate Area Command with one of the incidents. Doing so might cause confusion with that incident's operations, and it could also be seen by other incidents as adding status to that single incident.

The facility used to house the Area Command organization should be large enough to accommodate a full Area Command staff, and have the capability to accommodate meetings between the Area Command Staff, Incident Commanders, Agency Executive(s), and with news media representatives.

Jurisdiction EOC facilities may be used for Area Command facilities if they are located reasonably close to the incidents.

C. Primary Functions of Area Command

Because of the use and proven value of Area Command, considerable work has gone into describing how Area Command should function.

Area Command has six primary functions.:

- Provide agency or jurisdictional authority for assigned incidents.
- Ensure a clear understanding of agency expectations, intentions, and constraints related to the incident among Incident Commanders.
- Establish critical resource use priorities between various incidents based on incident needs and agency policy and direction.
- Ensure appropriate incident management team personnel assignments and organizations for the kind and complexity of the incidents involved.
- Maintain contact with officials in charge, assisting and cooperating agencies, and other interested groups.
- Coordinate the demobilization or reassignment of resources between assigned incidents.

V. MUTUAL AID COORDINATION SYSTEM (MACS)

A. Some Examples of How Multi-agency Coordination is Currently Accomplished

The words Multi-agency Coordination are quite self- descriptive and essentially mean just what they say-- agencies working together toward some common goal. Multi-agency Coordination related to emergencies can take place at several levels and within various forms of both command and coordination systems. For example:

1. At the Scene of the Incident(s)

Agencies routinely work together and coordinate within an ICS structure at an incident. The intent, design, and structure of ICS incorporates and promotes the concept of Multi-agency Coordination.

2. At an Area Command

An Area Command (or Unified Area Command) organization, established to have direct management authority for several incidents in the same proximity, recognizes the need to ensure that effective Multi-agency Coordination takes place.

The Area Command should include multi-jurisdiction/agency representation and be responsible for coordinating interagency matters related to the incidents under the Area Command authority.

3. At a Jurisdiction's Emergency Operations Center (EOC)

Multi-agency Coordination is an essential component within jurisdictional Emergency Operations Centers. Assigned representatives from appropriate departments and liaison agencies work together at the EOC facility. Other support and or liaison agencies may also be represented.

4. At an Interjurisdictional or Regional Level

Multi-agency Coordination may also take place by bringing together representatives from various political subdivisions and other functional agencies to coordinate in an interjurisdictional regional setting. The requirement for this level of coordination is increasing due to the complexity of incidents, broader legal authorities, and the increasing number of interjurisdictional incident situations. Many states have regions or other subdivisions, which bring state and local agencies together when incidents cross-jurisdictional boundaries.

5. At State and Federal Levels

Federal and state emergency management organizations routinely work together to assist the emergency response and disaster recovery efforts of state and federal agencies. This type of coordination takes place at the state's Emergency Operations Center, a FEMA Regional EOC, and/or a Joing Field Office (JFO).

Also at the federal level, an interagency Catastrophic Disaster Response Group (CDRG) can be activated for major disasters. FEMA's Integrated Emergency Management System (IEMS) concept is based around a philosophy of multilevel coordination.

6. At International Levels

Every time there is a major international disaster, we see instances of what happens when there is effective international multi-agency cooperation. We also see many instances when that coordination is not yet what it should be.

All of these are appropriate, legitimate uses of Multi-agency Coordination. However, the level of understanding, and the ways in which they are applied are varied throughout the emergency management community.

B. Terminology and Relationships

1. EOCs and MACS

There is no common consensus on all of the relationships or terminology related to Multi- agency Coordination. In most political subdivisions Emergency Operations Centers (EOCs) are the primary facilities for housing emergency management services. This is true for cities, counties, and states. Intrajurisdiction coordination is an essential part of any political subdivision EOC operation.

The degree of coordination depends on the systems and procedures that are in place. EOCs or Department Operating Centers are often used at various levels within some agencies. In many cities and counties, agencies within a political jurisdiction have EOCs at department levels in addition to the primary jurisdictional EOC.

For example, there could be a State Highway Department EOC or County Medical Department EOC. Also, major industries are developing and equipping EOCs to serve the industry needs during a time of an emergency.

Most agencies designate the facility from which overall emergency management services are conducted as an EOC. However, some agencies may call their primary emergency operating location an Emergency Command Center, an Operations Control and/or Coordination Center, an Expanded Dispatch Center, etc.

In some locations, and for some kinds of incidents, political subdivision EOCs are not always activated and/or may not meet the total interagency coordinating need related to an incident. For example, consider a wide-scale search activity that covers just parts of the following:

- A National Park
- County A
- County B
- A coastal area
- A State Recreation Area

The agencies that could be directly involved in the search activity at the incident level might consist of:

- National Park Service
- County A - Fire and Rescue
- County B - Sheriff's Search and Rescue
- Coast Guard
- State Parks Department

- State National Guard
- Volunteer Groups
- Private landowners and/or industry

Because of the jurisdictions involved, this incident would be managed using a Unified Command, which would function at an Incident Command Post at (or close to) the scene of the incident. The Unified Command would consist of an IC from each agency having search jurisdiction.

If the initial search is unsuccessful and becomes extended in size and scope the various assisting agencies may activate their respective jurisdictional EOC(s) to help coordinate resource requests.

However, there is no single agency with the authority to coordinate the overall regional response of local, state, federal, and private sector agencies that might be involved in an incident of this type.

Because of the multijurisdictional nature of this incident, some type of an off-incident interagency coordination activity should be established to assist in the off-incident coordination of resources and support among the involved agencies

This Multi-agency Coordination activity could be done at one of the facilities, e.g., one of the county EOCs, at the Coast Guard Headquarters, at the local National Park Service headquarters, at the State Parks facility from some other location. It could also be done although perhaps not as effectively as a scheduled conference call linking the local headquarters of the agencies above.

When such an activity occurs to connect assisting agencies from various jurisdictions and/or levels of government, and is primarily for interagency coordination on a regional basis it becomes a Multi-agency Coordination System (MACS).

The interagency representatives that work together within the MACS are known as a MAC Group.

In some cases, the MACS is simply a scheduled telephone conference call between members of the MAC group perhaps done two or more times a day. In other cases, face-to-face coordination must be accomplished, and the MAC Group would assemble at some location.

In some areas where this kind of interagency and intergovernmental coordination is extensively required due to fires, flooding, storms, etc., the MACS may become a permanent part of the regional emergency environment. If heavily used, a separate facility may be established, and communications and even a staff would be in place either full or part time. At least one state has a permanent setup for a MACS.

C. Defining an Intergovernmental Multi-agency Coordination System (MACS)

The functions of the MACS are to provide a basis for regional interagency coordination over:

- Incident priority determination
- Critical resource use priorities
- Communications systems integration
- Information coordination
- Intergovernmental decision coordination

A less complex version of a MACS may be simply a procedure to operate within the terms of an existing interagency mutual aid agreement at the time of an emergency.

It is important to remember that the size and complexity of a MACS will be determined by its mission. That mission may be quite simple or quite complex.

The purpose of the MACS is to provide a coordinating service among the agencies involved in the incidents. This is one of the major distinctions between MACS and Area Command. The other distinction is that MACS is a coordinating entity. Area Command has command authority.

D. Guidelines for Establishing and Using Multi-agency Coordination Systems and MAC Groups

1. Profile of a MACS

The following organization chart shows the basic framework for the MAC. Administrative or non- emergency positions that may be set up to help administer and operate the MACS are not shown.

The MAC Group will resolve interagency policy and procedural conflicts, prioritize incidents and allocate critical resources to agencies for their use on incidents.

MAC Group can be established to aid in interjurisdiction coordination.

Differences Between MAC Groups and Area Command

MAC GROUP	AREA COMMAND
Expansion of the off-site coordination and support system.	Expansion of the on-incident command function of the ICS.
Members are agency administrators or designees from the agencies involved or heavily committed to the incidents.	Members are the most highly skilled incident management personnel.
Organization generally consists of the MAC Group (agency administrators), MAC Group Coordinator, and an intelligence and information support staff.	Organization generally consists of an Area Commander, Area Command Planning Chief, and an Area Command Logistics Chief.
Is the agency administrator or designee.	Is delegated authority for specific incident(s) from the agency administrator.
Allocate and reallocate critical resources through the dispatch system by setting incident priorities. Make coordinated agency administrator level decisions on issues that affect multiple agencies.	Assign and reassign critical resources allocated to them by MAC or the normal dispatch system organization. Ensure that incident objectives and strategies are complementary between Incident Management Teams under their supervision.

It is also important to keep in mind that a MACS does not communicate on a direct basis with Incident Commanders.

E. Primary Functions of Multi-agency Coordination

The following are the principal functions that take place within the response part of a MACS.

- Situation Assessment
- Critical Resource Acquisition and Allocation
- Local, State, and Federal Disaster Coordination
- Coordination With Agency/Jurisdiction Political Establishments
- Coordination of Summary Information Related to Multi-agency/ Multi-jurisdiction Response Efforts
- Incident Priority Determination

F. ICS as the Model for Use in an EOC or in a MACS

Most of the features and the five primary functions of ICS are appropriate for use at the EOC or MACS levels. These features include span of control, management by objectives, and action planning.

Duplication of position titles at the EOC could possibly cause confusion with those used at incidents. This is particularly true for those jurisdictions, which may have direct EOC to incident communications and interactions.

Sub-functions at the EOC will be based on the operational need, and vary from those used on an incident.

Requirements of the incident dictate the form that the organization should take. The same concept applies to the use of ICS components at an EOC or MACS.

For example, a principal function at an EOC relates to the coordination of personnel and volunteers. There is no corresponding ICS functional element.

VI. RESOURCE MANAGEMENT

The resource management process involved five steps:

- Establishing resource needs
- Resource ordering
- Resource Check-in Process and Tracking
- Resource Utilization and Evaluation
- Resource Demobilization

A. Establishing Resource Needs

Identification of resource needs serves the following functions:

- Assists in establishing resource needs for an operational period.
- Communicates the decisions made during the tactics meeting.
- Provides information that is used for ordering resources for the incident.

1. Resource Kinds and Typing

Kinds of Resources - Describes what the resource is, i.e. medic, firefighter, Planning Sections Chief, helicopters, ambulances, combustible gas indicators, bulldozers.

Types of Resources – Describe the size, capability and staffing qualifications of a specific kind of resource.

Resource managers use various resource inventory systems to assess the availability of assets provided by public, private, and volunteer organizations. Preparedness organizations enter all resources available for deployment into resource tracking systems maintained at local, State, regional, and national levels. The data are then made available to dispatch/ordering centers, Emergency Operations Centers (EOCs), and multiagency coordination entities.

Knowing the specific capabilities of the various kinds of resources helps planners decide the kind, type, and quantity of resource best suited to perform activities required by the Incident Action Plan.

Ordering resources by type saves time, minimizes error, gives a clear indication of exactly what is needed, and reduces nonessential communications between the incident and the off-site order point.

Knowing the type of tactical resource assigned enables managers to monitor for under-or-over-capability, and make changes accordingly. Careful monitoring of resource performance can lead to the use of smaller or less costly resources, which can result in increased work performance and reduced cost.

The National Incident Management System (NIMS) is based on the need for standard definitions and practices. NIMS is promoting a national typing system that will provide responders with common definitions when ordering or receiving assets though mutual aid. Systems that do not conform to these common definitions are not compliant with NIMS.

B. Resource Ordering

Usually, all incidents will have an initial commitment of resources assigned. Resources can include key supervisory personnel, often referred to as "overhead" (more correctly as “management”), and personnel and equipment assigned as tactical resources.

The initial complement of resources may include only one or two additional units. If only a few resources are to be added, the Incident Briefing (ICS Form 201) can be used as documentation. The Incident Briefing form may serve as the vehicle for recording resources in most incidents. However, as incidents grow, it will be necessary to use some of the other ICS tools.

As incidents grow in size and/or complexity, more tactical resources may be required and the Incident Commander may augment existing resources with additional personnel and equipment. As a consequence, a more formalized resource ordering process may be needed.

1. Who does what?

- **Command** develops incident objectives and approves resource orders and demobilization.
- **Operations** identifies, assigns, and supervises the resources needed to accomplish the incident objectives.
- **Planning** tracks resources and identifies resource shortages.
- **Logistics** orders resources.
- **Finance and Administration** procures and pays for the resources and reports costs.

Final approval for ordering additional resources, as well as releasing resources from an incident, is the responsibility of the Incident Commander. Ordinarily, it is not efficient use of the Incident Commander's time to review and approve all resource orders for routine supplies (e.g., food) on a major incident. The Incident Commander may delegate approval of certain orders while reviewing and approving any nonroutine requests, especially if they are expensive, require outside agency participation, or have potential political ramifications.

If the Logistics Section Chief position has been filled, then the Logistics Chief has the delegated authority to place the resource order after the order has been approved by the Incident Commander or his/her designee. On larger incidents, where the Logistics Section contains a Supply Unit, the Supply Unit has the authority to place the approved resource order. If the incident organization is small and General Staff positions have not been filled, then the Incident Commander will personally request the additional resources from the agency dispatch/ordering center.

2. Resource Orders: Information Elements

Although different formats may exist, every resource orders should cotain the following essential elements of information:

- Incident name
- Order and/or request number (if known or assigned)
- Date and time of order
- Quantity, kind, and type (Resources should be ordered by Task Forces or Strike Teams when appropriate. Include special support needs as appropriate.)
- Reporting location (specific)
- Requested time of delivery (specific, immediate vs. planned, not ASAP)
- Radio frequency to be used

- Person/title placing request
- Callback phone number or radio designation for clarifications or additional information

C. Resource Check-in Process and Tracking

As soon as the incident is discovered and reported, and often even before responders are dispatched, volunteers, victims, and spectators will converge at the scene. When responders arrive, they must separate first spectators, and then volunteers from victims, and secure a perimeter around the incident.

This inner perimeter allows the organization to:

- Establish resource accountability.
- Control access.
- Ensure safety of the public.
- Establish a working environment for responders that is as safe and secure as possible.

1. Check-in Process

The Resources Unit will establish and conduct the check-in function at designated incident locations. If the Resources Unit has not been activated, the responsibility for ensuring check-in will be the Incident Commander or Planning Section Chief.

There are five incident locations where check-in can be done:

- Incident Base
- Camp
- Staging Area
- Resources

2. Check-in Information

Limiting the number of check-in locations will greatly increase the reliability of resource information on the incident, thus improving future planning efforts.

The following check-in information is used for tracking, resource assignment, and financial purposes:

- Date and time of check-in
- Name of the resource
- Home base

- Departure point
- Order number and position filled (personnel only)
- Crew Leader name and personnel manifest (for crews)
- Other qualifications
- Travel method
- Mobilization authorization (if appropriate)

3. Tracking Resources

Resource tracking responsibilities on the incident are shared between:

Planning Section, which is responsible for tracking all resources assigned to the incident and their status (assigned, available, out of service), and

Operations Section, which is responsible for tracking the movement of resources within the Operations Section itself.

Note that the tracking system must account for the overall status of resources at the incident, as well as the movement of Operations personnel into and out of the incident "hot zone." The more hazardous the tactics being implemented on the incident, the more important it is to maintain accurate resource status information.

4. Resource Status

- **Assigned** – Currently working on an assignmnet under the direction of a supervisor
- **Available** – Ready for immediate assignment and has been issued all required equipment
- **Out-of-Service** – Not available or ready to be assigned (e.g., maintenance issues, rest periods)

D. Resource Utilization and Evaluation

In the ICS, there is both a chain of command (the organization) and a unity of command (each person reports to only one supervisor). These two factors provide the basis for effective resource management and personnel accountability. Supervisory personnel direct, guide, monitor, and evaluate the efforts of subordinates toward attaining specific objectives. A designated supervisor or leader, whether they are tactical resources assigned to the Operations Section, or personnel assigned to support the overall operation, always directs resources. All positions have the delegated authority of the position.

1. Utilizing Resources

Incoming primary and tactical resources will initially be assigned to the following locations at the incident:

- Direct Assignment to Supervisor
- Assignment to Staging Area
- Assignment to Incident Base or Camp

2. Air Operations Branch

An Air Operations Branch can be established if:

- Tactical and logistical air support activity is needed at the incident.
- Helicopters and fixed-wing aircraft are involved within the incident airspace.
- Safety, environmental, weather, or temporary flight restriction issues become apparent.
- A helibase or several helispots are required to support incident operations.
- Agency policy and/or flight operations SOPs require it.
- The Incident Commander and/or Operations Section Chief are unfamiliar with aviation resources, their uses, and safety protocols.

An increasing number of incidents and events involve the use of aircraft in tactical assignments and/or providing logistical support. Some examples are:

- Search and Rescue – Fixed-wing and helicopters for flying ground and water search
- patterns, medical evacuations, and logistical support.
- Medical Evacuation – Transportation of injured victims and personnel.
- Earthquakes, Floods, etc. – Reconnaissance, situation and damage assessment, rescue, logistical support, etc.
- Law Enforcement – Reconnaissance, surveillance, direction, control, and transportation security.
- Fire Control – Fixed-wing and helicopters for water and retardant drops, use of helicopters for transporting personnel to and from tactical assignments, for reconnaissance, and logistical support.
- Forest and Other Land Management Programs – Pest control programs.
- Maritime Incidents – Hazardous materials spills, accidents, searches.
- Other Applications – Communications relay airborne command and control, photo mapping, etc.

3. Resource Evaluation

Evaluation of resource performance involves monitoring, evaluating, and adjusting the performance of the organization and its components to ensure that all efforts are directed toward achieving the specified objectives. Resources should be evaluated:

- On an ongoing basis as part of resource monitoring.
- At demobilization, upon the achievement of the assigned tactical objectives.
- During after-action reporting.

E. Resource Demobilization

Excess resources must be released in a timely manner to reduce incident-related costs and to "free up" resources for other assignments. On larger incidents, the planning for demobilization should begin almost immediately and certainly well in advance of when demobilization actually takes place. The process of demobilizing resources generally begins at the Operations Section level, where the need for continued tactical resources will be determined. When tactical resources are no longer needed, other parts of the organization can also be reduced.

1. Demobilization Plan

A demobilization plan should contain five essential parts:

- General Information (guidelines)
- Responsibilities
- Release Priorities
- Release Procedures
- Directory (maps, phone listings, etc.)

CHAPTER 3:

PRINCIPLES OF DISASTER MANAGEMENT – SEMS

This Section describes incidents, emergencies, disasters and covers the essential principles and functions associated with emergency/disaster management.

The following topics will be covered:

- Contrast between Incidents, Emergencies and Disasters.
- Identification of disaster management problems.
- Common goals of emergency management.
- Phases of comprehensive emergency management.
- Role of EOCs in phases of emergency management.
- Management principles applied to emergency management.
- Lessons learned from past emergencies.
- Keys for effective emergency management.

I. CONTRAST BETWEEN INCIDENTS, EMERGENCIES AND DISASTERS

These terms are often used somewhat interchangeably and in some cases are used to both define a situation and to describe a level of response to a situation.

A. Incident

An incident is an occurrence or event, either human-caused or caused by natural phenomena, that requires action by emergency response personnel to prevent or minimize loss of life or damage to property and/or natural resources.

Incidents may result in extreme peril to the safety of persons and property and may lead to, or create conditions of disaster. Incidents may also be rapidly mitigated without loss or damage. Larger incidents, while not yet meeting disaster level definition, may call for local governments to proclaim “a Local Emergency”.

Incidents call for a field on-scene response of an Incident Commander and tactical and support resources organized within an Incident Command System structure.

Examples of incidents could be wide-ranging:

- Protest demonstration
- Sink hole in street
- Structure fire
- Multi-casualty accident
- Downed utility lines

B. Emergency

The term emergency is used in three ways:

1. A condition that may result in extreme peril to the safety of persons and damage to property. In this context, an emergency and an incident could mean the same thing, although an emergency has a broader meaning and could have several incidents associated with it.

2. Emergency is also used in SEMS to describe agencies or facilities e.g., Emergency Response Agency, Emergency Operations Center, etc.

3. Emergency is also used to define a conditional state such as proclamation of "Local Emergency". The California Emergency Services Act describes three states of Emergency:

    - State of War Emergency
    - State of Emergency
    - Local Emergency

    Examples of emergencies include:

    - River flooding
    - Earthquake
    - Major wildland fire

C. Disaster

A disaster is a sudden calamitous emergency event bringing great damage, loss or destruction. Disasters may occur with little or no advance warning, e.g., an earthquake or a flash flood, or they may develop from one or more incidents e.g., a major brush fire.

Some of the usual distinguishing characteristics of incidents and disasters are listed below:

Characteristics of Incidents and Disasters

Incidents	Disasters
• Usually a single event – may be small or large. • Has a defined geographical area. • Will use local resources and mutual aid may be applied. • Usually only one or a few agencies involved. • Ordinary threat to life and/or property – limited population and geographic area. • Usually a local emergency will not be declared and jurisdictional EOC will not be activated for a single or multiple small incidents. • Usually a fairly short duration measured in hours or a few days. • Primary command decisions are made at the scene Incident Command Post(s). • Strategy, tactics and resource assignments are determined on scene.	• Single or multiple events (can have many separate incidents associated with it). • Resource demand is beyond local capabilities and extensive mutual aid and support needed. • Many agencies and jurisdictions involved (multiple layers of government). • Extraordinary threat to life and/or property. • Generally a widespread population and geographic area affected. • Will last over a substantial period of time (days to weeks) and local government will proclaim a Local Emergency. • Emergency Operations Centers are activated to provide centralized overall coordination of jurisdiction assets, department and incident support functions, and initial recovery operations.

II. MANAGEMENT PROBLEMS DURING A DISASTER

The following problems are often seen at all EOC levels:

- Lack of coordination and understanding between SEMS levels.
- Activation usually takes place after the fact resulting in a “catch up” process.
- Lack of good and complete information at the beginning.
- Possible loss or degraded communications capability.
- Possible loss or late arrival of key, trained staff.
- Often a shortfall of resources available to meet demands.
- Lack of inter-agency coordination.

III. COMMON GOALS OF EMERGENCY MANAGEMENT

Disaster and emergency responders share a number of common goals, including the desire to protect life, environment and property. Identifiable goals include:

- Save lives
- Care for casualties
- Limit further casualties
- Limit further damage to structures and environment
- Reassure and care for the public
- Restore area to normal as soon as possible.

IV. PHASES OF COMPREHENSIVE EMERGENCY MANAGEMENT

The four commonly used phases of comprehensive emergency/disaster management are:

- Mitigation
- Preparedness
- Response
- Recovery

A. Mitigation

Mitigation is perhaps the most important phase of emergency management, and generally the most cost effective. Mitigation is often thought of as taking actions to strengthen facilities, abatement of a hazard, and taking all necessary steps to reduce the potential damage either to structures or their contents.

While it is not possible to totally eliminate either the destructive force of any potential disaster or its effects, doing what can be done to minimize the effects may create a safer environment which will result in lower response costs, and fewer casualties.

B. Preparedness

Preparedness is the quality or state of being prepared. Preparedness is often associated with activities related to personnel readiness, preparation of plans, inventory of resources, setting up the EOC and support systems, training and exercising. Preparedness can also be measured in degrees of preparedness.

The mere existence of a formal written plan does not automatically indicate preparedness. All too often emergency plans are developed to meet the requirements of law, regulation or the “dictates of the boss”. When plans are developed under such conditions, they generally do not satisfy emergency needs when implemented.

C. Response

The response phase demonstrates the effectiveness of mitigation and preparedness measures. Generally the response phase encompasses the actions taken to address the direct effects of an incident or disaster. These could include saving lives and property, care of casualties and displaced persons, reducing the risk of further damage, containing and controlling the hazard, initiating recovery plans etc.

D. Recovery

Essentially, recovery is taking all actions necessary to restore the area to pre-event conditions or better if possible. Therefore, mitigation for future hazards plays an important part in the recovery phase for many emergencies. There is no clear time separation between response and recovery. In fact, planning for recovery should be a part of the response phase.

V. ROLE OF FIELD LEVEL RESPONSE AND EOCs IN EMERGENCY MANAGEMENT

A. Field Level Has Command

A key concept in all emergency planning is to establish command and tactical control at the lowest level that can perform that role effectively in the organization. In the Incident Command System (ICS), The Incident Commander, with appropriate policy direction and authority from the responding agency, sets the objectives to be accomplished, and approves the strategy and tactics to be used within the realm of available resources to meet those objectives.

The Incident Commander must respond to higher authority. Depending upon the incident’s size and scope, that higher authority could be the next ranking level in the organization up to the agency or department executive. This relationship provides an operational link with policy executives who customarily reside in the DOC or EOC, when activated. Similarly, department executives also report to a higher authority. That authority may rest in city or county administrative offices, with mayors, city councils, County Boards of Supervisors, or Boards of Directors.

As a rule, EOCs do not directly manage or "command" incidents. This would imply setting incident objectives, determining strategy and tactics and assigning and supervising tactical resources. Within the SEMS organizational structure, this is the role of the on-scene incident commanders using the component elements of the Incident Command System.

Field Incident Commander's requests for additional resources, or a request to deviate from agency policy, will be directed to a higher authority within the discipline which has primary incident responsibility. This communication may be to the Department Operations Center or to the appropriate departmental authority within the EOC depending upon how the jurisdiction is set up.

B. EOCs Provide Coordination

The EOC has a role in all phases of emergency management:

- In the pre-emergency period, the EOC is developed and prepared for any contingency. It is used for orientations and for training and exercises.
- In the emergency response phase, EOCs, along with Department Operations Centers (DOCs), serve as the central point for agency or jurisdiction coordination and overall management of the emergency.
- In the post-emergency or recovery phase, the EOC structure and organization can be used to facilitate and direct the recovery operation.

VI. EMERGENCY MANAGEMENT PROCESS

The effectiveness of the EOC during an emergency will to a large extent be determined by how well the process of management is done. There are several sequential steps involved in the EOC management process. Together, these steps create an effective, efficient EOC operation. They are:

- Planning
- Organizing
- Leading (coordinating/communicating)
- Evaluating
- Improving

A. Planning

Planning is taking the actions in advance that are required to ensure an effective operation. These actions can include both mitigation and preparedness measures described earlier. In EOCs, planning also comes in the form of EOC Action Plans that address specific and measurable objectives and assignments during specific periods.

B. Organizing

Organizing is ensuring that there is adequate trained staff, that an overall organization structure is in place that operates with an effective span of control, that assignments and responsibilities are known and understood, and with appropriate procedures and systems to make the organization function effectively.

C. Leading

Leading (coordinating/communicating) is a three-step process of guiding and supervising the efforts of the management team and support staff. It involves providing proper motivation, lines and systems of communication, leadership and delegation of authority. In EOC management using the SEMS principal functions, authority for specific activities is delegated in the organization. This accomplishes several objectives:

- Uses other peoples' knowledge, talents and skills
- Completes tasks without unnecessary delay
- Enhances training and personnel development
- Provides a more meaningful work environment.

D. Evaluating

EOC Action Plans provide the primary vehicle for addressing overall EOC performance effectiveness. Action Plans lay out objectives to be achieved, and provide all personnel with knowledge about:

- What is to be done (objectives)
- Priorities to accomplish objectives
- Tasks necessary for each objective
- Assignments to complete tasks.

At the conclusion of each operational period, an assessment can be made of performance effectiveness, and changes can then be made as necessary. This method of evaluation is a dynamic process that takes place continuously over the life cycle of the EOC activation.

E. Improving

An essential last step in the management process is the implementation of needed changes or fixes to make operations more effective. Some of these can be made on the spot as a result of the evaluation of EOC Action Plans. Others may have to wait and become part of a longer range EOC improvement program.

In SEMS, the After Action Report for the emergency provides the basis for ensuring that improvements will be implemented. The After Action Report should review actions taken, evaluate the application of SEMS, include modifications to plans and procedures, and identify training needs.

VII. LESSONS LEARNED FROM PAST EMERGENCIES

What are some of the lessons learned from experiences in EOC operations?

- Activate as early as possible
- Staff initially to a high enough level
- Delegate authority for SEMS functions to primary staff
- Assume and plan for some degradation in personnel or systems
- Closely monitor operating effectiveness
- Make changes when necessary.

VIII. KEYS FOR EFFECTIVE EMERGENCY MANAGEMENT

Five key factors have been identified that are necessary for effective emergency/disaster management:

1. Disaster plan in place and ready to be implemented.
2. Good Standard Operating Procedures (SOPs) in place, with adequate checklists.
3. Adequate training and exercises.
4. Use of the Standard Emergency Management System (SEMS).
5. An effective Emergency Operations Center (EOC).

CHAPTER 4:

EOC OPERATIONAL CONSIDERATIONS

I. INTRODUCTION

The facilities used as EOCs in California vary considerably, and there is no established standard. They range from well established, designed and protected facilities with dedicated communications, auxiliary power and other support systems, to essentially ad-hoc, or dual-use facilities which may be temporarily set up in an existing room of a structure with only a minimum of equipment, little or no protection, and with no auxiliary or other support systems.

II. PURPOSE OF AN EOC

The primary role of the EOC is to collect, validate, analyze and organize emergency information. This provides for more effective decision making. The EOC also provides for the overall coordination of resources required for mitigation of the emergency.

Specific activities conducted within an EOC are to a large extent defined by the organization or jurisdiction in which it is located. However, the primary functions of management, operations, planning/intelligence, logistics and finance/administration will take place at all local government, operational areas, region or state level EOCs.

It is important to note that EOCs generally do not provide tactical direction to the various incidents that are being managed in the field.

III. BASIC CONSIDERATIONS OF A WELL-PLANNED / DESIGNED EOC

F. Planning Factors

Many factors will influence how an EOC is developed within an organization. Some of the factors that apply to EOCs at all SEMS levels are:

- Top-level commitment to the successful operation of the EOC, and teamwork to achieve this success
- A clear mission statement for the EOC staff
- Well-designed facility that allows for efficient operations
- Organization and staffing based on the five SEMS functions

- Well documented standard operating procedures, including checklists for each functional position
- Good internal and external communications
- All necessary support systems in place and operating
- A plan in place for training and exercises in EOC operations.

B. Position Checklists

The most experienced and knowledgeable staff are not always immediately available when the emergency occurs. A well designed position checklist can be an invaluable tool for a less experienced person thrust into an EOC start-up situation. The Governor's Office of Emergency Services has provided Function Specific Handbooks that contain detailed checklists for every EOC position. It is recommended that this guidance be used as a model when developing agency or organizational operating procedures. Function Specific Handbooks are contained in Chapter Three of this course.

C. Standard Operating Procedures (SOPs)

EOC Standard Operating Procedures may cover a number of items such as:

- Setting up the EOC
- Information Processing Systems
- Use of position logs and personal journals
- Communications to outside entities such as department operations centers, field level, other local governments, and the operational area
- Information systems for reporting information
- Status boards and display.
- Documentation
- Resources and contacts lists
- Managing resource requests.

D. EOC Layout and Support Requirements

The EOC should be physically arranged to facilitate coordination among all activated EOC functions. A common model for the EOC layout provides a central room, often called the operations room, in which all functions are located. In the central room, work-stations are grouped by the five SEMS functions. Communications and conference rooms may be in adjacent rooms. The overall layout should contribute to efficient exchange of information.

In this model, support areas such as eating, sleeping, first aid, sanitary and mechanic equipment facilities are located in nearby separate rooms. The overall facility layout should minimize interference between the EOC functions and support areas, but should make the support areas convenient for EOC staff.

The actual configuration of an EOC will be constrained by the available physical space. In some cases, it may be necessary to place EOC elements in separate rooms. The work-stations should remain grouped by the five SEMS functions as much as possible. Care should be taken to avoid isolating a function from the rest of the EOC elements. A poorly planned EOC can inhibit coordination among functions.

If separate rooms are necessary due to space limitations, the following guideline should be followed:

- EOC Management and the policy group should be provided with adequate private space for staff meetings.
- Operations and Planning/Intelligence section activities should be together or with immediate access to each other.
- A central display area should be provided.
- Logistics and Finance/Administration can be in separate rooms but should be in close proximity to each other.
- Equipment and supplies should be sufficient for prolonged operation of the fully staffed EOC. Typical EOC supplies include:

    - Furniture-desks/tables and chairs for all positions, conference tables and chairs
    - Computers and printers
    - Copiers
    - Communications equipment
    - EOC forms and log books
    - Emergency generator
    - Flashlights/emergency lighting
    - Uninterruptible Power Supply (UPS) for critical equipment
    - TV, VCR, AM/FM radio
    - Displays, maps, and white boards
    - Administrative supplies and office equipment (pens, pencils, staplers, etc.)
    - Food supply
    - Kitchen equipment and supplies
    - First aid and sanitary supplies
    - Blankets and other items for sleeping area
    - Janitorial supplies

IV. GENERAL CRITERIA TO ACTIVATE AN EOC

Whether EOCs are activated at various SEMS levels will be determined by the requirements of the emergency. At least five general criteria exist to indicate when an EOC should be activated:

- Resources beyond local capabilities are required.
- The emergency is of long duration.
- Major policy decisions will or may be needed.
- A local or state emergency is declared.
- Activation of an EOC will be advantageous to the successful management of an emergency.

The partial activation and staffing of an EOC, while not required under SEMS, can have several advantages. Under certain conditions, less than full activations will reduce personnel costs, may provide for earlier and more effective monitoring of potential emergencies, facilitate the early tracking of resources, and allow for a more rapid mobilization of staff to respond to the emergency if necessary.

The level of activation and the associated staffing and organizational development of the EOC will depend on:

- The nature, scope and expected duration of the emergency
- The extent of activation at other SEMS levels
- Functions needed to support EOC activities.

In general, three levels of activation should be considered in jurisdictional EOC planning.

1. Level One – Minimum Activation

Level One is a minimum activation. This level may be used for situations which initially only require a few people, e.g., a short term earthquake prediction at condition one or two level; alerts of storms, tsunamis; or monitoring of a low-risk, planned event.

Normally, Level One staffing would consist of the EOC Director, Section Coordinators and a situation assessment activity in the Planning/Intelligence Section. Other members of the organization could also be part of this level of activation e.g., the Communications Unit from the Logistics Section, or an Information Officer.

2. Level Two Activation

A Level Two activation would normally be achieved as an increase from Level One or a decrease from Level Three. A Level Two activation is used for emergencies or planned events that would require more than a minimum staff but would not call for a full activation of all organization elements, or less than full staffing.

A Level Two activation would initially activate each functional element of the organization at a minimum staffing level. One person may fulfill more than one SEMS function. The EOC Director, in conjunction with the General Staff, will determine the required level of continued activation under Level Two, and demobilize functions or add additional staff to functions as necessary based upon event considerations. Representatives to the EOC from other agencies or jurisdictions may be required under Level Two to support functional area activations.

3. Level Three Activation

A Level Three activation would be a complete and full activation with all organizational elements at full staffing. Level Three would normally be the initial activation during any major emergency.

V. EOC REQUIREMENTS

Listed below are several operating requirements for EOCs. These may not be appropriate for all EOCs depending upon jurisdictional requirements.

1. The EOC will be activated for any major emergency or important event that requires multiple (more than two) department simultaneous operations over some period of time. Activation guidelines will be part of the EOC procedures. SEMS Guidelines require activation of EOCs under certain conditions. These will be discussed in Chapter Two.

2. Staff must ensure that the EOC facility is capable of activation within one hour and able to maintain full operation status under all emergency conditions. In those cases where the EOC can be collocated with a jurisdictions joint dispatch facility, the activation period can be significantly reduced.

3. Safe access into the facility for operating personnel must be assured, as well as providing a secure facility from all potential hazards.

4. Internal EOC operations will follow the five primary SEMS functions of Management, Operations, Planning/Intelligence, Logistics, Finance/Administration.

5. Provisions must be made within the EOC for inclusion of other agency representatives, and communications they may require.

6. The EOC will operate primarily in an information processing, policy and priority setting and coordination role. The EOC does not provide tactical direction to field elements of the various departments unless that is established by a jurisdictional policy.

7. The EOC will assist in coordinating the allocation of designated and/or critical resources between departments, and be the central location for locating and requesting supplemental and out-of-jurisdiction resources when necessary. Resources obtained through mutual aid systems will continue to be processed through procedures established by those systems.

8. Functional work stations within the EOC organization should have the capability to directly communicate by telephone and or radio to designated external DOCs, or field command posts as required for information exchange.

9. The EOC will be the primary point for developing situation and damage assessment information, setting public information standards and guidelines for departments or agencies, and/or approving official information for distribution to media and the public.

10. The EOC will provide for coordination of damage assessment, and recovery activities required by the emergency as determined by agency policy.

VI. INTER-AGENCY COORDINATION IN EOCs

One of the primary SEMS requirements expressed in regulation is the need to use inter-agency coordination at all SEMS levels.

Inter-agency coordination is defined as the participation of agencies and disciplines working together in a coordinated effort to facilitate decisions for overall emergency response activities including the sharing of critical resources and the prioritization of incidents.

Inter-agency implies coordination between disciplines, between different jurisdictions or between different political levels. For example the coordination in an EOC between the local jurisdictions police department, the county sheriff, and a state police agency liaison to that EOC would be considered inter-agency coordination.

In an EOC, the use of inter-agency coordination is a basic part of the overall EOC operation. A primary purpose of the EOC is to provide a facility within which coordination can be accomplished.

A. Importance of Inter-agency Coordination in an EOC

Inter-agency coordination is an established part of the functioning of an EOC. Representatives from the departments and agencies who work together at the EOC to coordinate the emergency response staff the EOC.

Representatives from multiple agencies (federal, state, county, local government, special districts, community based organizations, and private organizations) may also participate at the EOC. Together with local government departmental representatives the overall effort is better coordinated.

Involvement of the departmental representatives and appropriate agency representatives in the EOC action planning process is essential for effective emergency management and provides an important focus for inter-agency coordination. In addition, the EOC Director or General Staff may convene meetings for inter-agency coordination purposes as needed.

Coordination with agencies not represented in the EOC may be accomplished through a variety of telecommunications.

B. Establishing an Inter-agency Coordination Group

In some situations, it may be useful to formally establish an inter-agency coordination group to develop consensus on priorities, resource allocation and response strategies. A formal inter-agency coordination group can be especially useful when a particular response problem or issue requires coordination with numerous agencies not usually represented in the EOC. Such a group may be established through a temporary ad-hoc arrangement during an emergency or may be developed through pre-event planning for certain contingencies as a part of the jurisdictions emergency management organization. The EOC Liaison Officer working in conjunction with the EOC Director is primarily responsible for establishing Inter-agency Coordination Groups.

An inter-agency coordination group may work within the EOC or at another location. An inter-agency coordination group may also coordinate efforts through conference calls. Whether physically at the EOC or at another location, the inter-agency coordination group should remain connected to the EOC.

Priorities and objectives developed through the group should be incorporated into the action plan developed at the EOC. Objectives agreed to by the group should be implemented through the EOC.

VIII. MUTUAL AID SYSTEMS AND EOCs

California has an extensive mutual aid program that is made up of several discipline specific statewide mutual aid systems. These systems, all of which operate within the framework of the state's master mutual aid agreement, allow for the progressive mobilization of resources to and from emergency response agencies, local governments, operational areas, regions, and state. EOCs are an important element in this program, but vary in how they will interact with specific mutual aid systems.

Two of the more heavily utilized mutual aid systems, fire and law enforcement provides mutual aid coordination through systems, which include operational area and regional coordinators. Because these systems function on a 24-hour a day, 365-day a year basis, the coordination is normally accomplished within the facilities operated by the elected coordinators rather than at EOCs.

Other mutual aid systems, which are principally used only during declared emergencies, may provide the coordination of those systems from within the jurisdictional EOC or from other facilities.

When EOCs are fully activated during a major emergency, representatives from all activated mutual aid systems should be assigned to the EOC for coordination and information transfer purposes.

The California Mutual Aid Program, channels of coordination and mutual aid systems are shown in the following table. Additional material on mutual aid coordination within EOCs is found in Module 16 of the Field Course.

CALIFORNIA MUTUAL AID PROGRAM **MUTUAL AID SYSTEMS AND CHANNELS OF STATEWIDE MUTUAL AID COORDINATION**			
COORDINATED BY STATE OES			**COORDINATED BY EMSA**
Fire and Rescue	**Law Enforcement**	**Emergency Services**	**Disaster Medical/Health**
Fire Mutual Aid System	Coroners Mutual Aid System	All other emergency services mutual aid not included in other systems	Disaster Medical/Health Mutual Aid System
Urban Search and Rescue System	Law Enforcement Mutual Aid System	Volunteer Engineers Mutual Aid System [1]	
	Search and Rescue Mutual Aid System (non urban)	Emergency Managers Mutual Aid System	
		Water Agency Response Network (WARN)	

[1] Mutual Aid concepts are used by other agencies and disciplines.

(Figure 4-1)

It is important to remember that the implementation and use of SEMS does not alter the makeup or the functioning of existing mutual aid systems. The mutual aid systems work within the SEMS levels of local government, operational area, regional and state levels in the same manner that they worked prior to SEMS.

CHAPTER 5:
EOC FEATURES AT EACH SEMS LEVEL

SECTION 1: LOCAL GOVERNMENT EOCS

I. INTRODUCTION

Local governments include cities, county governments, and special districts. Local governments manage and coordinate the overall emergency response and recovery activities within their jurisdiction.

Local government EOCs will coordinate activities among departments and in some situations may have direct communications with Incident Commanders at Incident Command Posts (ICPs).

The use of EOCs is a standard practice in emergency management, and all local governments should have a designated EOC. The physical size, staffing, and equipping of the local government EOC will depend on the size and complexity of the local government and its scope of responsibility in managing emergency response and recovery activities. The level of EOC staffing will also vary with the specific emergency situation.

A local government's EOC facility should be capable of serving as the central point for:

- Coordination of all the jurisdiction's emergency operations.
- Information gathering and dissemination.
- Coordination with other local governments and the operational area.

II. FUNCTIONS AND REQUIREMENTS

Local governments must provide for the five primary SEMS functions within their EOC organization. Local governments must comply with the Standardized Emergency Management System (SEMS) regulation in order to be eligible for state funding of response-related personnel costs.

The SEMS regulation establishes five basic requirements for local governments. Local governments are required to:

- Use SEMS when:
  a) a local emergency is declared or proclaimed, or;
  b) the local government EOC is activated.

- Establish coordination and communications with Incident Commanders either:
    a) through DOCs to the EOC, when activated, or;
    b) directly to the EOC, when activated.
- Use existing mutual aid systems for coordinating fire, law enforcement and medical/ health resources.
- Establish coordination and communications between the local government EOC when activated, and any state or local emergency response agency having jurisdiction at an incident within the local government's boundaries.
- Use inter-agency coordination to facilitate decisions for overall local government level emergency response activities.

A. Management within the Local Government EOC

Jurisdictions vary considerably in how they exercise their management authority in their EOC. Jurisdictions with a small population base may centralize management authority and direction and control within the Operations function of the EOC when it is activated at the time of an emergency. In these cases, it is not unusual to find the EOC sharing space in a jurisdiction's dispatch facility (e.g., fire and police), and having direct communication to Incident Command Posts and Incident Commanders within the jurisdiction.

Jurisdictions with many departments typically maintain authority for control of departmental resources at Department Operations Centers (DOCs) and exercise tactical control at Field Incident Command Posts. Again there is no set standard.

B. Activation of Local Government EOCs

The SEMS regulation does not include criteria for when a local government EOC should be activated. Each local government should establish criteria for activating its EOC. Activated EOCs may be partially or fully staffed to meet the demands of the situation. Activation of the local government EOC means that at least one local government official implements SEMS at a level appropriate to meet the needs of the emergency, and to fulfill the responsibilities of the jurisdiction.

The local government level is activated when field response agencies need support. The local official(s) implementing SEMS may function from the EOC or from other locations depending on the situation.

It is recommended that local government procedures provide for three EOC staffing levels that can be applied to various situations. Activation criteria should include specific hazards that may affect the local government. An example of activation criteria and staffing levels for a local government EOC follows:

Example Local Government EOC Activation Guide		
Event/Situation[1]	**Activation Level**	**Minimum Staffing [2]**
Severe Weather Advisory Small incidents involving two or more departments Earthquake Advisory Flood Watch	One	EOC Director Planning Intelligence Section Coordinator
Moderate Earthquake Wildfire affecting developed area Major wind or rain storm Two or more large incidents involving two or more departments Imminent Earthquake Alert Major scheduled event (such as World Cup, Papal visit, Olympics)	Two	EOC Director All Section Coordinators Branches and Units as appropriate to situation Liaison Representative as appropriate
Major city or regional emergency, Multiple departments with heavy resource involvement Major Earthquake	Three	All EOC Positions
[1]Local governments and the operational area should work together to develop consistent activation criteria and levels for hazards that are common within the operational area. [2]Minimum staffing may vary with the size of the local government.		

(Figure 5-1)

SEMS regulation requires that SEMS be used when the local government EOC is activated or when a local emergency is declared or proclaimed. The EOC is usually activated when a local emergency is declared or proclaimed. However, there may be

situations such as an agricultural emergency or drought emergency that necessitates a local emergency declaration or proclamation, but does not require EOC activation.

SEMS is considered to be “In Use”:

- When the management and coordination role of local government is being fulfilled, and;
- When the five essential SEMS functions of management, operations, planning/ intelligence, logistics and finance/administration are activated at the level required to meet the situation.

Note that the operational area should be notified when a local government EOC is activated or a local emergency is declared or proclaimed. Operational Area EOC activation criteria include criteria based on local government EOC activations and emergency declarations or proclamations.

III. ROLE OF THE DEPARTMENT OPERATIONS CENTERS

Department Operations Centers (DOCs) are facilities that may be used by a distinct discipline or agency (such as fire, medical, hazardous materials, public works or health). The department operations center is the location from which centralized management of that discipline's or agency's emergency response is performed.

DOCs should provide for the five primary SEMS functions of management, operations, planning/intelligence, logistics, and finance/administration. In a small department, the five functions may be performed by a single person or a very few persons. A very large department may have a highly structured DOC organization with sections, branches and units.

DOCs must coordinate with the EOC when activated. Departments must have appropriate representation at the EOC as determined by local procedures. DOCs may be the link to the Field Response level as described later in this chapter.

IV. EOC ORGANIZATION

A. The Five SEMS Functions in the Local Government EOC

SEMS regulation requires local governments to provide for five functions: management, operations, planning/intelligence, logistics, and finance/administration. These functions should be the basis for structuring the EOC organization. The following functions are the subject of Chapter 3 of this course.

Primary SEMS Function	Role at Local Government Level
Management	Responsible for overall emergency policy and coordination through the joint efforts of governmental agencies and private organizations. Management staff may include separate positions for an EOC Coordinator, Public Information, Liaison, Safety and Security as required.
Operations	Responsible for coordinating all jurisdictional operations in support of the emergency response through implementation of the local government's action plan.
Planning/Intelligence	Responsible for collecting, evaluating, and disseminating information; developing the local government's action plan in coordination with other functions; and maintaining documentation.
Logistics	Responsible for providing facilities, services, personnel, equipment, and materials.
Finance/Administration	Responsible for financial activities and other administrative aspects.

B. EOC Terminology

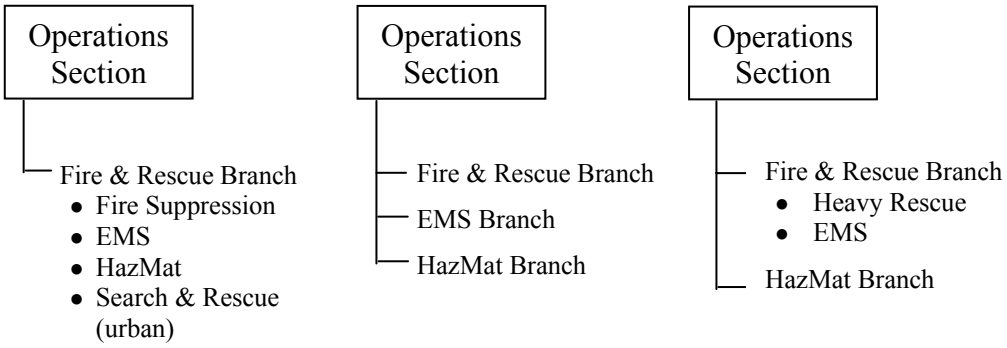
Use of Incident Command System terminology is recommended, but not required, for the hierarchy of organizational elements within the EOC:

- Section
- Branch
- Group
- Unit

The five essential SEMS functions would be established as sections within the EOC using the above terminology. Other functions, would be included as branches, groups, or units under the appropriate section. It is not necessary to use all four hierarchical levels in the EOC. For example, many EOCs use only sections, branches and units. Functions may be clustered in various ways under the five SEMS functions as illustrated in Figure 5-2.

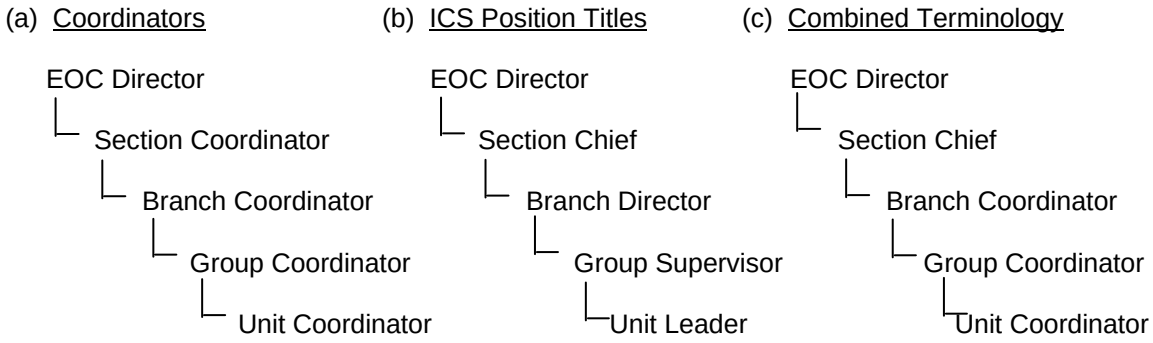
Example

Alternative Ways to Incorporate Functions Into the Local Government EOC Organization



(Figure 5-2)

For purposes of this course, we use the position title "Coordinator" to refer to the lead person of each of organizational elements in the EOC. The term coordinator is used because the role of EOC elements is to coordinate. Local governments may use other position titles within their EOC organization. Three options are shown in Figure 5-3.



(Figure 5-3)

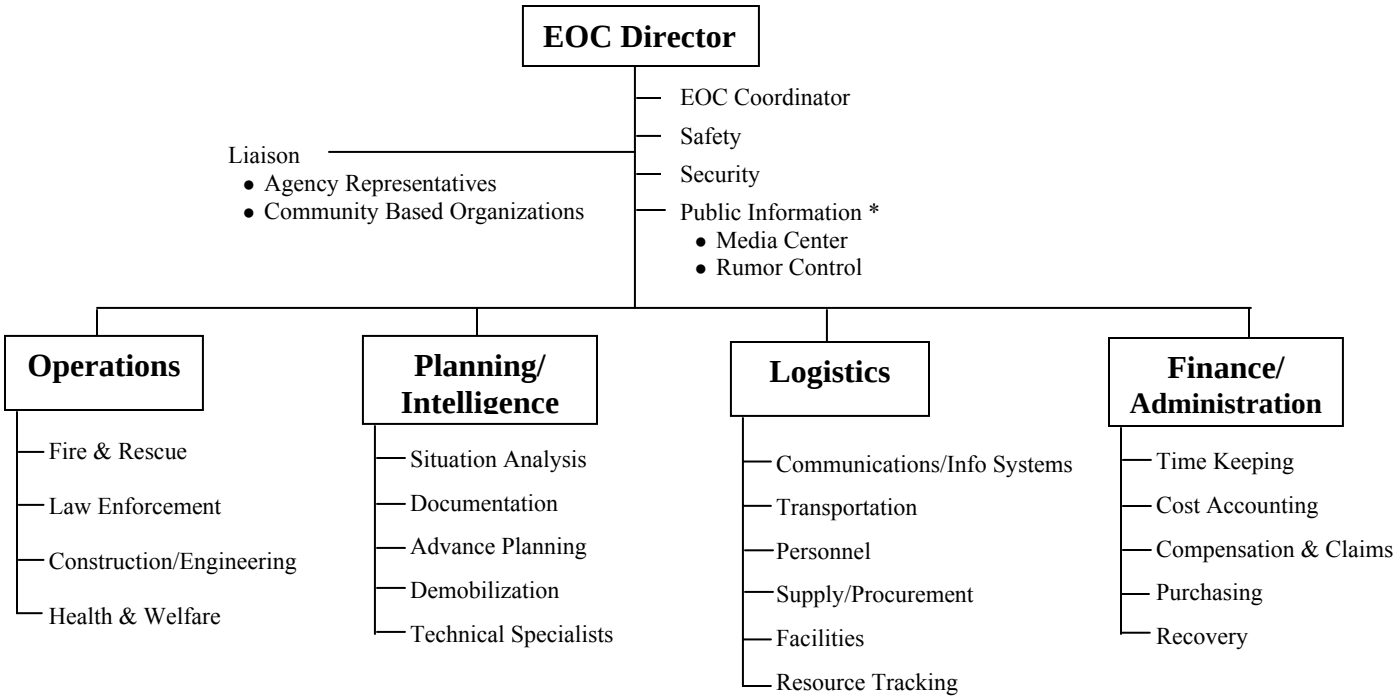
C. Example Local Government EOC Organizations

The following pages show sample EOC organizations (Figures 5-4, 5-5) for small and large jurisdictions. Organizational elements are staffed as needed for the situation. Figure 2-6 shows how an EOC organization can evolve over time during a disaster.

The EOC organization should include representatives from special districts, community based organizations and private agencies with significant response roles.

Example

Small Local Government EOC Functional Organization



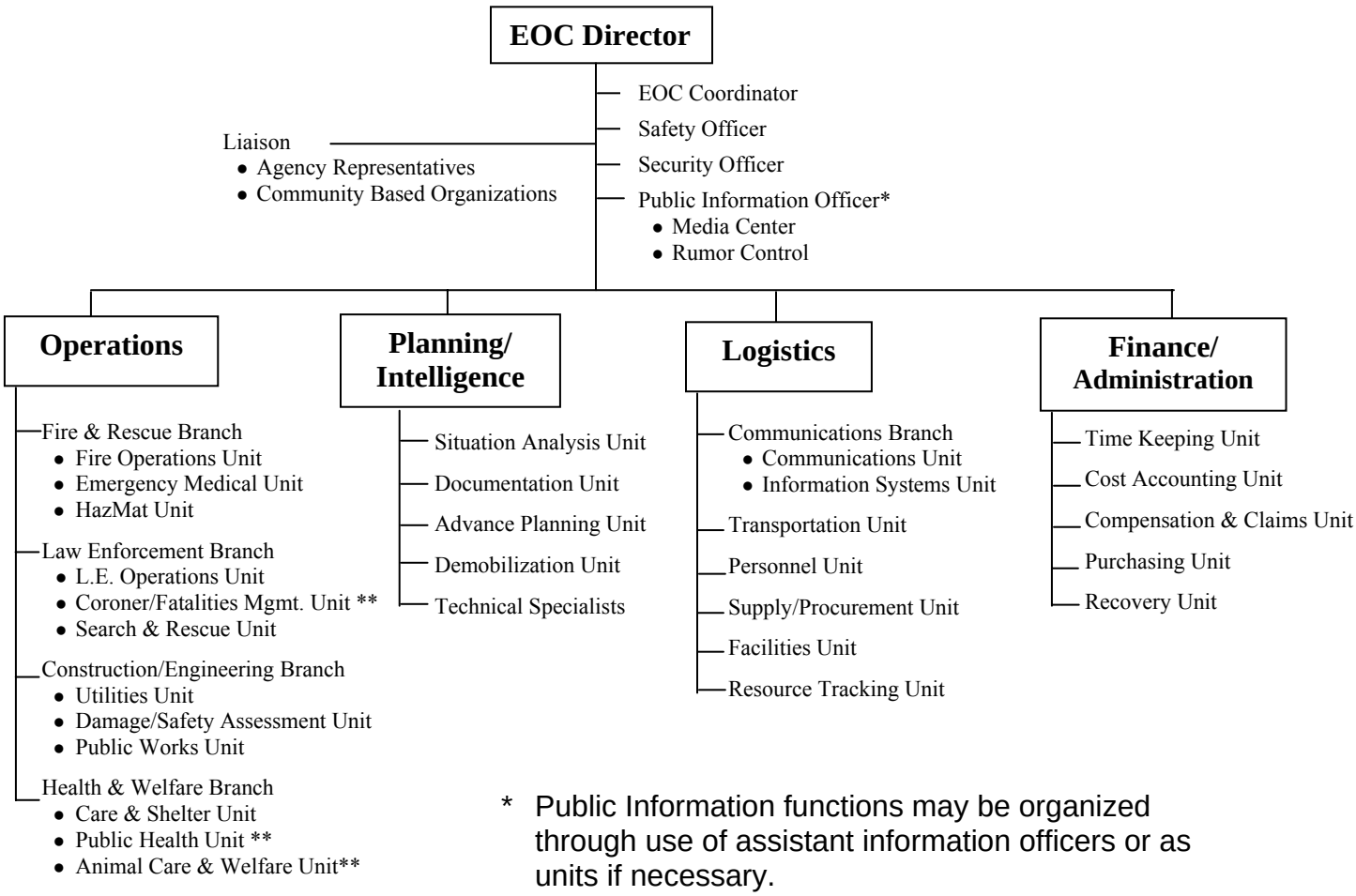
* Public Information functions may be organized through use of assistant information officers or as units if necessary.

Each jurisdiction must determine the appropriate organization for the functions to be performed.

(Figure 5-4)

Example

Large Local Government EOC Functional Organization



* Public Information functions may be organized through use of assistant information officers or as units if necessary.

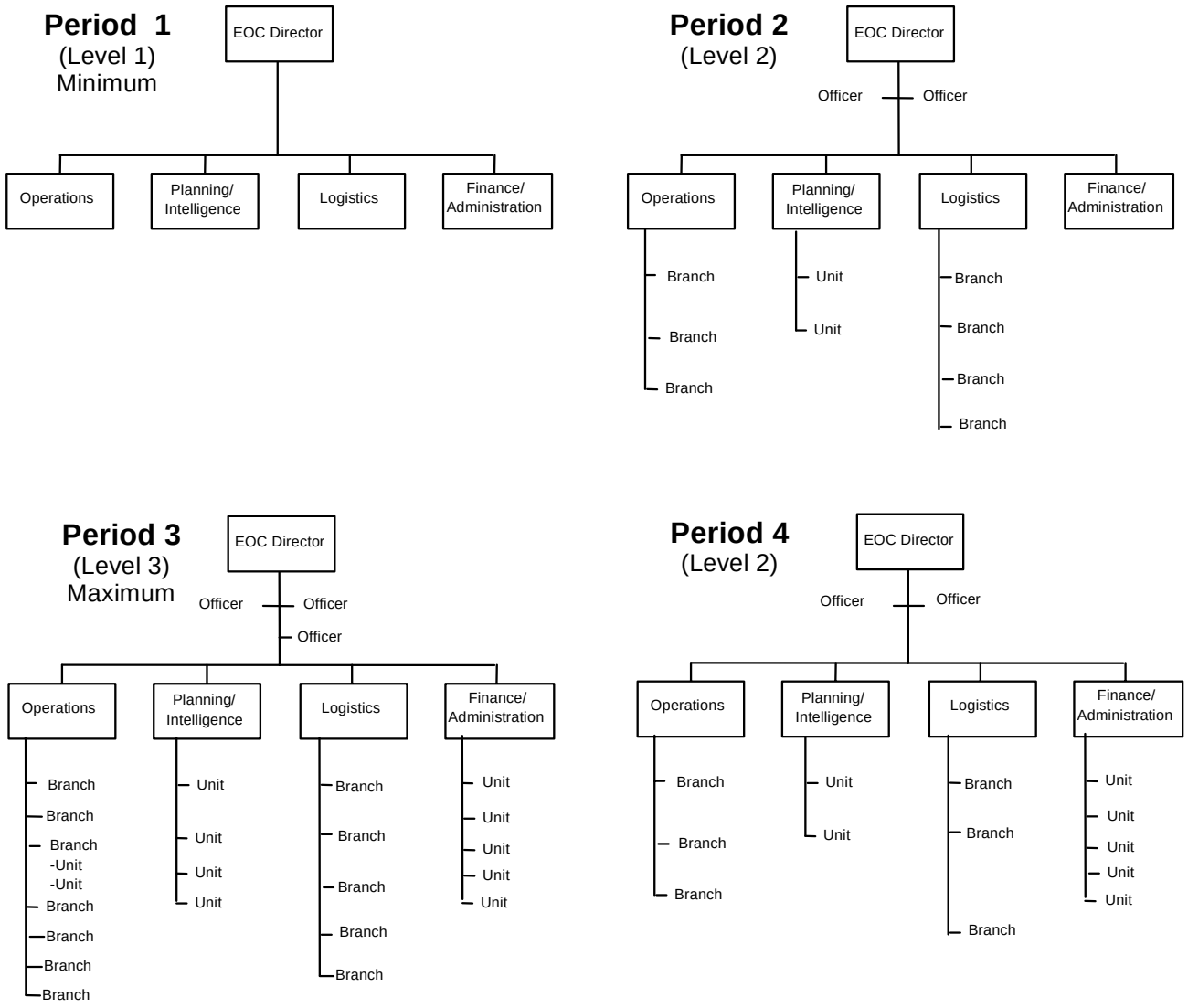
** Normally coordinated by county, but a local coordinator may be designated if needed.

Each jurisdiction must determine the appropriate organization for the functions to be performed.

(Figure 5-5)

Example

Configuration of EOC Organization May Vary During An Emergency



(*Figure 5-6)*

D. EOC Director and General Staff

The EOC Director has the overall responsibility for accomplishing the mission of the jurisdiction. Many local governments have an inter-agency group that contributes to the development of policies for the local government response. Inter-agency groups may consist of elected officials, department heads, or policy-level representatives from outside organizations. The EOC Director may seek policy guidance on specific issues

during the response. However, the EOC Director must clearly have the authority to manage the emergency response. It should be noted that outside agency representatives serving on inter-agency groups may also provide coordination assistance, intelligence information and resource support to various sections within the EOC.

The Coordinators for Operations, Planning/Intelligence, Logistics and Finance/Administration constitute the General Staff of the local government EOC. The General Staff are responsible for:

- Providing leadership and guidance to their sections, and;
- Interacting with each other, the EOC Director, and other entities within the EOC to ensure the effective functioning of the EOC organization.

V. EOC SUPPORTING FUNCTIONS

A. Inter-agency Coordination at the Local Government Level

The SEMS regulation requires local governments to use inter-agency coordination to facilitate decisions for overall local government level emergency response activities. Inter-agency coordination is important for:

- Establishing priorities for response
- Allocating critical resources
- Developing strategies for coordinating inter-agency response problems
- Sharing information
- Facilitating communications.

Inter-agency coordination is an integral part of the functioning of a local government EOC. The EOC is staffed by representatives from the local government departments and agencies who work together to coordinate the local government's emergency response.

Liaison representatives from outside agencies including special districts, community based organizations and private organizations, may also participate at the EOC with departmental representatives in coordinating the local government response effort. Coordination with agencies not represented in the EOC may be accomplished through a variety of telecommunications services.

Inter-agency coordination may also be accomplished through formation of an inter-agency group, as previously discussed. Conversely, a local government EOC representative may serve as part of an inter-agency group formed by another jurisdiction.

B. Special District Involvement

Special districts are defined as local governments in SEMS. The emergency response role of special districts is generally focused on restoring and maintaining the services each district provides. During disasters, some types of special districts will be more extensively involved in the emergency response by assisting other local governments. Coordination and communications should be established among special districts that are involved in the emergency response, other local governments, and the operational area. This may be accomplished in various ways depending on the local situation. Relationships among special districts, cities, county government, and the operational area are complicated by overlapping boundaries and by the multiplicity of special districts. Special districts need to work with the local governments in their service areas to determine how best to establish coordination and communications in emergencies.

Communication and coordination is simplified when a special district is wholly contained within a single city or within a county unincorporated area. Usually in this case, the special district should have a representative at the City or County EOC in which it is located, and direct communications should be established between the special district EOC and the city or county EOC. An exception may occur when there are many special districts within a large city or county.

Typically, special district boundaries cross municipal boundary lines. A special district may serve several cities and county unincorporated areas. Some special districts serve more than one county. Ideally, a special district involved in the emergency response will have liaison representatives at all activated city or county EOCs within its service area. However, this may not be practical when many jurisdictions within its service area are affected. A desirable alternative may be to focus coordination at the operational area level and designate a representative to the operational area EOC to work with other local government representatives at that EOC.

When there are many special districts within one city or within the county unincorporated area, it may not be feasible for the jurisdiction to accommodate liaison representatives from all special districts at the jurisdiction's EOC in area-wide disasters. In such cases, the jurisdiction should work with the special districts to develop alternate ways of establishing coordination and communications. Some alternatives to consider:

- Liaison representatives at the EOC only from designated key special districts-telecommunications with other special districts.
- One representative from each type of special district who would communicate with other special districts of the same type.
- Establish a special district coordination center for a particular type of special district, such as a water district coordination center, that communicates with the jurisdiction EOC. Such an arrangement may be established for the operational area.

C. Community Based Organizations

Coordination with Community Based Organizations should be established at the local government level. City EOCs will generally be a focal point for coordination of response activities with many non-governmental agencies. City EOCs should establish coordination with community based organizations providing services within the city.

Community Based Organizations may only provide one representative to each EOC. In this case, the representative may provide support in a number of different areas within the EOC. For example, a Red Cross representative may be physically located in Care and Shelter under the Operations function, but may also be available to provide support for Logistics as well.

As with special districts, it may not be feasible for some community based organizations that have a county-wide response role to provide representatives to all city EOCs. Such agencies should be represented at the operational area level.

Cities served by a large number of community based organizations may not be able to accommodate liaison representatives in the EOC from all agencies that have important response roles. Cities should develop alternate means of coordinating with these agencies when physical representation is not practical. Coordination with community based organizations that do not have representatives at the EOC may be accomplished through telecommunication services.

D. Relationship to Mutual Aid Systems

Local governments request resources through established discipline-specific mutual aid systems such as fire, law enforcement, and medical. Resource requests are made to designated Operational Area Mutual Aid Coordinators who may be located at the operational area EOC or another location depending on the emergency situation and the mutual aid system. Resources not available through discipline-specific mutual aid systems are requested through the Logistics Section in respective EOCs.

In addition, some local governments have developed formal mutual aid agreements with other nearby local governments. These agreements may provide for specific types of mutual aid in certain contingency situations or for response to defined geographic areas.

E. Coordination Between the Local Government Levels and the Field Response

There are several ways in which the local government level can link effectively with the field response.

1. Coordination Requirements

The SEMS regulation requires that coordination and communications with Incident Commanders be established when a local government EOC is activated, either:

a. through departmental operations centers to the EOC, or;

b. between Incident Commanders and the EOC.

The SEMS regulation also requires that coordination and communications be established between the local government EOC when activated, and any state or local emergency response agency having jurisdiction at an incident within the local government's boundaries.

2. Field to Local Government Level Linkages

ICS field response organizations will normally communicate with DOCs or EOCs through dispatch centers. Dispatch centers do not have command authority over incidents; they have dispatch authority as determined by agency or jurisdiction policy. Because of the communications systems involved, agency dispatch centers often function in an intermediate role between Incident Commanders in the field and DOCs or EOCs. Also, in some cases under heavy load conditions, agencies may elect to move into an "expanded dispatch" mode which may provide a higher level authority at the agency dispatch facility.

Dispatch centers may be departmental or may be centralized within the jurisdiction. Some jurisdictions have the capability to go from departmental dispatching to centralized dispatching when the local government EOC is activated. The jurisdiction's dispatching arrangements and communication capability along with local policies will affect how the field level is linked to the local government level.

In some jurisdictions, the ICS field response organizations will be primarily linked (through a dispatch center) to the DOC of the agency that has jurisdiction over the incident. In these cases, DOCs have agency level authority over their assigned Incident Commanders. The DOC is responsible for coordinating with the local government EOC.

In other jurisdictions, Incident Commanders may communicate directly with the Local Government EOC, through their respective discipline branch within the EOC Operations Section.

3. Field to Local Government Coordination with Unified Command

At the SEMS Field Response level, Unified Command may be established for some multi-jurisdictional or multi-agency incidents. Unified Command may be used when more than one agency has some significant jurisdiction over that incident. Under

Unified Command each agency with significant jurisdictional responsibility will assign an Incident Commander and appropriate resources to the incident.

The Incident Commanders form a Unified Command, and work from a single Incident Command Post. They develop a set of common objectives, strategies, and a single Incident Action Plan. They select an Operations Section Chief for the incident from one of the jurisdictions or agencies and give that Operations Section Coordinator authority to implement the operations portion of the action plan and to command tactical resources.

Incident interactions with dispatch centers, DOCs, or an EOC will generally take two forms under Unified Command:

- Policy and Authority Interactions
- Resource Ordering Interactions

a. Policy and Authority Interactions

Under Unified Command, the Incident Commanders will maintain communications with their respective department or agency. Each Incident Commander will receive an appropriate delegation of authority to govern that agency's interactions at the incident.

b. Resource Ordering Interactions

Resource Ordering under a Unified Command will be determined based on the policies of the agencies and disciplines involved, and the resource requirements of the incident.

Single point resource ordering from the incident takes place when all orders are placed from the incident to a single agency dispatch center, DOC, or an EOC. This is a preferred method, because logistics staff at the incident do not have to determine which agencies are responsible for ordering which resources. The selected agency for receiving the order could be the one with the greatest resource involvement or be closest to the incident.

Multi-point ordering is also used under Unified Command. In this method, each agency essentially orders the resources for which it has responsibility, after the overall resource requirements are determined as part of the Incident Action Planning process.

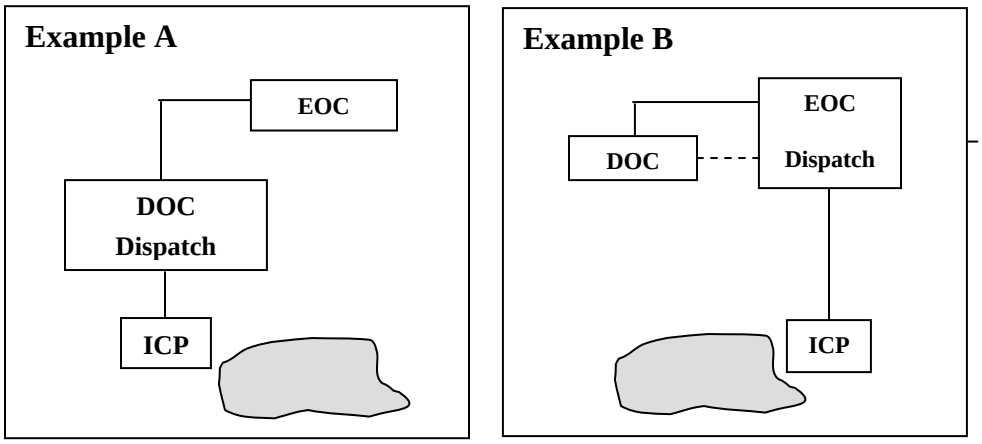
4. Example Linkages for Common Situations

a. Single Jurisdiction-Single Discipline Incident Situation

For a single discipline incident, the Incident Commander may be in contact with the dispatch center for the jurisdictional authority. If the incident is large with a need for many resources, a DOC may be activated. The Incident Commander would report to the DOC typically through the agency dispatch center.

The local government EOC may be activated for large or complex incidents. The Incident Commander may report to the DOC or may report directly into the EOC.

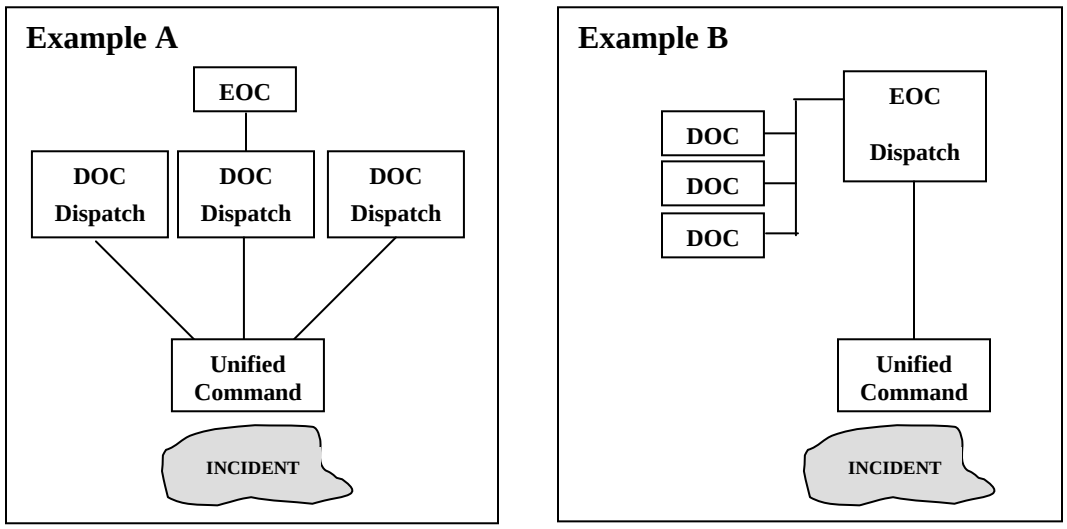
Local policies, communications systems, and the nature of the incident will determine the appropriate reporting channels. Where there are departmental dispatch centers, the Incident Commander will most likely report to a DOC. Where there are central dispatch centers collocated with the EOC facility, the Incident Commander may directly report to the EOC. Figure 5-7 shows two reporting examples.



(Figure 5-7)

b. Single Jurisdiction-Unified Command Situation

Unified Command may be established for a major multi-disciplinary incident within a jurisdiction. The members of the Unified Command may report to their respective DOCs through dispatch centers. When the local government EOC is activated, the members of the Unified Command may continue reporting to their respective DOCs or may coordinate directly with the EOC depending on jurisdiction policy and communications systems. For direct field - EOC coordination, the members of the Unified Command and their department contacts at the EOC may designate a single primary line of communications. Figure 5-8 shows reporting examples when using Unified Command.



(Figure 5-8)

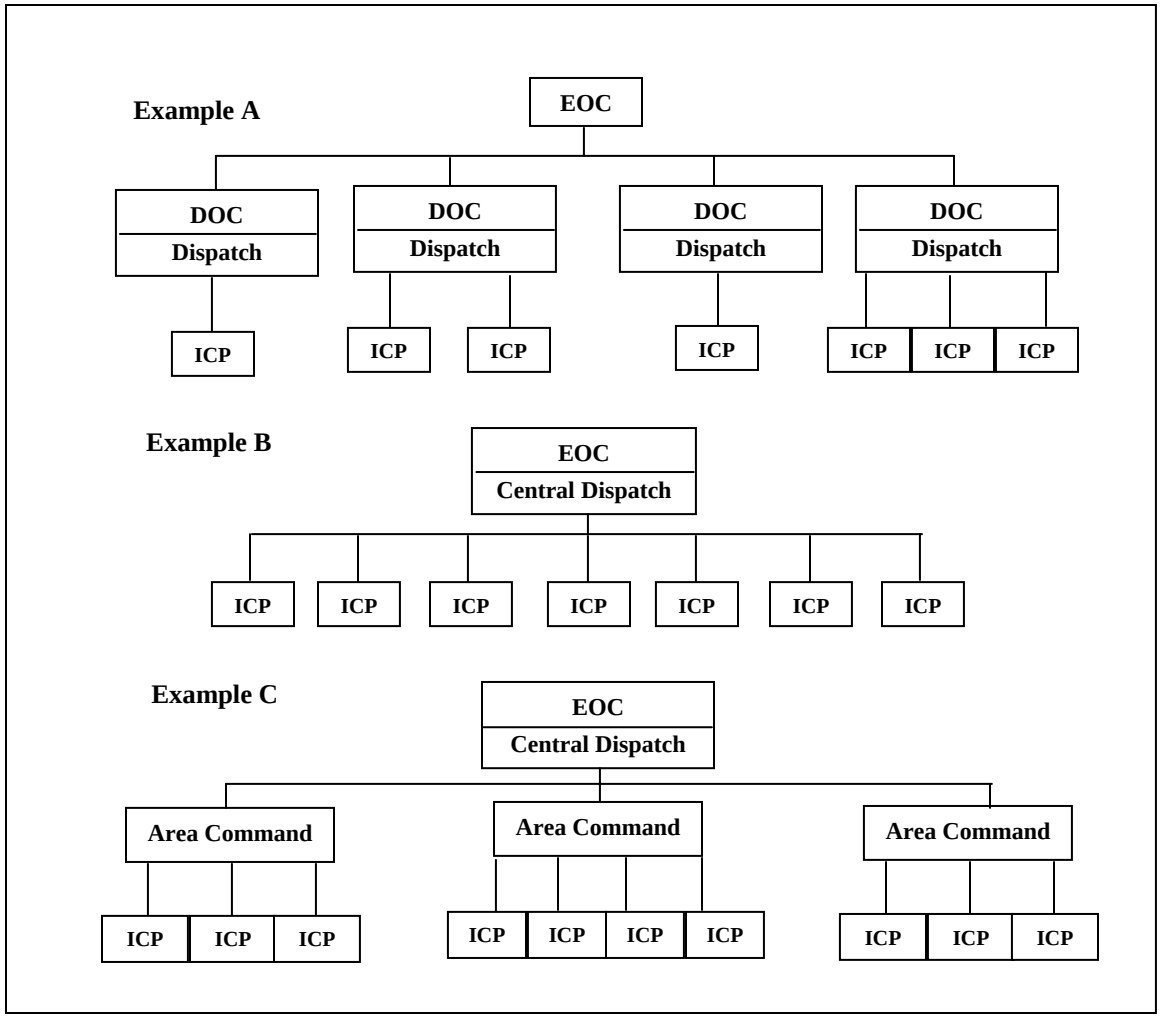
c. Single Jurisdiction-Major Disaster Situation

In a major area-wide disaster, such as a major earthquake, there may be multiple incidents of various types within a single jurisdiction. Some incidents may be single discipline incidents, others may be multi-disciplinary incidents operating under Unified Command. The jurisdiction's EOC may be activated to coordinate the overall response, while Incident Command Posts are established for each incident.

Incident Commanders may be linked (through dispatch centers) to DOCs which in turn will coordinate with the EOC. Alternatively, in some jurisdictions direct coordination and communications may be established between Incident Commanders and the EOC. Figure 2-9 illustrates Field - EOC reporting relationships in major disasters. For simplicity, the diagrams show only single discipline incidents. Unified Commands may be linked to DOCs or EOCs as described previously.

Example

Field to Local Government Coordination and Communications In a Major Area Wide Disaster



(Figure 5-9)

d. Use of Area Command in Single and Multi-jurisdiction Incidents

Area Command is an organization established to provide direct (command) oversight of multiple incidents that are each being managed by an Incident Command System organization.

It is possible in a large city or county for Area Commands to be established between the Incident Command teams and the EOC. During a major jurisdiction-wide disaster, the jurisdiction may be divided into geographic areas, with an Area Command overseeing the Incident Command teams within each area. The Area Commanders would normally report to the EOC Director, as shown in Figure 2-10.

When the EOC is directly overseeing Incident Command teams, the EOC is operating in a centralized management mode. The EOC will be establishing priorities among incidents and allocating resources according to those priorities. The relationship of the EOC to the field organization in this case is somewhat similar to that of an Area Command; however, the EOC has a much broader scope of responsibility and a larger management organization than an Area Command.

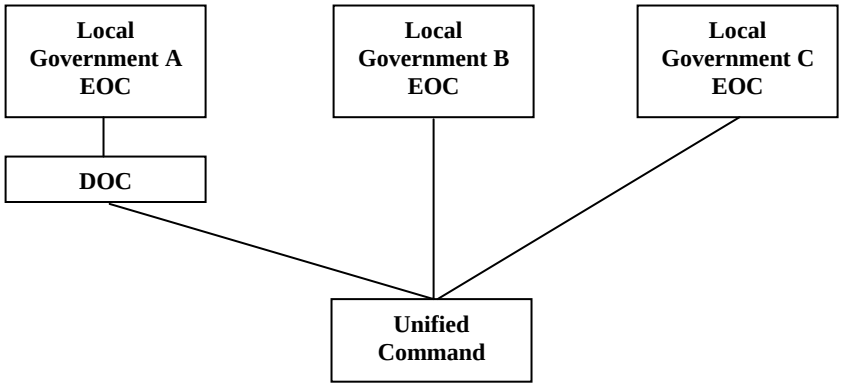
e. Multi-jurisdiction Coordination

When an incident crosses multiple jurisdictions, coordination needs to be established with all the affected jurisdictions. In a Unified Command, the jurisdictional representatives would coordinate with their jurisdictions, either through a DOC or the EOC as shown in Figure 5-10.

The occurrence of several similar type incidents located in close proximity but in different jurisdictions, may result in EOC-Area Command interactions. A Unified Area Command may be established to oversee Incident Commands operating in general proximity to each other. The Unified Area Command would coordinate with activated local government EOCs.

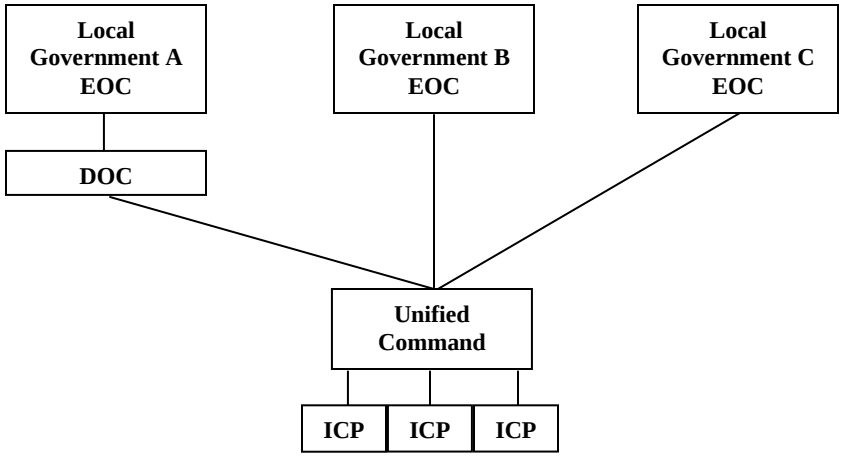
Example

Multi-Jurisdictional Incident Coordination



Example

Multiple Incidents with Unified Area Command



(Figure 5-10)

5. Functional Interactions

a. Field-DOC Interactions

Interactions between the incident and the DOC will generally occur on a function-to-function basis. The Incident Commander will report to the individual having DOC management responsibility. Other incident functions may coordinate with

their counterpart element in the DOC. Planning/Intelligence at the Field may exchange information with the DOC Planning/Intelligence function. Resource requests from the field to the DOC should be made through the DOC Operations Section. When there are multiple incidents, the DOC operations will prioritize resource requests and will coordinate with the DOC Logistics Section.
It should be noted that in some DOCs, all of the SEMS functions may be performed by only one or a few individuals. This may be sufficient to support small incidents. For larger incidents, the DOC staffing may need to expand. If the department cannot provide additional personnel to expand the DOC organization sufficiently, it should shift responsibility and staff to the EOC.

b. DOC-EOC Interactions

DOCs will coordinate with the EOC when activated. The primary interaction will be between DOC Management and their branch representative in the EOC Operations Section. Additional secondary interactions may occur between other DOC functions and the EOC, but should be coordinated with DOC management.

c. Field-EOC Interactions

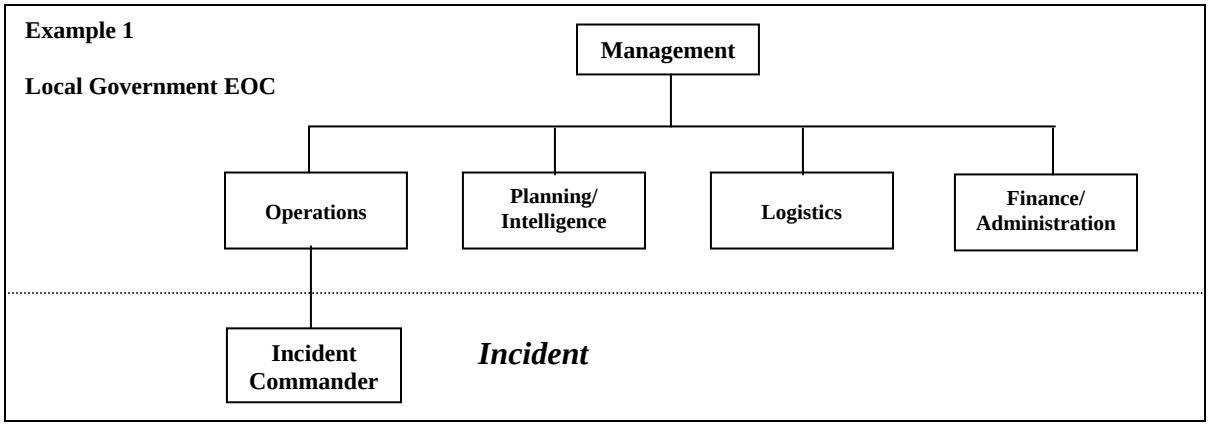
In some jurisdictions direct coordination and communications are established between Incident Commanders and the EOC. The lines of coordination and communications in such jurisdictions may vary depending on the jurisdiction and situation. Figure 2-11 illustrates alternative approaches for Incident Commander to EOC interactions when direct coordination and communications is established.

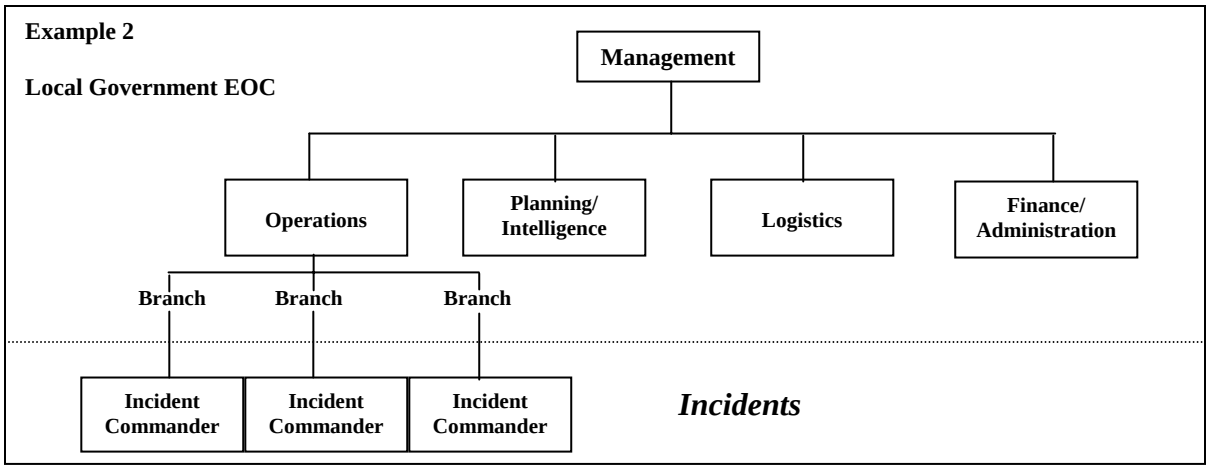
The Incident Commander will most likely interact primarily with the EOC Operations Section when there are direct coordination and communications. The Incident Commander will normally report to a senior official from the Incident Commander's department or agency.

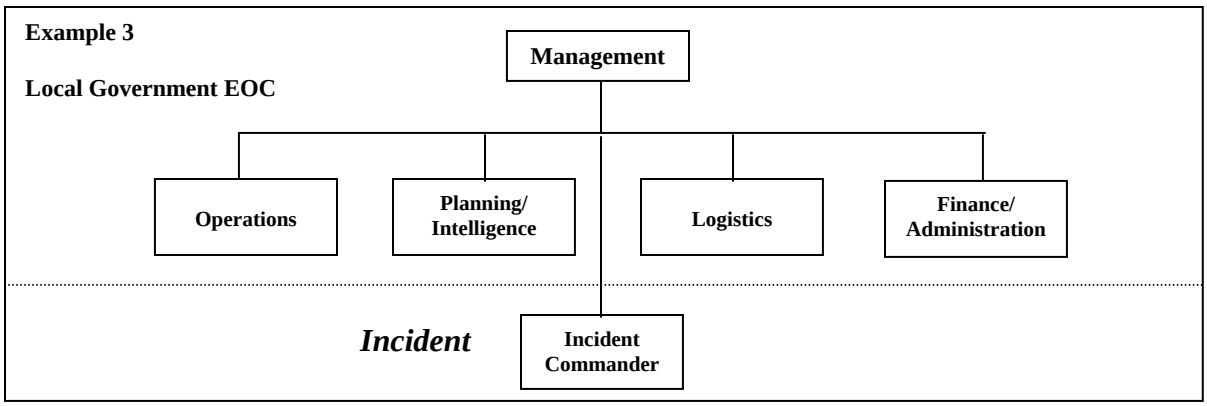
In single incident situations, the Incident Commander may interact directly with the EOC Operations Section Coordinator.

Example

Incident Commander – Local Government EOC Primary Interactions







(Figure 5-11)

In major disasters, where there are multiple incidents within the jurisdiction, Incident Commanders will normally interact with branches of the EOC Operations Section.

In some jurisdictions, local policies may provide for direct Incident Commander to EOC Management interaction. This may occur when there is a single large incident that has a major impact on the community. Direct Incident Commander to EOC Management interaction would not be advisable in major disasters where there are multiple incidents as this could easily exceed the span of control of EOC Management.

In most cases where there is direct coordination and communications from the field to the EOC, the primary flow of coordination and information will be between the Incident Commander and the EOC Operations Section, either to the Section Coordinator or to a branch.

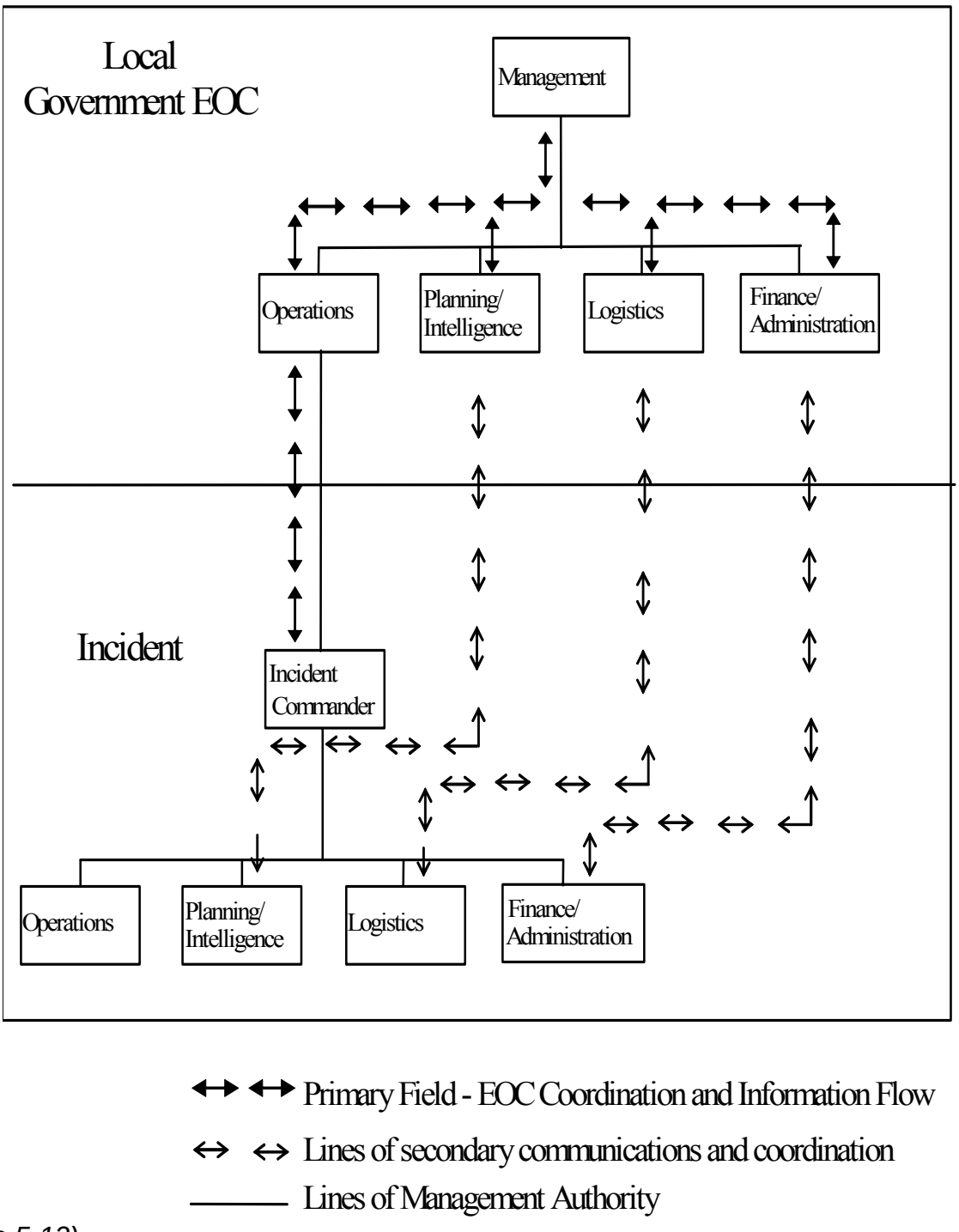
The EOC Operations Section will be responsible for interacting with EOC Management and other functions as illustrated in Figure 5-12.

Under a Unified Command the situation is somewhat more complex, but field to EOC interactions will generally be similar to those described above. Coordination may be facilitated if the members of the Unified Command and their department contacts at the EOC determine a single primary line of communications for field - EOC coordination. The primary contact in the EOC would then be the Operations Section Coordinator or one of the branches in the Operations Section depending on the circumstances, or in some cases the EOC Management.

One of the members of the Unified Command may serve as the primary field contact. The primary contacts would be responsible for coordinating with their counterparts at the incident or within the EOC. Secondary interactions may still occur between other members of the Unified Command and their departmental contacts at the EOC. Resource ordering may be single or multi-point.

Example

Incident Command System-Local Government EOC Functional Interactions



(Figure 5-12)

SECTION 2: OPERATIONAL AREA EOCS

I. INTRODUCTION

The SEMS regulation has established the operational area as one of the five SEMS levels for use in all emergencies and disasters involving multiple agencies or multiple jurisdictions.

Under SEMS, the operational area is an intermediate level of the state's emergency services organization that encompasses the county and all political subdivisions located within the county. The operational area manages and coordinates information, resources, and priorities among local governments within the operational area, and serves as the coordination and communication link between the local government level and the regional level.

It is important to note, that while an operational area always encompasses a single county area, it does not necessarily mean that the county government itself manages and coordinates the response and recovery activities within the county. While county governments are responsible for unincorporated areas and contract cities, decisions on the establishment, organization and operation of the operational area are made collectively by the governing bodies of the county and the political subdivisions within the county.

The operational area level is described more fully in the SEMS Guidelines. Guidelines on establishing operational areas are also included in the SEMS Guidelines.

II. OPERATIONAL AREA EOCs

An Operational Area EOC is the facility that provides coordination for emergency response among local governments within the operational area. The operational area also serves as the coordination and communication link between the local government level and the SEMS regional level.

The operational area staff in the EOC performs a dual role during an emergency. The EOC staff coordinates requests from, and provides support to local governments within the Operational Area. They are also responsible for managing the county's response to unincorporated areas. An important function of the operational area staff, is to provide for inter-agency coordination as a part of the EOC procedures.

While it is feasible that the county local government and operational area missions could be separated and run from different EOCs, in reality, they are usually co-located

in one EOC. It is generally not cost effective to attempt to operate two separate facilities.

A. SEMS Requirements for Operational Areas

The SEMS regulation specifies three requirements for each county government:

- Formally organizing the operational area.
- Fulfilling the lead agency requirement.
- Activation of the operational area EOC as required.

The requirements for organizing the operational area were discussed in Chapter 1. Lead agency responsibilities and EOC activation requirements are described below.

B. Activation of the Operational Area

The SEMS regulation specifies seven circumstances in which the operational area EOC must be activated and SEMS used. The operational area EOC will be activated when:

1. A local government within the operational area has activated its EOC and requested activation of the operational area EOC to support their emergency operations.

2. Two or more cities within the operational area have declared or proclaimed a local emergency.

3. The county and one or more cities have declared or proclaimed a local emergency.

4. A city and/or county has requested a governor's proclamation of a state of emergency.

5. A state of emergency is proclaimed by the governor for the county or two or more cities within the operational area.

6. The operational area is requesting resources from outside its boundaries. This does not include resources used in normal day-to-day operations that are obtained through existing mutual aid agreements.

7. The operational area has received resource requests from outside its boundaries. This does not include resources used in normal day-to-day operations which are obtained through existing mutual aid agreements.

Operational areas should develop EOC activation criteria that include conditions based on a hazard analysis as well as regulatory requirements. The goal should be rapid EOC activation when operational area involvement will be needed.

It is recommended that two to three levels of activation be identified that will provide EOC staffing commensurate with the coordination needs of varying emergency situations. The following is an example of the type of activation criteria that an operational area should consider for its EOC.

Example Operational Government EOC Activation Guide

Event/Situation[1]	**Activation Level**	**Minimum Staffing [2]**
Severe Weather Advisory Small incidents involving two or more county departments Earthquake Advisory Flood Watch Activation requested by a local government with activated EOC Resource request received from outside the operational area[3]	One	EOC Director Planning/Intelligence Section Coordinator Logistics Coordinator Representatives of responding departments
Moderate Earthquake Major wildfire affecting developed area Major wind or rain storm Two or more large incidents involving two or more departments Imminent Earthquake Alert Local emergency declared or proclaimed by: Two or more cities The county and one or more cities A city or the county requests a governor's proclamation of a state of emergency A state of emergency is proclaimed by the governor for the county or two or more cities	Two	EOC Director All Section Coordinators Branches and Units as appropriate to situation Agency Representatives as appropriate

Resources are requested from outside the operational area[3]		
Major county wide or regional emergency, Multiple departments with heavy resource involvement Major Earthquake	Three	All EOC Positions

[1] Local governments and the operational area should work together to develop consistent activation criteria and levels for hazards that are common within the operational area.

[2] Minimum staffing may vary with the size of the operational area.

[3] Does not include resources used in normal day-to-day operations obtained through existing mutual aid agreements.

(Figure 5-13)

C. Role of the Operational Area and Responsibility of the Lead Agency

All local governments within the geographic area of the county are part of the same operational area. The operational area may establish zones or other sub-divisions to improve coordination and communications within the operational area.

The SEMS regulation specifies that all local governments within a county geographic area be organized into a single operational area and that the county board of supervisors is responsible for its establishment. All local governments should cooperate in organizing an operational area, but the operational area authority and responsibility is not affected by the non-participation of any local government. Organizing the operational area is discussed further in the SEMS Guidelines.

The county government serves as the lead agency of the operational area unless another member agency assumes that responsibility by written agreement with the county government. The lead agency of the operational area is responsible for:

- Coordinating information, resources and priorities among the local governments within the operational area.
- Coordinating information, resources and priorities between the regional level and the local government level.
- Using inter-agency coordination to facilitate decisions for overall operational area level emergency response activities.

The role of the operational area lead agency does not change the coordination of discipline-specific resources, such as fire, law, and medical/health, through their established mutual aid systems.

D. EOC Facilities

Each operational area should have a designated EOC from which the overall coordination role of the operational area will be accomplished. The physical size, staffing, and equipping of an operational area EOC will depend on geographic and demographic characteristics of the Operational Area, as well as its threat potential.

The Operational Area EOC facility should be capable of serving as the central point for:

- Coordination with local governments within the operational area.
- Information gathering and dissemination within the operational area.
- Reporting of information to the regional level.
- Coordination with the Regional EOC and other operational areas.

E. Operational Area Emergency Management Organization

1. Functional Organization

The SEMS regulation requires operational areas to provide for five functions: management, operations, planning/intelligence, logistics, and finance/administration. These functions should be the basis for structuring the operational area EOC organization.

Primary SEMS Function	Role at the Operational Area Level
Management	Responsible for overall emergency policy and coordination through the joint efforts of governmental agencies and private organizations. Management staff may include separate positions for an EOC Coordinator, Public Information, Liaison, Safety and Security as required.
Operations	Responsible for coordinating support to local government's emergency response, coordinating inter-jurisdictional responses, and coordinating county-wide activities through implementation of the operational area action plan.
Planning/Intelligence	Responsible for collecting, evaluating, and disseminating information; developing the operational area action plan in coordination

	with other functions; and maintaining documentation.
Logistics	Responsible for providing facilities, services, personnel, equipment, and materials to support the emergency response.
Finance/Administration	Responsible for financial and other administrative activities.

Each of the above functions is described in more detail in Chapter 3 of this course.

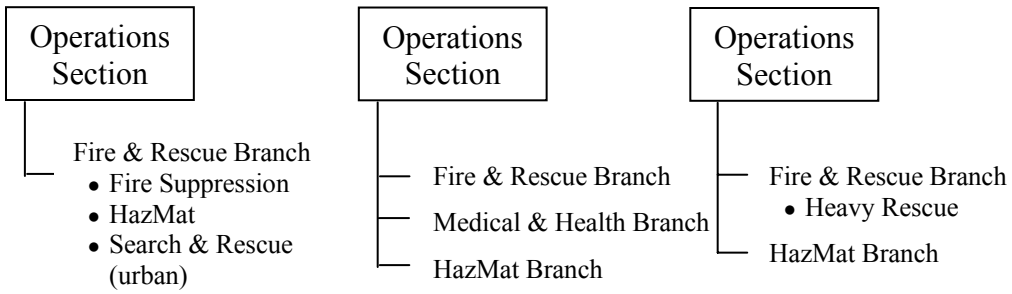
The organizational structure for the operational area EOC should provide for:

- Representatives from local governments within the operational area.
- An OES Field Representative sent by REOC.
- Operational Area Mutual Aid Coordinators or their representatives from discipline-specific mutual aid systems.
- Coordinators for other major functions needed for mutual aid and inter-jurisdictional coordination.
- Other functions as needed to carry out the local government responsibilities of the lead agency (in a combined operational area and county or other lead agency EOC).

Other functions may be clustered in various ways under the five SEMS functions as illustrated in Figure 5-14. It is important that the responsibility for major functions be clearly identified to facilitate coordination with the local government and regional levels. Figure 5-15 provides an example of an operational area EOC organization.

Example

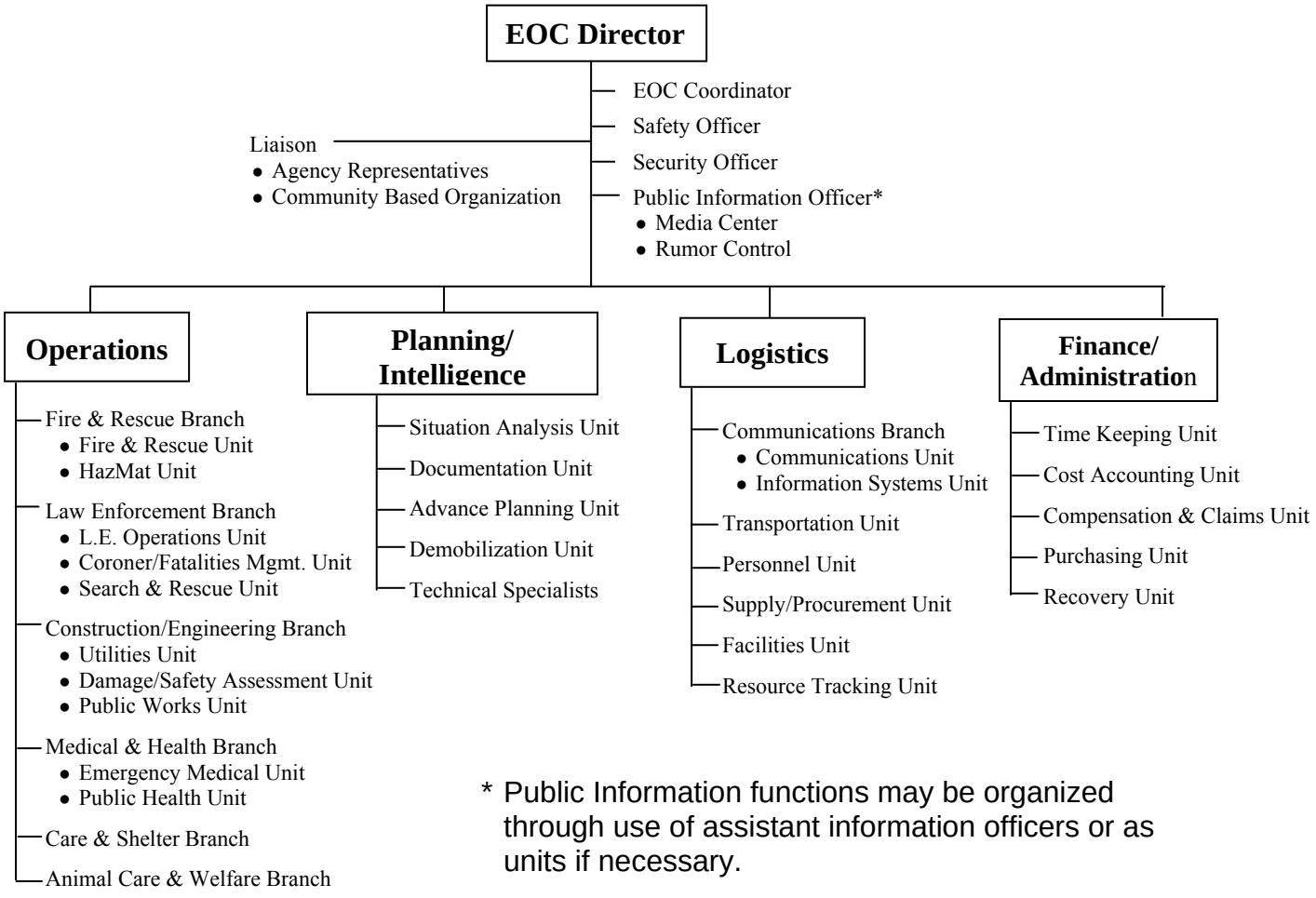
Alternative Ways to Incorporate Functions Into the Operational Area EOC Organization



(Figure 5-14)

Example

Operational Area EOC Functional Organization



* Public Information functions may be organized through use of assistant information officers or as units if necessary.

Each jurisdiction must determine the appropriate organization for the functions to be performed.

(Figure 5-15)

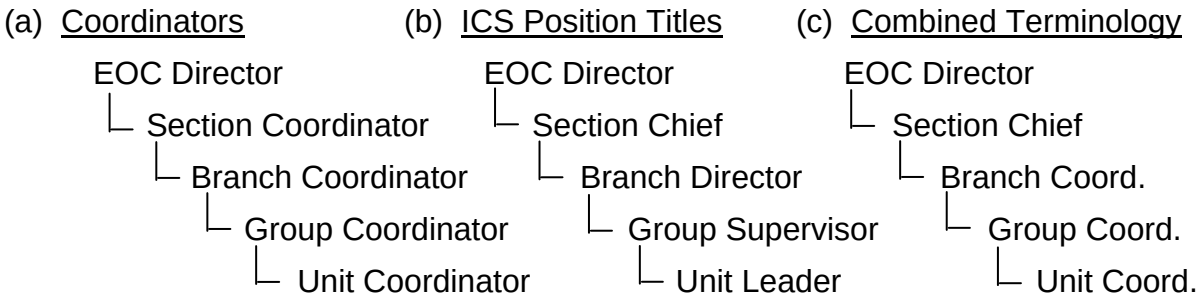
2. EOC Terminology

Use of Incident Command System terminology is recommended, but not required, for the hierarchy of functional elements within the EOC:

- Section
- Branch
- Group
- Unit

The five required SEMS functions would normally be established as sections within the EOC using the above terminology. Other functions would be included as branches, groups, or units under the primary functions as appropriate. It is not necessary to use all four hierarchical levels in the EOC. For example, many EOCs use only sections, branches and units. Functional elements are activated as needed.

For purposes of this course, we will use the position title "Coordinator" to refer to the lead person of each of organizational elements in the EOC. The term Coordinator is used because a primary role of EOC elements is to coordinate. Operational Areas may use other position titles within their EOC organization. Three options are shown below.



(*Figure 5-16)*

3. EOC General Staff

The Coordinators for Operations, Planning/Intelligence, Logistics, and Finance/ Administration constitute the General Staff of the operational area EOC. The General Staff are responsible for:

- Overseeing the internal functioning of their section, and;
- Interacting with each other, the EOC Director, and other entities within the EOC to ensure the effective functioning of the EOC organization.

III. RELATIONSHIP OF OPERATIONAL AREA MUTUAL AID COORDINATORS

Discipline-specific mutual aid systems including fire, law enforcement, and medical and health, have designated mutual aid coordinators within each operational area. The designated Operational Area Mutual Aid Coordinators should be considered an integral part of the operational area emergency management organization.

Operational Area Mutual Aid Coordinators may be located at the operational area EOC, at their normal work location, or at another location depending on the emergency situation, local communications systems, their normal job responsibility, and the level of operational area EOC activation. When the operational area EOC is fully activated, all Operational Area Mutual Aid Coordinators should have designated representatives at the EOC to facilitate coordination and information flow.

Coordination of discipline-specific resources will be accomplished through their respective mutual aid systems. However, it is essential that information and overall priorities be coordinated among mutual aid coordinators and the Operational Area EOC.

IV. RESOURCE MANAGEMENT AT THE OPERATIONAL AREA LEVEL

Resource requests from local governments and requests to the regional level will be made through one of the following processes:

- Discipline-specific mutual aid systems: requests for resources that are normally within the inventories of the mutual aid system will go from local coordinator to Operational Area Mutual Aid Coordinator to Regional Mutual Aid Coordinator.

- All other resource requests will be made through appropriate branches in the Operations Section who will then initiate the resource request through the Logistics Section at each level with emphasis on the need for lateral coordination with other EOC functions.

Resource requests from local governments will be coordinated within the Operational Area to determine if the resource is available from other local governments or other sources within the Operational Area. Available resources will be allocated to the requesting local government.

If requests for a specific resource exceed the supply, the available resources will be allocated by the Operations Section consistent with priorities established through the action planning process. The General Staff is responsible for ensuring that priorities are followed.

Resources not available within the operational area will be requested through the regional level. Resource requests should be coordinated internally at the operational area level before being placed to the regional level.

Functional coordinators in operations and logistics are responsible for tracking resource requests.

V. INTER-AGENCY COORDINATION AT THE OPERATIONAL AREA LEVEL

Inter-agency coordination is important for:

- Establishing overall priorities.
- Allocating critical resources.
- Development of strategies for handling multi-agency and multi-jurisdictional response problems.
- Sharing information.
- Facilitating communications.

A. Inter-agency Coordination in the Operational Area EOC

Inter-agency coordination is an integral part of the functioning of a operational area EOC. The EOC is staffed by representatives from the departments and agencies working together to coordinate the operational area's emergency response. Agency representatives from local governments including special districts, community based organizations and private organizations, should also participate with EOC functional elements in coordinating the operational area response effort. Coordination with agencies not represented in the EOC may be accomplished through telecommunications, satellite, or other electronic means.

Involvement of the local government representatives in the action planning process at the operational area EOC is essential for effective emergency management and provides an important focus for inter-agency coordination. In addition, the EOC Director or General Staff may convene meetings for inter-agency coordination purposes as needed.

Inter-agency coordination may also be accomplished through formation of a specific inter-agency coordination group by the local government. Local government representatives may also participate with other local governments and other agencies in a coordination group organized by another local government, operational area or regional level.

B. Establishing an Inter-agency Coordination Group

It may be useful to formally establish an inter-agency coordination group to develop consensus on priorities, resource allocation and response strategies. An inter-agency coordination group involving representatives of local governments in the operational area should be a standard element of the operational area organization. Such a group may meet regularly during the response or on an as-needed basis. Alternatively, inter-agency coordination groups may be established to deal with specific issues that arise during the response.

C. Coordination with Community Based Organizations

Coordination of response activities with many non-governmental agencies may occur primarily at the local government level. The operational area EOC should establish coordination with community based organizations that have multi-jurisdictional or county-wide response roles.

Agencies that play key roles in the response should have representatives at the EOC.

Community based organizations may only provide one representative to each EOC. In this case, the representative may provide support in a number of different areas within the EOC. For example, a Red Cross representative may be physically located in Care & Shelter under the Operations function, but may also be available to provide support for Logistics as well.

VI. RESPONSE INFORMATION MANAGEMENT SYSTEM (RIMS)

OES has implemented a statewide information management system that is consistent with SEMS. The Response Information Management System (RIMS) links together local governments, operational areas, regions and state levels of SEMS. RIMS provides an electronic communications vehicle for the rapid interchange between SEMS levels of situation reports, resource requests and other emergency related information.

VII. OPERATIONAL AREA AND LOCAL GOVERNMENT LINKAGES

The operational area is activated to coordinate support for local governments within the operational area. Coordination and communications should be established between activated local government EOCs and the operational area. The following describes coordination with city and county governments and special districts.

A. Linkages with Cities and County Governments

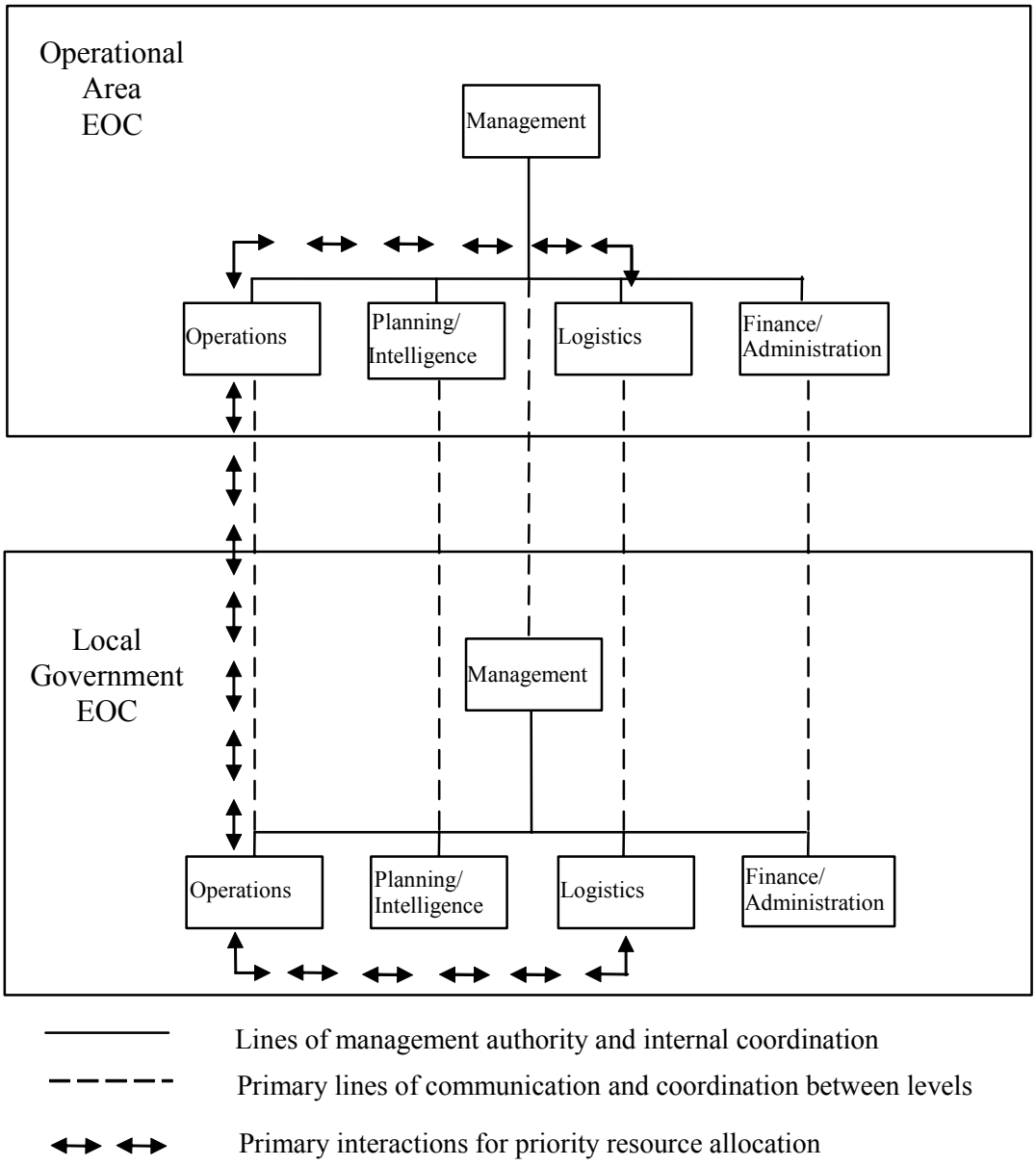
Coordination and communications should be established between the operational area EOC and all activated local government EOCs within the operational area.

Direct communications and coordination should be established between any activated city EOC and the operational area EOC when activated. Direct communications and coordination also should be established between the county government EOC and the operational area EOC if they are physically separate. Communications and coordination should occur along functional lines as illustrated in Figure 5-17.

An agency representative should be at the operational area EOC from every activated city EOC and county government whenever feasible. In operational areas with a large number of cities, it may not always be practical to have representatives from all activated city EOCs at the operational area EOC. For cities with very small staffs, it may not be feasible to send a representative to the operational area EOC. The operational area and cities should develop a system or process to ensure adequate coordination and information exchange when city representatives are not present at the operational area EOC.

A combined operational area and county EOC will be functioning as a local government EOC for unincorporated areas of the county. Coordination and communications with the field response in unincorporated areas will be the same as that described above for field-local government coordination.

Local Government EOC - Operational Area EOC Primary Interactions



(Figure 5-17)

B. Special District Links to the Operational Area

Special districts need to work with the operational area in their service areas to determine how best to establish coordination and communications in emergencies.

The emergency response role of special districts is generally focused on their normal services. During disasters, some types of special districts will be more extensively involved in the emergency response by assisting other local governments.

Coordination and communications should be established among the operational area, special districts that are involved in the emergency response, and other local governments. This may be accomplished in various ways depending on the local situation. Relationships among special districts, cities, county government, and the operational area are complicated by overlapping boundaries and by the multiplicity of special districts. The operational area should plan ahead with special districts providing services in the operational area to determine how best to establish coordination and communications in emergencies. The following discusses some situations and possible ways to establish coordination.

The operational area should be able to communicate and coordinate directly with a special district that serves more than one city and/or serves a city and county unincorporated area. Ideally, such a special district involved in the emergency response will have a representative at the operational area as well as all activated city EOCs within its service area. However, this may not be practical when many jurisdictions within its service area are affected. In such cases, the special district representative at the operational area level may serve as the focal point of coordination and work with other local government representatives at that operational area EOC.

When there are many special districts within an operational area, it may not be feasible for the operational area EOC to accommodate representatives from all special districts in area-wide disasters. In such cases, the operational area should work with the special districts to develop alternate ways of establishing coordination and communications. Some alternatives to consider:

- Representatives from designated key special districts at the EOC-telecommunications with other special districts.
- One representative from each type of special district who would communicate with other special districts of the same type.
- Establish a special district coordination center for a particular type of special district, e.g. a water district coordination center, that communicates with the operational area EOC.

Some special districts may serve multiple counties and some may even have facilities in more than one mutual aid region. Such special districts should be represented at activated operational area EOCs in their service area, or have developed alternate arrangements for effective coordination with the operational areas and local governments in their service area.

SECTION 3: REGION EOCS

I. INTRODUCTION

Under SEMS, EOCs at region and state levels are operated by the Governor's Office of Emergency Services (OES). OES has established the operating organization, policies and procedures for these facilities, utilizing the five primary SEMS functions and inter-agency coordination. The mission of the region and state EOCs differ from those at local government and operational area levels.

II. REGION

In SEMS, the region level manages and coordinates information and resources among operational areas within the mutual aid region, and also between the operational areas and the state level.

The region level also coordinates overall state agency support for emergency response activities within the region. The region level is described further in the SEMS Guidelines.

Because of its size, the state has been divided into six Mutual Aid Regions. The purpose of a mutual aid region is to provide for the more effective application and coordination of mutual aid and other emergency related activities. The Office of Emergency Services (OES) provides coordination over the mutual aid regions through three Region Administrative Offices. EOCs at these region offices are called Region Emergency Operations Centers (REOCs).

The REOCs support and coordinate a variety of OES services within mutual aid regions.

OES Regions provide services to operational areas and local governments which include:

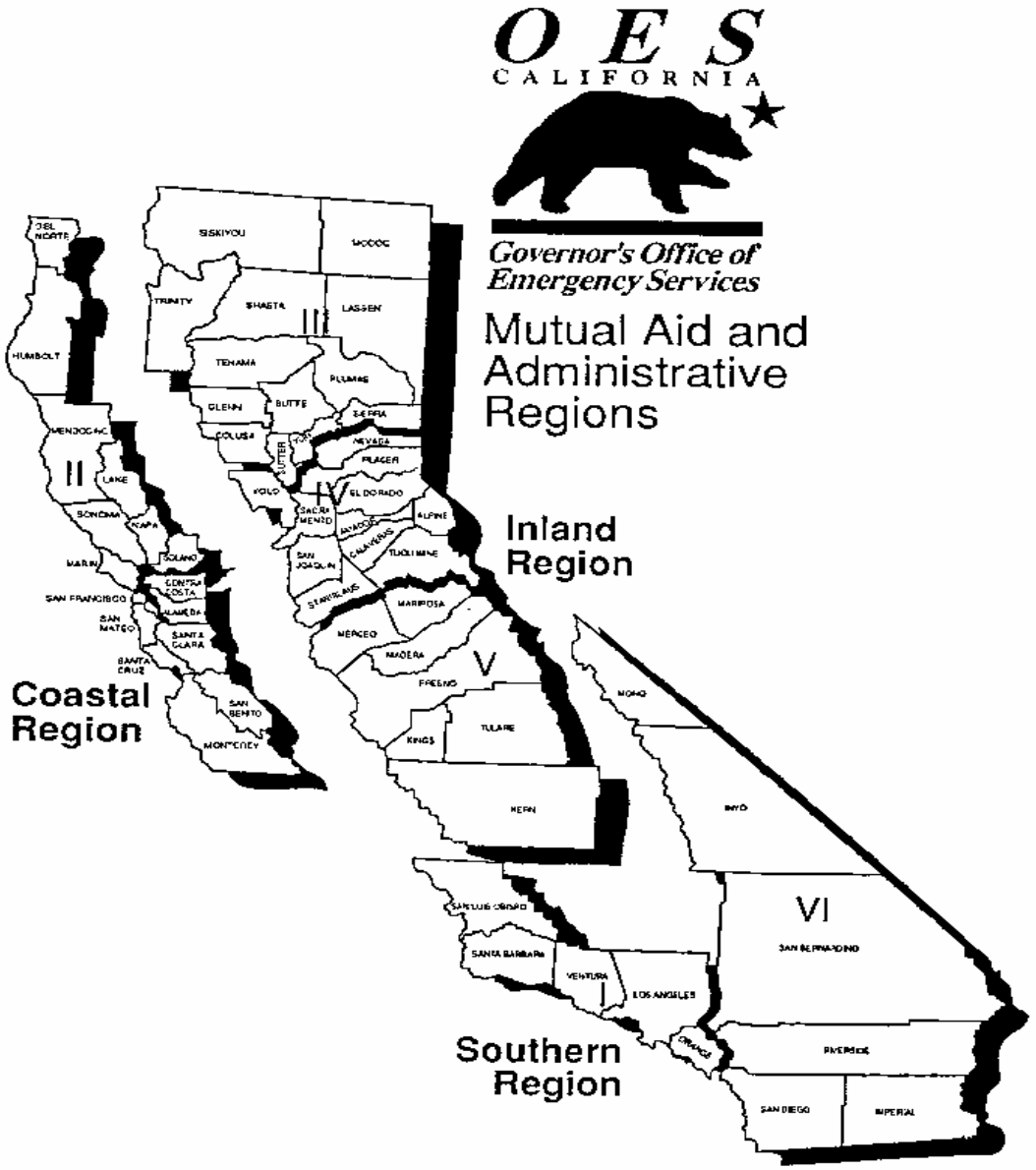
- Planning and preparedness assistance to operational areas and local governments.
- Several levels of emergency services mutual aid coordination with operational areas during emergencies and disasters.
- Assisting in the coordination and monitoring of region disaster recovery operations.

REOCs must provide for the five primary SEMS functions within their EOC organization.

Note that some state agencies may also have some form of "region" administrative and/or operational headquarters. Caltrans, California Highway Patrol, California Department of Forestry and Fire Protection are examples. They may operate regions,

districts, divisions, and the boundaries may not coincide with each other or those of state mutual aid regions.

All state agencies involved in emergency response activities at the "region" level should provide for the five primary SEMS functions within their DOCs at "regions" as well as at State levels.



A. Region EOCs (REOC)

There are three State OES-operated REOCs. The REOCs support and coordinate a variety of OES services within mutual aid regions.

1. SEMS Requirements for the Regional Level

SEMS regulation requires the regional level EOC to be activated and SEMS used when any operational area EOC within the mutual aid region is activated.

While OES has the lead responsibility for SEMS at the regional level, an effective SEMS regional level requires the cooperative effort of all departments and agencies having a regional level role in emergencies. The regional level shall use inter-agency coordination to facilitate decisions for overall regional level emergency response activities.

The requirement to use SEMS at the regional level applies to agencies which provide regional coordination of mutual aid and operate the various mutual aid systems which function within the state, and to state agencies that provide support for emergency response activities. State agency representatives provide personnel for staffing a variety of functional positions at the REOC level. They perform a dual role of staffing and providing coordination with their own DOCs.

When the OES REOC is activated, communications and coordination shall be established with the operational areas within the region, the state level EOC, regional facilities responsible for discipline-specific mutual aid systems, and with DOCs of other state agencies located within the boundaries of the mutual aid region.

The latter could include DOCs which function as regional mutual aid system coordinators, (such as CDF), as well as state agency "regional" operations centers for Caltrans Districts, CHP Divisions, etc. Boundaries of state agency districts, divisions and regions may not correspond to those of the State's mutual aid regions. Coordination of fire and law enforcement, and medical/health resources shall be accomplished through their respective mutual aid regions.

B. Activating the Region EOC (REOC)

The REOC will be activated under any of the following conditions:

- When any operational area EOC in the region is activated.
- When ordered by the Regional Administrator (or designee) or higher authority.
- When a local or state emergency is declared, and contact with the OES Regional Administrator (or designee) is not immediately possible.

EOC activation could also occur at the request of a utility special district that services multiple counties.

The Regional Administrator will maintain procedures for activating and staffing the REOC at levels appropriate to the situation. As part of the activation process, OES Agency Representatives will be sent to activated operational area EOCs.

Upon activation, the Regional Administrator will assume the position of REOC Director, and have responsibility for all state related functional activity within the REOC. During later phases of an emergency, the REOC Director authority may be delegated.

Three levels of activation are recommended:

Level One – Minimum Activation

At a minimum, staffing would consist of the Regional Administrator and regional Duty Officer. Other members of the General Staff may also be part of this level of activation which could be a Situation Analysis Unit from the Planning/Intelligence Section and a Communications Unit from the Logistics Section. If possible, an OES Field Representative should be sent to the operational area that has experienced the emergency. If the situation is a prediction of a possible event, OES representatives should be alerted as a part of the Level One activation.

Level Two – Mid Level Activation

Most of the REOC functional elements are activated but with a reduced staffing level. A Level Two activation would often be achieved through either an increase from Level One or a decrease from Level Three.

Level Three – Full Activation

All functional elements are represented at full staffing. A Level Three activation may also include State and Federal declarations with appropriate Federal Emergency Support Function (ESF) representation at the REOC.

C. Responsibilities and Roles of OES REOCs

1. Responsibilities

- Ensure that an overall coordinating and information management system is in place for providing state support to local governments during an emergency. During emergencies, this is done by working through operational areas.

- Function as an organizational structure and the necessary communications to coordinate, and to provide information transfer between regional mutual aid systems which function in other state and non-state agencies and facilities.

- Facilitate communications and coordination between affected operational areas within the region.

- Provide the communications and coordination link between operational areas and the state level of SEMS.

- Ensure and encourage consistency of operations between state agencies and local governments through the utilization of SEMS.

2. Operational Role

The REOC performs and/or supports a variety of activities at the time of the emergency. REOC activities can be direct with operational areas, or be supportive in terms of ensuring effective coordination through existing mutual aid systems. Overall, the operational role of the REOC is to:

- Act as the State's primary point of contact for operational areas within the region.
- Coordinate the regional response to disasters.
- Coordinate mutual aid requests for emergency services within the region. (This includes the direct coordination of all mutual aid requests other than that provided through established discipline-specific systems such as the Disaster Medical/ Health, Law Enforcement, and Fire and Rescue Mutual Aid Systems).
- Maintain liaison and coordination with State Operations Center (SOC), and with state and federal agencies within or outside the region as required.
- Provide assistance to state and local agencies through appropriate systems and to contribute to the protection of life and property during emergencies.
- Assist local governments with recovery operations following disasters.
- Assist and guide local jurisdictions in all phases of emergency management.
- Receive and disseminate emergency alerts and warnings.

3. Purchasing Authority, Procurement Policy and Mission Numbers

Once an emergency has been declared, purchasing and mission number assignment authority may be delegated to the appropriate OES Administrative Region (REOC). The SOC will establish the conditions under which authority will be delegated. The Regional Administrator (REOC Director) may delegate purchasing authority to the REOC Finance/Administration Section. Mission numbers will be issued for use of state agency resources.

During life-threatening or other time critical emergencies, resources will be procured from the closest available source(s). Unless otherwise defined by OES policy, in

those situations where time is not critical, or life is not threatened, resources will be procured using the priority outlined:

- Resources within the State inventory, i.e., state owned.
- Other sources that may be obtained without direct cost to the State (may include donated goods and services).
- Resources that may be leased or purchased within spending authorizations.

D. REOC Organization

1. Functional Organization

SEMS Regulation (§2403 (c)) requires that the regional level provide for all of the following functions within a REOC:

- Management
- Operations
- Planning/Intelligence
- Logistics
- Finance/Administration

To accommodate the requirement, a regional level organizational structure has been established. The following are primary functional positions at the REOC. With the exception of the REOC Director, all positions will be activated as required:

- REOC Director (Regional Administrator)
- Public Information
- Liaison
- Safety (as required)
- Operations Section
- Planning/Intelligence Section
- Logistics Section
- Finance/Administration Section

2. REOC General Staff

The Section Coordinators for Operations, Planning/Intelligence, Logistics, and Finance/ Administration constitute the General Staff of the REOC. The REOC Director and General Staff work together as the REOC management team. The General Staff are responsible for:

- Overseeing the internal functioning of their section, and;

- Interacting with each other, the REOC Director, and other entities within the REOC to ensure the effective functioning of the REOC organization

Public Information, if subject to growth and expansion, should be established as a branch under the management function in the REOC. This will allow for the potential subsequent designation of groups or units. This may be necessary in large-scale disasters to maintain optimal span of control.

Primary functional responsibility is as follows:

- **REOC Director (Management)** - Implements policy of the OES Director and coordinates joint efforts of governmental agencies and public and private organizations functioning at the REOC.

- **Public Information** - Develops regional level public information releases, and coordinates public information and public affairs activities with the state EPI manager at the State Operations Center (SOC).

- **Liaison** - Provides coordination among agency representatives and ensures adequate support is provided to incoming operational area and other agency representatives. Liaison will also assist the REOC Director in coordinating the assignment of OES Field Representatives sent to operational areas and/or other locations as necessary.

- **Safety** - Ensures that the inside and outside working environment is free from hazards. Develops and distributes a Safety Plan outlining safety procedures and protocols. Coordinates with General Staff to ensure proper shift relief is planned thus minimizing employee fatigue and stress.

- **Security** - Ensures that the REOC facility is secure and that entry is restricted to authorized personnel. Coordinates with General Staff and Liaison to ensure that rosters and visitor lists are current. Responsible for issuance and retrieval of visitor passes as required.

- **Operations Section** - Coordinates in conjunction with the local agency response, the activities of various functional branches which may be activated at the REOC to support operational areas.

- **Planning/Intelligence Section** - Collects, evaluates, and disseminates information; develops the REOC Action Plan in coordination with the other functions, and maintains documentation.

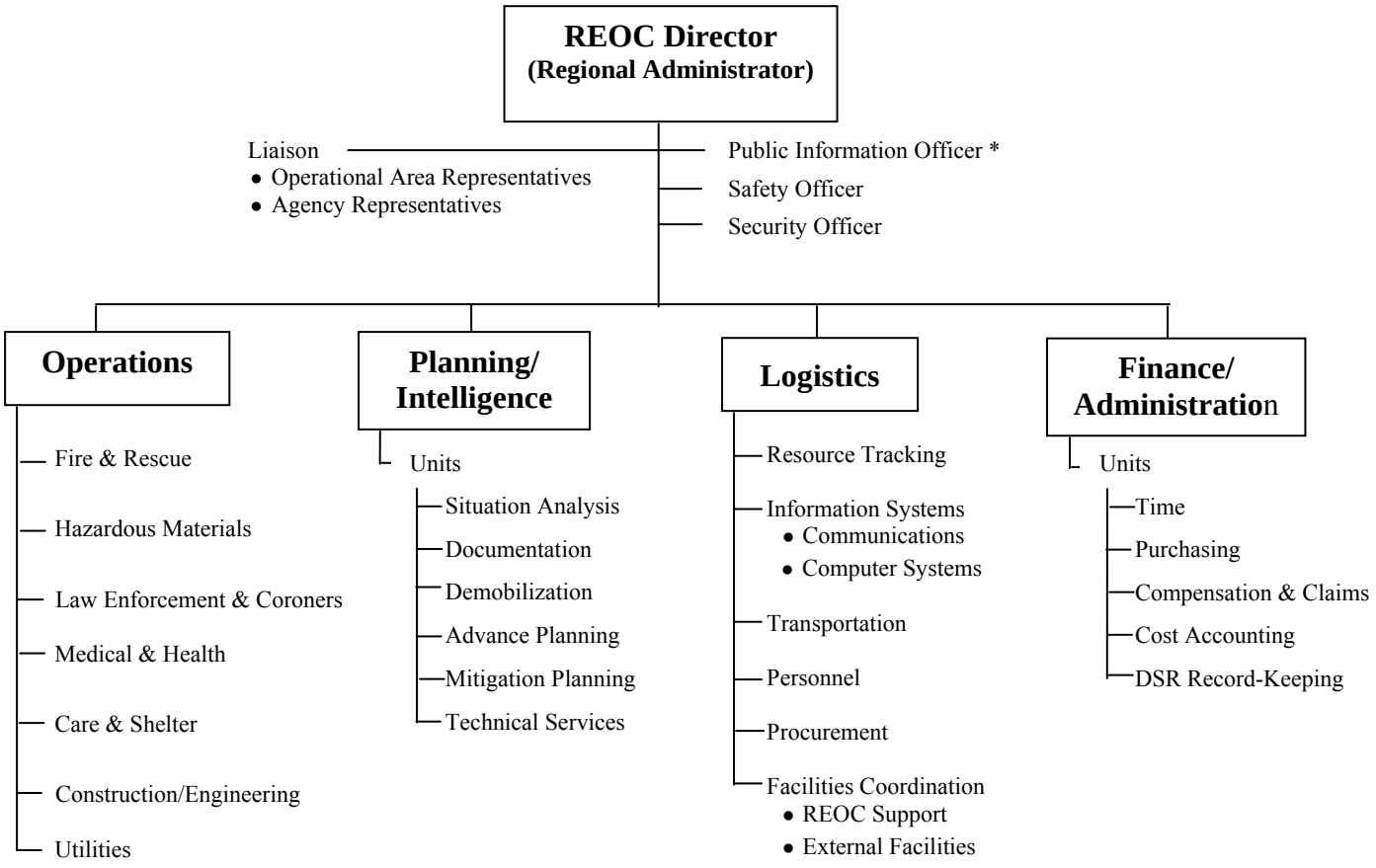
- **Logistics Section** - Procures and provides facilities, services, personnel, equipment, and materials to meet the needs of operational area requests and to support REOC operations.

- **Finance/Administration Section** - Administers regional level purchasing authority, cost accounting and other financial activities and administrative tasks not assigned to other functions.

These are the primary functional elements to be established within the REOC. If Liaison and Public Information functions are not established, the responsibility for those functions stay with the REOC Director. A fully activated REOC organization is shown in Figure 5-18.

While the task of all functions must be carried out during activation, there is no requirement that personnel be placed in each functional positions and be activated. Therefore it is possible that the only organizational position that would be required for activation would be the REOC Director. The REOC Director is responsible for all primary and support functions until delegated to others.

REOC Organization



OES Field Representatives will be deployed to operational areas. They will report situation information to the REOC Planning Section and interact with other elements as needed to facilitate coordination and information exchange.

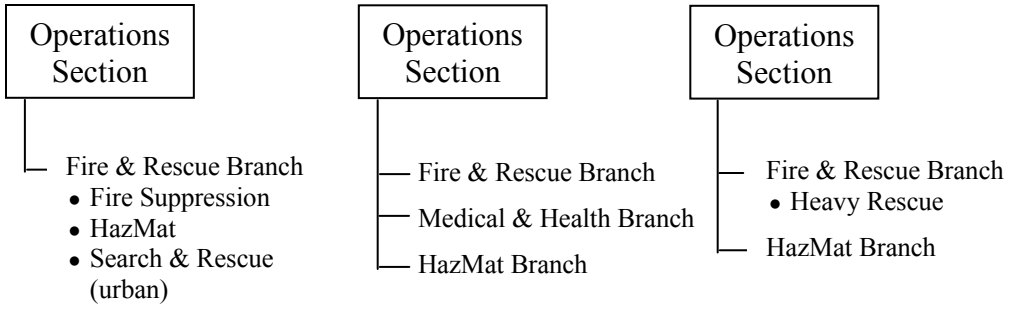
* Public Information functions may be organized through use of assistant information officers or as units if necessary.

(Figure 5-18)

Functions may be organized within the REOC organization in various ways. An example of how to do this is shown in the following chart.

Example

Alternative Ways to Incorporate Functions Into the REOC Organization



(Figure 5-19)

2. Organizational Span of Control

The REOC organization will expand (or contract) as necessary to meet the operational requirements. The hierarchy of organizational elements that can be developed as needed within the EOC organization is:

- Director
- Section
- Branch
- Group
- Unit

Personnel supervising REOC Sections will carry a position title of Section Coordinator. Persons supervising branches, groups, or units will have the title of Coordinator unless otherwise designated.

The span of control within the REOC organization should be maintained within the range of one supervisor for every three to seven positions. If the span of control exceeds seven, activation of another organizational level (e.g., Branch, Group, or Unit) should be considered. If the span of control is under three, consideration should be given to deactivating or consolidating organizational elements.

Not all positions in the organization need be activated at the time of REOC activation. For example, a branch may be activated without first activating the section which contains the branch. Functional need and span of control are the primary considerations in organization development.

The duties of functional positions not activated will always be the responsibility of the next higher position in the organization. One person may also fill more than one functional assignment at a given time.

3. Information Transfer

As the Regional EOC organization grows, effective internal information transfer must take place. Two principles are essential to effective handling.

- There is freedom within the organization to exchange information. Any person in any unit or organization may make contact with any other person to exchange information.

- Orders, directives, resource requests, and status changes must follow the REOC organization unless otherwise indicated in the REOC Action Plan.

4. REOC Staffing

The REOC Director will determine appropriate staffing for each activation based upon an assessment of the situation. REOC positions should be staffed by the most qualified available individuals with experience in the function to be performed. Primary staff positions in the organization may be filled by individuals from other State agencies. Sub- positions within the organization will be filled by qualified personnel independent of rank or agency affiliation. Staffing for activations will be obtained from Region staff and:

- Other OES Regions
- OES Headquarters
- Other State Agencies
- Emergency Managers Mutual Aid Responders
- Emergency Hires

E. Inter-agency Coordination at the Regional Level

Inter-agency coordination is an integral part of the REOC. Many state agencies provide staff to the REOC organization, thus making it a functioning inter-agency group. The REOC General Staff and affected Operational Areas will jointly determine objectives for the REOC Action Plan.

The REOC Director may, as necessary, convene meetings of essential personnel for inter-agency coordination purposes. These can be at the General Staff, section or branch level and may include other agencies as needed. Jurisdictional, discipline or agency participation in inter-agency meetings will be determined based on the subject areas and issues to be discussed.

- An ad-hoc task force approach to specific problem areas may also be used as an application of inter-agency coordination. Under this approach, the REOC Director would assign key personnel from various functional areas or disciplines to work together to resolve a specific issue or problem.

F. Coordination and Communication with Regional Mutual Aid Coordinators

Several of the established mutual aid systems function from within their own discipline-specific facilities and communications networks. Therefore, the coordination at the regional level can take place in three ways:

- REOC and other regional mutual aid coordinators exchange information as required but are not located together at the same Operations Facility.

- Mutual Aid Systems send liaison representatives to the REOC. This assures a closer working relationship.

Mutual Aid liaison coordination is centralized at the REOC with functional branches established for some mutual aid coordination.

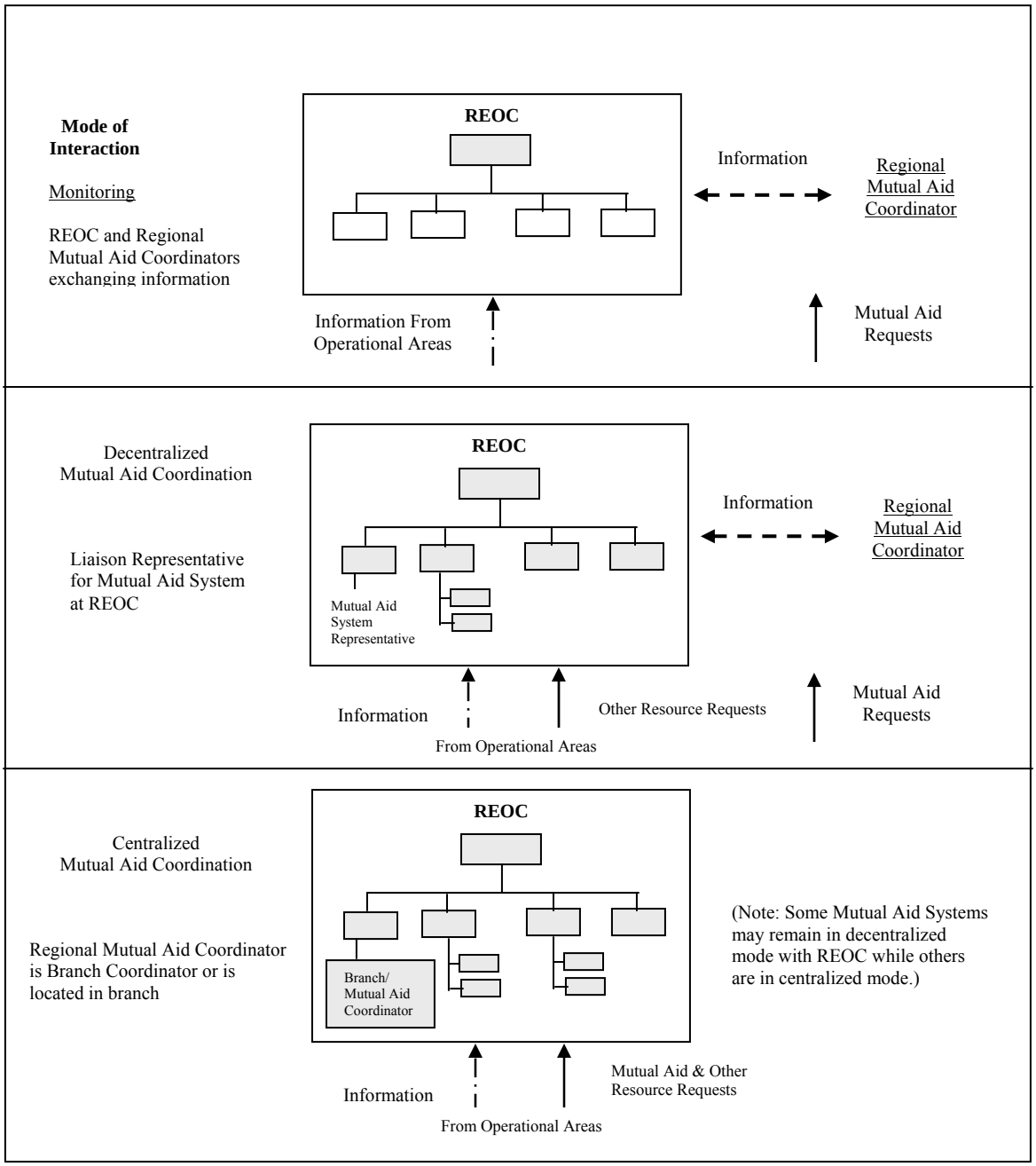
The modes of interaction between the REOC and mutual aid coordinators are shown in Figure 5-20.

There is no directive mandating which mode of operation will be carried out at the time of an emergency. Maintaining close coordination with established mutual aid systems is an essential requirement of the REOC.

All discipline specific mutual aid systems that are not functioning from within the REOC have a responsibility to ensure that the REOC is fully informed on all matters regarding mutual aid operations. The best mode of operation should be determined by an agreement between the REOC Director and the Regional Mutual Aid Coordinator(s). In major disasters, mutual aid systems should have representatives at the REOC to facilitate coordination and information flow.

Resource requests beyond the normal inventory of an agency, or outside the resources within the inventory of an established mutual aid system, will be routed through the appropriate branch in Operations and then to the Logistics Section for processing and order placement. Following this procedure reduces the possibility of duplicate orders, consolidates orders at a central order point, and effectively manages costs of the procurement process. A Resource Tracking function within the Logistics Section will monitor the resource ordering and distribution process.

Concept of REOC and Discipline-Specific Mutual Aid System Relationships



(Figure 5-20)

G. OES Regional EOC Relationship to the Federal Response Plan

The REOC is the primary point of contact within SEMS for operational areas to communicate information and to request resources from the State. The REOC must be immediately able to respond to operational area requests. In some instances, joint

State-Federal interaction will be necessary. This interaction is best accomplished by the SOC and REOC working closely with Federal counterpart liaisons. The following chart, Figure 5-21, provides a cross reference which associates SEMS REOC Functions with the corresponding Emergency Support Functions as defined in the Federal Response Plan.

The Federal Response Plan (FRP) establishes a process and structure for the systematic, coordinated, and effective delivery of Federal Assistance to address the consequences of any major disaster or emergency declared under the Robert T. Stafford Disaster Relief and Emergency Assistance Act.

The FRP concepts apply to a major disaster or emergency, including natural catastrophes; fire, flood or explosion regardless of cause; or any other occasion or instance for which the President determines that Federal assistance is needed to supplement state and local efforts and capabilities. The complete text of the Federal Response Plan can be found on FEMA's website at www.fema.gov.

The FRP employs a functional approach that groups under 12 Emergency Support Functions (ESFs), the types of direct Federal Assistance that a state is most likely to need (e.g., mass care, health and medical services, etc.), as well as the kinds of Federal Operations support necessary to sustain Federal response actions (e.g., transportation, communications). ESFs are expected to support one another in carrying out their respective missions. Federal response assistance required under the FRP is provided using some or all of the ESFs as necessary. Federal ESFs are designed to supplement state and local activities.

Requests for assistance from local jurisdictions are channeled to the State Coordinating Officer (SCO) through the designated state agencies in accordance with the State's emergency operations plan and then to a Federal Coordinating Officer (FCO) for approval. ESFs coordinate with their counterpart state agencies or, if directed, with local agencies to provide the assistance required. Federal fire, rescue, and emergency medical responders arriving on scene are integrated into the local ICS structure.

REOC Elements (partial list)	Federal Emergency Support Functions (ESFs)
Operations:	
Fire & Rescue	Firefighting (ESF 4) – **Primary Agency:** Dept. of Agriculture, Forest Service**. Supporting:** Depts. of Commerce, Defense, Interior, Environmental Protection, and FEMA. Urban Search and Rescue (ESF 9) – **Primary**: FEMA. **Supporting:** Depts. of Agriculture, Defense, Health & Human Services, Justice, Labor, Agency for International Development, National Aeronautics & Space Administration.
Hazardous Materials	Hazardous Materials (ESF 10) – **Primary:** Environmental Protection Agency. **Supporting:** US Coast Guard, Depts. of Agriculture, Commerce, Defense, Energy, Health & Human Services, Interior, Justice, Labor, State, Transportation, Nuclear Regulatory Commission.
Medical & Health	Health & Medical Services (ESF 8) – **Primary:** Dept. of Health & Human Services. **Supporting:** Depts. of Agriculture, Defense, Energy, Justice, Transportation, Veterans Affairs, Agency for International Development, American Red Cross, Environmental Protection Agency, General Services Admin., National Communications System, US Postal Service, FEMA.
Care & Shelter	Mass Care (ESF 6) – **Primary:** American Red Cross. **Supporting:** Depts. of Agriculture, Defense, Health & Human Services, Housing & Urban Development, Veterans Affairs, General Services Administration, US Postal Service, FEMA. Food (ESF 11) – **Primary:** Dept. of Agriculture. **Supporting:** Depts. of Defense, Health & Human Services, American Red Cross, Environmental Protection Agency, General Services Administration.
Construction & Engineering	Public Works & Engineering (ESF 3) – **Primary:** Dept. of Defense, US Army Corps of Engineers. **Supporting:** Depts. of Agriculture, Commerce, Health & Human Services, Interior, Labor, Veterans Affairs, Environmental Protection Agency, Tennessee Valley Authority.
Utilities	Energy (ESF 12) – **Primary:** Dept. of Energy. **Supporting:** Depts. of Agriculture, Defense, Interior, State, Transportation, National Communications System, Nuclear Regulatory Commission, Tennessee Valley Authority.
Planning/Intelligence:	Information & Planning (ESF 5) – **Primary:** FEMA. **Supporting:** Depts. of Agriculture, Commerce, Defense, Education, Energy, Health & Human Services, Interior, Justice, Transportation, Treasury, Environmental Protection Agency, General Services Admin., National Aeronautics & Space Administration, National Communications System, Nuclear Regulatory Commission, Small Business Administration, Civil Air Patrol, Voluntary Organizations. **(continued)**

Logistics:	
Information Systems Communications	Communications (ESF 2) – **Primary:** National Communications System. **Supporting:** Depts. of Agriculture, Commerce, Defense, Interior, Federal Communications Commission, General Services Administration, FEMA.
Transportation	Transportation (ESF 1) – **Primary:** Dept. of Transportation. **Supporting:** Depts. of Agriculture, Defense, State, Treasury, General Services Administration, Tennessee Valley Authority, US Postal Service, FEMA.
Personnel Procurement	Resource Support (ESF 7) – **Primary:** General Services Administration. **Supporting:** Depts. of Agriculture, Commerce, Defense, Energy, Labor, Transportation, Treasury, Veterans Affairs, National Aeronautic & Space Administration, National Communications System, Office of Personnel Management, FEMA.

(Figure 5-21)

H. Coordination between Operational Area and Regional Levels

It is essential that direct coordination and communications be established between activated operational area EOCs and the REOC. Coordination with the REOC can be accomplished in three ways:

- The REOC sends liaison representatives to the operational area.
- The operational area sends a liaison representative(s) to the REOC.
- The operational area and REOC coordinate through telecommunications (telephone, radio, OASIS).

REOC procedures dictate that OES Field Representatives will be sent to activated operational area EOCs to facilitate communications and coordination. An operational area may provide a representative to the REOC when the presence of a liaison would facilitate coordination and information exchange. The REOC Director (OES Regional Administrator) may request that a representative be sent by the operational area. In minor situations that necessitate only limited staffing of operational area and regional EOCs, telecommunications may be a sufficient method of coordination.

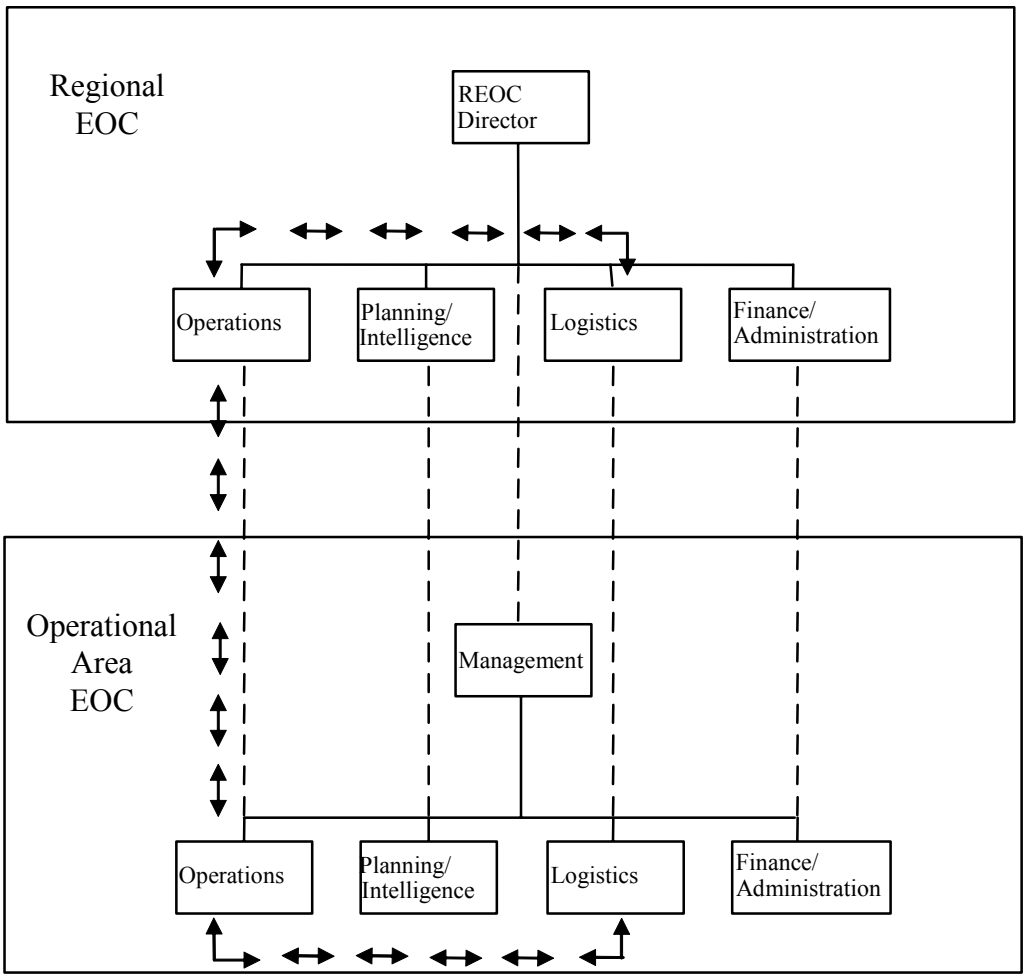
Coordination and communications between operational area and REOCs will occur as illustrated in Figure 5-22. Coordination and communications will occur between the five SEMS functions at the operational area level and their counterparts at the regional level. In addition coordination and communication may occur between organizational elements under a SEMS function and counterpart elements at the other level as illustrated in Figure 5-23. The OES Field Representative assigned to the Operational Area performs an information and coordination role to ensure effective communication

is taking place between functions. Field Representatives do not replace or perform roles assigned to functions.

Direct coordination and communications will also be established between Operational Area Mutual Aid Coordinators and Regional Mutual Aid Coordinators. These coordinators may be functioning from their respective operational area and regional EOCs or from other locations depending on the situation and the mutual aid system.

Mutual aid requests for resources within the inventories of the mutual aid system will be placed from the Operational Area Mutual Aid Coordinator to the Regional Mutual Aid Coordinator. Requests for other resources will be processed through the REOC Operations Section and then sent to Logistics for ordering.

Operational Area EOC - Regional EOC Primary Interactions



Lines of management authority and internal coordination.

Primary lines of communication and coordination between levels.

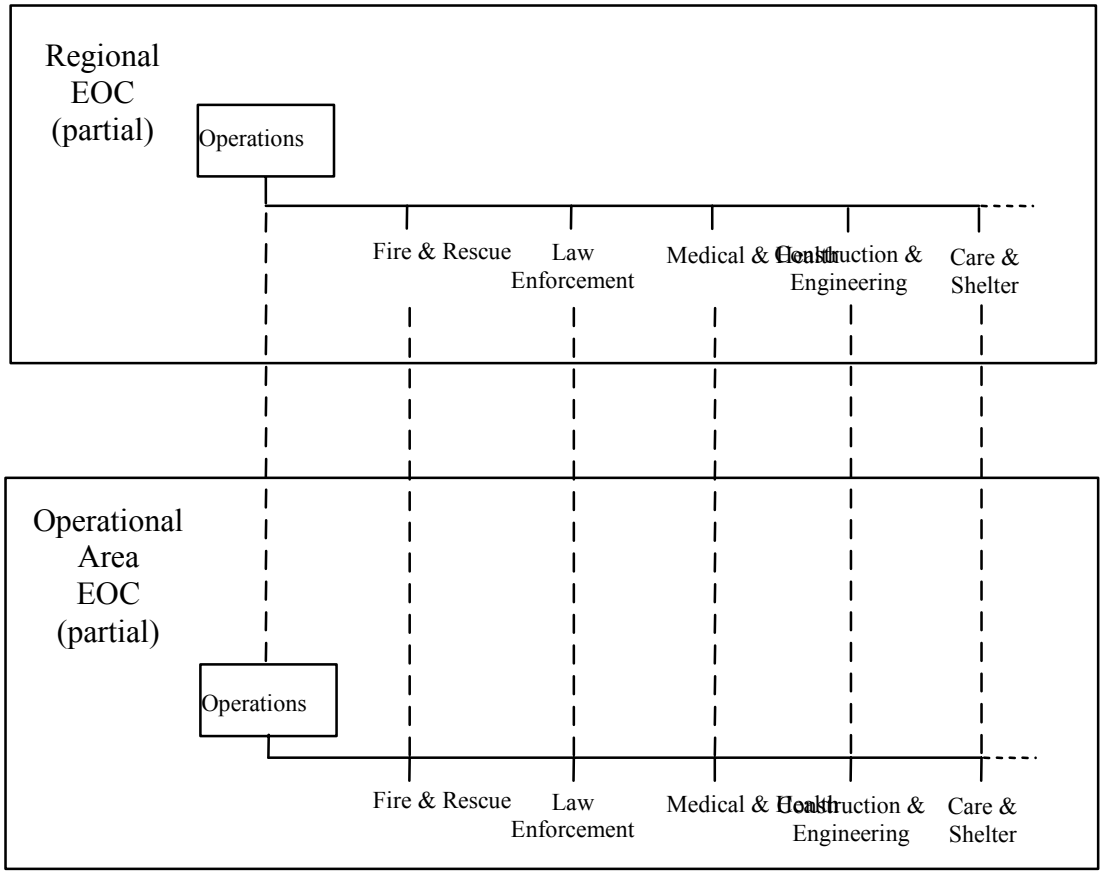
Primary interactions for priority resource allocation for resources coordi
the operational area EOC and REOC. Coordination must also be establis
Operational Area and Regional Mutual Aid Coordinators.

Agency Representatives also will facilitate communications and coordina
needed.

(Figure 5-22)

Example

Operational Area EOC – Regional EOC Functional Interactions within a SEMS Function



– – – – Lines of communication and coordination.

Notes:
Agency Representatives also will facilitate communications and coordination as needed.

This diagram focuses on interactions between EOCs. Interactions among functional elements within an EOC are also essential for coordination.

(Figure 5-23)

SECTION 4: STATE EOCS

I. INTRODUCTION

The state level of SEMS manages state resources in response to the emergency needs of the other levels, and coordinates mutual aid among the Regions and between the region level and state level. The state level also serves as the primary coordination and communications link between the state and the federal disaster response system. The state level is described further in the SEMS Guidelines.

II. SEMS REQUIREMENTS FOR THE STATE LEVEL

State OES will activate and operate a State Level EOC every time a REOC is activated. The State EOC, often referred to as the State Operations Center (SOC) will provide for the five primary SEMS functions within their EOC organization.

OES maintains the SOC at its Sacramento headquarters facility. SOC staff function primarily from a large central room with the State Warning Center and OES Communications is adjacent. In a major disaster, some SOC staff function from other parts of the facility.

OES is responsible for communications and other basic equipment and supply needs of the SOC. State lead agencies for functions are responsible for agency-specific information, forms and support requirements.

Other State agencies involved in emergency response activities may also operate DOCs at their State headquarters facilities. These DOCs should provide for the five primary SEMS functions within their DOC organization.

The SEMS regulation requires the state SOC to be activated and SEMS used when any regional level EOC is activated and when the Governor proclaims a state of emergency, earthquake prediction or volcanic prediction.

While OES has the lead responsibility for SEMS at the state level, an effective SEMS state level requires a cooperative effort of all departments and agencies having a state level role in emergencies. The requirement to use SEMS at the state level applies to agencies which provide state level coordination of mutual aid and operate the various mutual aid systems which function within the state, and to state agencies that provide support for emergency response activities. The state level shall use inter-agency coordination to facilitate decisions for overall state level emergency response activities.

When the SOC is activated, communications and coordination shall be established with the REOC, state level department operations centers, and federal emergency response

agencies. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.

III. ROLE OF THE STATE LEVEL IN SEMS

A. General Role

The State level manages state resources in response to the emergency needs of the other levels, manages and coordinates mutual aid among the mutual aid regions, and between the regional level and state level, and serves as the coordination and communications link with the federal disaster response system.

B. State Operations Center and Department Operations Centers

Several state agencies maintain operations centers at the headquarters level which are used during periods of emergency response. Under SEMS, these would be classified as department operations centers (DOCs). A DOC is a facility that may be used by a distinct discipline at all SEMS levels above the field response level. DOCs of state agencies may, during an emergency be in direct contact with their own field and/or regional operations centers, with OES REOCs, and with the SOC.

C. General Concept of Operations

Under SEMS, every effort is made to concentrate emergency response functions at the lowest level that will ensure operational effectiveness. Wherever possible, direct State response coordination with mutual aid regions and operational areas will be maintained at the REOC level.

The SOC will ensure the overall effectiveness of the State's Standardized Emergency Management System. During an emergency, the SOC plays a primary role in assisting the Governor in carrying out State emergency responsibilities. This role is carried out by performance of the several primary response functions as required by the situation.

D. Major Responsibilities of the State Operations Center

1. Ensure that all State and Regional response elements of the State's Standardized Emergency Management System are activated as the emergency situation requires, function effectively, and are maintained at the level necessary for the response.

2. Support the Regions, state agencies, and other entities in establishing short-term recovery operations following disasters.

E. Primary Response Functions of the State Operations Center

1. Act as overall state coordinator in the event of simultaneous multi-regional disasters such as earthquakes, fires, or floods. In this situation, provide inter-regional policy direction and coordination for emergencies involving more than one REOC activation. Monitor and facilitate inter-regional communications and coordination issues.

2. Compile, authenticate, and make available summary disaster status information obtained from all sources, in the form of Situation Reports to the Governor's office, the legislature, state agency headquarters, media and others as appropriate.

3. Act as the state's initial response entity until the appropriate REOCs are activated and assume local management of their operational response functions. Maintain control and status of mission numbers and purchasing authority until these functions are delegated to the REOC in the affected area.

4. Provide on-going inter-agency coordination with the DOC headquarters of all state agencies involved in the response effort to ensure adequate statewide mobilization and allocation of state assets. This is typically accomplished through state Agency Representatives assigned to the SOC.

5. Provide necessary coordination with and between established statewide mutual aid systems at the state headquarters level.

6. Manage the state's Emergency Public Information program.

7. Provide and maintain state headquarters linkage and inter-agency coordination with the Federal Response System. This includes requesting appropriate assignments of federal ESFs at both the SOC and REOC to ensure maximum effectiveness.

8. Assist in the planning for short-term recovery, and assist State agencies, and REOCs in developing and coordinating recovery action plans.

IV. ACTIVATION OF THE STATE OPERATIONS CENTER

A. Requirement for Activation

The SOC will be activated under any of the following conditions:

- A regional level REOC is activated.
- The governor's proclamation of a state of emergency.
- The governor's proclamation of an earthquake or volcanic prediction.

A REOC must be activated whenever an operational area EOC is activated. Operational areas will be activated under many different circumstances that will require varying levels of regional and state level support.

B. Levels of Activation

The level of activation, and the associated staffing and organizational development of the SOC will depend on:

- The nature, scope and expected duration of the emergency.
- The extent of activation at other SEMS levels.
- Functions needed to support REOCs and State Level activities.

Activation of the SOC will require that communications and coordination be established with:

- Affected REOCs.
- Department Operations Centers (DOCs) of state agencies.
- Federal emergency response agencies.

Three levels of activation are recommended at the State SOC.

Level One - Minimum Activation

At a minimum, this level would consist of a person functioning as the SOC Director. In addition, one or more Section Coordinators, the Situation Analysis Unit in the Planning/Intelligence Section, the Communications Unit from the Logistics Section, or other units may also be activated if required at this level. SEMS primary functions will be the responsibility of the SOC Director until they are activated.

Level One Activation:

- SOC Director (required)
- General Staff (Operations, Planning/Intelligence, Logistics, Finance/ Administration)
- Situation Analysis Unit
- Communications Unit

Level Two - Mid Level Activation

A Level Two activation would normally be achieved as an increase from Level One or a decrease from Level Three. A Level Two activation would initially activate each functional element of the organization at a minimum level of staffing. One person may function in more than one capacity. The SOC Director and the General Staff, will determine the level of activation required, and demobilize functions or add additional staff to functions based upon event considerations. State Agency Representatives to the SOC would be required under Level Two.

Level Three - Full Activation

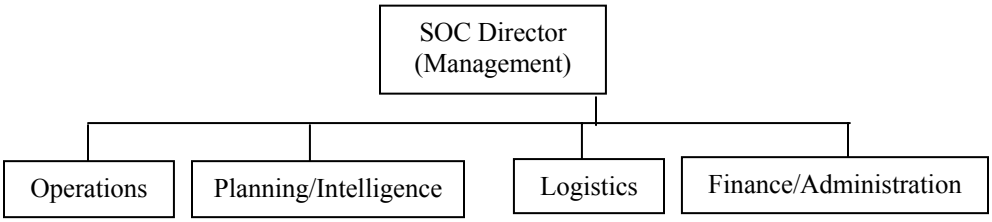
All functional elements are represented at full staffing. A Level Three activation would also include State and Federal declarations with appropriate Federal Emergency Support Function (ESF) representation at the REOC.

V. ORGANIZATION OF THE STATE OPERATIONS CENTER

A. Functional Organization

The SOC will be organized around the five primary functions of:

- Management
- Operations
- Planning/Intelligence
- Logistics
- Finance/Administration



To the extent feasible and required, the SOC organization will mirror the emergency organizations established at REOCs.

Note that under SEMS, only those functional elements that are required need to be activated. Duties of functions not activated will be accomplished by the next higher element in the organization.

Primary functional responsibility is as follows:

- **SOC Director (Management)** - Implements the policy of the OES Director and appropriate government code. Coordinates the joint efforts of governmental agencies and public and private organizations functioning at the state level.

- **Information and Public Affairs Branch** - Manages the state's Emergency Public Information program, and coordinates public information and public affairs activities between involved agencies.

- **Liaison Coordinator** - Ensures that SOC coordination, and support is provided to incoming State, Federal and other agency representatives.

- **Safety** – Ensures that the working environment is free from workspace hazards. Develops and distributes a Safety Plan outlining safety procedures and protocols. Coordinates with General Staff to ensure proper shift relief is planned, thus minimizing employee fatigue and stress.

- **Security** – Ensures that the SOC facility is secure and that entry is granted only for authorized personnel. Coordinates with General Staff and Liaison to ensure that shift rosters, VIP and other visitor lists are updated. Responsible for issuance and retrieval of visitor passes as required.

- **Operations Section** - Coordinates the activities of various functional branches which may be activated at the SOC, that have an operational response role to support REOCs. Coordinates the assignment and commitment of scarce resources.

- **Planning/Intelligence Section** - Collects, evaluates, and disseminates information; develops the state level Situation Report and Governor's briefings, develops the SOC Action Plan in coordination with the other functions, and maintains documentation.

- **Logistics Section** - Procures and provides facilities, services, personnel, equipment, and materials to meet the needs of REOC requests to the SOC and to support SOC and REOC logistic activities.

- **Finance/Administration Section** - Administers SOC and State regional level purchasing authority, cost accounting and other financial activities and administrative tasks not assigned to other functions.

These are the primary functional elements to be established at the SOC. If the Liaison Coordinator function is not established, the responsibility for that function performance rests with the SOC Director. A fully activated SOC organization is shown in the Figure 5-24.

While all functions must be capable of being represented in the SOC, there is no requirement that all functional positions be staffed. A basic principle of SEMS at all levels, is that functional elements need only be activated as necessary, and that the responsibility for any function not activated will reside at the next higher element.

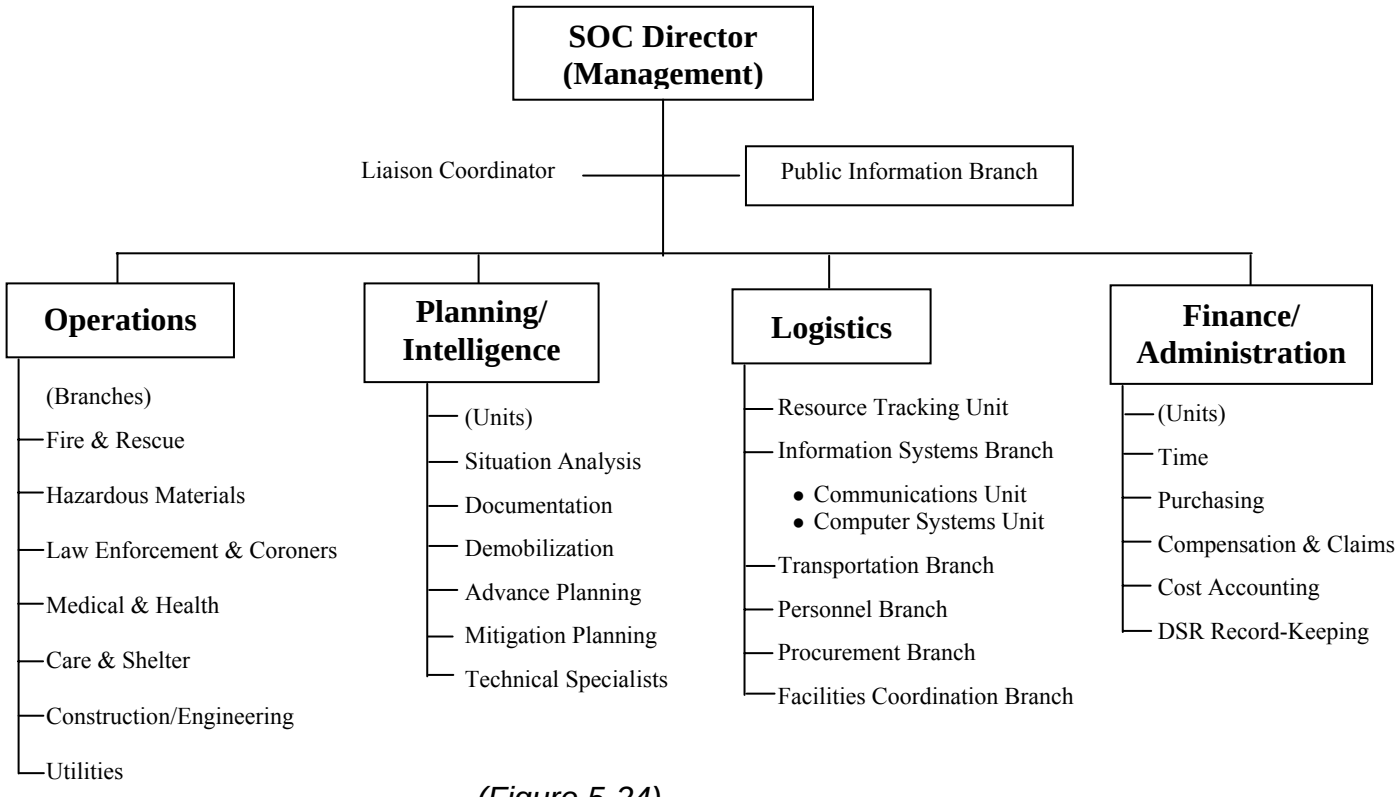
B. Organizational Span of Control

The SOC organization will expand (or contract) as necessary to meet the operational requirement. The hierarchy of organizational elements that can be developed as needed within the EOC organization is:

- Director
- Section
- Branch
- Group
- Unit

Personnel responsible for the operation of a SOC Section will carry a position title of Section Coordinator. Lead persons for branches, groups, and units will have the position title of Coordinator unless otherwise designated.

SOC Organization



(Figure 5-24)

The span-of-control within the SOC organization should be maintained within the range of one lead supervisor for every three to seven positions. If the span of control exceeds that number, activation of another organizational level (e.g., Branch, Unit) should be considered. If the span of control is under three, consideration should be given to deactivating or consolidating organizational elements.

Not all positions in the organization need be activated at the time of an SOC activation. For example, a branch may be activated without first activating the section which contains the branch. Functional need and span of control are the primary considerations in organization development. The duties of SOC positions not activated will always be the responsibility of the next higher position in the organization. One person may also fill more than one functional assignment at a given time.

The extent of the functions to be performed and the necessary organization at the SOC will be dictated by the needs of the event, and the requirements for interactions with the involved REOC(s) and Federal Emergency Support Functions, as expressed in the concept of operations.

VI. STATE OPERATIONS CENTER STAFFING

Staffing levels for SOC activations will be established in Standard Operating Procedures (SOPs).

The SOC Director will determine appropriate staffing for each activation based upon an assessment of the current and projected situation. SOC positions should be staffed by the most qualified available individuals in the function to be performed. Primary staff positions in the organization may be filled by qualified individuals from other State agencies if desired or required. Sub-positions within the organization will be filled by qualified personnel independent of rank or agency affiliation. Staffing may be drawn from:

- OES Headquarters
- Unaffected OES Regions
- Other State Agencies
- Emergency Managers Mutual Aid Responders

The Section Coordinators for Operations, Planning/Intelligence, Logistics and Finance/Admininstration constitute the General Staff of the SOC. The SOC Director and General Staff function as an SOC management team. The General Staff are responsible for:

- Overseeing the internal functioning of their section, and;
- Interacting with each other, the SOC Director, and other entities within the SOC to ensure the effective functioning of the SOC organization.

The SOC Director will establish the functions of Liaison and Public Information and Safety as part of the Management Staff in the EOC. Depending upon the extent of the emergency, these positions may be established at the individual, unit, group or branch level.

VII. COORDINATION AT THE STATE LEVEL

A. Coordination between Region and State Levels

Response coordination with mutual aid regions and operational areas will be maintained at the State OES REOC level whenever possible.

The SOC will ensure that all state and regional elements of SEMS are activated in a timely manner, function effectively, and are maintained at the level necessary for the response. The State SOC will function as the state's initial response entity until the appropriate REOCs can be activated and assume local management of their operational response functions.

The State level will have an overall coordination role with REOCs in the event of simultaneous multi-regional disasters such as earthquakes, fires or floods. In this situation, the State SOC will provide inter-regional policy direction and coordination for emergencies involving more than one REOC activation. The SOC will monitor and facilitate as necessary inter-regional communications and coordination issues.
The level of coordination required with the REOC will be determined by the type of emergency, the ability of the REOC to perform assigned functions, and the level of required interaction between the two state levels.

While the REOC will have primary responsibility for State interaction with affected Operational Areas, the State SOC will perform the following functions which will require close interaction with the REOC:

1. Prepare and release the State Situation Report. Information for this report will be obtained from regional situation reports, conference calls, reports from other state agencies, and information received from any other valid information sources as determined by OES. It will be the responsibility of the SOC to collect and authenticate material from all available sources, and to compile and release Situation Reports on a schedule to be established. Extensive coordination with functional elements within the REOC serving the affected area will be required as well as information received from activated but non-affected REOCs.

2. Develop state level public information announcements. In any major disaster which involves multiple state agencies, it is essential that there be coordination of the release of public information on the state response. Much of this information will be obtained from REOC Situation Reports, from coordination with REOC

Information Sections, and from information and public affairs officers of assisting state agencies.

3. Coordinate the involvement of all activated mutual aid systems to ensure they are functioning effectively, sharing information, and to ensure there are no duplications of resource ordering taking place through the several mutual aid channels.

4. Ensure REOC SOC coordination takes place in the event that federal Emergency Support Functions are established at more than one REOC location or are required at both SOC and REOCs. Coordinate the State Federal interactions to ensure most effective application and use of federal response system.

B. Inter-agency Coordination

Inter-agency coordination is an integral part of both the SOC organization and the procedures that function within the SOC. The SOC General Staff will serve as the primary group responsible for development of SOC Action Plans and will normally be a part of any inter-agency coordination group.

The SOC Director may convene meetings of essential personnel for inter-agency coordination purposes as required. These can be at the General Staff, section or branch level and include other agencies.

An ad-hoc task force may also be used as an effective application of inter-agency coordination to solve specific problems at the SOC. The SOC Director would assign key personnel from various functional areas or disciplines to work together on a task force. Agency Representatives from other state agencies, federal agencies, community based organizations, utilities etc., may be represented at the SOC to help facilitate the statewide response effort. Some or all of these representatives may, from time to time, be put into inter-agency coordination groups to solve special problems. Subject areas and discussion issues will determine participation.

VIII. COORDINATION WITH THE FEDERAL EMERGENCY RESPONSE

It is planned that the SOC in coordination with the REOC will be the primary point of coordination with Federal Emergency Support Functions during a major disaster. FEMA has stated that in the event of a Federal Declaration, ESFs activated under the Federal Response Plan in support of the state will be represented at the SOC and REOC.

The Regional EOC (REOC) will be the primary point of contact within SEMS for operational areas. The REOC must be able to immediately respond to operational area resource requests and information needs. In some cases, accomplishing this will require

a joint state-federal interaction which can best be accomplished if state and federal counterpart organizations are working together at the same location.

Federal ESF functions may also be located at the SOC. This could occur under at least two situations.

- The SOC is the primary state response entity.
- Certain overall state coordination functions are best performed at the SOC and require federal ESF involvement.

Requests for Federal assistance must go through the SOC. The REOC must be able to immediately respond to operational area resource requests and information needs. In some cases, accomplishing this will require a joint state-federal interaction which can best be accomplished if state and federal counterpart organizations are working together at the same location.

The SOC operates under the Director's guidance. Commitment or request for Federal assistance must be coordinated at the SOC level so that the Governor and Director's input can be obtained.

CHAPTER 6:

SEMS FUNCTION-SPECIFIC HANDBOOKS

Chapter 6 consists of SEMS Function Specific Handbooks for both the Local Government and Operational Area levels. They have been developed for each of the five primary SEMS functions required for use in EOCs, and the specific positions that support each function.

These handbooks have been prepared as separate reference documents and can be referred to for position specific information.

They have been prepared for:

- Management Section
- Operations Section
- Planning/Intelligence Section
- Logistics Section
- Finance/Administration Section