

Disaster Response SMARTBOOK

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1

FIRST EDITION

**National Level
Plans**

**Elements of
Government Authority
Response Organization
(NRF/NIMS/ICS)**

**National Response
Framework (NRF)**

NRF Document Suite

**Critical
Infrastructure**

**National Incident
Mgmt System (NIMS)**

**NIMS Resource
Management (RM)**

**Multiagency
Coordination (MAC)**

Federal/National Disaster Response

National Preparedness & Regional Coordination (NRF/NIMS/MAC)

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Disaster Response SMARTbook 1 - Federal/National Disaster Response

National Preparedness & Regional Coordination (NRF/NIMS/MAC)

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ISBN: 978-1-935886-46-4

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(DRS1) Notes to Reader

As a **Nation** we must maintain a state of readiness to respond to both natural disasters and man-made threats. **National response and preparation** is the term used to describe the efforts of Federal preparation and Regional coordination of resources and materials required for the material, financial, and cooperative support of **all-hazards response** at the State, Tribal, and Local level. At the National level, these efforts reflect consideration of both **disaster response and national security** requirements.

The **National Response Framework (NRF)** and **National Incident Management System (NIMS)** provide framework and function for the concepts, structures, and coordination involved the preparation and coordination of the knowledge, systems, and resources required for all-hazards response.

NRF includes all presidential directives, plans, and programs, associated with disaster response and all support efforts provided by those agencies not directly tied to disaster response, but offering support. **NIMS** directs and standardizes aspects of coordination and cooperation within and between Federal and Regional response efforts.

Critical infrastructure is a term used by governments to describe assets that are essential for the functioning of a society and economy - the infrastructure. **Protection** is the preservation of the effectiveness and survivability of personnel, equipment, facilities, information, and infrastructure.

The **Multiagency Coordination System (MACS)** is a system that provides the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. Multiagency Coordination Systems assist agencies and organizations responding to an incident.

This **SMARTbook** provides a detailed explanation of National Response Framework (NRF) and National Incident Management System (NIMS), as well as discussion of the Multiagency Coordination Systems (MACS) as a skill set. It is designed to serve as an introduction to NRF and NIMS concepts, reference documents, and application; as a pocket reference for experienced responders; or as a desk reference for emergency planners, community leaders, or any responder involved in the process of preparation and coordination of response support and leadership.

Disaster Response/Disaster Preparedness SMARTbooks

Disaster management (or emergency management) is the term used to designate the efforts of communities or businesses to plan for and coordinate all the personnel and materials required to either mitigate the effects of, or recover from, natural or man-made disasters, or acts of terrorism.



The Lightning Press offers six specific Disaster Response/Homeland Defense SMARTbooks, in addition to more than a dozen related and supporting titles. SMARTbooks can be used as quick reference guides during actual operations, as study guides at education and professional development courses, and as lesson plans and checklists in support of training. Visit www.TheLightningPress.com!

SMARTbooks (How this Series Works)

The Lightning Press offers six specific Disaster Response / Homeland Defense SMARTbooks, in addition to more than a dozen related and supporting titles. Visit www.TheLightningPress.com to learn more!

Disaster can strike anytime, anywhere. It takes many forms—a hurricane, an earthquake, a tornado, a flood, a fire, a hazardous spill, or an act of terrorism. As a Nation we must maintain a state of readiness to respond to both natural disasters and man-made threats.

National response and preparation is the term used to describe the efforts of Federal preparation and Regional coordination of resources and materials required for the material, financial, and cooperative support of All Hazards Response at the State, Tribal, and Local level. **NRF and NIMS** provide framework and function for the concepts, structures, and coordination involved the preparation and coordination of the knowledge, systems, and resources required for All Hazards response.



Refer to **Disaster-Response SMARTbook 1 - Federal/National Disaster Response** (National Preparedness & Regional Coordination). Topics include national level plans, elements of government authority, response organization (NRF/NIMS/MC), National Response Framework (NRF), NRF document suite, critical infrastructure, National Incident Management System (NIMS), NIMS resource management (RM), and Multi-Agency Coordination (MAC).

The **Incident Command System (ICS)** helps ensure integration of our response efforts. ICS is a standardized, on-scene, all-hazards approach to incident management. ICS allows responders to adopt an integrated organizational structure that matches the complexities and demands of the incident while respecting agency and jurisdictional authorities.



Refer to **Disaster Response SMARTbook 2 – Incident Command System (ICS)** (On-Scene, All-Hazards Incident Management). Topics include incident command system (ICS) purpose, features, and principles; command and staff functions; leadership and management; unified command, area command, and multiagency coordination; planning; ICS briefings and meetings; organizational flexibility; incident/event management; resource management; and demobilization.

Disaster management (or emergency management) is the term used to designate the efforts of communities or businesses to plan for and coordinate all the personnel and materials required to either mitigate the effects of, or recover from, natural or man-made disasters, or acts of terrorism. **Individuals** can make a difference in their own community but not everyone has bought into **preparedness**. Research on personal preparedness indicates that individuals who believe they are prepared for disasters often are not as prepared as they think. In addition, some admit they do not plan at all.



Refer to **Disaster Response SMARTbook 3 – Disaster Preparedness, 2nd Ed.** (Personal, Community & Organizational Readiness). Topics include disaster fundamentals; personal, community, and organizational preparedness; natural disasters (hurricanes, earthquakes, wildfires, floods & landslides, volcanoes, tsunamis, tornadoes, drought & famine, blizzards & ice storms, outbreaks, epidemics & pandemics); man-made disasters (hazardous materials, nuclear events, explosions & chemical spills, civil disturbances, terrorist incidents, active shooters, cyber threats); and recovery.

The US Armed Forces have a historic precedent and enduring role in supporting civil authorities during times of emergency, and this role is codified in national defense strategy as a primary mission of the Department of Defense.

Homeland security is a concerted national effort to prevent terrorist attacks within the US; reduce America's vulnerability to terrorism, major disasters, and other emergencies; and minimize the damage and recover from attacks, major disasters, and other emergencies that occur. HS is an integral element of a broader US national security and domestic policy. Protecting the US from terrorism is the cornerstone of HS.

Homeland defense is the protection of US sovereign territory, the domestic population, and critical infrastructures against external threats and aggression or other threats, as directed by the President. DOD is the federal agency with lead responsibility for HD, which may be executed by DOD alone or include support from other USG departments and agencies.

Defense Support of Civil Authorities (DSCA) is support provided in response to requests for assistance from civil authorities for domestic emergencies, law enforcement support, and other domestic activities, or from qualifying entities for special events.



Refer to **The Homeland Defense & DSCA SMARTbook** (*Protecting the Homeland / Defense Support to Civil Authority*). Topics and references include homeland defense (JP 3-28), defense support of civil authorities (JP 3-28), Army support of civil authorities (ADRP 3-28), multi-service DSCA TTPs (ATP 3-28.1/MCWP 3-36.2), DSCA liaison officer toolkit (GTA 90-01-020), key legal and policy documents, and specific hazard and planning guidance.

Terrorism has evolved as a preferred tactic for ideological extremists around the world, directly or indirectly affecting millions of people. Terrorists use many forms of unlawful violence or threats of violence to instill fear and coerce governments or societies to further a variety of political, social, criminal, economic, and religious ideologies.

Counterterrorism activities and operations are taken to neutralize terrorists, their organizations, and networks in order to render them incapable of using violence to instill fear and coerce governments or societies to achieve their goals.



Refer to **CTS1: The Counterterrorism, WMD & Hybrid Threat SMARTbook** (*Guide to Terrorism, Hybrid and Emerging Threats*). CTS1 topics and chapters include: the terrorist threat (characteristics, goals & objectives, organization, state-sponsored, international, and domestic), hybrid and future threats, forms of terrorism (tactics, techniques, & procedures), counterterrorism, critical infrastructure, protection planning and preparation, countering WMD, and consequence management (all hazards response).

Cyberspace is a global domain within the information environment consisting of the interdependent network of information technology infrastructures and resident data, including the Internet, telecommunications networks, computer systems, and embedded processors and controllers.



Refer to **CYBER: The Cyberspace Operations SMARTbook** (in development). U.S. Armed Forces operate in an increasingly network-based world. The proliferation of information technologies is changing the way humans interact with each other and their environment, including interactions during military operations. This broad and rapidly changing operational environment requires that today's armed forces must operate in cyberspace and leverage an electromagnetic spectrum that is increasingly competitive, congested, and contested.



(NRF/NIMS/MAC) References

The following references were used in part to compile "Disaster Response SMARTbook 1 - Federal/National Disaster Response." All references used to compile SMARTbooks are in the public domain and are available to the general public through official public websites and designated as approved for public release with unlimited distribution. SMARTbooks do not contain ITAR-controlled technical data, classified, or other sensitive material restricted from public release.

This SMARTbook provides a detailed explanation of National Response Framework (NRF) and National Incident Management System (NIMS) as well as discussion of the Multiagency Coordination Systems (MACS) as a skill set. Specifically it covers the FEMA course work from IS-700 and IS-800 with the 2015 updates. The Multiagency Coordination Systems (MACS) discussion follows the now (as of 2016) discontinued IS-701 (MAC) course. MACS information is now found as it was originally included in the NIMS IS-700 course work. Note the pre-2016 references to Multi-Agency Coordination does not include the "S" for systems: MAC vs. MACS. This is an important distinction when looking up material as it will help to "date" the reference being used.

National Level Directives, Laws, and Plans as References

This series utilizes Presidential directives, Federal laws, and National plans as references to ensure familiarization with, and understanding of National level resource documents. This includes all preparation and response oriented Presidential Directives and Federal laws (Stafford Act), as well as the entire National Response Framework suite of documents; NRF Core Document, Category Annexes, Support Annexes, Emergency Support Annexes, Recovery Support Annexes, and Partnership Guides.

FEMA National and Regional Preparation and Response Training Courses

IS-700 NIMS, an Introduction: This independent study course introduces the NIMS concept. NIMS provides a consistent nationwide template to enable all government, private-sector, and non-governmental organizations to work together during domestic incidents.

Multiagency Coordination Systems: Multiagency Coordination (MAC) was a separately trained course until 2016 as FEMA course IS-701. MAC is now referred to as Multiagency Coordination Systems (MACS) and is trained as part of NIMS. Multi-Agency Coordination is still a vital part of NIMS functionality and is addressed as a "parallel" skill set in this series.

For those not formally trained in NRF and NIMS it is prudent, for the intent of introduction, to separate NIMS organizational concepts from MACS physical and coordination functions. For those familiar with NIMS, addressing MACS concept and functions separately reiterates the realities of logistical and communication systems coordination within the physical facilities of response support.

IS-703: NIMS Resource Management: This course introduces resource management as described in the NIMS, and shows how systems for managing resources can be used to improve incident response.

IS-800 National Response Framework (NRF), an Introduction: The course introduces participants to the concepts and principles of the NRF.

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National Level Plans

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- II. National Plans Overview
- III. Priorities at the National/Regional Level vs. Priorities at the State/Local Level
- IV. Politics and Planning, National Goals, Preparedness, and Preparation
- V. National Plans and How They Interact

Understanding National plans is not difficult but it does require a little time and some thought to learn the functions and purposes of government plans. Yes, there are complexities, and even secrets, within the details of government plans. But set those individual planning details aside and the complexity is replaced by recognizable patterns of coordinated purposes, standardized definitions, and common planning structures.

A Plans Relationship to Other Plans

Framework

- What structure defines planning requirements

Purpose

- What function or service does this plan provide

Coordination

- How does this plan link to and support other plans

Context

- How does the plan, and its linkage to other plans, fit in the Framework

The introductory explanations presented in this discussion on National level plans describe the influence of purpose and context. A common mistake when addressing plans is thinking that a plan is a “stand alone” document. It is very rare that a government plan, especially in disaster response, is not linked in some significant way to other disaster response plans. Keeping the aspects of framework, purpose, coordination (linkage), and context in mind, allows Response Leaders to understand the parts and purposes of the plans within the National Response Framework.

The follow-on discussion describes the specifics of naming conventions for National plans, their purposes, common aspects, and how they work together within the framework. All government plans fit somewhere within that framework. The name of the plan will (almost) always specifically identify the purpose of the plan. Through learning the several types of plans, who generates the plans, and the information they provide, Response Leaders can discern the scope and purpose of a National level plan from the name alone. They will also know which plans to reference when seeking specific information.

I. Fundamental Aspects and Naming Conventions in Federal Planning

Before entering into the specifics of plan types and functions there are a few aspects of plans and planning that need to be understood. This may seem simplistic but it is not. The failure in many plans is related to not recognizing or including one of these three important aspects:

- Who is responsible?
- What is being accomplished and what effects will the plan have? And,
- Are the actions and materials of the plan internal or external to the agency writing the plan?

These ideas are described in the concepts of Authority and Delegation, Nesting, and Control vs. Cooperation. With a firm comprehension on the definitions of these three aspects and their impacts upon any plan, you will be able to know how (and more importantly how effectively) an individual Federal plan fits into the network of plans known as the National Response Framework.

Concepts in Plans and Planning

Authority and Delegation:

- Who is responsible?

Nesting:

- What is being accomplished and what effects will the plan have?

Control and Cooperation:

- Are the actions and materials of the plan internal or external to the agency writing the plan?

No plan at the national or regional level is a stand-alone or separate endeavor. All plans link together with intent, materials, or manpower. Recognizing and incorporating these concepts in reading or writing plans is vital to efficiency and success for senior management as well as operational planners.

In the end all plans break down to three questions:

- **Authority and Delegation:** Who is responsible? Are goals and objective decided independently or are they directed?
- **Nesting:** What is being accomplished and what effects will the plan have? Is the plan part of a greater effort? If so how does it fit with other plans?
- **Control and Cooperation:** Are the actions and materials of the plan internal or external to the agency writing the plan? Does the plan call for independent action using material from within the organization or for working as part of a team and requiring materials from outside the organization?

If one does the math, there are 9 separate possible combinations for the interaction of the people involved in any plan. Understanding those relationships will be vital to understanding the plans.

See facing page for an overview and further discussion.

Concepts in Plans and Planning

Authority and Delegation

The first concept is authority and delegation. Every plan represents either an independently generated goal or an agreed upon cooperative objective. In planning parlance this is called "defining the box." It establishes the vital boundaries of where and what an organization can plan and act upon independently, and where it must conform to outside directives, demands, or limitations.

Within the government this definition of "the box" comes in the form of authorizations and delegations. An organization either holds the primary responsibility to ensure tasks are completed and holds the legal authority to receive and expend public resources to complete that task OR it is delegated the responsibility to perform the task and is provided with the resources required to complete specific tasks as part of a collective effort.

A good example of this differentiation is found in the Department of Defense. The Secretary of Defense is responsible for the organization of all structures of the US that provide federal resources and manpower to provide for the nation's defense against external threats. The Army, Navy, Marines, and Air Force each have separate and specific delegated responsibilities that collectively provide the security required to protect the nation. This example is not limited to the definitions such as land, sea, and air. The Secretary of Defense manages wars. The Army and Navy manage campaigns and battles within their respective areas of geographic and geospatial command. The Air Force and Marines manage battles within their element of expertise and support Army and Navy campaigns. In each scenario there are elements of both authority and delegation. Awareness of authority and delegation will assist you in understanding what a plan is designed to accomplish within the larger framework. In this example battles support campaigns and campaigns support national security goals as well as international political objectives.

Nesting

Where authority and delegation address individual plans, nesting reflects a plans relationship with other plans. Nesting is the relationship between several different plans working concurrently or sequentially, either cooperatively or independently, to create a set of circumstances that facilitate the completion of an operational or strategic goal through multiple operational efforts. The key to understanding the idea of nesting is that most plans are not designed to be independently complete as much as they are designed to be mutually supporting with other plans.

Control vs. Cooperation

Does the plan call for the agency or department to resource and act independently, or cooperate with other agencies and departments? There are two separate elements in this question: command and resources. In an independent action (agency / department controlled plan) the agency can utilize its existing administrative structure and will use its own resources. In a cooperative effort multiagency coordination within ICS structures (Commands, Groups, & Centers) may replace some aspects of the agency's regular decision making processes. Regularly accessible agency resources may be shared, or conversely, the plan may call for another agency to provide materials or services. Cooperative plans may also divide or limit resources. These aspects of "change", "add to" and "take from" are vital to understanding how plans will work. Remember that these efforts all push resources and information down to the Incident Command level (Federal, Regional, and State always support Local).

Keeping these aspects in mind when reading about national level plans will assist you in understanding how the plans, and agency efforts, relate to each other.

II. National Plans Overview

A. Federal Plans

Each separate Federal plan is one piece of a series of plans that interconnect to form what is collectively called the National Response. Reading a lone plan without the context of its relationship with other plans leaves the reader with an incomplete picture of the National Response as a whole. If you are reading a Federal plan and see a void or aspect that is not addressed, this usually indicates that there is another plan that meets that part of the need in the National Response. Sometimes finding all the plans required to meet all the national goals is difficult, but here are a few of the Federal plans that will have a significant impact on how things will work during a National Response to a disaster. A short description of the general concepts, priorities and methods of each plan will be provided with notes on how they interconnect with other Federal plans. For the purposes of our discussion, the goals of governance will be identified when they match a major aspect of the plan. Although not specifically addressed in ICS, the tenets of governance are important to effective incident response. (For a complete discussion on governance see Book 3 in this series, Disaster Preparedness)

Presidential Defense Directive 67 (PDD 67): Enduring Constitutional Government and Continuity of Government Operations, 21 October 1998

This defense plan is a classified document and its contents are secret. The existence of the plan is not a secret, but the details of the plan are classified. It is the directive for all branches of government (including some programs and agencies that are not mentioned openly) and provides detailed standards for how the U.S. will respond to a major catastrophic event. The text of PDD-67 has not been released, and there is no White House fact sheet summarizing its provisions. It makes sense not to openly display our defense and security plans. This is done to ensure the National Response plans for the U.S. are not countered by an opponent reverse engineering our plan in order to find (or create) vulnerabilities. What we do know about PDD 67 comes from the non-secret Continuity of Operation and Continuity of Government plans that were written at the direction of PDD 67 for the subsequent branches of government. This is open-source (meaning unclassified and open to media release) information and can be quite revealing.

The President will coordinate the cooperative efforts of National Response, not control or direct. This means the separate branches of government will stay separate, and the sovereignty of the States is preserved. This specification that the President will not have "special executive powers of authority" is important. We will see the theme of the preservation of authority within State and Local level jurisdictions repeated throughout the plans. This is the best indication of the Federal government's intention to help without taking over. The executive branch, being the largest branch of government and having the responsibility of coordinating disaster response and Continuity of Government, has well-defined plans that offer a good view of the goals and methods of the plans.

Federal Continuity Directive 1 (FCD 1): Federal Executive Branch National Continuity Program and requirements (Feb 2008)

This is the overall plan on how the executive branch of the Federal Government will respond to a major disaster. This is the order for what is to be done. It is a Continuity of Operation, or COOP, plan which means its purpose is to ensure that the essential functions of government do not completely break down by directing the organizations, agencies, and departments of the executive branch to identify their respective

B. Roles and Responsibilities

Checks and balances are incorporated into the framework of how government works in a representative republic like the United States. Maintaining these checks and balances is especially important in times of emergency. Under federalism, the checks and balances apply to the States as well as the three branches of Federal Government. No one part of government is allowed to have (or acquire in the name of expedience) sole authority over “Caesar’s Trifecta” of manpower, material, and authority to command. The checks and balances represented in the separate branches of government are repeated and reinforced within the separate plans found within the National Response Framework. In disaster response it is less about preservation of the tenets of freedom and more about providing essential services, but the same ideals are strongly represented. To this end you will discover that the providers within the plans fall within one of three major groups: Service Providers, Material Providers, and Authority Providers.

Federal Plan Participants

Group	Participants	Provide
Federal Government	Executive Branch	Leadership & Resources for action (short term)
	Legislative Branch	Authority to spend or use resources (long term)
	Judicial Branch	Constitutional Rulings on Roles & Authority
State, Local, Territorial, and Tribal Government	Elected Officials	Leadership & Authority within Jurisdictions
	Emergency Services	First Response
	Public Services	Reestablish lost services
Private Sector	Owners	Leadership, Money, & Materials
	Operators	Skills and Labor

Service Providers and Technical Leadership.

These groups will have the capability and skills to take action. They do not have the authority to take action without permission and do not provide their own long-term resources. Examples of Service Providers are the police, fire department, and military.

Material Providers and Control Elements

These groups have the resources in the form of money to pay for manpower and materials to do the things that need to be accomplished, but will not have the authority to take action and may not have the skills to use the materials they can provide. The best example of this is FEMA. They have resources and the ability to control large operations, but rely on Local and State Government to bring Service Providers and technical leadership.

Authority Providers

These groups have the power to start and stop the actions of Service Providers. This idea of needing authority to take action is a very important form of control and comes in the form of jurisdiction, which we will discuss in detail in a later chapter. Elected officials are Authority Providers.

With no one group having all three powers, each group is dependent upon the others to get the job done. Working together, the balance of power is maintained between Local, State, and Federal Government.



Elements of Government Authority

- I. Division of Governmental Authority
- II. Jurisdictions
- III. Emergency Powers at the National and State Level
- IV. Posse Comitatus and Marital Law
- V. Role of the Military in Disaster Response

The authorities, actions, and resources applied to disaster response follow the same structures of authority as government. Where authority for decisions and expenditures are concerned, it follows this structure exactly and with a necessary transparency. Where actions and resource utilization is concerned, the lines between the structures of authority often seem blurred because of cooperation and agreements between jurisdictions. Despite the appearance of joining and mixing of lines of authority in cooperative efforts, in reality those lines of authorities are also rigorously maintained.

What follows is a quick discussion on the structure of government and the distribution of authority within different levels of government. An examination of the application of authority is useful in understanding how authority flows up and down the chain of government. This same dynamic will manifest in disaster response. Sometimes conflicts can occur when structures of authority are held so rigidly within agencies that those agencies become unable to, or are unwilling to, cooperate between different elements (or levels) of government.

An example of this was the conflict between the Federal Government and the municipality of New Orleans in the aftermath of Hurricane Katrina in 2005. In that case the City either failed to, or refused to, request assistance from the State, thus blocking the Governor from making a Declaration of Emergency. This legally hindered the State and Federal government from sending resources for rescue and recovery. Eventually the Federal government took independent action (under the authority of the Stafford Act) based upon the demonstrated loss of life within the city. Unfortunately, many lives were lost in the duration of this administrative failure to allow jurisdictional cooperation. Whether this situation was caused by the chaos of disaster, the ineffectiveness of city / parish (county) government, or by deliberate obstruction did not matter to the people who died as a result of the delays.

This information becomes important in the discussion of jurisdictions and authority to expend funds for a disaster relief effort.

I. Division of Governmental Authority

The elements of governmental authority describe the application of powers granted to Federal, State, Tribal, and Local government by the will of people, and exercised via laws and ordinances. These powers are described in the Constitution of the United States at the Federal level. Where the authority of the Federal Constitution ends the Constitutions of the respective States takes effect. Within the States, government authority is separated by counties and further separated into townships, towns, and municipalities.

State

A nation or territory considered as an organized political community under one government.

Tribal

Native American (Indian) tribes within the United States possess sovereign authority over their people and territory. Tribal sovereignty, the right for tribes to make their own laws and be governed by them, predates the establishment of the Federal government and the U.S. Constitution. Response Leaders in States where Tribes and their lands are present should take care to understand the Federal and Tribal laws established for and by these sovereign nations.

- U.S. Tribal law is covered in 2015 US Code: Title 25, Chapter 1-48, Sections 1 - 4307
- These document can be found at <https://www.law.cornell.edu/uscode/text/25>
- Tribal-institute.org is also a good site to start with in researching these considerations.

County (in the U.S.)

A political and administrative division of a State, providing certain Local governmental services.

Township

A division of a county with some corporate powers.

Borough, Village, Town, City

An urban area that has a name, defined boundaries, and Local government, and that is generally larger than a village and smaller than a city.

Municipality

A Borough, Village, Town, or City that has corporate status and Local government.

Ordinances constitute the subject matter of municipal law. The power of municipal governments to enact ordinances is derived from the State constitution or statutes or through the legislative grant of a municipal charter.

Jurisdictions

Merriam–Webster Dictionary defines jurisdiction as “the power, right, or authority to interpret or apply the law, and the limits or territory in which authority may be exercised.”

A. Types of Jurisdiction

When applied to domestic security, this definition of who can do what and where can they do it becomes very important. It defines not only the role of each agency but the limitations on that agency when enforcing its jurisdiction. This definition also helps provide guidance for what part each agency will take in the preparation for and response to a terrorist attack. There are three types of jurisdictions that define how different regions, States, and agencies interact with each other:

Types of Jurisdictions

Exclusive Jurisdictions = Sole Court or Agency, not shared

Concurrent Jurisdictions = Jurisdictional Overlap

Supreme Jurisdictions = One Jurisdiction Takes Precedent

See facing page for further discussion.

Presidential Declarations of Emergency

The President may declare a national State of Emergency within the United States, its Territories and Protectorates, independent of a specific request, when he feels a situation exists due to events or identified threats caused by “crisis, exigency, or emergency circumstances,” and in the case of a natural disaster the President may act “to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.” His response is not limited to disaster or wartime situations. National States of Emergency may also be economic, civil, or social in nature. The President’s declaration authority is deliberately broad in respect to what constitutes an emergency. His powers are equally broad. “The President may seize property (USC, Title 42), organize and control the means of production (USC, Title 15), seize commodities (USC, Title 42), assign military forces abroad (Jefferson, 1791), institute martial law (USC, Title 10), seize and control all transportation (USC, Title 50) and communication (USC, Title 42), regulate the operation of private enterprise (USC, Title 50), restrict travel, and, in a variety of ways, control the lives of United States citizens.”

“The President may:

- ☐ Seize property (USC, Title 42),
- ☐ Organize and control the means of production (USC, Title 15),
- ☐ Seize commodities (USC, Title 42),
- ☐ Assign military forces abroad (Jefferson, 1791),
- ☐ Institute martial law (USC, Title 10),
- ☐ Seize and control all transportation (USC, Title 50)
- ☐ and communication (USC, Title 42),
- ☐ Regulate the operation of private enterprise (USC, Title 50),
- ☐ Restrict travel, and, in a variety of ways, control the lives of United States citizens.”

These powers are designed to offer the widest range of options to the President in emergency situations. Individual presidents have viewed their role, and the intent of their powers, differently. At one end of the spectrum, President Theodore Roosevelt saw the presidency as a “Stewardship” and that “it was not only his right but his duty to do anything that the needs of the Nation demanded unless such action was forbidden by the Constitution or by the laws.” In contrast, President William Howard Taft viewed his office in more limited terms, writing, “the President can exercise no power which cannot be fairly and reasonably traced to some specific grant of power or justly implied and included within such express grant as proper and necessary to its exercise.” This was the express purpose of the Founders inclusion of the 10th Amendment to the Constitution.

See also pp. 4-42 to 4-43.

Response Organization (NRF/NIMS/ICS)

Ref: IS-800 Unit 5.

- I. Commonly Used Terms and Situational Definitions
- II. Response Program Definitions
- III. Planning Priorities
- IV. Specific Functions of Response Programs (NRF, NIMS, ICS)
- V. Response Structure: NRF and NIMS in ICS Structure
- VI. Governmental Structures and Response Structures

Now it is time to delve into the specifics of organizations, processes, and operational functions of the organizations that make up the National response effort. There is complexity and subtlety here as well as different requirements for Response Leadership within the respective response programs.

The descriptions provided here are not intended as just introductions to further expanded program definitions of NRF, NIMS, and ICS. This section deals with the separation of intents and priorities between the three programs as they each provide vital aspects of response commensurate with their level of developmental, support, or operational goals. A Response Leader must understand these intents and priorities as well as be able to maneuver, intellectually and operationally, within and between NRF, NIMS, and ICS.

National All Hazards Response is organized under three operational programs:

The National Response Framework (NRF)

NRF includes all presidential directives, plans, and programs, associated with disaster response and all support efforts provided by those agencies not directly tied to disaster response, but offering support. An example would be the National Oceanic and Atmospheric Administration (NOAA). The NRF also includes Federal law, Federal agencies, and those aspects of regional coordination facilitated by Federal agencies. *See chap. 4.*

The National Incident Command System (NIMS)

NIMS directs and standardizes aspects of coordination and cooperation within and between Federal and Regional response efforts. *See chap. 6.*

The Incident Command System (ICS)

ICS is the application portion of response and provides unity of effort through standardization, communication, and certification to ensure all aspects of operational response are conducted in a uniform manner allowing quick and effective communication and coordination among response providers.

ICS is described in detail in book #2 in this series, "Disaster Response SMARTbook 2 – Incident Command System (ICS)."

Each of these programs will be described in detail in subsequent chapters but before advancing further some context and definition needs to be provided. Each of these programs uses a similar set of terms and even similar functions, but it is important to understand the fundamental differences in the goals of these programs. Comprehension of these subtleties goes a long way towards providing effective leadership.

I. Commonly Used Terms and Situational Definitions

Before a discussion of NRF, NIMS, and ICS can continue in a concise manner, there are some terms that are used in a general fashion that, when considered, actually define very different activities. In an attempt to lessen any potential confusion, the following refinements are offered to augment the official definitions used in the FEMA course work in order to put the use of these words into context and perspective.

Each of these words has a general meaning associated with an activity:

Preparation = gathering and learning,

Coordination = communication and planning,

Response = action and expenditure.

When using these definitions in their most general sense, every level of government, from the Office of the President of the United States to the Local fireman prepares, coordinates, and responds.

Important Definitions

Preparation: The action or process of making ready or being made ready for use or consideration.

Coordination: Bringing different elements of a complex activity or organization into an effective and mutually supporting relationship that will enhance cooperation and efficiency.

Disaster Response: The aggregate of the decisions and measures taken to:

- (1) contain or mitigate the effects of a disastrous event to prevent any further loss of life and/or property,
- (2) restore order in its immediate aftermath, and
- (3) reestablish normality through reconstruction and rehabilitation shortly thereafter. The first and immediate response is called emergency response.

Strategic: A general outline of action, direction or policy designed to achieve Incident Objectives. Plans are *conceived and visualized* at the strategic level.

Operational: The process of planning for and coordinating the details of preparing the personnel, equipment, and materials required to act upon a strategy. Plans are *written and resourced* at the operational level.

Tactics: The specific actions required to fulfill a strategy and achieve an Incident Objective. Plans are *equipped and conducted* at the tactical level.

Because of the complexity of an organized national response these terms must be used with refined meaning guided by the context of their use. When examining the roles and participation of different levels of government these terms have more subtle meaning in the context of when and how preparation, coordination, and response takes place.

III. Planning Priorities

When the Response Hierarchy is described, the most common method is to start with ICS and then move up the hierarchy. This is to emphasize the policy, and wisdom, of using Local resources first and then requesting more as needed within the structures provided within ICS. This “up the chain” method also corresponds to the general hierarchy of responsibility and authority during a response beginning at the Local level.

The system works well for training responders and places the correct focus on how to send requests for resources up the chain. But for our purposes of examining the National Response Framework we will also examine the process from the top down; national philosophies, methods of anticipating national needs, and providing critical infrastructure.

Disaster Response leadership, especially at the Regional or higher jurisdiction, will need to understand the difference in how the national response is focused in contrast to how State and Local response is focused. Leaders will need to understand how both of these views are correct when applied from their respective level and be able to shift their own thinking to match the needs of the level in which, and with which, they are working.

Top Down View of NRF: Establish & Provide

Federal – Establish & Stabilize
State / Regional – Coordinate & Standardize
Local – Apply & Utilize

Bottom Up View of NRF: Conduct & Support

Federal – Provide Resources & Funding
State / Regional – Coordinate & Fill Requests
Local – Conduct Operations

Bottom Up / Top Down View of National Response Framework

When examining the NRF from the local, or even State perspective, it appears as if the Federal government serves primarily in a support capacity. NIMS and ICS look at NRF as a resource rather than a higher headquarters. At the local level this perspective is correct in that the requests made by Incident Commanders and their Staffs are supported by the resources and material gathered and distributed at the State and Regional level. In this Operational view, The Federal government is a supplier within an existing infrastructure.

When examining NRF from the Federal level, regardless of the “truth” as it is understood at the Local or even Regional level, the Federal government establishes and creates conditions of stability, resource and materials availability, infrastructure and policy frameworks, and all other aspects that establish and stabilize the state of the national. The Federal government is responsible for developing and maintaining what is “normal”. This provides standardization and stability across the diverseness of response capability found throughout the Nation.

Governance establishes this condition of “normal” on a day to day basis. The NRF defines what is required to reestablish “normal” when that planned and desired condition

it is disrupted. NIMS and ICS define and direct how States and Communities respond when “normal” is disrupted. Note the difference, at the federal level the goal is to establish and provide, at the Local and State level the goal is to conduct and support. This fundamental difference drives how each level conducts itself within the framework.

National Response Framework planning priorities

The best way to express the difference between the NRF and ICS / NIMS is to look at the planning focus of each of the three response programs.

The goal of the NRF is to provide the conditions required to promote success and facilitate disaster response. This means that the NRF does not focus on operational goals. The NRF provides and protects those elements that Regional, State, Tribal, and Local jurisdictions will need for their response efforts.

At the strategic level the Federal government provides governance. Governance establishes, provides, protects, and stabilizes the state of the nation. The aspects of governance are the same at the Local level as they are at the Federal level, but they are achieved through vastly different methodologies and on a significantly different scale. As far as the Federal government is concerned, the NRF is related to protection and stabilization within their efforts of governance.

Requirements of Governance

The goals of governance are described in order of precedence, each stage advancing on the benefits gained from the preceding aspect. These are not separate or stand-alone phases as much as they are descriptions of emphasis during the evolution of effective governance. Some of the aspects of effective governance will begin in one phase and evolve into the next. Two good examples of this are fire-response services and effective government. Fire response begins as an aspect of security, but expands into an aspect of services. Effective government starts by providing essential services, but evolves in its legitimacy through the application of systems that provide stability. See facing page for an overview and further discussion of the goals of governance.

IV. Specific Functions of Response Programs

Response Program / Structure Comparison	
Response Programs	Response Structures
NRF (National) - Provide	Government: Gathers Resources, Set Standards
NIMS (State & Regional) - Coordinate	Regions: Organize & Coordinate Efforts
ICS (Local) - Command	IMTs: Conduct Rescue, Response, & Recovery
<u>National Response Framework (NRF)</u> Provides authority and delegation for the collection and management of resources at the National and Regional level	<u>Structure of Government : Plan</u> Structures within Branches of Government: ➢ <u>Federal Departments & Agencies</u> Partnerships - Manufacturing & Service Industries Partnerships - National & Regional Level NGOs
<u>National Incident Management System (NIMS)</u> Provides for coordination of effort between National & Regional preparation and State, Tribal, & Local response	<u>Federal & Regional Response: Coordinate</u> Federal Agency / Department Regional Offices Regional MAC Groups & State Level Centers Partnerships: States, Private Sector, NGOs <u>Area Commands / Unified Area Commands (JFO)</u>
<u>Incident Command System (ICS)</u> Provides operational command and control for all resources used at the local level	<u>Incident Response Structure: Command</u> ➢ <u>Unified Commands</u> ➢ <u>Incident Management Teams (IMT)</u> ➢ <u>Incident Commands</u>

Functions of the National Response Framework (NRF)

The National Response Framework (NRF) covers the coordination of activities of the federal government and national private assets down to the Regional level. It provides plans and coordination that generates strategically uniform policy and

standardized requirements for disaster response in all areas from standardization of training to the coordination of federal resources like radio frequency bands and priority of use for air, waterway, ground, and space utilization.

The goal of the NRF is to provide structure, guidance, and resources for those who make response plans and conduct incident preparation. Note that the goal of the NRF is to help others be ready rather than to act as the responder. There are aspects of the NRF that include response, but that response is in a support role.

Functions of the National Incident Command System (NIMS)

The National Incident Command System (NIMS) provides a consistent nationwide template to enable Federal, State, Tribal, and Local governments, non-governmental organizations, and the private sector to work together at the Regional, State, and Tribal level in coordination with Federal input and assistance. Its goal is to provide a standardized format for planning for All Hazards Response and to protect against, respond to, recover from, and mitigate the effects of incidents regardless of cause, size, location, or complexity.

The operational functions of the NIMS coordination takes the NRF Federal and Regional preparations and transforms them into resources and materials that can integrate into the Incident Command System. This is done within the Joint Field Office. The structure and functions of the Joint Field Office mimics the Incident Command Post to facilitate that transformation.

Functions of the Incident Command System (ICS)

The Incident Command System is a standardized, on-scene, all-hazards incident management concept that enables a coordinated response among various jurisdictions and agencies. It establishes common processes for planning and managing resources that allows for the integration of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.

See following pages (pp. 3-12 to 3-13) for further discussion of ICS.

RELATIONSHIP OF NRF, NIMS, & ICS

National Response Framework (NRF) Strategic National Goals & Infrastructure

Federal to Regional Plans & Coordination
Provides Policy, Generates Materials, Establishes Infrastructure

National Incident Management System (NIMS) All Hazards Regional Goals & Coordination

Regional to Local Plans & Coordination
Refines Policy, Gathers Materials, Manages Infrastructure

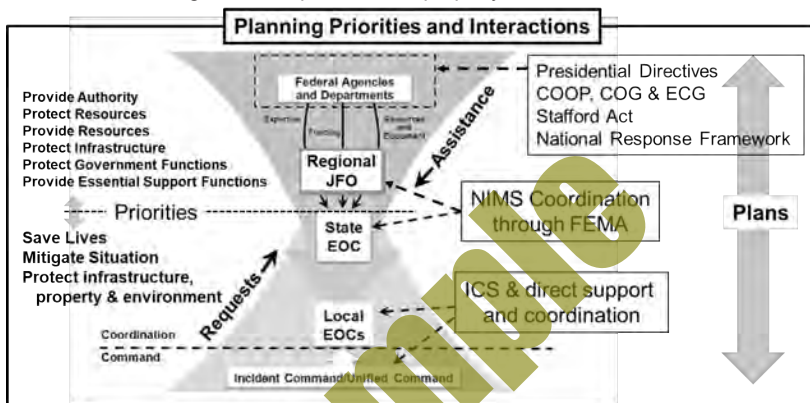
Incident Command System (ICS) Local Operational Goals (Response) & Mitigation

Local Plans, Training, Coordination, Preparation, and Response
Follows Policy, Expends Materials, Protects Infrastructure

Disaster Response and the National Response Framework

Within the National Response Framework, the Federal government provides those functions that will empower, resource, and support the jurisdictions that will conduct operational response plans. These functions consist of the departments and agencies that facilitate authority, resources, and essential services as well as aspects that protect resources, infrastructure, and ensure the continuation of essential government functions.

These priorities are different from, but directly support the ICS priorities of life preservation, disaster mitigation, and protection of property and the environment.



The National Response Framework integrates organizational structures that have been developed, tested, and refined over time. What follows is a review of the response structure seen at the Local level up to the Regional level as described in detail in book 2, ICS. The primary focus of this material will be to provide an in depth description of the major response organizations that are active at the Regional and National levels. This includes the National Response Framework (NRF) and the National Incident Management System (NIMS).

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

Local responders use the Incident Command System, or ICS as described in *Disaster Response SMARTbook 2 – Incident Command System (ICS)*, to manage response operations. ICS is a management system designed to enable effective incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.



Refer to *Disaster Response SMARTbook 2 – Incident Command System (ICS)* (On-Scene, All-Hazards Incident Management) for further discussion. Topics include incident command system (ICS) purpose, features, and principles; command and staff functions; leadership and management; unified command, area command, and multiagency coordination; planning; ICS briefings and meetings; organizational flexibility; incident/event management; resource management; and demobilization.

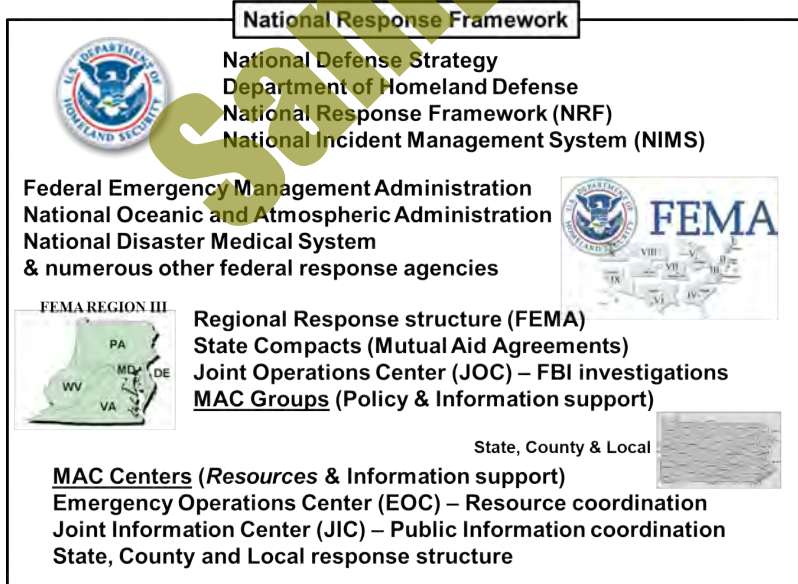
I. National Response Framework (NRF)

Ref: IS-800 Unit 5: NRF.

- I. Functions of the National Response Framework
- II. Structure of the National Response Framework
- III. Federal Policy Level Entities, Groups and Councils
- IV. Federal Response Structures
- V. Initial Federal Response Assets

I. Functions of the National Response Framework

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



Key points related to the NRF:

- All Federal departments and agencies may play significant roles in Incident Management and response activities, depending on the nature and size of an incident.

- The Secretary of Homeland Security is the principal Federal official responsible for Domestic Incident Management. This includes coordinating Federal operations and Resource deployments within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, or other emergencies.

Federal departments and agencies routinely manage the response to incidents under their statutory or executive authorities. These types of responses do not require DHS coordination and are led by the Federal entity with primary jurisdiction. In these instances, the Secretary of Homeland Security may monitor such incidents and may, as requested, activate Framework mechanisms to provide support to departments and agencies without assuming overall leadership for the incident.

All three programs (NRF, NIMS, & ICS) use common principles and methods. These include common priorities of effort, standardized training and certifications, and standardized organizational structure. Even though the NRF has a different set of functional goals at its level of jurisdiction, it anticipates for the needs of response efforts based upon the priorities of response. Therefore, the criteria for determining the priority of effort for disaster response at every level of Government are the same:

Life Safety

- Threats to the public
- Threats to responders

Incident Stabilization

- High damage potential
- Incident Complexity
- Infrastructure protection

Property Conservation

- Real property threatened
- Environmental impact
- Economic impact

To achieve these common objectives the different agencies, at all levels, use some common standardized training and certifications, and standardized organizational structure.

Examples of standardized training and certifications are the ICS training provided to all responders and their agency leadership. The ICS, NIMS, and NRF classes (100 through 800) offered through FEMA at <http://www.fema.gov/>. These, and other programs, that provide centralized (Federal) training and standards development, and are conducted in decentralized (Local) programs, ensure standardized and collective training as well as standardized national level qualifications and certification. This Local capacity provides response capability across the Nation. Standardized and collective training and standardized national level qualifications and certification are unified within Multi-Agency Coordination (MAC) principles. This ensures that those who are providing resource and those who are requesting them understand each other before the need for coordination arises.

Multi-agency Coordination is the function that links the Federal efforts to the State and Local efforts. The National Response Framework provides for the function of MAC by requiring the use of common publications within the respective response disciplines which ensures they share common supporting technologies and systems. This is everything from common publications provided by the Federal Government to communication compatible radios purchased by Local agencies.

National Infrastructure Coordinating Center (NICC)

Part of the National Strategic Plan is the National Infrastructure Protection Plan. It's goal is to build a safer, more secure, and more resilient America by enhancing protection of the Nation's critical infrastructure and key resources.

The National Infrastructure Coordinating Center (NICC), another NOC component, monitors the Nation's critical infrastructure and key resources on an ongoing basis. During an incident, the NICC provides a coordinating forum to share information across infrastructure and key resources sectors through appropriate information-sharing entities.

For more information, you can refer to the Critical Infrastructure & Key Resources (CIKR) Support Annex.

National Response Coordination Center (NRCC)

The National Response Coordination Center (NRCC) is FEMA's primary operations management center, as well as the focal point for national resource coordination. As a 24/7 operations center, the NRCC monitors potential or developing incidents and supports the efforts of regional and field components.

The NRCC also has the capacity to increase staffing immediately in anticipation of or in response to an incident by activating the full range of Emergency Support Functions and other personnel as needed to provide resources and policy guidance to a Joint Field Office or other local incident management structures.

The NRCC provides overall emergency management coordination, conducts operational planning, deploys national-level entities, and collects and disseminates incident information as it builds and maintains a common operating picture. Representatives of nonprofit organizations within the private sector may participate in the NRCC to enhance information exchange and cooperation between these entities and the Federal Government. The NRCC:

- Is FEMA's focal point for national resource coordination.
- Provides overall emergency management coordination.
- Conducts operational planning.
- Deploys national-level teams.
- Builds and maintains a common operating picture.

See facing page for discussion of NRCC core functions

Additional Federal Operations Centers include:

National Military Command Center (NMCC)

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

National Counterterrorism Center (NCTC)

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

NRCC Core Functions

The NRCC provides overall emergency management coordination, conducts operational planning, deploys national-level entities, and collects and disseminates incident information as it builds and maintains a common operating picture. Representatives of nonprofit organizations within the private sector may participate in the NRCC to enhance information exchange and cooperation between these entities and the Federal Government.

The NRCC:

- Is FEMA's focal point for national resource coordination.
- Provides overall emergency management coordination.
- Conducts operational planning.
- Deploys national-level teams.
- Builds and maintains a common operating picture.

NRCC Core Functions

- Situational Awareness
- Notification / Activation
- Coordinate Operational Support

Situational Awareness

- Maintain a 24-hour, 7 days a week (24/7) national situational awareness of potential, developing, or ongoing situations with a Federal response to an incident/event.
- Monitor the preparedness and status of national-level emergency teams and resources.
- Collect, analyze, evaluate, and distribute incident response and status of resources information.
- Support the collection and distribution of information to the NOC for development of the national Common Operating Picture (COP).

Notification/Activation

- Initiate activation orders and mission assignments to alert and assign other Federal departments and agencies in support of the Stafford Act.
- Activate and deploy national-level teams such as the Hurricane Liaison Team (HLT), Urban Search and Rescue Task Forces (US&R), Mobile Emergency Response System (MERS), and other national emergency response teams.
- Develop, distribute, and implement executive orders, operational orders, warning orders, and operational plans.

Coordinate Operational Support

- Coordinate with the NOC and other National and Regional Centers as necessary.
- Coordinate national-level assessment operations to rapidly determine the impact of an incident and the status of the national response efforts.
- Coordinate the deployment of nationally managed disaster relief commodities.
- Coordinate national-level acquisition of remote sensing and satellite imagery as part of the national-level assessment activity.
- Track and manage Federal resource allocations and de-conflict competing requirements.

II. National Incident Mgmt System (NIMS)

Ref: IS-800 Unit 5: NIMS.

- I. Functions of the National Incident Management System (NIMS)
- II. The Joint Field Office (JFO)
- III. The Emergency Operations Center (EOC)
- IV. The Joint Information Center (JIC)

I. Functions of the National Incident Management System (NIMS)

If the National Response Framework (NRF) is how the Federal government and the States address what the nation needs during a disaster, then NIMS is how everyone involved in that process standardizes preparation, coordination, and readiness for application. NIMS is not just a format of standards or another layer of bureaucracy. NIMS is the agreement between all parties involved as to how to best conduct and cooperate, during some of the most difficult conversations States and Jurisdictions could possibly have. The stress of destruction and the competition for resources will be incredibly intense. NIMS provides realistic expectations, understanding of requirement, and, most importantly to any endeavor of this nature, pre-disaster agreement among all parties involved that they will follow the national standards, recognize and abide by realistic expectations, and honor the agreements made during preparation when the time comes for rescue, response, and recovery. This last aspect of communicated agreement is the key to successful response, and the keys to communicated agreement are multi-agency coordination and strong partnerships.

NIMS = Multi-Agency Coordination & Partnerships

NIMS Mandates = National Standards

Collaborative Incident Management = Realistic Expectations

Multi-Agency Coordination = Honor Preparation & Readiness Agreements

Even though there are elements of command in NIMS, remember that NIMS is not command. The Role of NIMS is coordination.

Command

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

Multiagency Coordination

Multiagency coordination is a process that allows all levels of government and all disciplines to work together more efficiently and effectively.

All response participants follow the NIMS mandates, engage in collaborative incident management planning and response, and act upon the agreements made in multi-agency coordination.

Follow the NIMS Mandate (National Standards)

HSPD-5 requires all Federal departments and agencies to:

The composition of the Unified Coordination Group varies, depending upon the scope and nature of the incident. As you read the descriptions of these positions consider what events may trigger greater Federal participation in a Regional response. Are all positions required every time? (i.e. the "additional" Unified Coordination Group members?). If not required every time; what level of disaster, or situation, would activate the additional federal leadership?

JFO Unified Coordination Group (Leadership)

Federal Coordinating Officer (FCO)	One per JFO. Appointed by the President to execute Stafford Act authorities
State Coordinating Officer (SCO)	One Per JFO. Appointed by the Governor to coordinate State disaster assistance efforts
Senior Federal Officials (SFO's)	Multiple. Senior officials from Federal Agencies; State, Tribal, or Local governments; Private sector or NGOs
Federal Resource Coordinator	One per JFO. Non-Stafford Act: Coordinates support through interagency agreements and MOUs
Senior Federal Law Enforcement Official	One per JFO. Coordinate all law enforcement operations directly related to the incident.
Defense Coordinating Officer	One per JFO. Serves as DOD's single point of contact at the JFO for requesting assistance from DOD
Joint Task Force Commander	One per JFO. Exercises operational control of Federal military personnel
Principal Federal Official (PFO)	One per JFO. Serves as primary representative of the DHS during National level Disaster

For a Stafford Act incident, two key group members include the FCO and SCO:

Federal Coordinating Officer (FCO)

The FCO is appointed by the President to execute Stafford Act authorities. The FCO is the primary Federal representative with whom the State, Tribal, and Local response officials interface to identify needs and set objectives for an effective collaborative response.

See facing page for further discussion of the FCO.

Federal Coordinating Officer (FCO)

Duties and Responsibilities

For Stafford Act incidents (i.e., emergencies or major disasters), upon the recommendation of the FEMA Administrator and the Secretary of Homeland Security, the President appoints an FCO.

The FCO is a senior FEMA official trained, certified, and well experienced in emergency management, and specifically appointed to coordinate Federal support in the response to and recovery from emergencies and major disasters.

The FCO executes Stafford Act authorities, including commitment of FEMA resources and the mission assignment of other Federal departments or agencies. If a major disaster or emergency declaration covers a geographic area that spans all or parts of more than one State, the President may decide to appoint a single FCO for the entire incident, with other individuals as needed serving as Deputy FCOs.

In all cases, the FCO represents the FEMA Administrator in the field to discharge all FEMA responsibilities for the response and recovery efforts underway. For Stafford Act events, the FCO is the primary Federal representative with whom the SCO and other State, tribal, and local response officials interface to determine the most urgent needs and set objectives for an effective response in collaboration with the Unified Coordination Group.

In Stafford Act incidents, the FCO is the focal point of coordination within the Unified Coordination Group, ensuring overall integration of Federal emergency management, resource allocation, and seamless integration of Federal activities in support of, and in coordination with, State, Tribal, and Local requirements.

Some FCOs are given additional, specialized training regarding unusually complex incidents. For example, one may be further trained for catastrophic earthquake response, whereas another might cultivate unique skills for response related to weapons of mass destruction or pandemic influenza.

Pre-Designated PFOs and FCOs

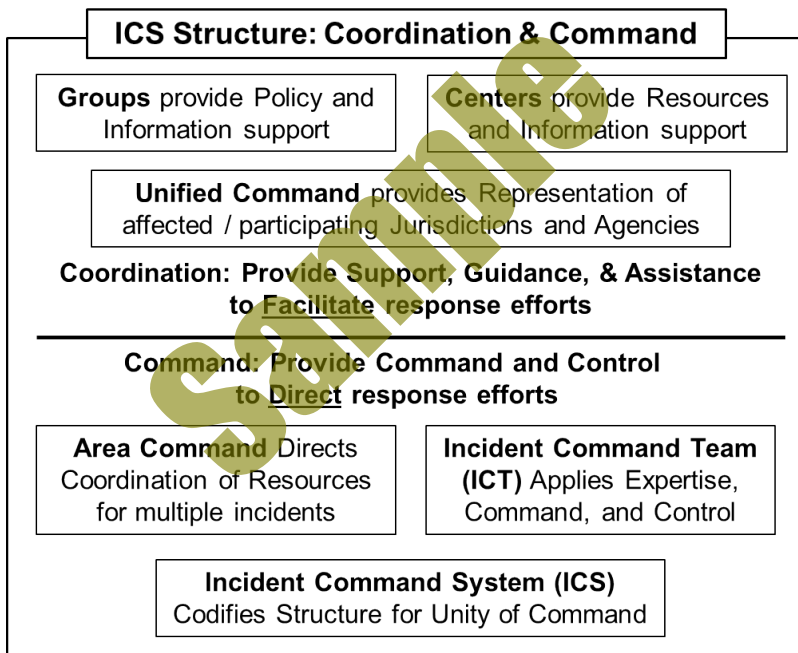
In certain scenarios, the Secretary of Homeland Security may pre-designate a PFO and/or FCO. Such pre-designation can focus on specified geographic areas or be based on specific potential threats – or a combination of both. For example, beginning in 2007, the Secretary pre-designated a national PFO and five regional PFOs together with a national FCO and regional FCOs, who will serve in the event of a nationwide outbreak of pandemic influenza or other similar nationwide biological event. Excerpted From: National Response Framework, January 2008

III. Incident Command System (ICS)

Ref: IS-800 Unit 5: ICS. Editor's note: The Incident Command System (ICS) is covered in great detail in "Disaster Response SMARTbook 2 – Incident Command System (ICS)." The material below is provided as a general overview.

ICS Operations and ICS Support

There are two general areas of ICS structure. The first are those elements that fall under the Command and Control of the Incident Command Team (ICT) which directs and commands the ICS on-scene response. The second are the Groups and Centers that support the Incident Management Team (IMT) efforts with information, guidance, and resource / material support. These include Unified and Area Commands as well as Groups and Centers at all levels.



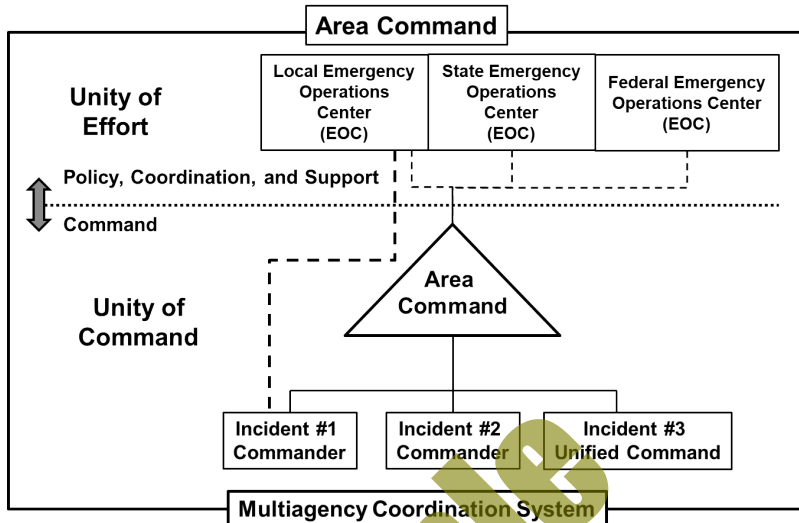
Although the ICTs, Groups, and Centers all belong within the ICS organizational structure, the difference between Command and Coordination must always be recognized and respected.



Refer to Disaster Response SMARTbook 2 – Incident Command System (ICS) (On-Scene, All-Hazards Incident Management) for further discussion. Topics include incident command system (ICS) purpose, features, and principles; command and staff functions; leadership and management; unified command, area command, and multiagency coordination; planning; ICS briefings and meetings; organizational flexibility; incident/ event management; resource management; and demobilization.

I. Area Command

Area Command is an organization to oversee the management of multiple incidents handled individually by separate ICS organizations.



An Area Command is activated only if necessary, depending on the complexity of the incident and incident management span-of-control considerations. That means two or more ICS efforts competing for the same resources or dispersed over a large geographical area. This could mean a large fire in one area and a flood in another. The criteria for the mobilization of an Area Command are based on the requirement for coordination between multiple ICS efforts.

This is worth repeating. Area Commands are used when a number of ICS efforts are competing for the same resources. Those ICS efforts do not have to be in the same area.

Area Commands are particularly beneficial in developing response situations that are not site specific, are not immediately identifiable, are geographically dispersed, and evolve over longer periods of time (e.g., public health emergencies, earthquakes, tornadoes, civil disturbances). Each one of those factors may require a separate IMT and ICS effort and the requirement for those ICS mobilizations may become evident at different times as a disaster situation develops.

Area Commands are also used in complex response situations. Complex Incidents, (including acts of biological, chemical, radiological, and nuclear terrorism), require a coordinated inter-governmental, non-governmental, and private-sector response, with large-scale coordination typically conducted at a higher jurisdictional level; first at the State, or when required, the Regional level.

For Incident Commands under its authority, an Area Command has the following responsibilities:

- Prioritize resource allocation
- Develop broad objectives for the impacted area(s).
- Coordinate the development of individual incident objectives and strategies.
- Allocate/reallocate resources as the established priorities change.
- Ensure that incidents are properly managed.
- Ensure effective communications.

National Response Framework (NRF)

Ref: IS-800 Unit 2.

- I. NRF Overview
- II. NRF Concepts, Principles, and Premises
- III. Important Documents in NRF Organization (the NRF Document Suite)
- IV. Dynamics of Partnership

I. National Response Framework Overview

Where chapter three discussed the functions of the National Response Framework, chapter 4 discusses the formative elements and conditional aspects that make the NRF work. There is both an art as well as a science to National level response. Response Leaders are, by necessity, required to understand the premises and principles of the NRF before they can be effective in leading others preparing for disaster response. There are defined aspects and undefined aspect in this process. Both are required for effective application of communication, coordination, and cooperation in disaster preparation, response, and recovery.

Within formative elements we are addressing the formalized elements that form the response. These include the principles, premises, and documents that define the NRF. Additionally there are the roles and responsibilities of the agencies involved and the positions within the structure of the framework. The positions were discussed in Chapter three, chapter four will focus on the principles, premises, and documents.

Within conditional aspects we are addressing those conditions that influence the NRF; those aspects that are not part of the NRF but directly affect it. This includes several different U.S. laws (Stafford Act & Posse Comitatus), as well as the requirements of response; those things that must be done correctly in order for response to succeed. These conditional aspects can be things as mercurial as effective partnerships or as exacting as planning and preparation.

As you read through these descriptions take into consideration the incredible breadth of scope of the requirements. The difficulty of leading a response at the national level is not in the mathematics of effective resource management or the savvy required to negotiate consensus within diverse partnerships. It is the requirement of being able to understand and apply both within situations that demand ever changing balance between the two.

Note that this chapter is not divided into two separate descriptions of formative elements and conditional aspects. They are mixed in description because they are mixed in application. Flexibility never supersedes standardization and standardization never limits flexibility.

The same concept is applied to response at the National and Regional level when applied to structure and application. The structure is standardized and the laws are fixed, even how and where it is done is fixed, but how the prudent response leader combines these absolutes is not codified or fixed in any way. Success and failure are influenced by forethought and preparedness, the soundness and ingenuity of plans, the level of cooperation and coordination before and during an incident, and how resources and materials are applied to achieve operational goals.

NRF, NIMS, & ICS DISTINCTIONS

National Response Framework (NRF)

Directs the permanent existing structures of government in preparations for providing continuous services.

National Incident Management System (NIMS)

Directs the integration of Government (NRF) efforts within Departments and Agencies with ICS structures.

Incident Command System (ICS)

Directs the standardization of response structure and coordinated support activities.

NRF: Continuity of Services
& 15 Essential Services

NIMS:
Multi-Agency
Coordination

ICS: Groups, Centers,
& Incident Management
Teams

**Preparedness
Communications
& Information
Management**

**Resource
Management**

**Command &
Management**

**Ongoing
Management
& Maintenance**

NRF

There are important distinctions between the National Response Framework (NRF), the National Incident Management System (NIMS), and the Incident Command System (ICS). The National Response Framework (NRF) is designed to direct the permanent existing structure of government. These are structures that exist every day and are not called to action only in preparation or response to events or disasters. This is why the NRF is used in Federal agencies. The NRF directs these Agencies and Departments on how to continue to provide services even in the event of a disaster.

The Incident Command System (ICS) is designed to direct the formation and function of preparation and response. This does not mean these structures are always temporary, even though many times (as in the case of an Incident Command Team) they are formed and disbanded based on the needs of a particular situation. Because the process of preparation is ongoing, some ICS structure is permanent. An example of permanent structure is the National Integration Center (NIC).

The National Incident Management System (NIMS) directs the processes, policies, and best practices that integrate the preparations of Government found within the NRF with the structures (continuous preparation and temporary response) described within the ICS.

II. NRF Concepts, Principles, and Premises

Principles vs. Premises

In the explanation of national level efforts semantics become important. This is the case with principles and premises. When used in NRF and NIMS these two words have distinct connotation. Principles represent guiding philosophies that describe a distinct methodology, goal, or organizational intent. Premises represent situational conditions that can be assumed as true for planning purposes. These “assumptions” describe situations and conditions in which actions will take place.

When used in NRF and NIMS:

Principles (Guiding Philosophies) Describe a distinct methodology, goal, or organizational intent.

Premises (Situational Assumptions) Describe situations and conditions in which actions will take place.

The Framework is always in effect, and elements can be implemented as needed on a scalable, flexible basis to improve response. It is not always obvious at the outset whether a seemingly minor event might be the initial phase of a larger, rapidly growing incident.

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

The NRF is built on the following five principles:

- Engaged partnerships
- Tiered response
- Scalable, flexible and adaptable operational capabilities
- Unity of effort through unified command
- Readiness to act

See facing page for further discussion of these principles.

National Strategy for Homeland Security

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

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

The National Response Framework is a component of the larger National Strategy for Homeland Security. This overall National Strategy includes the following goals:

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

NRF Principles

The Framework establishes the following key principles of response doctrine:

Engaged Partnership

Leaders at all levels must communicate and actively support engaged partnerships to develop shared goals and align capabilities so that none allows the other to be overwhelmed in times of crisis. Effective response activities begin with a host of preparedness activities conducted well in advance of an incident. Preparedness involves a combination of planning, resources, training, exercising, and organizing to build, sustain, and improve operational capabilities.

Tiered Response

A basic premise of the Framework is that incidents are generally handled at the lowest jurisdictional level possible. Incidents begin and end locally, and most are managed at the local level. Many incidents require unified response from local agencies, the private sector, and nongovernmental organizations. Other incidents may require additional support from neighboring jurisdictions or the State. A small number require Federal support. National response protocols recognize this and are structured to provide additional, tiered levels of support.

Scalable, Flexible, and Adaptable Operational Capabilities

As incidents change in size, scope, and complexity, the response must adapt to meet requirements. The number, type, and sources of resources must be able to expand rapidly to meet needs associated with a given incident. The Framework works with the National Incident Management System (NIMS). Together, the Framework and NIMS help to ensure that all response partners use standard command and management structures that allow for scalable, flexible, and adaptable operational capabilities.

Unity of Effort through Unified Command

Response is a team effort. Effective unified command is indispensable to all response activities and requires clear understanding of the roles and responsibilities of each participating organization. Unified command is an Incident Command System (ICS) application used when more than one agency has jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the unified command to establish a common set of objectives and strategies and a single Incident Action Plan. Success requires unity of effort, which respects the chain of command of each participating organization while harnessing seamless coordination across jurisdictions in support of common objectives. As a team effort, unified command allows all agencies with jurisdictional authority and/or functional responsibility for the incident to provide joint support through mutually developed incident objectives and strategies. Each participating agency maintains its own authority, responsibility, and accountability.

Readiness to Act

Effective incident response requires readiness to act balanced with an understanding of risk. From individuals, families, and communities to local, State, and Federal agencies, national response depends on the instinct and ability to act. Forward-leaning posture is imperative for incidents that have the potential to expand rapidly in size, scope, or complexity, and for no-notice incidents. Once response activities have begun, on-scene actions are based on NIMS principles and controlled through standardized ICS practices. An effective national response relies on disciplined processes, procedures, and systems. A key concept is "readiness to act." Readiness is a collective responsibility, and effective national response depends on our readiness to act.

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

NRF Focus

The Framework focuses on response and short-term recovery instead of all of the phases of incident management.

In the context of the overall National Strategy, the NRF primarily focuses on the third goal of "responding to and recovering from incidents."

NRF Premises

The premises of the NRF include:

- The Framework provides structures for implementing nationwide response policy and operational coordination for all types of domestic incidents. It can be partially or fully implemented in the context of a threat, in anticipation of a significant event, or in response to an incident. Selective implementation allows for a scaled response, delivery of the resources needed, and an appropriate level of coordination.
- The Framework is always in effect, and elements can be implemented as needed on a flexible, scalable basis that can help improve response.
- The Framework retains the same core principles of the National Incident Management System (NIMS) in which first responders from different jurisdictions and disciplines can work together better to respond to natural disasters and emergencies, including acts of terrorism. Once response activities have begun, on-scene actions are based on NIMS principles.
- Federal assistance can be provided to State, Tribal, and Local jurisdictions, and to other Federal departments and agencies, in a number of different ways through various mechanisms and authorities. Often, Federal assistance does not require coordination by DHS and can be provided without a Presidential major disaster or emergency declaration.

Remember that these premises are "anticipated condition". These are not operational assumptions. These are organizational expectations that are solid enough to be designated as a truth which you can expect to encounter when applying the organizational methodologies as described in the principles. Note that these can be dynamic truths rather than static absolutes. This makes it particularly important for leaders to understand the definitions and dynamics of principles and premises.

III. Important Documents in NRF Organization (the NRF Document Suite)

The National Response Framework is a compendium of resources, not just a single document.

Because of the vast scope of a national response, it would be impractical to have a single document that covered all areas. For this reason, the NRF is divided into functional areas and activities. This organization represents a special kind of genius which is both good and problematic. It is good because it allows for very effective distillation of information so the right people have correct and complete organizational guidance. It is problematic because it requires the right people to understand how the organization of NRF information and methodology works. This knowledge is not intuitive and requires training and practice to use effectively.

The goal of these documents is to establish a common mind set among the response participants. The importance of this "commonality of thought" cannot be underestimated. It is not brainwashing or programing, it is the cooperative nurturing of a common set of strategic, operational, and functional methodologies that will

B. Structure and Function Cross-overs

The dynamics of partnerships are not overly complex when multi-group interactions include effective communication, but they are not clearly stratified either. This means that those who invest time, thought, and constructive effort into their partnerships do not suffer miss-communications and disappointed expectations at points which are often critical to their plans. Understanding the movement of elements between the functions of People, Government, and Business to facilitate filling the roles required within Structure (Social need, governance, and business law) will make developing partnerships more effective.

Dynamics of Partnership

People	Government	Business
Structure		
Organized by Social Need	Formalized By Election & Law	Codified by Law
Federal Relief Organizations	Federal Government	National Aspects of Production
	Federal	
Mutual Aide	Multi-Agency Coordination	Groups & Centers
	Regional	
Non-Governmental Organizations	State & Tribal Government	Regional Aspects of Transportation
	State	
Social Support Structures, Churches / Civic Organizations	Local Government Communities	Local Aspects of Sales
	Local	
Family & Friends	Individuals and Households	Employment & Resources
Resources & Knowledge Accumulation	Elements of Governance	Private Sector Products / Services Generation
Function		

NRF

Three good examples of cross-overs are provided here, but these are just a few of many possible scenarios. Each agency leader should examine their own situation to discover the cross-over dynamics within their scope of influence; both who they influence and who influences them. These examples (and a few others) are illustrated in the “Dynamics of Partnership” graphic.

Partnership Example #1: People are the base of government.

Note that at the base of government the individual and the household represent the first aspect of government. This is absolutely true because the individual / family is where the first elements of government begin; from the people. This is also true for disaster response. It is the individuals and the families within a community that are the root of education, preparation, resource collection, and all other aspects of response preparation.

This means that despite the fact that government is designed to “provide”, the true strength of Government comes from the population. Equally so, the true strength of Government preparation is to have a prepared population. Seeing the two as one is key to the success of both. Everything between the household and the Office of the President (ICS, NIMS, NRF) represents different aspects or level of cooperation between people and Government.

Partnership Example #2: Government provides for social structure in many disaster situations.

When Local, State, and Tribal structures are interrupted by disasters to the point that they cannot function, it is the Federal government who temporally provides the resources and structure of services for social needs. This has to do with resources. Although there are many national level NGOs, none of them have the resources to provide services at the level required for regional or higher level disaster response. FEMA fills this requirement until the regular social support structures can be reestablished.

This is a difficult dynamic. The structures that are affected by disasters have been built by communities. These structures are controlled by the people who create them. These include homes, places of worship, business, and social interaction. When FEMA provides the resources for these interactions the question becomes “who controls the resources?” The expectations and experiences of the people (what they are used to) are that they control their own resources and structures. This changes when disaster response structure provides those resources. What is the balance between providing for the people and properly managing resources?

Partnership Example #3: The flow of business dynamic:

Note that in an emergency the business aspect flows in the opposite direction as the people and government aspects. In a disaster the people are in the disaster. The government (emergency response) is already in Communities, Counties, States, and Tribal areas. On the other hand, when resources are destroyed or consumed rapidly, business must act to move resources to the areas of effect. This means that resources must be produced and transported to the affected areas.

The dynamic change in this situation is that before a disaster business has both the structure and authority to move goods and provide services. After a disaster the structures to provide goods and services (roads, buildings, and marketplaces) are either unavailable or being used for response rather than commerce. What is the balance between the Governments uses of infrastructure and the public and private sector right, and legitimate need, to conduct commerce?

In each case there is a change in dynamic centering on three significant issues;

- Who controls the resources (Government provided is government controlled)
- Freedom of movement (Access to roads, Evacuation orders, Entry restrictions)
- Interruption of Authority to conduct commerce (Controls on commerce during recovery)

I. NRF Roles & Responsibilities

Ref: IS-800 Unit 3: Roles & Responsibilities.

- I. Roles and Responsibilities Defined
- II. Participants in Disaster Response: Roles and Responsibilities
 - A. Individuals and Households
 - B. Private Sector (Business)
 - Critical Infrastructure and Key Resources (CIKR)
 - C. Local Government
 - D. Tribal Government
 - E. Non-Governmental Organizations (NGOs)
 - F. The States
 - G. Federal Government

I. Roles and Responsibilities Defined

Effective response requires partnerships at each level and between levels. Preparation begins at home so we will look at the relationships found at the local level first.

Role vs. Responsibility

Role – Position, Authority, Influence, Goals

Responsibility – Tasks and Accountability

A list of responsibilities is not a definition or description of a role.

Note: Some FEMA course material describes roles and responsibilities separately (for the purposes of instruction) and other FEMA course material combines these two aspects, expecting the reader to already know the difference.

D. Tribal Government

It is vital to the sovereignty and self-governance of the First Peoples that Tribes are recognized as sovereign during disaster. This is more than just a question of jurisdiction.

Role: Tribal governments are responsible for the public safety and welfare of the people of that tribe. Tribal governments respond to the same range of emergencies and disasters that other jurisdictions face. Like jurisdiction, Tribes may request and provide assistance from neighboring jurisdictions under mutual aid and assistance agreements.

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

Responsibility: Outlines incident-related actions (including pre-response and post-response) to expedite information sharing and analysis of actual or potential impacts to CIKR and facilitate requests for assistance and information from public and private sector partners.

Key players in Tribal response are Tribal leaders. Tribal leaders have a responsibility to:

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

Because of the sovereignty of Tribal Nations, there are a large number of functions that mirror both local and federal responsibilities. The roles and responsibilities of tribal leaders are outlined in the Tribal Relations Support Annex of the NRF found at: https://www.fema.gov/media-library-data/20130726-1914-25045-3973/nrf_support_annex_tribal_relations_20130505.pdf

E. Non-Governmental Organizations (NGOs)

Non-governmental Organizations (NGOs) are essential partners in responding to incidents. They are the connective tissue between the time and resources of the people and the structures and functions required to facilitate disaster response efforts. The important aspect to take away from the description of an NGO is that these organizations volunteer to be accountable for roles and responsibilities. This is a vital aspect of their contribution. NGOs are not required to help themselves or others, but once they agree to participate in a response or recovery effort they are organized as a Government resource. Although they may seem independent, NGO activities are not separate or autonomous from Government efforts. Make no mistake, the coordination of NGO activities falls under a Government jurisdiction at some level. This means the coordinating jurisdiction becomes accountable (if not responsible) for what NGOs do or fail to do.

Role: NGOs provide structure and function to fulfill the requirements of social need and social support where government and business cannot fulfill those requirements. Through their respective organizational functions, they take the required aspects of contribution and formalize them into specific services provided through an accountable organization. These organizations can engage in pre-disaster planning that can be called upon during times of community stress.

NGOs play important roles before, during, and after an incident.

G. Federal Government: Key Players Roles and Responsibilities

Federal Government

Role: Like the State the Federal Government fills many roles. Their primary purpose is to protect and defend the people of the United States, preserve the constitution, provide services to the people (as outlined in the Constitution), and provide for political and economic opportunity. In this role the Federal Government maintains a wide array of capabilities and resources that can be made available upon request of the States.

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

Responsibility: In respect to disaster relief, the Federal Government Supports the States in their efforts to save lives, to mitigate the effects of the disaster, to protect property (public and private), and protect the environment. Specifically, they provide resource to ensure basic human needs of the population are met; to include, but not limited to: public health and safety, temporary shelter, and critical resources (Water, Food, Emergency Medical Care, Rescue Transportation, Etc.)

The Federal government is also responsible for assisting the States in protecting critical infrastructure to include, but not limited to, utilities (electrical, gas, and water), telecommunications, and transportation. This responsibility extends to providing resources to assist in the repair and replacement of lost or damaged infrastructure as well. Additionally they work to restore essential Government Services after an incident or disaster.

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

Secretary of Homeland Security: Principle Federal official for domestic incident management consistent with HSPD-5. Note that overall coordination of Federal incident management activities is the responsibility of DHS. Depending upon the incident, the Secretary also contributes elements of the response consistent with DHS's mission, capabilities, and authorities.

FEMA Administrator: Responsible for the preparation for, protection against, response to, and recovery from all-hazards incidents. The FEMA Administrator supports the Secretary of Homeland Security in meeting these HSPD-5 responsibilities as the principal advisor to the President, the Secretary, and the Homeland Security Council on all matters regarding emergency management. When DHS coordination is not required, Federal agencies may provide assistance consistent with their authority. Note that other Federal departments and agencies carry out their incident management authorities and responsibilities.

Attorney General (AG): This Presidentially appointed official serves as the chief law enforcement officer of the United States. The role of the AG is to enforce Federal laws and provide expertise to ensure that these laws are appropriately addressed. They generally act through the Federal Bureau of Investigation and provide lead responsibility for

criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States or directed at U.S. citizens or institutions abroad. Under the jurisdiction of the AG, the Department of Justice, using the FBI as its operational field force, may assume the lead agency role, or limited site control, during an incident for the purposes of law enforcement or evidently control. The AG coordinates activities of the other members of the law enforcement community to detect, prevent, and disrupt terrorist attacks against the United States. The AG approves requests submitted by State Governors pursuant to the Emergency Federal Law Enforcement Assistance Act for personnel and other Federal law enforcement support during incidents.

Secretary of Defense: The Secretary of Defense (SecDef) is the director of the Department of Defense. The primary mission of the Department of Defense (DOD) and its components is national defense. Because of this critical role, resources are committed after approval by the Secretary of Defense or at the direction of the President. Many DOD components and agencies are authorized to respond to save lives, protect property and the environment, and mitigate human suffering under imminently serious conditions, as well as to provide support under their separate established authorities, as appropriate. The provision of defense support is evaluated by its legality, lethality (the number killed or wounded as a direct result of the effects of the disaster), risk, cost, appropriateness, and impact on readiness. The Secretary of Defense retains command of military forces at all times and serves the vital role of the civilian control of the military. When Federal military and civilian personnel and resources are authorized to support civil authorities, command of those forces will remain with the Secretary of Defense. DOD elements in the incident area of operations and National Guard forces under the command of a Governor will coordinate closely with response organizations at all levels. The SecDef is delegated the power of approving authority from the President for requests of DoD resources to be allocated to relief efforts.

Secretary of State: The Secretary of State manages international preparedness, response, and recovery activities relating to U.S. interests abroad. They also manage efforts related to the protection of U.S. citizens and U.S. interests overseas.

Director of National Intelligence: The Director of National Intelligence oversees and directs the implementation of the National Intelligence Program. They lead the Intelligence Community and serve as the President's principal intelligence advisor. It is important to remember that it is against all US policy and law to collect intelligence on US citizens or upon foreign nationals within the US. This is different than criminal investigation which falls under the Attorney General's office.

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

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

II. NRF Rules & Justifications

Ref: IS-800 Unit 4: Rules & Justifications.

- I. Requesting Assistance
- II. Elements of Justification
- III. Processes and Considerations when Requesting Assistance
 - A. Non-Stafford Act
 - B. Stafford Act
- IV. Posse Comitatus

I. Requesting Assistance

A fundamental reality of disaster response assistance is that those who need help will get help. History has shown that in respect to disaster response nearby communities will almost always do what they can to help their neighbors. All administrative and request assistance processes set aside; when assistance is truly needed, those who can help, will help.

As important as this ideal is, and regardless of how good intentions manifest, the process of providing aid is most effective when it is organized and facilitated. This necessity is not for the purposes of control, claim, or compensation; although those things will all eventually be considered. Organization and facilitation of aid is a requirement borne of the very nature of a disaster. Disasters overwhelm; sometimes Communities, sometimes States, and sometimes entire Nations. For this reason, the process of requesting assistance becomes important.

The process of requesting assistance is important and covered in great detail later in this chapter, but for now it is prudent to examine some fundamental prerequisites that set the conditions for a more timely and successful request.

II. Elements Of Justification

Elements of Justification

Pre-Coordination & Justification

Requirement – “Bonafide” Need

Due Diligence – Proof of Efficiency

Coordination – Pre-coordination

Compatibility – Communication & Training

Compensation – Pay, Trade, or Receive

The Elements of Justification are those things outside of the process of a request for assistance that should be considered or completed before the request is made.

Coordination, Compatibility, Compensation

The following three Elements of Justification all involve preparation of laws, rules, policies and other administrative structures that allow a jurisdiction to be able to interact with other jurisdictions in order to provide, exchange, and receive funds, resources, and materials.

Coordination

Coordination involves developing relationships through partnerships and multi-agency coordination to establish lines of communication before a disaster. This links directly to the aspect of compensation. The first time a jurisdiction communicates with another jurisdiction should not be when a disaster strikes. Or, more succinctly, a jurisdiction should not put itself in a position where their first introduction to another jurisdiction is followed immediately by a request for resources.

Consider the dynamics of partnership. Pre-disaster communications, and especially joint training opportunities, facilitate understanding of requirements and help to develop mutual expectation for disaster response. This idea is so fundamentally simple that it is often overlooked. The reality is that a lack of administrative compatibility (mutual understanding and standardization of practices) will hinder, or even deny, exchanges of information and resources. Coordination before the disaster strikes is key to response success.

Compatibility

Compatibility involves internal and external components. Internally it involves training and certifications. Externally it involves active participation in exercises and collective training events. As always the importance of communication before a disaster cannot be understated. It includes elements such as training standardization, radio communications interoperability, familiarity with other agencies and departments, and any other aspect that would contribute to effective communication, standardization, and effective integration of other resources during a disaster. Remember that jurisdictions must be administratively compatible as well as operationally compatible.

Compensation

Compensation is the ability to expend funds, reciprocate in kind with personnel and equipment, and / or receive funds, resources, and materials. This is more difficult than it initially sounds. There are often prerequisites for budgetary expenditure, limitations on what a jurisdiction can use personnel and equipment for, and financial structures required to receive funds and properly account for reimbursable assistance. Through coordination and communication with other jurisdictions these details can be aligned to allow for the smooth transfer of funds and resources without unnecessary delays. Elements of administrative compatibility also come into play ensuring that monetary aspects are accounted in ways that are acceptable to each jurisdiction.

For the purposes of emergency planning the base line questions that must be answered are:

- **Budgets:** What can be paid for?
- **Time and Material:** What can be traded?
- **Administrative Structure:** What policies are in place so resources can be received?

These considerations relate directly with Resource Management, which is covered in great detail later in this book, as well as in Book 2 of this series.

Use the Elements of Jurisdiction to provide context to the discussion of how to request assistance.

Non-Stafford Act activities above the State level are focused on objectives intended to provide recovery stakeholders (the affected States and Communities) with the means to identify and coordinate the resources necessary to support sustainable recovery solutions at the State, Tribal, and Local level utilizing the principles of the National Disaster Recovery Framework (NDRF).

Stafford Act

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

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

The Stafford Act:

- Covers all hazards, including natural disasters and terrorist events.
- Provides primary authority for the Federal Government to respond to disasters and emergencies.
- Gives FEMA responsibility for coordinating government response efforts.
- Describes the programs and processes by which the Federal Government provides disaster and emergency assistance to State and Local governments, Tribal nations, eligible private nonprofit organizations, and individuals affected by a declared major disaster or emergency.

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

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

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

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

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

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

Defense Support of Civil Authorities (DSCA)

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

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

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

Prior to a Presidential Declaration of a Disaster and/or Emergency

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

After a Presidential Declaration of a Disaster and/or Emergency

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

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



Refer to *The Homeland Defense & DSCA SMARTbook (Protecting the Homeland / Defense Support to Civil Authority)* for complete discussion. Topics and references include homeland defense (JP 3-28), defense support of civil authorities (JP 3-28), Army support of civil authorities (ADRP 3-28), multi-service DSCA TTPs (ATP 3-28.1/MCWP 3-36.2), DSCA liaison officer toolkit (GTA 90-01-020), key legal and policy documents, and specific hazard and planning guidance.

III. NRF Response Actions

Ref: IS-800 Unit 4: Response Actions.

- I. Prepare
- II. Respond
- III. Recover

Effective Response

The National Response Framework is intended to strengthen, organize, and coordinate response actions across all levels. The key tasks related to the three phases of effective response are; prepare, respond, and recover.

Three Phases of Effective Response

Prepare - Gather Resources Before
Respond - Expend Resources During
Recover - Restore Resources After

Easy To Understand – Difficult To Do Well

Goals vs. Execution

Conceptual	>	Detail Oriented
Concise	>	Complex
Relatable	>	Specific Knowledge

Making Ideas into Actions

The clarity and simplicity of these concepts do an excellent job of conveying the ideas of effective response. They also do an excellent job of understating the complexity and difficulty that accompanies doing them well. This is not a bad thing. Keeping the core goals of effective response in mind is paramount to success in these endeavors. It is the very clarity and simplicity of the goals that allows the complexity of the tasks involved to stay on track.

This section covers a lot of material and it will be important to keep the proceeding lessons of this chapter in mind. As you read this material it is vital that concepts described are kept in context. Look for the connections in partnerships and multi-agency coordination as well as the interlinking aspects of concurrent jurisdictions.

Remembering the difference between roles and responsibilities, take the time to identify the “players” and examine the contributions they make to the response process. Take organization, function, and motivation into account and think about how it will affect the dynamics of both partnerships and multi-agency coordination. Look for where the elements of justification are embedded into the preparation cycle. The ability to translate these complex ideas and relationships into effective coordination and identifiable tasks, as well as the ability to clearly articulate those tasks, transform administration and planning into leadership and action. When disaster strikes, the national response will require leadership as well as administration.

People need plans and plans need people

One of the most important concepts to keep in mind before the discussion on “how to” progresses, is that the best plan in the world is useless without people who understand the goals and tasks within it. As we discuss the preparation cycle, consider the number of people who will be required to make these plans come to fruition. When planners can see their efforts as the ways and means by which people will act, they see the reality of what response is and generate better plans. People need plans to help coordinate their efforts, plans need people in order to make those plans into reality.

It may seem simple and obvious but experience has taught the Response Community that it is not uncommon for planners to isolate themselves in the process of planning. This leads to an effect called “stove piping” where plans that should be coordinated and synchronized are instead developed independently of each other without the benefit of comparison to the plans that will be active at the same time during a disaster response. It is equally true that responders can focus too closely on tasks rather than operational goals. Be aware of these pitfalls and guard against them. Ensure that facts are correct and assumptions are realistic before committing valuable time and resources the preparation cycle. The success of the response, (i.e. the lives of people and their opportunities for the future), depend upon this process.

NRF

I. Prepare

Preparedness Cycle

- Plan,
- Organize, Train, & Equip,
- Exercise,
- Evaluate & Improve

Preparedness Cycle: Plan

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

- Includes the collection and analysis of intelligence and information, as well as the development of policies, plans, procedures, mutual aid and assistance

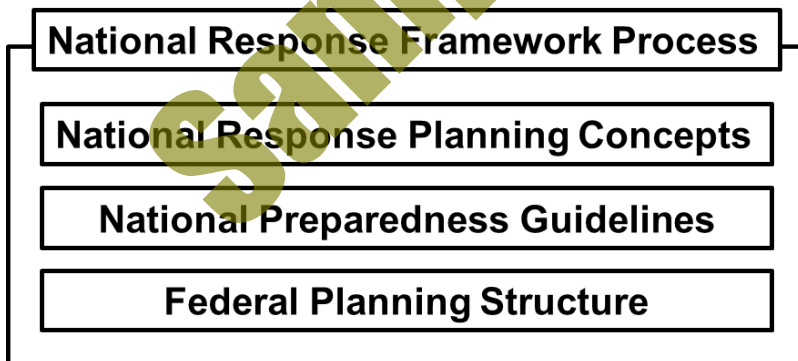
IV. NRF Planning

Ref: IS-800 Unit 6: Planning.

- I. NRF Planning
- II. Planning Concepts
- III. National Preparedness Guidelines
- IV. Federal Planning Structure
- V. Elements of Successful Planning

I. NRF Planning

This chapter is an overview of NRF planning, planning concepts, and recognition of best practices. Although some NRF plans are identified they are not detailed. This chapter provides a conceptual look at the elements and goals of National level planning, as well as the elements considered when developing a complete plan. The ability to understand the elements that make a plan complete are often regarded as a skill set that is only used or needed within the “planning section”. This is not the case. Response Leadership need to have a working understanding of plans and the planning process in order to properly guide the process of planning and preparedness to a successful outcome. Specifically, Response Leadership needs to be very familiar with each point in the planning process; especially those that require their input or approval.



The details of operational planning are equally important but are addressed in a separate chapter. The ICS planning process is outlined in great detail in book #2 of this series (ICS).

Planning is the Cornerstone of National Preparedness

Preparedness Planning outside of ICS is always different than the operational planning process used in ICS. Where ICS operational goals focus on known situational requirements, preparedness planning focuses on anticipation of, and readiness for, the full spectrum of hazards. For this reason NRF and NIMS are focused on an All Hazards approach to preparedness.

National Response Planning Process

The process of the National Response Framework provides a common azimuth, shared expectations, and standardized structure through the communication of National Response Planning Concepts, National Preparedness Guidelines, and a robust Federal Planning Structure.

National Response Planning Concepts communicate shared ideas and expectations, facilitate MAC, and provide a framework for effective Unified Command planning. These are implied in FEMA training and you will not find direct references to "National Response Planning Concepts" in the FEMA lexicon. These concepts of Communication, Coordination, and Cooperation nonetheless repeated often in the training. Even if not organized as they are here, they are very much a part of the process.

National Preparedness Guidelines advance the conceptual ideals of response by providing shared vision, operational context (via scenarios), and detailed guidance on what to do and how to do it by identifying critical tasks and capabilities required for effective disaster response. The National Preparedness Guidelines are directly integrated into FEMA training.

Federal Planning Structure facilitates the planning process through the use of Unified Command and providing common, agreed upon strategic goals, methods of synchronization, and identifying the material requirements of response. The Federal Planning Structure is directly referenced in FEMA training.

When combined these three paths of concept, method, and structure provide a common path to disaster response. This is a vital aspect of the National Response Framework. In America, disaster response uses the same strength that provides the bedrock of success in all other aspects of a free market, democratic society; cooperation in, and for, a free society. Other nations could use the same methods utilizing the common social and religious norms from the peoples of their respective nations. The point is that the desire to participate in the common good and advancement of a society is common throughout the world.

The NRF and Planning, Who is Involved

Planning across the full range of homeland security operations is an inherent responsibility of every level of government and should include stakeholders from each of the Departments or Agencies involved in the plans or even affected by them. Stakeholders do not necessarily have to be operational elements of government. The private sector organizations, who participate through providing goods and services, should be invited to provide their input. Even those private sector entities that do not have a part in response plans until the recovery phase should be given the opportunity to provide input. Nongovernmental Organizations (NGOs) usually either participate with goods and services, and / or, provide valuable conduits of communication (via technology or representation). Either way, those involved operationally in the plans need the opportunity to provide input to plans that affect them or the populations and communities they represent.

II. Planning Concepts

At the National level, plans are based on Communication, Coordination, and Cooperation.

National Response Planning Concepts

Communication = Common Expectations

Coordination = MAC, MAC Groups & Centers

Cooperation = Unified Command

A. Communication

Communication is the development of common expectations. In this case, The President of the United States communicates their vision for a common and effective (Unified) response to disasters. This is codified through Presidential directives and communicated via the Federal departments and agencies that serve as leaders in disaster planning and response. The Federal Emergency Management Agency (FEMA) has the lead role in Federal communication but every agency and department involved in disaster response also carries a share of this responsibility.

B. Coordination

Coordination is achieved through Multi-Agency Coordination and partnership agreements developed within the NRF and NIMS structures. Plans confirm and facilitate Multi-Agency Coordination. The National Response Framework provides a foundation for Unified planning for all response partners. This means that the plans are part of a Multi-Agency Coordination (MAC) effort, or at least linked to the conditions of a cooperative agreement. The success of the NRF and NIMS are based upon partnerships and Multi-Agency Coordination. By necessity, plans at this level are also representative of the collaborative and cooperative agreements found within MAC.

C. Cooperation

Cooperation is solidified through Unified Command so plans should be designed to meet response needs and coordinate Unified efforts. The use of the National standards does not limit the flexibility of plans. Response structure may be uniform but situations are not. Every plan should be designed to provide the response capabilities required for whatever situation a jurisdiction anticipates. This is not a contradiction. All-Hazards planning is both specific and flexible. Remember that All-Hazard plans are specific about capacity and flexible about application. The specific aspects represent the standardization of capacity and the flexible aspect is represented by the ability to use those specific skills in coordination and cooperation with other jurisdictions.

Chap 4 V. NRF Document Suite & Tools Quick Reference

The information provided here is designed for reference awareness and to assist in identification of what areas are covered in each of the NRF documents. The NRF documents are complete, concise, and clear in context. To promote consistency and standardization of the use and understanding of these products it is highly recommended that Response Leaders identify the areas of NRF and NIMS they may work with and get full copies of those NRF documents required to ensure complete and consistent application among Response Leaders. Familiarity with all of these products is prudent.

See related discussion of the NRF Document Suite on pp. 4-8 to 4-13.

NRF Document Suite		
Document	Role	Function
National Response Framework	1 Core Document	Establishes a common set of National goals, principles, and premises
Incident Annexes	7 Annexes that address aspects common within Incident Categories	Ensures standardization of efforts unique to each Incident Category
Support Annexes	8 Annexes that address aspects common to all 14 ESFs	Ensures standardization of efforts common to every ESF
Emergency Support Functions	14 Sets of Roles & Responsibilities vital to response	Describes authorities, essential tasks, and connections between the 14 ESFs
Recovery Support Functions	6 Sets of Roles & Responsibilities vital to recovery	Describes authorities, essential tasks, and connections between the 6 RSFs
Partner Guides	4 Annexes tailored for approaches and methods in communication	Ensures alignment of expectations in communication and cooperation

The most current ESF Annexes can be at the NRF Resource Center at: www.fema.gov/NRF.

NRF

II. NRF Document Descriptions

What follows is a description of the tools and documents used in the NRF process. These descriptions are provided as a quick reference for leaders and planners. It is stressed again; formalization with the full document is recommended for those who may, in the course of their duties, be required plan or respond to the subjects covered in these documents.

NRF Document Relationships

The **Core Document** describes the intent of the NRF.

Annexes (Incident Category and Support) describe the functional areas and relationships within the NRF.

Support Functions (ESFs and RSFs) describe the processes of planning, responding, and recovering within the scope of the respective Support Functions.

Partnership Guides provide the means and methods to facilitate partnerships.

NRF

A. One Core Document

The National Response Framework (NRF) is a guide to how the Nation conducts all-hazards response. It is built upon scalable, flexible, and adaptable coordinating structures to align key roles and responsibilities across the Nation, linking all levels of government, nongovernmental organizations, and the private sector. It is intended to capture specific authorities and best practices for managing incidents that range from the serious but purely local, to large-scale terrorist attacks or catastrophic natural disasters.

The NRF Core document explains the common discipline and structures that have been exercised and matured at the Local, Tribal, State, and National levels over time. It describes key lessons learned from Hurricanes Katrina and Rita, focusing particularly on how the Federal Government is organized to support communities and States impacted by catastrophic incidents. Most importantly, it builds upon the National Incident Management System (NIMS), which provides a consistent template for managing incidents.

B. Seven Incident Category Annexes

The seven Incident Categories Annexes outline National response requirements, guidance, and considerations for specific types of incidents that would affect multiple States and even multiple Regions.

The intent of the Annexes is to serve as a common focus point for National and Regional response so that planners at all levels can use a strategically oriented set of considerations to facilitate unity of effort from National down to Local level for each category response.

These "categories" represent types of incidents, either man-made or natural, that would have National consequences. The exception to the "man-made or natural" aspect is the Terrorism category which focuses solely on incidents caused by criminal actions.

Important Information about ESF Activation

ESF Activation. ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents. Not all incidents requiring Federal support result in the activation of ESFs. For Stafford Act incidents, the NRCC or RRCC may activate specific ESFs by directing appropriate departments and agencies to initiate the actions delineated in the ESF Annexes. Resources coordinated through ESFs are assigned where needed within the response structure. For example, if a State requests assistance with a mass evacuation, resources from several different ESFs may be integrated into a single Branch or Group within the Operations Section. During the response, these resources would report to a supervisor within the assigned Branch or Group. Regardless of which ESFs may be activated, they coordinate closely with one another to accomplish their missions.

Federal Assets at an Incident Scene. The JFO may assign Federal assets, such as an Urban Search and Rescue Task Force, to assist at an incident scene. In these circumstances, Federal assets are integrated into the unified command structure at the incident scene. While integrating into tactical operations managed by the on-scene incident command structure, these Federal assets continue to coordinate and communicate critical information to the JFO.

Agencies Respond Under Own Authorities. Some types of Federal assistance are performed by Federal departments or agencies under their own authorities and do not require Presidential approval. The jurisdiction or agency with functional or statutory authority manages the incident and establishes the appropriate response structures. Depending on the type and magnitude of the incident, a JFO may or may not be established.

E. Six Recovery Support Functions (RSFs)

In 2011 FEMA unveiled the National Disaster Recovery Framework (NDRF) and the Regional, State, and Local structures and positions associated with the Recovery Support Functions (RSFs). These RSFs mirrored the ESF concept of Local governments and jurisdictions managing Local issues with State and Regional support. Just as with mitigation, recovery is now managed at the Local level and supported in accordance with the same elements of justification as found in disaster response.

National Disaster Recovery Framework (NDRF)

6 Recovery Support Functions (RSFs)

1. Community Planning and Capacity Building (CPCB)
2. Economic
3. Health and Social Services
4. Housing
5. Infrastructure Systems
6. Natural and Cultural Resources

Note: The RSFs are NOT numbered in the FEMA descriptions and course work. The numbers are added in this explanation to facilitate clarity and identification. See following pages (pp. 4-78 to 4-81) for an overview and listing of the six RSFs.

F. NDRF Nine Core Principles

What makes the NDRF work?

The NDRF works on three concepts: People, Standardization, and Structure. For RSFs to work there must be trained people at all levels of response structure (planning, management, and operations) ready to participate in recovery. As with all other aspects of the National Response Framework, standardization of method is paramount to success. It is no different in the Recovery Phase of a disaster response. Finally, there must be a pre-coordinated structure in order to provide defined roles and responsibilities. In this way plans can be made and agreements established before a disaster so that expectations and efforts are cooperative and do not conflict or cause competition with other recovery efforts.

You will notice right away that the within the Nine Core Principals of the NDRF we find elements that rely heavily upon partnerships, preparation, and planning. Within these principles there are elements found in both NIMS and ICS. Because recovery is conducted at the Local level it must include elements of communication and partnership. Remember that these two elements require additional effort to do well but also have the greatest positive impacts when done correctly.

NDRF Nine Core Principles

- ☐ Individual and Family Empowerment
- ☐ Leadership and Local Primacy
- ☐ Pre-Disaster Recovery Planning
- ☐ Partnerships and Inclusiveness
- ☐ Public Information
- ☐ Unity of Effort
- ☐ Timeliness and Flexibility
- ☐ Resilience and Sustainability
- ☐ Psychological and Emotional Recovery

The combination of People, Standardization and Structure are found in the two key elements of the NDRF: Leadership and Pre- & Post-Disaster Recovery Planning. (See facing page.)

Two Key Elements of the NDRF

(Note the Cyclic Nature – Before, During, & After)

Key Element #1 - Leadership

Leadership is comprised of People and Standardization; trained people in established structure. Standardization of structure is considered as an aspect of leadership because uniformity within leadership functions facilitates recognition and communication.

- Local Disaster Recovery Managers
- State Disaster Recovery Coordinator
- Federal Disaster Recovery Coordinator

Key Element #2 - Pre- & Post-Disaster Recovery Planning

Pre- & Post-Disaster Recovery Planning is comprised of Standardization and Structure; common goals and expectation within a pre-coordinated (and more importantly pre-recognized) structure. These standardized structures provide:

- Organized structure to the implementation of Pre and Post Recovery effort providing a well-orchestrated recovery process.
- Pre-disaster recovery planning enables effective coordination of recovery activities and expedites a unified recovery effort.
- Post-disaster recovery planning forms the foundation for allocating resources and provides the benchmark for progress.

NDRF coordinating structures link the significant resources and preparations of the Federal Government to the efforts of State and Local recovery coordinators.

NDRF Implementation

NDRF has been (and continues to be) implemented through a series of “Roll Out and introduction” activities at the National and Regional Level. FEMA Regions support States and Local governments in their NDRF implementation and planning capacity building process. FEMA also conducts a National Workshop to promote the NDRF concepts and information and best practices exchange

Critical Infrastructure

- I. Critical Infrastructure as an aspect of the National Response Framework
- II. 16 Critical Infrastructure Sectors
 - Critical Infrastructure (CI) Sectors and ESF Comparison Chart
- III. Three Strategic Imperatives
 - Additional PPD-21 Instructions and Directive
- IV. Impacts on Emergency Management

I. Critical Infrastructure as an Aspect of the National Response Framework

Critical infrastructure is the back bone of the country. Everything we have built as a Nation is represented in these 16 sectors. The most vital aspect of these sectors is that it is not just the physical or virtual frameworks that matter in this case. The people who develop, create, maintain, and operate these central systems are as important, if not more so, than the systems themselves. In times of crisis the failure of, or loss of access to these critical systems can exponentially increase the damage as well as the number of people effected by an incident.

For this reason, in 2013, an initiative was forwarded to promote the coordinated protection of the Nations critical infrastructure. The intent was to identify the critical infrastructure and develop methods and means to protect the current structure and build to strengthen and create more resilient structure for the future. For this reason the President of the United States issued Presidential Policy Directive (PPD) -21.

National Infrastructure Protection Plan, (NIPP) 2013 Partnering for Critical Infrastructure Security and Resilience

"There are 16 critical infrastructure sectors whose assets, systems, and networks, whether physical or virtual, are considered so vital to the United States that their incapacitation or destruction would have a debilitating effect on security, national economic security, national public health or safety, or any combination thereof."

Multi-Agency Coordination and Tasking Alignment

A review of the Emergency Support Functions (ESF) shows that the agencies tasked with the ESFs are assigned similar areas of responsibility in PPD-21 for the protection of Critical Infrastructure. This demonstrates the importance of how Critical Infrastructure correlates to the efforts of the response community as well as the plans and coordination of the Federal and Regional NIMS efforts under the National Response Framework.

Additional PPD-21 Instructions and Directives

The PPD-21 also directs the DHS to seek methods to promote Innovation and Research and Development as well as develop analysis on impact cross over from one sector to another, development of cyber protections and threat analysis, and prioritization of effort in developing protections and strategies for resiliency.

Implementation will include:

- Critical Infrastructure Security and Resilience Functional Relationships
- Evaluation of the Existing Public-Private Partnership Model
- Identification of Baseline Data and Systems Requirements for the Federal Government to Enable Efficient Information Exchange
- Development of a Situational Awareness Capability for Critical Infrastructure
- Update to National Infrastructure Protection Plan.

IV. Impacts on Emergency Management

The impact of the loss of critical infrastructure in a disaster scenario can be catastrophic. For this reason critical infrastructure must be considered by Response Leaders when assessments are being conducted for:

- Critical infrastructure in defense planning
- Vulnerability assessments
- Risk Management
- Cyber threats & cyber-terrorism



Refer to *The Homeland Defense & DSCA SMARTbook (Protecting the Homeland / Defense Support to Civil Authority)* for further discussion. Topics and references include homeland defense (JP 3-28), defense support of civil authorities (JP 3-28), Army support of civil authorities (ADRP 3-28), multi-service DSCA TTPs (ATP 3-28.1/MCWP 3-36.2), DSCA liaison officer toolkit (GTA 90-01-020), key legal and policy documents, and specific hazard and planning guidance.



Refer to *CTS1: The Counterterrorism, WMD & Hybrid Threat SMARTbook* for further discussion. CTS1 topics and chapters include: the terrorist threat (characteristics, goals & objectives, organization, state-sponsored, international, and domestic), hybrid and future threats, forms of terrorism (tactics, techniques, & procedures), counterterrorism, critical infrastructure, protection planning and preparation, countering WMD, and consequence management (all hazards response).



Refer to *CYBER: The Cyberspace Operations SMARTbook* (in development). U.S. armed forces operate in an increasingly network-based world. The proliferation of information technologies is changing the way humans interact with each other and their environment, including interactions during military operations. This broad and rapidly changing operational environment requires that today's armed forces must operate in cyberspace and leverage an electromagnetic spectrum that is increasingly competitive, congested, and contested.

National Incident Mgmt System (NIMS)

Ref: IS-700 Unit 1: NIMS Introduction / IS-700 Unit 2: Understanding NIMS.

- I. Understanding NIMS
 - A. Important Definitions
 - B. NIMS Documents
- II. NIMS Concepts
- III. NIMS Principles (Mandate)
- IV. NIMS Components
- V. NIMS Component Interactions

The NIMS 700 course is separated into sections that roughly align with the Units in the FEMA coursework. Unit 1 through Unit 4 coursework is addressed in the first three sections of this chapter. Due to the size and importance of Unit five, it is addressed separately in chapter 7, with additional information from the FEMA 703 course included for clarity. The remaining FEMA 700 Unit 6 is addressed in Chapter 6, Section 5. Ongoing maintenance and management does not have a separate Unit in the FEMA 700 coursework. It is addressed in Section 6 of this Chapter.

IS-0700.A: National Incident Management System

Chapter 6 Sections 1-3 covers the FEMA 700 material in Units:

- Unit 1: NIMS Introduction
- Unit 2: Understanding NIMS
- Unit 3: NIMS Preparedness
- Unit 4: NIMS Communications & Information Management

Chapter 7 covers the FEMA 700 material in Unit:

- Unit 5: NIMS Resource Management

Chapter 6 Section 5 covers the FEMA 700 material in Unit:

- Unit 6: NIMS Command and Management

Chapter 6 Section 6 covers the FEMA 700 material relevant to:

- Ongoing Maintenance and Management

This section provides an introduction to the National Incident Management System (NIMS). NIMS ties the preparations (support efforts) from Federal, Regional, State, Tribal, and Local entities with the preparations of responders within these same jurisdictions. Preparation and response do not have “higher jurisdictions” and “lower jurisdictions”; the National Response Framework mandates preparation, coordination, and response at all jurisdictional levels.

The key to NIMS is to understand that its core function is to facilitate coordination of effort. The descriptions of Federal, Regional, and Local response can generally be described as gather, coordinate, and respond but the application is more complex. Each level plays a part across the whole spectrum of response. This chapter de-

The Three Cs

Communication > Cooperation > Command

First there must be effective **Communication** so there is understanding.

Where there is understanding there can be **Cooperation**.

Where there is cooperation, **Command** is effective.

ICS uses Communication and Cooperation to facilitate Command. NIMS uses these same aspects and elevates them beyond the individual or small group. NIMS can be described as Expectation, Coordination, and Agreement. Because Communication, Cooperation, and Command are conditions learned through practice and familiarity it is necessary for them to be facilitated in some manner prior to their requirement in disaster response.

NIMS is a standardized (but not formalized) methodology for that conversation. The development of shared expectations, definitions, and ways of doing things facilitates communication. Separate entities engaging in coordination with other departments, agencies, and response structure allows them to develop plans for coordination and sharing their skills and knowledge, capabilities, and respective resources. This coordination will include agreements on when and how event management and disaster response command will be structured. NIMS is where all of the mandates, multi-agency coordination, and partnerships are brought together between all of the "players" involved in any particular NIMS activity (event management and disaster response). This is why NIMS has no structure. NIMS is the standardized communication that facilitates the connections between planning, preparation, response, and mitigation.

The Three Cs of ICS Expanded in NIMS

Expectations > Coordination > Agreement

Facilitate

Communication > Cooperation > Command

Shared expectations facilitate communication

Through coordination comes cooperation

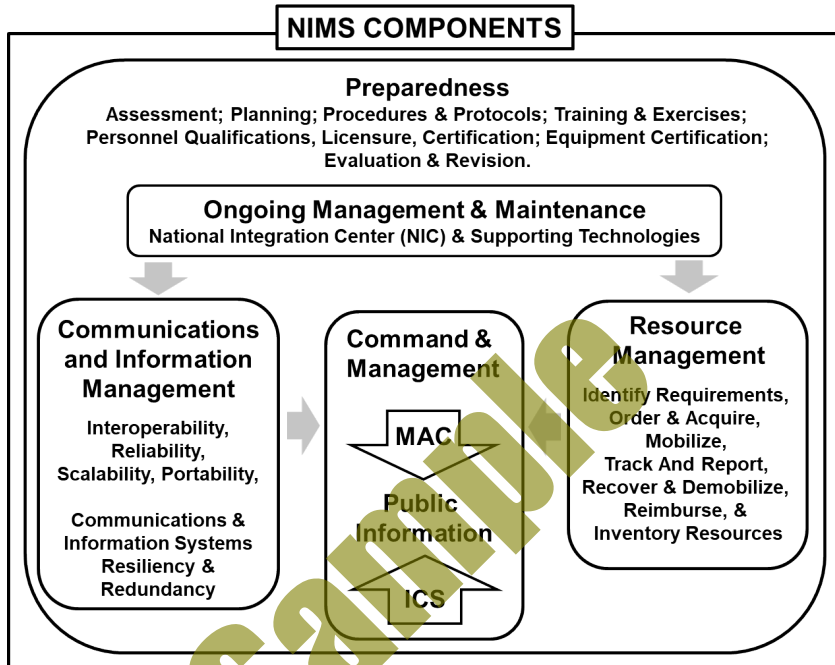
Through agreement comes effective command

That conversation is far too vast to be codified in a set of "communication rules". For this reason NIMS is method rather than structure. This is one of the major points of misunderstanding within response leadership. Those response leaders who comprehend how plans and preparation are communicated, coordinated, and agreed upon have a distinct advantage over those who do not internalize the reality of this requirement. Shared expectations facilitate communication. Through coordination comes cooperation. Through agreement comes effective command.

Because most jurisdictions (political and geographical) and incorporated municipalities (i.e. villages, townships, towns, and cities) are well aware of their community's

IV. NIMS Components

These five components represent the five general areas of effort in NIMS. You have seen this before; a conceptual generalization that is true but not complete. All of the activities of NIMS fall within these five components. These generalizations help to guide and focus response communication, coordination, collaboration, and agreement efforts.



NIMS is a consistent, nationwide, systematic approach that includes the following components:

- Preparedness
- Communications and Information Management
- Resource Management
- Command and Management
- Ongoing Management and Maintenance

Notice that these components are not numbered or represented in a sequential manner. The components of NIMS were not designed to stand alone, but to work together. The remainder of this chapter is dedicated to an in depth analysis of each of these components. To start, these concise descriptions provide a framework upon which to expand.

Preparedness

Effective emergency management and incident response activities begin with a host of preparedness activities conducted on an ongoing basis, in advance of any potential incident. Preparedness involves an integrated combination of assessment; planning; procedures and protocols; training and exercises; personnel qualifications, licensure, and certification; equipment certification; and evaluation and revision.

See pp. 6-13 to 6-38.

Communications and Information Management

Emergency management and incident response activities rely on communications and information systems that provide a common operating picture to all command and coordination sites. NIMS describes the requirements necessary for a standardized framework for communications and emphasizes the need for a common operating picture. This component is based on the concepts of interoperability, reliability, scalability, and portability, as well as the resiliency and redundancy of communications and information systems.

See pp. 6-39 to 6-52.

Resource Management

Resources (such as personnel, equipment, or supplies) are needed to support critical incident objectives. The flow of resources must be fluid and adaptable to the requirements of the incident. NIMS defines standardized mechanisms and establishes the resource management process to identify requirements, order and acquire, mobilize, track and report, recover and demobilize, reimburse, and inventory resources.

See chap. 7.

Command and Management

The Command and Management component of NIMS is designed to enable effective and efficient incident management and coordination by providing a flexible, standardized incident management structure. The structure is based on three key organizational constructs: the Incident Command System, Multiagency Coordination Systems, and Public Information.

See pp. 6-53 to 6-70.

Ongoing Management and Maintenance

Within the auspices of Ongoing Management and Maintenance, there are two components: the National Integration Center (NIC) and Supporting Technologies. These function collect, define, standardize, and distribute innovation and improvement to increase response efficiency.

The NIC is the hub of the collaboration wheel. It collects, standardizes, and distributes the methods and best practices found throughout the response community. It finds ways to make good Local ideas into best practice that can be described and apply within any jurisdiction.

Supporting Technologies is the process of finding the best types and applications for equipment and technologies in order to find ways to best integrate them into the NRF, NIMS, and ICS structures and methodologies.

See pp. 6-71 to 6-72.

I. NIMS Preparedness

Ref: IS-700 Unit 3: NIMS Preparedness.

- I. Concepts and Principles of Preparedness
- II. Three Concepts of Preparedness
- III. Four Principles of Preparedness
- IV. Preparation Cycle
- V. Preparation Efforts – Continuity

What Is NIMS Preparedness?

Preparedness is more than just the idea of “being ready”. Preparedness is a combination of specific actions based on plans that provide anticipation (how) and prediction (when) disasters may strike in order to prevent and / or mitigate the impact of disaster situations.

Given the disaster possibilities of the modern world, a lack of preparedness could have catastrophic consequences. Effective and coordinated emergency management and incident response require that nations create a culture of preparedness. National preparedness can only succeed through coordination at all levels of government and by forming strong partnerships with the private sector and nongovernmental organizations. Different countries with different social norms as well as their own forms of government will organize in different ways, but the requirement of preparedness through coordination will be a constant in every scenario.

Preparation is a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action.

I. Concepts and Principles of Preparedness

The FEMA course work identifies NIMS concepts and principles as the collective ideas and efforts of preparation.

“The concepts and principles that form the basis for preparedness are the integration of the concepts and principles of all the components of NIMS.”

This text has taken the liberty of separating the intent (as concepts) and the action (as principles). The argument could be made that they intermingle to the point they cannot be separated, but for the sake of clarity let us differentiate between intent and action.

The FEMA NIMS course work identifies seven (7) aspects of preparedness:

1. Commitment to NIMS – Elected & Appointed Officials
2. Cooperation between Elected & Appointed Officials
3. Preparedness (Unified Approach and Levels of Capability)
4. Preparation Cycle
5. Preparation Efforts – Continuity
6. Coordination of Preparedness Activities (Individuals, Preparedness Organizations, Nongovernmental Organizations, Private Sector)
7. Agreements

Mitigation Activities *(from p. 6-30.)*

Risk Management is the process for measuring or assessing risk and developing strategies to manage it. This is an essential aspect of mitigation. Risk management strategies may include avoiding the risk (e.g., removing structures in floodplains), reducing the negative effect of the risk (e.g., hardening buildings by placing barriers around them), or accepting some or all of the consequences of a particular risk to focus efforts and resources on those priorities of survival and recovery that are most important.

Mitigation

Mitigation is an aspect of preparedness. The difference is subtle but important. Where Preparation focuses on developing skills, forming agreements, and collecting materials that will be needed in the aftermath of a disaster, mitigation focuses on developing situations where the potential of damage can be avoided through actions prior to the disaster. Mitigation:

- Provides a critical foundation in the effort to reduce the loss of life and property and to minimize damage to the environment from natural or manmade disasters by avoiding or lessening the impact of a disaster.
- Provides value to the public by creating safer communities and impeding the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

The use of mitigation techniques, like avoidance, resiliency, knowledge of the past, and prioritization, either independently or collectively, provide important contributions to emergency management and incident response. The active application of mitigation effectively reduces the requirements of response and expedites the process of recovery. For this reason preparedness planning and mitigation activities should be considered as parallel endeavors that are mutually supporting.

It is important to understand and remember that mitigation needs to be part of a coordinated plan and not just haphazard efforts. Each mitigation activity is coordinated with other activities and provides a specific benefit to the preparation planning process.

In many cases mitigation activities have a real cost. The movement of homes from floodplains is a good example. Mitigation will very often either expend resources or restrict access. Equally true is that the distribution of responsibility is not always even in mitigation. This can be difficult for the individuals who are affected by either moving out of floodplains or by accepting the risks and consequences of remaining.

Keeping these thoughts in mind when planning for, or engaging in, mitigation activates as part of preparation plans is both helpful and prudent.

Mitigation Activities

Avoidance: Stay out of the way or Get out of the way

Resiliency: Resiliency & Redundancy for Survival & Recovery

Knowledge of the Past: Learn from the Past to assess the Future

Prioritization: Focusing efforts by Accepting Consequences

Avoidance

This is as simple as staying away from the affected areas. This can be long term, as in the designation of flood zones to reduce the number of houses in floodplains, or short term, as in evacuations of the population from areas that are expected to be impacted by an imminent disaster. Preparations and planning often include aspects of mitigation.

Examples are:

- Complying with or exceeding floodplain management and land-use regulations.
- Enforcing stringent building codes, seismic design standards in earthquake prone areas, and wind-bracing requirements for new construction in tornado and hurricane prone areas, or repairing or retrofitting existing buildings to meet current mitigation standards.
- Planning for and implementing hazard-specific evacuation routes.
- Acquiring damaged homes or businesses in flood-prone areas, relocating the structures, and returning the property to open space, wetlands, or recreational uses.

As with all aspects of preparation, avoidance is an ongoing process and includes activities like:

- Periodic remapping of hazard or potential hazard zones, using geospatial techniques.

Resiliency

This entails developing resiliency into structures and infrastructure. This includes economic infrastructure as well.

- Identifying, utilizing, and refurbishing shelters and safe rooms to help protect people and critical resources in their homes, public buildings, and schools in hurricane and tornado prone areas.
- Supporting measures to ensure the protection and resilience of critical infrastructure and key resources designed to ensure business continuity and the economic stability of communities.
- Implementing a vital records program at all levels of government to prevent loss of crucial documents and records.

Knowledge of the Past

The collection and distribution of knowledge from past disasters is an important part of mitigation. Learning from past lessons to avoid damage or injury in the future is as valid a part of mitigation as any other. This tends to be specific to local geographical areas and includes knowing and understanding the history of risks and hazards in the area.

- Ongoing public education and outreach activities designed to reduce loss of life and destruction of property. (Communicating avoidance and resiliency)
- Management of data regarding historical incidents to support strategic planning and analysis.

Prioritization

Prioritization is predetermined decision to accept certain consequences of a disaster and actively work to avoid others. This may seem counter-productive but in actuality it is really a very realistic method for focusing efforts on saving those things that are most important to preserve. Prioritization is an interesting concept that is often born of necessity rather than choice. An example of this mitigation activity is found in the governments and populations of the islands of the Caribbean. Islanders know the power of hurricanes and accept there will widespread damage. They endeavor to develop plans to save what can be saved based upon prioritization.

II. NIMS Communication & Information Mgmt

Ref: IS-700 Unit 4: NIMS Communications and Information Management.

- I. Elements of communication
- II. Scope of information
- III. Communications Concepts
- IV. Communications Methods
- V. Communications Management Methods
- VI. Communications Systems

This section covers the information presented in 700 Unit 4 of the NIMS Communications and Information Management portion of FEMA 700 course. It addresses Communication Requirements for both equipment and communications systems. The information presented here is expanded to provide some clarification on the points made in the FEMA course work.

Before the discussion on how to communicate, there is a need to provide context to the question of communication and information management. What follows is a short discussion of what communication is and what kinds of information that disaster communication will generate.

This process is important to the establishment of a set of appropriate expectations of what disaster communication entails. This common understanding of context will be the bedrock upon which all other understanding will be based. It is the beginning of a common operational picture of communication and information management.

I. Elements of Communication

The best radio in the world is nothing more than a tool. For any communications equipment to be effective it needs more than just a qualified operator. Communication is a combination of the sender's intent, the equipment used, the message, the method of transmission, and the receiver. Of all of these the message is the center point of success. Communication is the information in the message, the tone, and intent of the communicator, and how that message is received by the intended audience that makes the message effective.

Elements of Communication

Effective Communication Requires:

- **Sender: To craft and deliver the message**
- **Equipment: To convey the message**
- **Message: To inform, instruct, or persuade**
- **Method: To establish receivership (Net, Blog, Etc.)**
- **Receiver: To receive the message**

A quick review of the elements will describe the process further.

The Sender: The sender has an idea or question and wants to communicate it to an intended audience. They must craft the message in a manner that can be conveyed with the equipment at hand, is understandable by the intended audience, and motivates the intended audience to act or respond in the manner desired by the sender.

The Equipment: The capacity of communications equipment will determine the parameters and limitations for the size and complexity of the message or data exchanged. The crafted message must fit within the capacity of the sending and / or receiving equipment.

The Message: The message must be crafted to inform, instruct, or persuade the intended audience. There are whole libraries dedicated to this art but the bottom line is that a poorly crafted message will not convey the sender's intent or query and may even have an opposite or detrimental effect on the intended receiver.

The Method: The method involves the agreements, understandings, and means to convey a message. If radios are used then the receiver must recognize that a message is being sent and then have the equipment, frequency, and will to seek out and monitor for the message. This can be as simple as knowing where and when to listen (as with a radio receiver) or as complex as developing systems and codes to communicate complex ideas with pre-established code (as with a storm or air raid siren).

The Receiver: A receiver is a target audience. It can be a single individual or an entire population. The goal of the sender is for the receiver to comprehend, acknowledge and respond to the message or query. The relationship between the sender and the receiver can be very complex. Think of the time and effort that goes into advertising. The same example of advertising demonstrates that the relationship between the sender and the receiver is not always mutually beneficial.

In disaster communication the intent is to save lives, mitigate the hazards, and protect property and the environment.

II. Scope of Information

At first introduction, the diversity of the information that is required to effectively respond to a disaster appears daunting. It seems like the Incident commander is juggling many things at once. This is in fact true, but just as in juggling, communication and information management has a rhythm. Once this rhythm is understood and practiced, it reveals a pattern that enables a Response Leader to hear, see, and comprehend what is happening within the response. In time an experienced Response Leader will learn to recognize when information is missing or misunderstood and what the impact that missing or misinterpreted information will have on the operational plan.

Therefore this discussion begins with the broad scope of information required and then, through refinement of understanding, provides the pattern within.

Incident Information

Shared information is vital to the Incident Commander, Unified Command, and decision makers within supporting agencies and organizations. A single piece of information may provide input for:

- Development of incident objectives and the Incident Action Plan (IAP).
- Identification of safety hazards.
- Determination of resource needs.
- Formulation of public information messages.
- Analysis of incident costs.

See facing page for examples of Incident Information

Chap 6

III. NIMS Command & Management

Ref: IS-700 Unit 6: NIMS Command and Management.

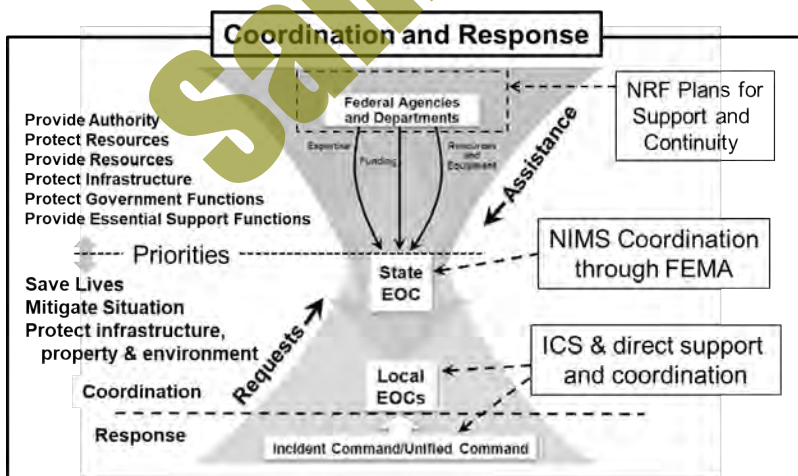
- I. NIMS Command and Management Overview
- II. Four Paths of NIMS Authority
- III. Command and Management Elements
- IV. Multi-Agency Coordination System
- V. Public Information
- VI. Relationships among Command and Management Elements (Cooperation)

I. NIMS Command and Management Overview

NIMS Command & Management is composed of those components and elements that provide the frame work and methods required to effectively respond to, and support the mitigation of, an incident.

Although each of these subjects has been address before, this section deals primarily with a broader view of these aspects. They are not addressed as elements of response, but more accurately as aspects of directives and coordination.

Remembering that NIMS is coordination for response and not the response itself, we then need to understand how setting the conditions for ICS success (NIMS) connects to the actual response (ICS). All 5 of these components support ICS. ICS feeds off of the conditions established by the NIMS components but ICS must, by its very nature, establish its own functional authority.



There is no separate command element established within NIMS during an incident. NIMS command and management is provided through the agency and department directors who provide definition and guidance to facilitate the Incident Commander's authority. This is important; the Incident Commander's authority is wholly dependent upon the recognition of that authority by the supporting departments and agencies. Without the commitment of those supporting and contributing to an ICS response effort, ICS does not work.

This is accomplished through four paths of Authority and Management; one primary line of Command and three lines of Management. Command being singular and each line of management having a focus of coordination & agreements, communication, or cooperation.

- Incident Command System (Command)
- Multiagency Coordination Systems (Coordination & Agreements)
- Public Information (Communication)
- Relationships among Command and Management Elements (Cooperation)*

Together they create Unity of Command through focused and coordinated efforts to achieve common goals.



**Note: In the FEMA course work there are only three elements described in MAC to create Unity of Command. They are the first three points listed above. The fourth, "Relationships among Command and Management Elements", is not addressed as a separate element in the FEMA course work. In this text "cooperation" between the participants of NIMS and MAC is added because this element is so critical to successful Unity of Command. Response Leaders must recognize that although cooperation is integrated into ICS, MAC Coordination Systems, and Public Information, it still deserves recognition and consideration as a separate and vital aspect of Unity of Command.*

IV. NIMS Ongoing Mgmt and Maintenance

Ref: IS-700 Unit 7: Ongoing Management and Maintenance.

I. National Integration Center

II. Supporting Technologies

FEMA Course 700 Unit 7 describes Ongoing Management and Maintenance as having two elements: National Integration Center and Supporting Technologies

This component of NIMS reflects the inherently mercurial nature of All Hazards response. Threats and hazards are ever changing and effective planned response requires constant vigilance to maintain.

I. National Integration Center (NIC)

The NIC is a 24/7 National Security Center that operates from a location in the vicinity of Washington DC.

HSPD-5 required the Secretary of Homeland Security to establish a mechanism for ensuring the ongoing management and maintenance of NIMS. Note that as a center the NIC is part of ICS structure, but is all the way up at the Federal level. This is an excellent example of how the ICS structure is active beyond the incident and outside of the Incident Command Team authority while still being very much a part of the ICS structure and process.

The Secretary of Homeland Security established the National Integration Center (NIC) to serve as an asset for government agencies, the private sector, and nongovernmental organizations that are implementing NIMS.

NIC Responsibilities

The NIC is responsible for the following functions:

- Administration and Compliance
- Standards and Credentialing
- Training and Exercise Support
- Publication Management

Note that all of these functions provide for very broad strategic requirements that establish commonality and standardization for later application in NIMS support functions as well as in ICS response activities.

Administration and Compliance

To manage ongoing administration and implementation of NIMS, including specification of compliance measures, the NIC is responsible for working toward the following:

- Developing and maintaining a national program for NIMS education and awareness.
- Promoting compatibility between national-level standards for NIMS and those developed by other public, private, and professional groups.
- Facilitating the establishment and maintenance of a documentation and database system related to qualification, certification, and credentialing of emergency management/response personnel and organizations.
- Developing assessment criteria for the various components of NIMS, as well as compliance requirements and timelines.

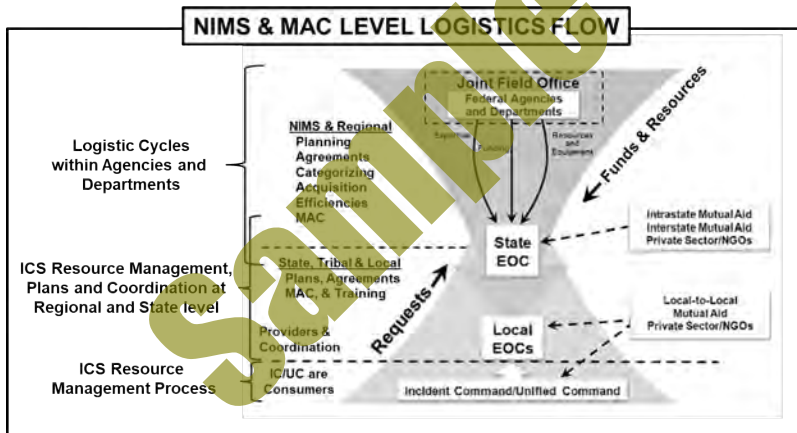
Chap 7

NIMS Resource Management (RM)

Ref: FEMA IS-700 Unit 5 with augmentation from FEMA 703 Unit 6.

- I. NIMS Resource Management: Resources and Functions
- II. NIMS Approach to Managing Resources
- III. The NIMS Resource Management Cycle (Seven Steps)
- IV. Planning and the Use of Agreements

This explanation of NIMS Resource Management follows the general flow of the FEMA IS-700 Course work. This introductory information from IS-700 Unit 5 is augmented with the more complete ideas pertaining to NIMS as presented in the FEMA IS-703 Unit 6 course, Resource Management. Together they offer a good explication of NIMS materials management in method and process flow as it differs from ICS/ NIMS resource management coordination. This information focuses on longer term anticipation and preparation aspects of production and acquisition.



This chapter deals directly with NIMS Resource Management and the methods of application for agencies and department that use NIMS as well as methods for application in NIMS MAC operations.

This information is designed as augmentation to the explanations of ICS and NIMS processes as described in detail within Book #2 (ICS), Chapter 9 Resource Management. That material covers FEMA course IS-703 in relation to ICS / NIMS resource management coordination.



Refer to Disaster Response SMARTbook 2 – Incident Command System (ICS) (On-Scene, All-Hazards Incident Management) for further discussion. Topics include incident command system (ICS) purpose, features, and principles; command and staff functions; leadership and management; unified command, area command, and multiagency coordination; planning; ICS briefings and meetings; organizational flexibility; incident/ event management; resource management; and demobilization.

A note on critical infrastructure: The information provided in this SMARTbook was designed to follow “in line” with the general flow of the FEMA course unit curriculum (in this case FEMA course IS-700). Because critical infrastructure is not addressed in this FEMA coursework the vital aspect of critical infrastructure is discussed in a separate chapter. Critical infrastructure is often overlooked as an aspect of support in response activities. We are accustomed to the stability and durability of the infrastructure we currently enjoy. Although durable, infrastructure is not impervious to damage or even destruction. An examination of any major hurricane or earthquake will demonstrate the impact of loss of critical infrastructure during an incident.

A note on the term “resource”: In both ICS and NIMS resource management, a resource is any “asset” that can be deployed in response to an incident. This definition includes materials, equipment, and people. The aspect of people as a resource is the subject of this note. Responders become a “resource” when they have the ability to provide a capability or capacity. This usually involves some form of recognized and standardized training and credentialing. It may be a subtle difference but the person or the equipment is only a resource if they can provide a Type and Kind of capability or capacity. A person or a truck is not a resource until it can be identified as being able to provide a capability or capacity. Untrained personnel are not considered resources. They must first receive training and be credentialed before becoming a “resource”.

Examples of this are when a trained and credentialed Response Leader takes up the role of an Incident Commander, or when a doctor, who is credentialed as an emergency surgical specialist, is deployed to a field hospital. Resources can include teams as well; surgical teams that work with the doctor, firefighting crews trained and credentialed to operate specific equipment like ladder trucks, or trained to parachute into forests to fight fires. Sometimes an individual can provide the capacity or capability; sometimes it takes a crew of people. Remember that all resources; people, equipment, or materials, are defined by their Kind and Type, capability and capacity.

I. NIMS Resource Management: Resources and Functions

A. Required Resources (Acquisitions)

NIMS establishes a broad approach for the acquisition and management of resources before, during, and after an incident. This requires that resources be separated into very general functions and then subdivided in accordance with the characteristics of the individual resource. Resources in NIMS are defined in four general categories.

Resource Categories & Characteristics

- ☐ Personnel
- ☐ Equipment
- ☐ Supplies
- ☐ Facilities

- ✓ Kind and Type
- ✓ Size
- ✓ Capacity
- ✓ Capability
- ✓ Skills
- ✓ Other Characteristics

Resources and Functions

NIMS has two separate areas of resource management consideration:

- Resource acquisition and required functions examines what is needed and when it is needed. It concentrates upon the physical and time considerations of resources.
- Managing Resources examines how these acquisitions will be coordinated within and between jurisdictions. It concentrates upon the process of communication and coordination.

Fundamentally, having a resource is a separate function from sharing a resource. Acquisition is a function of an individual jurisdiction, as opposed to coordination, which is a collective function of two or more jurisdictions. Even with standardized approach, commonality of process, and the coordinated use of agreements, the fact remains that no matter how collective or coordinated a response may be, each individual resource comes from, and returns to, a specific jurisdiction. This is a nuanced concept that represents the depth of complexity that exists in NIMS and national level response coordination.

NIMS Approach to Materials Management

Resources and Functions

Resource Acquisitions - Personnel, Equipment, Supplies, Facilities
Required Functions - ID Needs, Order & Acquire, Mobilize, & Recover

Managing Resources

Standardized Approach to Resource Management (6 Points)
The Resource Management Process (7 Steps)
Planning and the use of Agreements (4 Points)
Critical Infrastructure development and sustainment (Chapter 6)

Resources and Functions encompass the four general areas of acquisition and the four required functions within NIMS resource management. They are:

- Resource Acquisitions - Personnel, Equipment, Supplies, & Facilities
- Required Functions - ID Needs, Order & Acquire, Mobilize, & Recover

Managing Resources encompasses methods of management and coordination (standardized approach and process) as well as the use of agreements. The standardized approach, process, and method of coordination within NIMS Resource Management are:

- Standardized Approach to Resource Management
- The Resource Management Process
- Planning for the use of Agreements

-
- Critical infrastructure development and sustainment

Note: The development and sustainment of critical infrastructure, is not covered in any detail in the FEMA IS-700 or IS-703 course work, but critical infrastructure, as a response resource, is vitally important to NIMS. Critical Infrastructure issues and considerations are discussed in detail in chapter 7. It is highly recommended that Response Leaders include study and contemplation on the aspects of critical infrastructure to complete their understanding of the full spectrum of NIMS resource management.

III. The NIMS Resource Management Cycle (Seven Steps)

Inventory Preparation

This initial activity consists of developing and fulfilling anticipated requirements for All Hazards Response. This is not response, this is preparation. It is not considered a step because it is a continual process. The preparation lists include short term, middle term, and long term requirements that can include the whole scope of response requirements from bottled water to factories that build fire trucks and highways to drive them on.

Resource Identification: all planning for development of requirement lists for resources available and required for response and contingencies.

Plans: All plans based on assessments, vulnerability studies, risk analysis or other anticipatory method, to include all contingencies, are established and validated in this step.

Agreements: The coordination, negotiation, and signatory consent for all Agreements: Memorandums of Agreement (MOA), Memorandums of Understanding (MOU), Mutual Aid Agreements, and Assistance Agreements, as well as informal agreements, are developed during this stage. These must all be in place, agreed upon, signed into obligation, communicated, and practiced prior to an incident or response.

Basically, anything required or completed prior to an incident is actioned during this step.

1. Identify Requirements

Where an Incident Commander identifies the operational requirements for the “on scene” incident response, NIMS MAC identifies the Total Response Requirement to include any and all participating agencies and departments within the responding MAC Centers and Groups, as well as any potential incident requirements.

This is a separate process from “Establish resources needs” during an incident. It is a constant process of identifying requirements based upon anticipation, analysis, and assessment. Like inventory preparation, this includes items like critical infrastructure and industrial capacity for production.

2. Order & Acquire

This involves a long term commitment in response preparation to “buy it, borrow it, or build it” in order to meet anticipated needs. Budgeting for and purchasing those things identified in Step 1. The ICS step of Resource Ordering taps into these resources for request fulfillment. NIMS acquires, receives, stores, and otherwise maintains the items that requirement identification has designated as important.

This includes all response personnel (resource) training and credentialing outside of the capacity of the requesting jurisdiction. Additionally, exercises and group training for agencies as well as collective MAC training and coordination events are in this step.

3. Mobilize

This is the NIMS push aspect to compliment the ICS pull “request”. The supporting element receives the support request and confirms the availability and readiness of the requested assets. They staff and equip the complete resource, provide funding for transportation and release the resource for deployment to, and receipt by, the Incident Management Team.

Note that this is the agency process of sending the requested resources out the door as well as the actual mobilization and deployment of the resources themselves.

4. Track & Report

Track and Report is the counterpart to the ICS activity of Check-in and Track as well as resource utilization and evaluation. This activity involves the MAC monitoring mobilized resources; including personnel, equipment, and time in operational, recovery, or reconstitution status.

Tracking includes accountability of expenditures and documenting reimbursable costs. Where the ICS staff tracks operational availability, NIMS MAC tracks resource status and record keeping. A monitoring observation is kept on resources to ensure they are getting rest and are on a reasonable operational rotation. Resource effectiveness and evaluations are also conducted.

5. Recover / Demobilize

Where ICS demobilization involves resource release and tracking back to home station, NIMS recovery and demobilization involves the tracking of the resource from its release from the incident all the way through readiness to be mobilized again. This includes tracking until the resource is received at its home station, assessment of the resources condition upon return and the completeness of all documentation, assessment of requirement for repairs, and the restocking of all expended, broken, damaged, or destroyed items that will be required to bring the resource back to a deployable status.

Personnel are also received and assessed. Required medical treatment is documented and any due compensation is arranged. Certifications are examined for renewal and any time limitations until the next allowable mobilization are recorded. All personnel documentation and assessment is collected and recorded. All newly generated vacancies or replacement requirements are noted for the next inventory requirement assessment cycle.

The next two steps are not conducted by the IMT in ICS operations (NIMS level only):

6. Reimburse

Recoverable expenses are accounted for and documented, sent to the appropriate agencies for reimbursement, and remittances are documented with funds placed in the proper agency accounts.

7. Inventory Assessment

In this step the NIMS MAC assesses the number and condition of the assets remaining for utilization in follow-on incident requirements, their current state of readiness and / or the timeline for their return to a deployable status. This Post-Incident Resource Assessments provides the “what we have” list for the next requirement assessment cycle. A vital aspect of inventory assessment is the collection of Lessons Learned during the Incident Management Assessment (IMA).

Identifying and Typing Resources

A vital aspect of this entire process is the correct and standardized descriptions of resources. NIMS MAC agencies must identify, create, describe, and provide the correct response resources based upon assessments and requests.

- **Resource Category:** Identifies the function for which a resource would be most useful.
- **Kind of Resource:** Describes what the resource is (for example: medic, firefighter, Planning Section Chief, helicopter, ambulance, bulldozer).
- **Type of Resource:** Describes the size, capability, and staffing qualifications of a specific kind of resource

Multiagency Coordination (MAC)

- I. Multiagency Coordination (MAC) examined as a Process (What)
- II. Goals and Fundamentals of Multiagency Coordination
- III. MAC System (MACS) Components
 - A. National and Regional Level MACS Structure
 - B. State, County, and Local Level MACS Structure
 - C. Multiagency Coordination Groups
 - D. Multiagency Coordination Centers
- IV. How MAC Works at Different Levels of Incident Complexity

This section is intended to be a stand-alone explanation of Multiagency Coordination (MAC) and MAC functions. It incorporates, and refers to, information from other parts of this book as well as portions from Book #2 of this series, (ICS). Although some explanations are similar, all of the information is presented in the context of facilitating the functions of MAC.

Multiagency Coordination System (MACS): A system that provides the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. Multiagency Coordination Systems assist agencies and organizations responding to an incident. The elements of a MACS include facilities, equipment, personnel, procedures, and communications. Two of the most commonly used elements are Emergency Operations Centers and MAC Groups.

- FEMA Glossary

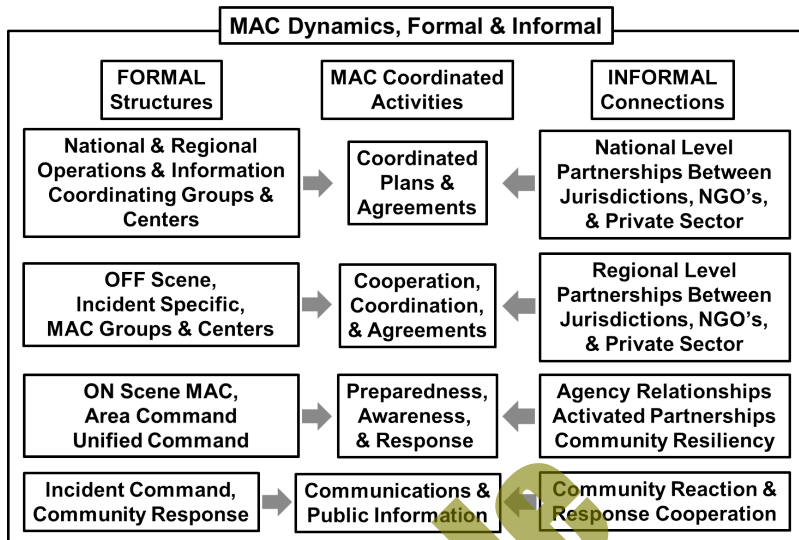
NOTE: The Multiagency Coordination System (MACS) discussion follows the now (as of 2016) discontinued IS-701 (MAC) course. Multiagency coordination (MAC) information is presented as it was originally included in the NIMS IS-700 course work. Note the pre-2016 references to multiagency coordination do not include the "S" for systems: MAC vs. MACS. This is an important distinction when looking up material as it will help to "date" the reference being used.

The hard part about understanding MAC is that it describes a process that utilizes, and even depends upon, outside elements that have their own separate definitions. MAC uses the structure of ICS to support ICS, but MAC and NIMS are not ICS. MAC depends upon a concept as mercurial and difficult to define as "partnerships" to form the foundations of the cooperation, coordination, and agreements that codify (and legally obligate) incident responses.

I. Multiagency Coordination examined as a Process (What)

MAC creates Unity of Effort from a broad spectrum of motivations and goals by communicating the realistic and obtainable ideals of the National Response Framework, promoting commitment to those ideals (by mandate) through NIMS, and providing the means, processes, and structures required to take those ideals and develop them into concrete realities through the cooperation, coordination, and agreements found in MAC. The NRF ideals are converted into realities through partnerships,

agreements, and commitments which are guided by Response Leaders within NIMS and enforced by the Authority of Command within ICS.



This chapter roughly follows the outline of FEMA Class 701 in that it addresses the requirements of operating a MAC facility and facilitating MAC operations. A significant amount of material has been added to the FEMA 701 "Preparing for MAC" course work to broaden the description. The intent is to provide an outline for MAC operations that is as in depth as the descriptions of ICS.

For those Response Leaders who are tasked with developing MAC programs and facilitating the physical aspects of MAC operations this section will provide information on the real world requirements of preparing, facilitating, and problem solving within the specific tasks of operational Multi Agency Coordination.

MAC is Mandated

NIMS and MAC are both mandated by the same documents. Homeland Security Presidential Directive 5: Management of Domestic Incidents (HSPD-5) and Homeland Security Presidential Directive 8: National Preparedness (HSPD-8) establishes National initiatives that develop a common approach to preparedness and response. As part of that initiative the development, preparation, and utilization of Multiagency Coordination Centers is a mandated task.

The National Incident Management System (NIMS) and the National Response Framework (NRF) provide the process and structures for meeting these mandates. Together, these related efforts align Federal, State, Local, Tribal, private-sector, and non-governmental preparedness, incident management, and emergency response plans into an effective and efficient national structure.

Command and Coordination in Context

Remember the earlier discussion on Command and Leadership from the NIMS discussion. Command is found in the authorities granted to the Incident Command Team. MAC relies on Leadership to facilitate effective response rather than upon command authority. Leadership in coordination, cooperation, and the development of agreements is demonstrated through commitment to the NIMS and MAC process in support of ICS efforts.

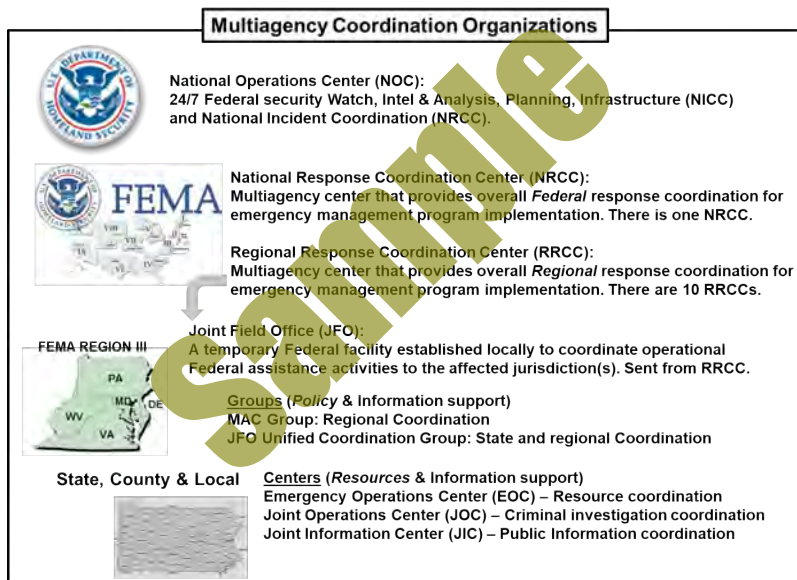
- **Command** is the act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority at the field level.

III. MAC System (MACS) Components

Incident Response in America works very much like the U.S. government. For example; all government within the United States operates under the tenets of jurisdiction as described in the Constitution, which is a Federal document. But all politics begins at the Local level and then moves up to State and finally to the Federal level as more geographic area and more people are affected by the decisions made. This is also true for incident and disaster response. Disaster response begins at the Local level and as more geographic area and more people are affected by an incident (small) or a disaster (big) the different levels of response are activated.

All incident response follows lines of jurisdiction and only comes off those lines when the jurisdiction asks for help. Agencies within a jurisdiction work collectively. If more help is needed the jurisdiction can ask a neighboring jurisdiction (call mutual aid) or request assistance from the next higher level of government. There are strict rules for who a jurisdiction can ask for help and restrictions on who can come to assist to keep higher levels of government from sticking their proverbial nose into the Local Jurisdictions business.

A. National and Regional Level MACS structure



National Operations Center (NOC) & National Infrastructure Coordination Center (NICC)

The NOC/NICC is the primary national hub for domestic incident management, operational coordination, and situational awareness at the National level. The NOC/NICC is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private-sector reporting. The NOC/NICC facilitates homeland security information sharing and operational coordination with other Federal, State, Local, Tribal, and Non-government EOCs.

I. Preparing for Multi-agency Coordination

- I. Preparing For MAC (Where)
- II. The Five Operational Requirements of MAC
 - A. The Right Number and Type of Personnel
 - B. Proper Physical Facilities
 - C. Communications Capability
 - D. Access to Command and Supporting Functions
 - E. Supplies, Work Stations, and Electricity

I. Preparing For MAC (Where)

Multiagency Coordination (MAC) is not limited to a single definition. MAC has both depth and complexity. It involves both formal and informal communication as well as a dedication to the process to ensure it works as designed.

One aspect of MAC complexity involves how to create a space where MAC can take place during an incident. The regular pre-incident coordination method of scheduling a meeting at the respective offices of the involved agencies, and inviting the appropriate stakeholders, may not work during an incident. When creating a space for the conduct of MAC activities there are five primary considerations. These are collectively known as the “Operational Requirements of MAC”.

MAC System Preparedness Factors

In the FEMA 701 Course curriculum MAC activity requirements are expressed as “MAC System Preparedness Factors”

People—the people who make the system work.

Communications and Information Systems—two-way mechanisms to ensure that personnel have the most accurate information possible and can relay that information efficiently.

Public Information—systems required to provide accurate, timely information to the public.

Non-personnel Resources—the equipment, tools, and supplies needed to complete response and/or coordination activities.

It is important to note that these “requirements” are those things that facilitate MAC, and are not the same as activates of MAC (cooperation, coordination, and agreement). In looking at the operational requirements of MAC we find the following necessities:

- The right number and type personnel
- Proper physical facilities
- Communications capability
- Access to command and supporting functions
- Supplies, work stations, and electricity

II. MAC Functions

- I. Cooperation, Coordination, and Agreements
- II. Conflicts in Concurrent Jurisdictions; Strategies for Conflict Resolution
- III. MAC Evaluation and Exercises
- IV. Activation of a MAC Location
- V. Resource Hierarchy
- VI. Requesting Mutual Aid and Assistance

I. Cooperation, Coordination, and Agreements

A. Cooperation

Cooperation involves individuals and agencies acting upon their commitment to Unity of Effort. There is no formal process for cooperation; it is simply expected of Response Leaders. This includes more than just working to meet goals by the efforts of their own agencies and through assistance to other agencies. It involves actively working with other agencies to ensure all response participants are functioning at maximum capacity and efficiency, sharing, supplying, and supporting where ever and whenever it is productive and prudent to do so.

B. Coordination

Coordination through Groups

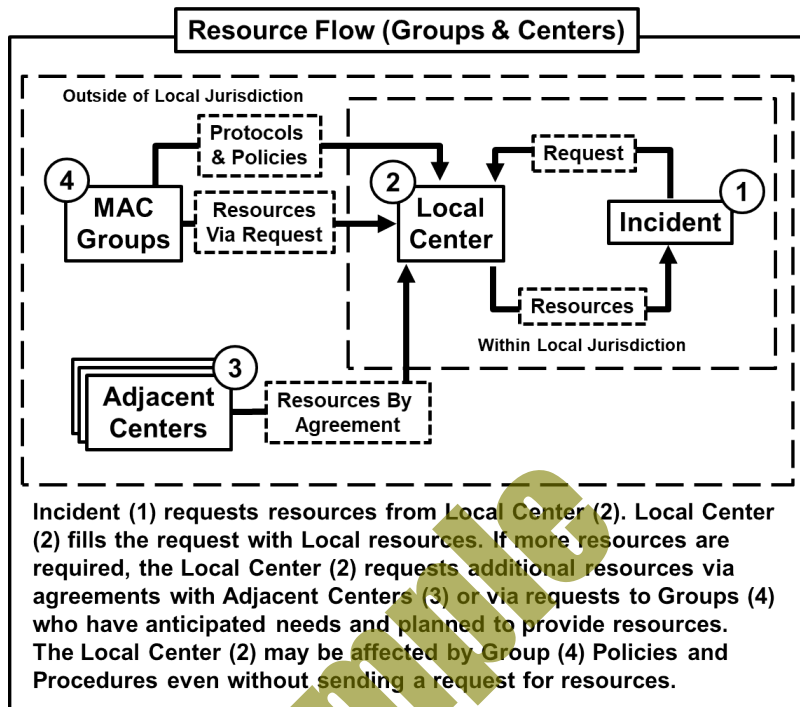
Groups are most active before an incident and represent the majority of the effort in material and procedural preparation for response. Groups provide two significant kinds of support: Policies & Procedures and Material Management (i.e. gathering resources before an incident).

Groups are generally more aligned with the activities of agencies, departments, States, Regional NGO's, and larger private sector industry participants. They concentrate their efforts on the establishment of protocols and the gathering and development of anticipated resources. They depend upon partnerships within higher levels of government jurisdiction.

Note: Remember that Centers receive and coordinate information and resources for movement into the Incident Command System. Groups prepare and provide materials, before the incident, in accordance with agreements, agency goals, and mission statements. During a local incident, the EOC/MAC will fill requests from the Incident Command using resources from within the jurisdiction. If additional resources are required, a mutual aid agreement or assistance agreement will be activated to fulfill those requests that cannot be filled locally. Those "incoming" resources are then mobilized directly from an agency or through a Group and made available to a Center for deployment into the Incident Command System. Local jurisdictions should work through the State EOC so that the State always has a complete picture of resource status and availability.

Along with the materials provided Groups develop and communicate the rules (policies and procedures) as to the terms and limitations of the use of those materials. Resource coordination through MAC Groups is perhaps the most critical aspect of resource management in that Groups of agencies, utilizing NIMS and MAC principles, anticipate and create material availability. Coordination within Groups

is essential to ensure prudent anticipation, active development, accurate resource tracking, and resource availability.



Policies and Procedures

Policies and procedures provide the "rules for use" that make up the standardization of "how things are done" through the participation of many agencies, working within MAC Groups, to establish and communicate common best practices. These "best practices" are designed to facilitate the needs of different agencies by coordinating policies and procedures into a set of standardized instructions that meet the needs of all agencies involved in response.

Policies are high-level guidance that is generally developed by senior management. Policies provide goals and direction to all agencies that may respond to an incident.

Procedures specify the methods or steps to be followed routinely for the performance of designated operations or in specific situations. Procedures describe how policies will be implemented.

Together, policies and procedures, shared between participating agencies, should clarify:

- What key players will do. (Scope of Work, Capacities, and Capabilities)
- How they will interact. (Communications, Priorities, & Delegations)
- How they will be held accountable. (Lines of Authority, Operational limitations)

Coordination through Centers

Centers are activated during an incident and represent the majority of the effort in material allocation and accountability during a response. Centers still prepare, gather, and train before an incident, so they are not "inactive" before an incident. Centers provide two significant kinds of support; Liaison with extra-jurisdictional

Internal Controls and Evaluation

The FEMA course work provides an excellent “preparedness indicator” for Response Leaders to use as a gauge to the level of internal readiness and external participation (connections) with other jurisdictions.

Preparedness Indicator	Fully, Partially, or Not at All?
Has the jurisdiction taken steps to ensure personnel are available and trained to carry out multiagency coordination functions, including: <ul style="list-style-type: none">▪ Mutual aid and assistance agreement utilization?▪ EOC/MAC Group activation?▪ Joint Information System and Joint Information Center setup?▪ Communications and information management?	
Does the jurisdiction use a unified approach to preparedness, ensuring mission integration and interoperability across functional and jurisdictional lines, as well as between public and private organizations?	
Have jurisdiction's preparedness organizations implemented and institutionalized policies, systems, procedures, and/or plans that ensure preparedness activities are coordinated among all appropriate agencies within the jurisdiction, across jurisdictions, and with private organizations?	
Do the jurisdiction's preparedness organizations meet regularly?	
Are the jurisdiction's preparedness organizations multijurisdictional when regular, cross-jurisdiction coordination is necessary?	
Have the jurisdiction's preparedness and response organizations established and coordinated emergency plans and protocols, including public communications and awareness?	
Do the jurisdiction's preparedness organizations integrate and coordinate activities of the jurisdictions and functions within their purview?	
Have the jurisdiction's preparedness organizations established the intergovernmental agreements, standards, guidelines, and protocols necessary to promote interoperability among member jurisdictions and agencies?	
Have the jurisdiction's preparedness organizations adopted standards, guidelines, and protocols for providing resources to requesting organizations, including protocols for incident support organizations?	
Do the jurisdiction's preparedness organizations set priorities for resources and other requirements?	
Do the jurisdiction's preparedness organizations conduct comprehensive training and exercises with all potential elements and stakeholders within the MAC System?	

III. MAC Activation Cycle

I. The Mobilization Cycle

- A. Considerations for long term activation of an EOC / MAC Group
- B. Techniques for Timing and Anticipation in MAC Material Resource Requests

II. Deactivation of a MAC Location

- A. After Operations Reviews
- B. Incident Management Assessments (IMA)

III. Preparation for Future MAC Operations

The Mobilization Cycle

- ☐ **Identify Requirements**
 - Incident, Area, & Unified Commands
- ☐ **Request**
 - Local Resources
 - Mutual Aid & Agreements
 - Requested Support from Higher
- ☐ **Mobilize**
 - Receive support request
 - Confirm assets
 - Man & Equip
 - Fund & Transport
- ☐ **Track & Report**
 - Monitor (Personnel, Equip, Time)
 - Expenditures & Reimbursables
 - Resource Status Record Keeping
 - Rest / Rotate
 - Resource Evaluation
- ☐ **Recover/Demobilize**
 - Receive, Assess, Repair, Replace



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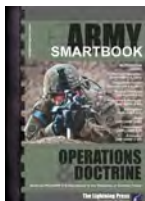


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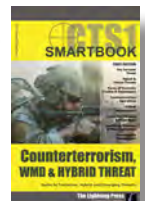
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Federal/National Disaster Response

National Preparedness & Regional Coordination (NRF/NIMS/MAC)



As a **Nation** we must maintain a state of readiness to respond to both natural disasters and man-made threats. **National response and preparation** is the term used to describe the efforts of Federal preparation and Regional coordination of resources and materials required for the material, financial, and cooperative support of **all-hazards response** at the State, Tribal, and Local level. At the National level, these efforts reflect consideration of both **disaster response and national security** requirements.

The **National Response Framework (NRF)** and **National Incident Management System (NIMS)** provide framework and function for the concepts, structures, and coordination involved the preparation and coordination of the knowledge, systems, and resources required for all-hazards response.

NRF includes all presidential directives, plans, and programs, associated with disaster response and all support efforts provided by those agencies not directly tied to disaster response, but offering support. **NIMS** directs and standardizes aspects of coordination and cooperation within and between Federal and Regional response efforts.

The **Multiagency Coordination System (MACS)** is a system that provides the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. Multiagency Coordination Systems assist agencies and organizations responding to an incident.

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