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# SEMS Guidelines

## Standardized Emergency Management System

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**November 2009** (*Reflects a revision to Part III Supporting Documents - SEMS Maintenance System*)

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**III. Supporting Documents**

*SEMS Regulations*  
*After Action Reports*  
*SEMS Maintenance System*  
*SEMS Action Planning*  
*Glossary of Terms*  
*Function Specific Handbooks*  
*Emergency Operations Center Course*

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***Materials Produced by The SEMS Maintenance System (Available on OES web site)***

*Shelter Medical Group Report: Evacuation, Care, and Sheltering of The Medically Fragile*

*Guidelines for Inter-County Sheltering Caused by Large-Scale Evacuations of People*

*SEMS Resource Ordering and Tracking: A Guide for State and Local Government*

*Disaster Assistance Funding Guidance*

*Public Assistance Eligibility Guidelines for Floods*

*Flood Preparedness Guide for Levee Maintaining Agencies*

*Guidelines for Coordinating Flood Emergency Operations*

*Legal Guidelines for Flood Evacuations*

*Emergency Plans for Mobilehome Parks*

*Protocol for Closure of Delta Waterways*

*Mutual Aid Specialist Committee Findings and Recommendations*

*Legal Guidelines for Controlling Movement of People and Property During an Emergency*

*Search and Rescue Operating Plan and Model MOU*

*Memorandum of Understanding for Animal Care During Disasters*

*Unified Command and SEMS: A Guide for State  
and Local Government*

*Standardized Emergency Management (SEMS)  
Guidance for Special Districts*

*California Implementation Guidelines For The  
National Incident Management System-*

## Introduction to SEMS Guidelines

### The 2006 Edition

The 2006 edition of the SEMS Guidelines is the result of work done by the SEMS Maintenance System in 2001 and the California Implementation Guidelines for the National Incident Management System (NIMS) published in 2006.

The California Implementation Guidelines for the National Incident Management System were approved by the SEMS Advisory Board on April 26, 2006. The Guidelines were developed to support NIMS compliance by state agencies, local and tribal government, and formed the basis for 12 workshops held during the summer of 2006. The Guidelines are available through the Governor's Office of Emergency Services' (OES) Website ([www.oes.ca.gov](http://www.oes.ca.gov)), or by requesting a copy from the Preparedness Branch of the OES.

As the federal government refines and implements the NIMS, the SEMS Guidelines will be reviewed and revised as necessary through the SEMS Maintenance System.

### Purpose of SEMS Guidelines

SEMS guidelines are intended to assist those responsible for planning, implementing and participating in SEMS by:

- explaining further the principles and operating concepts of SEMS as set forth in regulations,
- describing how SEMS functions at field response, local government, operational area, region, and state levels and the relationships among levels,
- providing models and examples that may be used to plan and develop SEMS,
- describing how existing plans and systems fit with SEMS,
- describing the role of various levels of government, special districts, and private and volunteer agencies in SEMS,
- describing the system for maintaining and improving SEMS.

**SEMS Guidelines are not regulations, do not alter regulations, and do not set standards for compliance. The models and examples contained in the SEMS**

**Guidelines are not intended to be the only ways to implement SEMS.**

**SEMS Documentation**

Documentation specific to SEMS includes:

*Government Code Section 8607 (a)* -- Statute, which directs the Governor's Office of Emergency Services (OES) to establish SEMS by regulation.

*California Code of Regulations Section 2400-2450* -- Regulations establishing SEMS.

*SEMS Guidelines* --Guidance for emergency response agencies on planning, developing, operating and maintaining SEMS consistent with regulations.

*SEMS Approved Course of Instruction (ACI)*--Training courses for emergency response personnel at field and emergency operations center (EOC) levels developed pursuant to SEMS Regulations. The approved courses include an Introductory Course, Field Level Course (Incident Command System), EOC Course, and Executive Course. Further information on the approved courses are provided in Part III of the Guidelines.

*Emergency Planning Guidance for Local Government* -- Provides guidance for developing local emergency plans consistent with SEMS. It includes a sample plan for the fictitious city of San Luis Del Mar and the county of Santa Luisa. Both of these are creatures of the California Specialized Training Institute (CSTI), the training arm of the Governor's Office of Emergency Services, and are used in the training they provide.

**Organization of the Guidelines**

This SEMS Guidelines document is organized in three parts:

Part I. System Description explains how SEMS is intended to work. The General System Description provides an overview of the entire system and the general interactions between levels of the system. It is followed by a section on each of the SEMS levels: field response, local government, operational area, regional, and state.

Part II. Planning and Developing SEMS provides initial guidance for emergency response agencies and steps that need to be taken to develop the system at each level.

Part III. Supporting Documents includes the SEMS Maintenance System document, which describes the roles of the SEMS Advisory Board, Technical Group and Mutual Aid Regional Advisory Boards in the ongoing development and maintenance of SEMS. Part III also contains a series of documents that provide additional information on specific topics useful to emergency response agencies, such as action planning, after-action reports, a glossary, and other documents that have been produced by the SEMS Maintenance System. Personnel with SEMS responsibilities are encouraged to read the entire guidelines for a thorough understanding of the development, operation, and maintenance of SEMS. At a minimum, they should read Part I.A. General System Description, the applicable sections of Part I and Part II for their respective level(s), and Part III SEMS Maintenance System. State and local government agency officials with responsibilities for field level personnel should read the field response level sections of Part I and Part II. Local government officials with emergency operations center or department operations center responsibilities should read the sections on both local government and operational area levels. (Special districts are defined as local governments in SEMS.) State agency officials with emergency operations center or department operations center responsibilities may need to read the regional and/or state level sections. The guidelines section for each SEMS level is intended to be a comprehensive discussion of that level including interactions with other levels. This results in some redundancy between sections.

**Relationship to Other Plans and Guidelines**

Many emergency planning documents were developed prior to the establishment of SEMS. The general relationship of key documents to the SEMS Guidelines is described briefly below.

*State Emergency Plan and Supporting Plans* -- The State Emergency Plan is the primary document guiding the state's response during emergencies. It defines emergency roles and responsibilities of state agencies. SEMS regulations and guidelines do not change the individual agency roles and responsibilities in existing laws or as described in the State Emergency Plan. SEMS Guidelines describe the system in which these agencies will function.

*Emergency Planning Guidance For Local Governments (EPGLG)*--The EPGLG provides local emergency planning guidance, a model city and county plan. Prior to the development of the EPGLG most jurisdictions have used a Multi-Hazard Functional Planning (MHFP) format. The EPGLG adapts this format to meet the requirements of SEMS. The *SEMS Guidelines* do not propose a model format, but do provide the organizational framework in which MHFP functions and other emergency functions can be placed. The relationship of the MHFP to SEMS is discussed further in Guidelines Part II.B. Local Government.

*Mutual Aid Plans and Support Documentation* --Several documents describe the workings of mutual aid systems in California, including the *Master Mutual Aid Agreement (MAA)*, *Mutual Aid Handbook*, and discipline-specific mutual aid plans, such as fire, law enforcement and medical. SEMS does not change existing mutual aid systems; mutual aid is part of the framework of SEMS. *SEMS Guidelines* provide an overview of mutual aid systems in the state and discuss the relationship of mutual aid coordinators to operational area, regional, and state EOCs. Readers interested in detailed information on discipline-specific mutual aid systems should review the appropriate discipline-specific mutual aid plan and supporting documentation.

*Operational Area Satellite Information System (OASIS), Interim Guidelines* --The OASIS guidelines describe an informational and resource tracking system for operational areas. It defines data and forms to be used to report key functions that include the MHFP functions. The OASIS functional approach and use of the operational area concept is compatible with SEMS. The functions in OASIS, like the MHFP functions, can be placed in the organizational framework of SEMS.

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## **Background on SEMS Development**

### **History**

As a result of events during the 1991 East Bay Hills fire, Senator Petris introduced SB 1841 (chaptered as Government Code Section 8607, effective January 1,



1993). This statute directs the Governor's Office of Emergency Services (OES) in coordination with all interested state agencies with designated response roles in the state emergency plan and interested local emergency management agencies, to establish by regulation the Standardized Emergency Management System (SEMS). The framework of SEMS includes the Incident Command System (ICS), multi-agency or inter-agency coordination, the Master Mutual Aid Agreement (MMAA) and system, and the operational area concept.

**Regulation Development**

OES established the SEMS Development Advisory Committee to assist in the development of the system and regulations. Chaired by the OES Deputy Director, Planning and Disaster Assistance, members included:

Representing Local Government Emergency Management

*Mutual Aid Region I*-- Los Angeles County Sheriff's Department

*Mutual Aid Region II*-- City of Oakland Office of Emergency Services

*Mutual Aid Region III*--Redding Fire Department

*Mutual Aid Region IV*-- San Joaquin County Office of Emergency Services (initially) Placer County Office of Emergency Services

*Mutual Aid Region V*--Kern County Emergency Medical Services Department

*Mutual Aid Region VI*--Riverside County Fire Department Emergency

Services (initially), City of San Diego Emergency Management Office (initially), Rancho Cucamonga Office of Emergency Services

Representing Law Enforcement

Tuolumne County Sheriff's Office

Representing Fire Services

Orange County Fire Department

Representing Utilities

East Bay Municipal Utilities District

Metropolitan Water District of Southern California

Representing State Agencies

Emergency Medical Services Authority

Department of Forestry and Fire Protection

State Fire Marshal

California Highway Patrol  
Military Department  
Commission on Peace Officer Standards and Training

**Process**

Using a facilitated round table process, the Advisory Committee began meeting March 16, 1993, to develop the Standardized Emergency Management System and to write the proposed regulations. In this process, the committee considered the current structure and responsibilities of the full range of emergency management in California. They identified five emergency management levels (field, local government, operational area, regional, and state) and the responsibilities and methods of operations the levels have in common and those that are unique. The committee then developed and approved regulations addressing the levels, responsibilities and methods of operations, and incorporating ICS, multi-agency or inter-agency coordination, the operational area concept, and mutual aid.

OES also established an internal SEMS Coordination Committee. The Statewide Emergency Planning Committee (SWEPC), a standing committee with membership from 48 state agencies, has also met to provide input to the system and regulations.

The proposed regulations were subject to a review and public hearing process. The Advisory Committee considered comments received in the process. The final adopted regulations became effective September 2, 1994 as Title 19, Division 2, Chapter 1 of the California Code of Regulations.

**Guidelines and Training Course Development**

The SEMS Advisory Committee established a Guidelines and Training Working Group to develop *SEMS Guidelines* and the *Approved Course of Instruction (ACI)*. Working group membership included representatives from:

Los Angeles County Sheriff's Department  
Commission on Peace Officer's Standards and Training  
Kern County Emergency Medical Services Department  
Orange County Fire Department  
Governor's Office of Emergency Services  
Rancho Cucamonga Office of Emergency Services  
California Highway Patrol  
California Department of Forestry and Fire Protection  
California Emergency Medical Services Authority

State Fire Marshal's Office  
East Bay Municipal Utilities District  
City of San Diego Emergency Management Office  
City of Los Angeles Police Department

State OES contracted with consultants to assist the working group in developing guidelines and training courses. The working group and consultants developed draft *SEMS Guidelines* and SEMS Training Courses for review by the Advisory Committee. Advisory Committee members also asked a number of additional local government and agency representatives to review and comment on the draft guidelines. Comments were addressed and the final draft *SEMS Guidelines* and *Approved Course of Instruction* were provided to OES.

The SEMS Advisory Committee was eventually disbanded as the SEMS Maintenance System became operational. For further information on this, consult Part III, Supporting Documents.

## Part I. System Description

### Section A

## General System Description

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### 1. What Is SEMS?

The Standardized Emergency Management System (SEMS) is the system required by Government Code Section 8607(a) for managing emergencies involving multiple jurisdictions and agencies. SEMS consists of five organizational levels, which are activated as necessary:

1. field response
2. local government
3. operational area
4. regional
5. state

SEMS incorporates the functions and principles of the Incident Command System (ICS), the Master Mutual Aid Agreement (MMAA), existing mutual aid systems, the operational area concept, and multi-agency or inter-agency coordination.

Local governments must use SEMS to be eligible for funding of their response-related personnel costs under state disaster assistance programs.

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### 2. Purpose of SEMS

SEMS has been established to provide effective management of multi-agency and multijurisdictional emergencies in California. By standardizing key elements of the emergency management system, SEMS is intended to:

- facilitate the flow of information within and between levels of the system, and
- facilitate coordination among all responding agencies.

Use of SEMS will improve the mobilization, deployment, utilization, tracking, and demobilization of needed mutual aid resources. Use of SEMS will reduce the incidence of poor coordination and communications, and reduce resource ordering duplication on multi-agency and multijurisdictional responses. SEMS is designed to be flexible and adaptable to the varied disasters that occur in California and to the needs of all emergency responders.

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**3. Organizational Levels and Activation Requirements**

The five SEMS organizational levels are described briefly below. Each level is discussed in detail in Guidelines sections I.B through I.F. The levels are activated as needed for an emergency. Minimum activation requirements from SEMS regulations are shown in the matrix on the following page.

**Field Response Level**

The field response level is where emergency response personnel and resources, under the command of an appropriate authority, carry out tactical decisions and activities in direct response to an incident or threat. SEMS regulations require the use of ICS at the field response level of an incident.

**Local Government Level**

Local governments include cities, counties, and special districts. Local governments manage and coordinate the overall emergency response and recovery activities within their jurisdiction. Local governments are required to use SEMS when their emergency operations center is activated or a local emergency is declared or proclaimed in order to be eligible for state funding of response-related personnel costs. In SEMS, the local government emergency management organization and its relationship to the field response level may vary depending upon factors related to geographical size, population, function, and complexity.

There also exists state (e.g., CDF, CHP, State Colleges and Universities) and federal jurisdictions at the Local Government organizational level of SEMS with responsibility to manage and coordinate the overall emergency response and recovery activities within their jurisdictions. State agencies are required to use SEMS at this level and should be incorporated (or at least coordinated), as appropriate, at the SEMS Local Government or Operational Area organizational level.

Federal agencies are not required to participate in the SEMS organization. However, many federal agencies also have responsibility to manage and coordinate the overall emergency response and recovery activities within their jurisdictions and often must coordinate with other local and state jurisdictions (e.g., the USDA, Forest Service, the California Department of Forestry and Fire Protection, and local fire agencies coordinate wildfire suppression activities

utilizing the SEMS Field level ICS Unified Command concept).

**Operational Area**

Under SEMS, the operational area means and intermediate level of the state's emergency management organization which encompasses the county and all political subdivisions located within the county including special districts. The operational area manages and/or coordinates information, resources, and priorities among local governments within the operational area, and serves as the coordination and communication link between the local government level and regional level.

**It is important to note, that while an operational area always encompasses the entire county area, it does not necessarily mean that the county government manages and coordinates the response and recovery activities within the county. The governing bodies of the county and the political subdivisions within the county make the decision on organization and structure within the operational area.**

**Region**

Because of its size and geography, the state has been divided into six mutual aid regions. The purpose of a mutual aid region is to provide for the more effective application and coordination of mutual aid and other emergency related activities.

In SEMS, the regional level manages and coordinates information and resources among operational areas within the mutual aid region, and also between the operational areas and the state level. The regional level also coordinates overall state agency support for emergency response activities within the region.

**State**

The state level of SEMS tasks and coordinates state resources in response to the requests from the REOCs and coordinates mutual aid among the mutual aid regions and between the regional level and state level. The state level also serves as the coordination and communication link between the state and the federal disaster response system.

Exhibit A-1

**Minimum Activation Requirements per SEMS Regulations**

Situations Identified in SEMS Regulations	SEMS Levels:				
	Field Response	Local Government	Operational Area	Regional	State
Incident involving two or more emergency response agencies §2405 (a),(b)	Use ICS				
Local emergency declared or proclaimed* §2407 (a)(2)		Use SEMS			
Local government EOC activated §2407(a)(1)		Use SEMS			
Local government activates EOC and requests OA EOC activation §2407(a)(1)		Use SEMS	Activate EOC	Activate EOC	Activate EOC
Two or more cities within an OA declare or proclaim a local emergency §2409(f)(2)			Activate EOC	Activate EOC	Activate EOC
County and one or more cities declare or proclaim a local emergency §2409(f)(3)			Activate EOC	Activate EOC	Activate EOC
City, city and county, or county requests Governor's state of emergency proclamation §2409(f)(4)			Activate EOC	Activate EOC	Activate EOC
Governor proclaims a state of emergency for county or two or more cities §2409(f)(5)			Activate EOC	Activate EOC	Activate EOC
OA requests resources from outside its boundaries**§2409(f)(6)			Activate EOC	Activate EOC	Activate EOC
OA receives resource requests from outside its boundaries**§2409(f)(7)			Activate EOC	Activate EOC	Activate EOC
An OA EOC is activated §2411(a)				Activate EOC	Activate EOC
A regional EOC is activated §2413(a)(1)					Activate EOC
Governor proclaims a state of emergency §2413(a)(2)					Activate EOC
Governor proclaims an earthquake or volcanic prediction §2413(a)(3)					Activate EOC

**Notes:** This matrix highlights the flow-through nature of SEMS activation requirements. Activation of an operational area EOC triggers activation of the regional EOC which, in turn, triggers activation of the state level EOC.

\*The EOC is usually activated, but in some circumstances, such as agricultural emergencies or drought, a local emergency may be declared or proclaimed without the need for EOC activation.

\*\* Does not apply to requests for resources used in normal day-to-day operations which are obtained through existing mutual aid agreements providing for the exchange of furnishing of certain types of facilities and services as provided for under the Master Mutual Aid Agreement.

§ Indicates sections in the California Code of Regulations, Title 19, Division 2, Chapter 1 (SEMS)

■ Situation is not applicable to the SEMS level.

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#### **4. Features Common to all Organizational/ Response Levels**

SEMS has several features based on the Incident Command System (ICS). The field response level uses functions, principals, and components of ICS as required in SEMS regulations. Many of these field response level features are also applicable at local government, operational area, regional and state levels. In addition, there are other ICS features that have application to all SEMS levels.

Described below are features of ICS that are applicable to all SEMS levels. Their application at each SEMS level is discussed further in Guidelines sections I.B-F.

#### **Essential Management Functions**

SEMS has five essential functions adapted from ICS. The field response level uses the five primary ICS functions: command, operations, planning/intelligence, logistics and finance/administration. At the local government, operational area, regional and state levels, the term management is used instead of command. The titles of the other functions remain the same at all levels where applicable.

#### **Management by Objectives**

The Management by Objectives feature of ICS as applied to SEMS, means that each SEMS level establishes for a given operational period, measurable and attainable objectives to be achieved. An objective is an aim or end of an action to be performed. Each objective may have one or more strategies and performance actions needed to achieve the objective. The operational period is the length of time set by command at the field level, and by management at other levels to achieve a given set of objectives. The operational period may vary in length from a few hours to days, and will be determined by the situation.

#### **Action Planning**

Action planning should be used at all SEMS levels. There are two types of action plans in SEMS:

1. Incident Action Plans: At the field response level, written or verbal incident action plans contain



objectives reflecting the overall incident strategy and specific tactical action and supporting information for the next operational period. Incident action plans are essential and required element in achieving objectives under ICS.

2. EOC Action Plans: At local, operational area, regional and state levels, the use of EOC action plans provide designated personnel with knowledge of the objectives to be achieved and the steps required for achievement. Action plans not only provide direction, but they also serve to provide a basis for measuring achievement of objectives and overall system performance. Action plans can be extremely effective tools during all phases of a disaster.

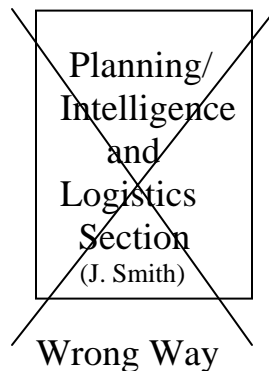
The action planning process and action plan contents are discussed further in Guidelines Part III.

**Organizational Flexibility--  
Modular Organization**

The intent of this SEMS feature is that at each SEMS level: 1) only those functional elements that are required to meet current objectives need to be activated, and 2) that all elements of the organization can be arranged in various ways within or under the five SEMS essential functions.

The function of any non-activated element will be the responsibility of the next highest element of the organization. Each activated element must have a person in charge of it; however, one supervisor may be in charge of more than one functional element.

For example, to establish a "Planning/Intelligence and Logistics Section," it is better to initially create the two separate functions. If necessary, for a short time it is acceptable to place one person in charge of both functions. That way, the transfer of responsibility can be made easier.



**Planning/  
Intelligence  
Section**  
(J. Smith)

**Logistics  
Section**  
(J. Smith)

### **Right Way**

The reasons not to combine positions are:

- If they need to be separated at a later time, this could cause confusion due to the mix of assignments, staffing, etc.
- This creates a "non-standard" organization, which would be confusing to incoming agencies.

Also, General Staff, those functions directly under Management, such as liaison, safety, public information, should not be combined due to the importance and specific nature of these functions.

### **Span of Control**

Maintaining a reasonable span of control is the responsibility of every supervisor at all SEMS levels. The optimum span of control is one-to-five, meaning that one supervisor has direct supervisory authority over five positions or resources. The recommended span of control for supervisory personnel at the field response level and all EOC levels should be in the one-to-three to one-to-seven range. A larger span of control may be acceptable when the supervised positions or resources are all performing a similar activity.

### **Personnel Accountability**

An important feature of ICS applicable to all SEMS levels is personnel accountability. This is accomplished through the Organizational Unity and Hierarchy of Command or Management feature along with the use of check-in forms, position logs and various status keeping systems. The intent in bringing this ICS feature into SEMS is to ensure that there are proper safeguards in place so all personnel at any SEMS level can be accounted for at any time.

### **Common Terminology**

In ICS, common terminology is applied to functional elements, position titles, facility designations and resources. The purpose of having common terminology is to rapidly enable multi-agency, multijurisdiction

organizations and resources to work together effectively. This feature, as applied to all SEMS levels, would ensure that there is consistency and standardization in the use of terminology within and between all five SEMS levels.

**Resources Management**

In ICS, resources management describes the ways in which field level resources are managed and how status is maintained. At all SEMS levels, there will be some functional activity related to managing resources. This will vary from level to level in terms of directing and controlling, to coordination, to resource inventorying. Procedures for effective resources management must be geared to the function and the level at which the function is performed.

**Integrated Communications**

This feature of ICS relates to: hardware systems; planning for system selection and linking; and the procedures and processes for transferring information. At the field response level, integrated communications is used on any emergency. At all EOC levels, and between all SEMS levels, there must be a dedicated effort to ensure that communications systems, planning, and information flow are being accomplished in an effective manner. The specifics of how this is accomplished at EOC levels will be different than at the field response level.

**Response Information Management System (RIMS)**

To achieve integrated communications between all EOC levels of SEMS, the Response Information Management System (RIMS) was developed. RIMS is an internet-based system used to coordinate and manage the State's response to disasters and emergencies. RIMS automates reporting of information and tracking resources. RIMS was developed by OES in 1995 and now over 2,000 internal and external clients access RIMS via the Internet. RIMS is available to all cities, special districts, and state agencies within California that have a computer with access to the Internet. Web access to RIMS is controlled by user identifications and passwords. Web browser clients and Internet access are standard and supported in nearly every government agency. RIMS user base has expanded from 137 agencies to 2,500 by developing the Internet-based system.

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**5. Mutual Aid**

**What Is Mutual Aid?**

Incidents frequently require responses that exceed the resource capabilities of the affected response agencies and

jurisdictions. When this occurs, mutual aid is provided by other jurisdictions. Mutual aid is voluntary aid and assistance by the provision of services and facilities including, but not limited to: fire, police, medical and health, communications, transportation, and utilities. Mutual aid is intended to provide adequate resources, facilities, and other support to jurisdictions whenever their own resources prove to be inadequate to cope with a given situation.

Mutual aid exists among the State and local government under the terms of the California Disaster and Civil Defense Master Mutual Aid Agreement (MMAA). This agreement was developed in 1950 and has been adopted by California's incorporated cities, all 58 counties and the State.

### **Mutual Aid Systems**

The mutual aid program in California has developed statewide mutual aid systems. These systems, operating within the framework of the MMAA, allow for the progressive mobilization of resources to and from emergency response agencies, local governments, operational areas, regions, and the State with the intent to provide requesting agencies with adequate resources. The general flow of mutual aid resource requests systems within mutual aid are depicted in Exhibit A-2, located on page 11.

Several discipline-specific mutual aid systems have been developed, including fire and rescue, law enforcement, medical, and public works. The adoption of SEMS does not alter existing mutual aid systems. These systems work through local government, operational area, regional and state levels consistent with SEMS.

Mutual aid may also be obtained from other states. Interstate mutual aid may be obtained through direct state-to-state contacts, pursuant to inter-state agreements and compacts, or may be coordinated through federal agencies.

### **Mutual Aid Coordinators**

To facilitate mutual aid, discipline-specific mutual aid systems work through designated mutual aid coordinators at the operational area, regional, and state levels. The basic role of a mutual aid coordinator is to receive mutual aid requests, coordinate the provision of resources from within the coordinator's geographic area of responsibility, and to forward unfilled requests to the next level.

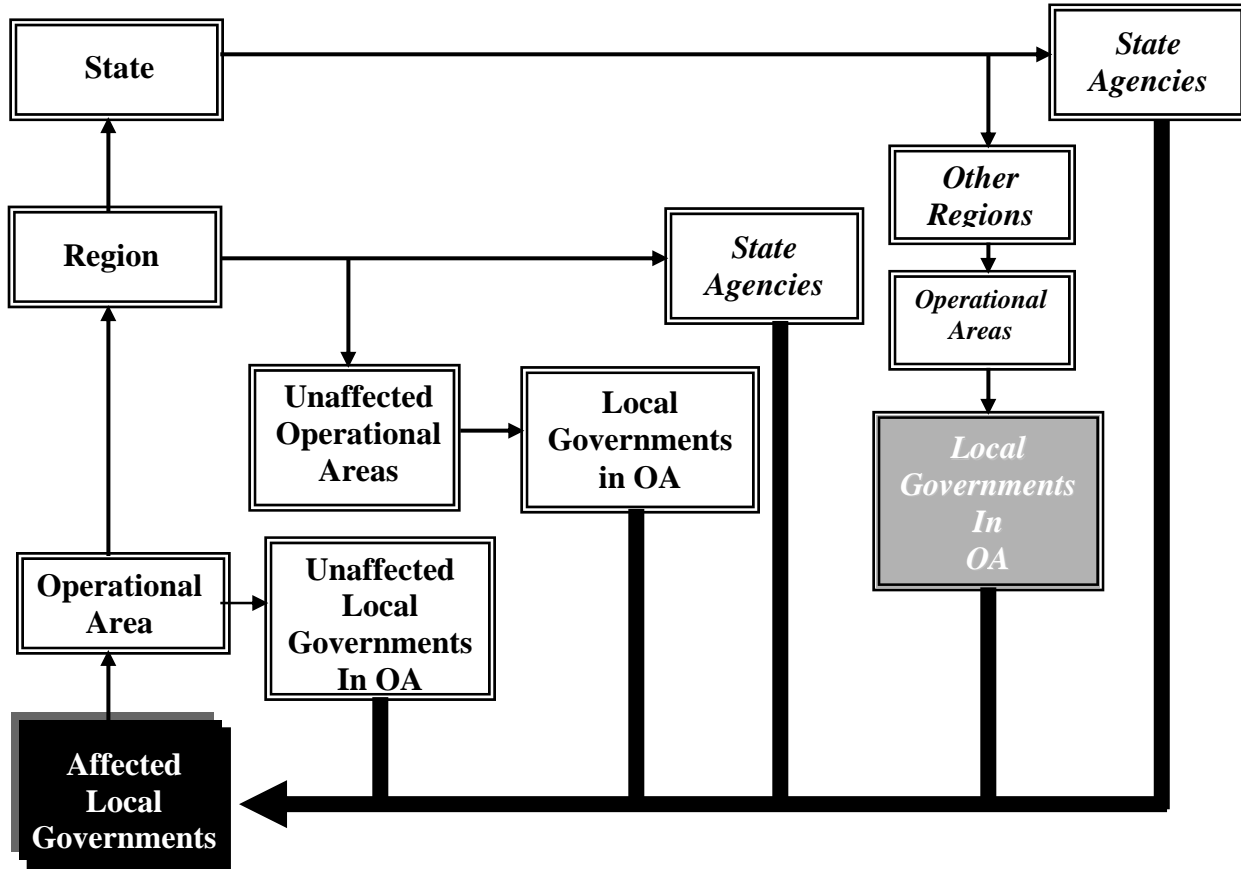
Mutual aid requests that do not fall into one of the discipline-specific mutual aid systems are handled through the emergency services mutual aid system by emergency management staff at the local government, operational area, regional, and state levels. The flow of resource requests and information among mutual aid coordinators is illustrated on the following page.

Mutual aid coordinators may function from an EOC, their normal departmental location, or other locations depending on the circumstances. Some incidents require mutual aid but do not necessitate activation of the affected local government or operational area EOCs because of the incident's limited impacts. In such cases, mutual aid coordinators typically handle requests from their normal work location. When EOCs are activated, all activated discipline-specific mutual aid systems should establish coordination and communications with the EOCs:

- When an operational area EOC is activated, operational area mutual aid system representatives should be at the operational area EOC to facilitate coordination and information flow.
- When an OES regional EOC is activated, regional mutual aid coordinators should have representatives in the regional EOC unless it is mutually agreed that effective coordination can be accomplished through telecommunications. State agencies may be requested to send representatives to the regional EOC to assist OES regional staff in handling mutual aid requests for disciplines or functions that do not have designated mutual coordinators.
- When the State Operations Center (SOC) is activated, state agencies with mutual aid coordination responsibilities will be requested to send representatives to the SOC.

Mutual aid system representatives at an EOC may be located in various functional elements (sections, branches, groups, or units) or serve as an agency representative depending on how the EOC is organized and the extent to which it is activated.

**Mutual Aid System Concept:  
General Flow of Requests and Resources**



← Resource Requests

OA - Operational Area

Notes: Local governments may request mutual aid directly from other local governments where local agreements exist.

Discipline-specific mutual aid systems may have procedures that provide additional methods of obtaining state resources.

Volunteer and private agencies may be involved at each level.

**Participation of Community Based Organizations,**

Community Based Organizations (CBOs) and Collaboratives may participate in the mutual aid system

**Collaboratives and Private Agencies**

along with governmental agencies. For example, the disaster medical mutual aid system relies heavily on private sector involvement for medical/health resources. Some CBOs, such as the American Red Cross, Salvation Army, and others are an essential element of the statewide emergency response to meet the needs of disaster victims. CBOs mobilize volunteers and other resources through their own systems. They also may identify resource needs that are not met within their own systems that would be requested through the mutual aid system. CBOs with extensive involvement in the emergency response should be represented in EOCs.

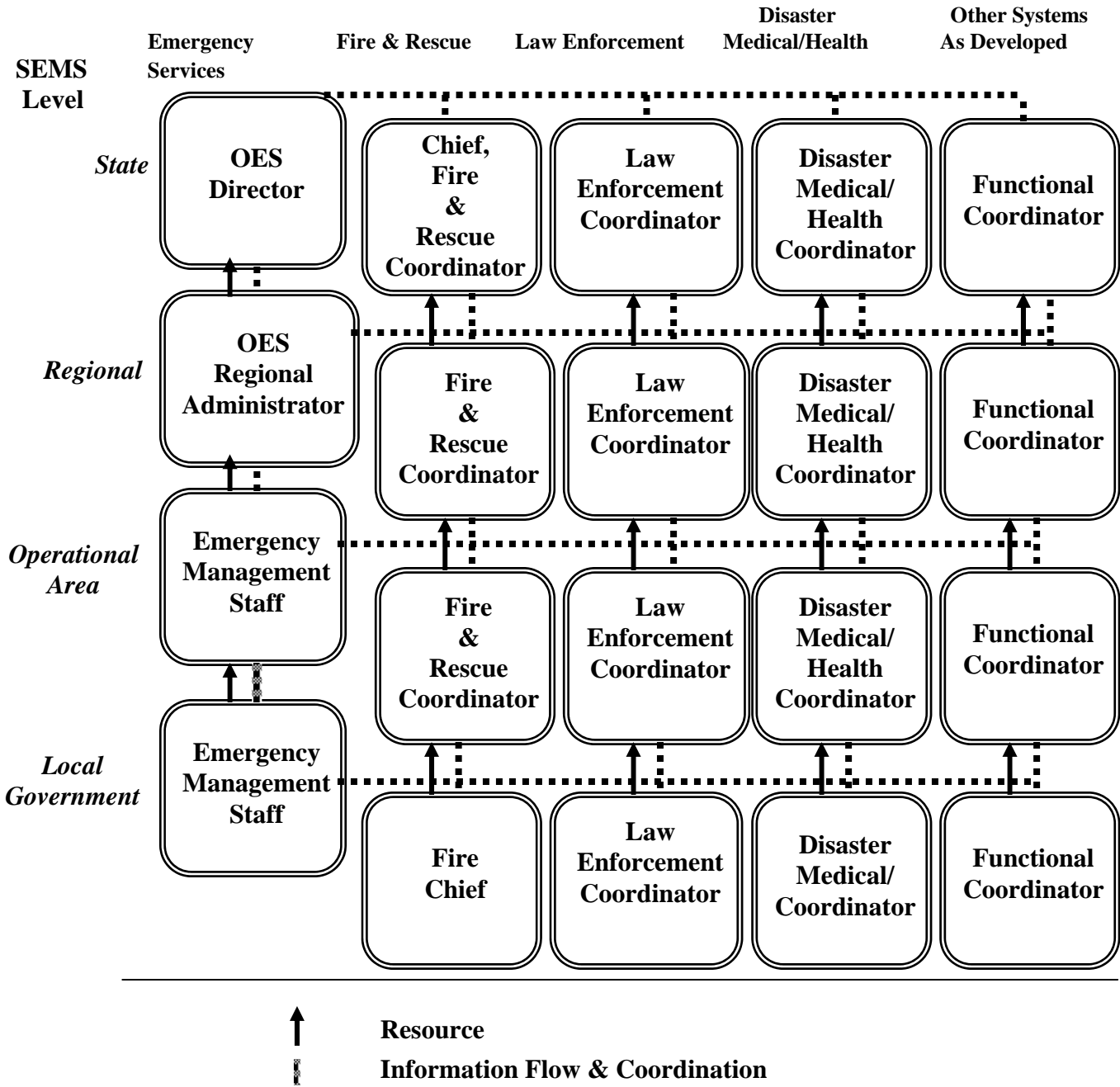
Some private agencies have established mutual aid arrangements to assist other private agencies within their functional area. For example, electric and gas utilities have mutual aid agreements within their industry and established procedures for coordinating with governmental EOCs. In some functional areas, a mix of special district, municipal, and private agencies provides services. Mutual aid arrangements may include both governmental and private agencies. For example, public and private water utilities have established a mutual aid system through the Water/Wastewater Agency Response Network.

Liaison should be established between activated EOCs and private agencies involved in a response. Where there is a need for extensive coordination and information exchange, private agencies should be represented in activated EOCs at the appropriate SEMS level.

Exhibit A-3

**Mutual Aid Coordinators:  
General Flow of Resource Requests and Information**

Discipline-specific Mutual Aid Systems





**Emergency Facilities used for Mutual Aid**

Incoming mutual aid resources may be received and processed at several types of facilities including: marshalling areas, mobilization centers, and incident facilities. Each type of facility is described briefly below:

- Marshalling Area: Defined in the Federal Response Plan as an area used for the complete assemblage of personnel and other resources prior to their being sent directly to the disaster area. Marshalling areas may be established in other states for a catastrophic California earthquake.
- Mobilization Center: Off-site location at which emergency services personnel and equipment are temporarily located pending assignment, release, or reassignment. For major area-wide disasters, mobilization centers maybe located in or on the periphery of the disaster area.
- Incident Facilities: Incoming resources may be sent to staging areas, other incident facilities, or directly to an incident depending on the circumstances. Staging areas are temporary locations at an incident where personnel and equipment are kept while awaiting tactical assignments. Incident facilities are discussed further in section I.B.

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**6. Overview of SEMS Response**

The following describes generally how SEMS is intended to work for various emergency situations. The situations are described in terms of the involvement and interactions of the five SEMS levels, and are intended to apply to all types of disasters that may occur in California, such as, earthquakes, floods, fires, and hazardous materials incidents. Not all possible situations and interactions are described.

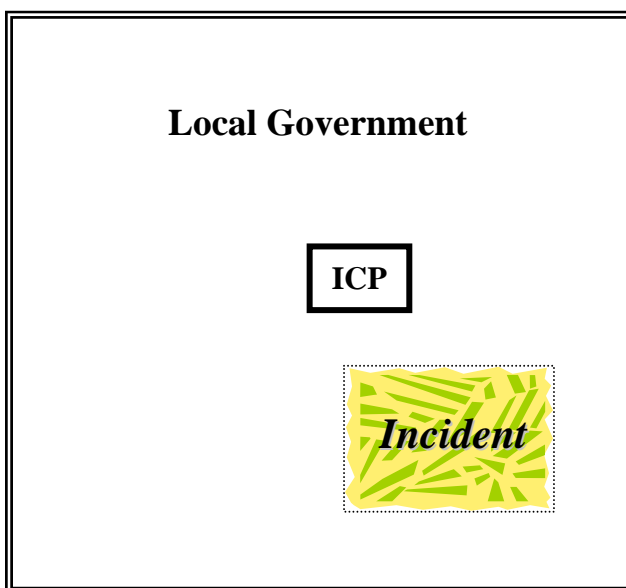
This discussion assumes that appropriate emergency declarations and proclamations are made. It also assumes that multi-agency or inter-agency coordination is accomplished at each level by SEMS regulations. The responses at each level are discussed in more detail in sections I.B. through I.F. of the guidelines. Note that SEMS may be activated and resources mobilized in anticipation of possible disasters. Such anticipatory actions may be taken when there are flood watches, severe

weather, earthquake advisories, or other circumstances that indicate the increased likelihood of a disaster that may require emergency response and mutual aid. The extent of actions taken will be decided at the time based on the circumstances.

### Local Incident within Capability of Local Government

- Field Response: Field units respond as needed using the Incident Command System. Resources are requested through local government dispatch centers.
- Local Government: Supports field response as needed. Small incidents generally do not require activation of the local government emergency operations center. Emergency management staff may monitor the incident for possible increase in severity. Larger incidents may necessitate activation of the EOC. Local government will notify the operational area if the EOC is activated.

Exhibit A-4

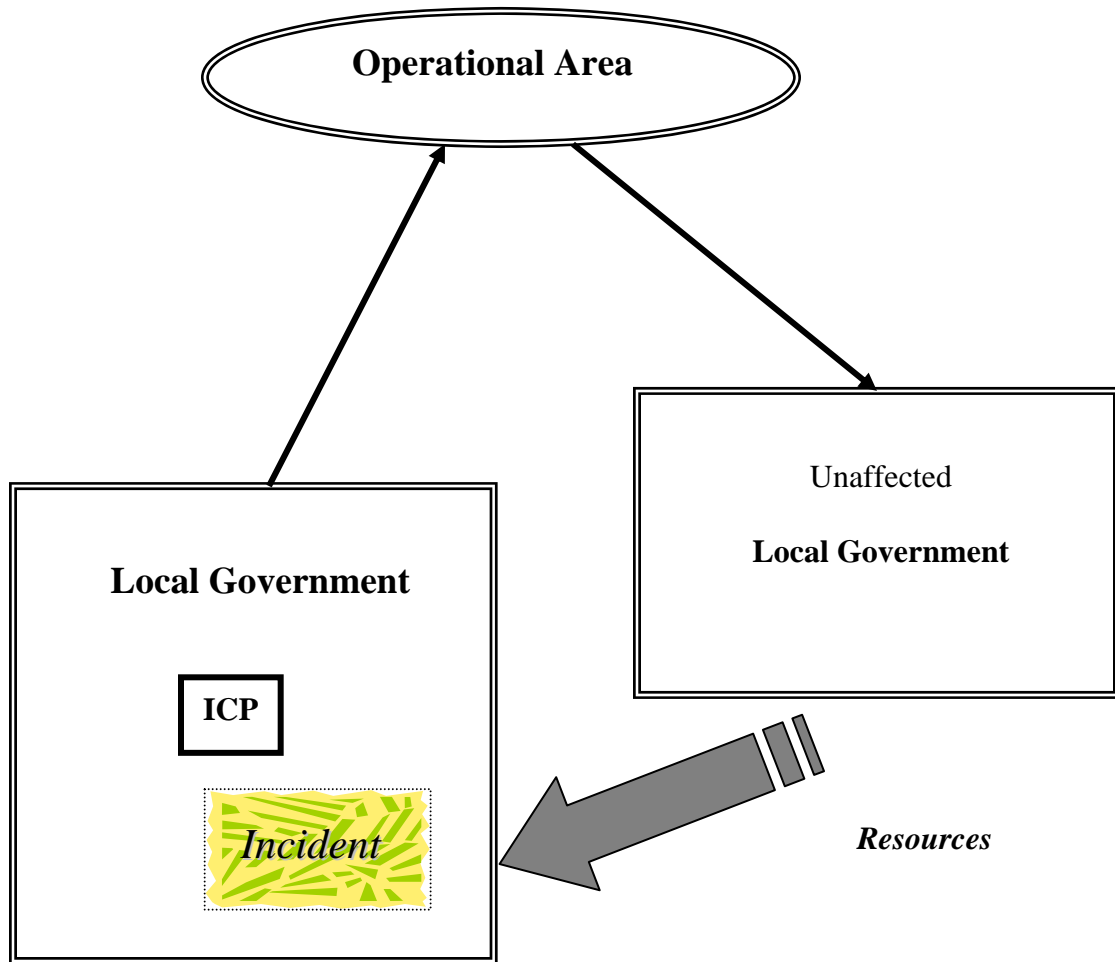


- Operational Area: Activation of the operational area EOC is generally not needed for small incidents, but consideration should be given to possibility of the incident becoming larger. The operational area EOC would be activated if the local government activates its EOC and requests operational area EOC activation.

**Single Jurisdiction Incident --  
Local Government Requires  
Some Additional Resources**

- Field Response: Field units respond as needed using the Incident Command System. Resources are requested through dispatch centers, department operations centers, or in some cases the EOC. (Relationships among Incident Commanders, department operations centers, and EOCs are discussed further in sections I.B. and I.C. of the Guidelines.
- Local Government: Supports incident commanders with available resources. The local government emergency operations center is activated. Local government notifies the operational area lead agency. Resources are requested through operational area emergency management staff and appropriate mutual aid coordinators. (In some cases, mutual aid may be obtained directly from neighboring local government under local mutual aid agreements.) Local government retains responsibility for managing the response.
- Operational Area: Operational area emergency management staff and mutual aid coordinators locate and mobilize resources requested by local government. Emergency management staff and mutual aid coordinators generally operate from normal departmental locations for handling limited resource requests, and the EOC is not activated. Emergency management staff and mutual aid coordinators will communicate with each other as needed to coordinate resource mobilization. If requested by the affected local government, emergency management staff will activate the operational area EOC and notify the OES Regional Administrator.

Exhibit A-5

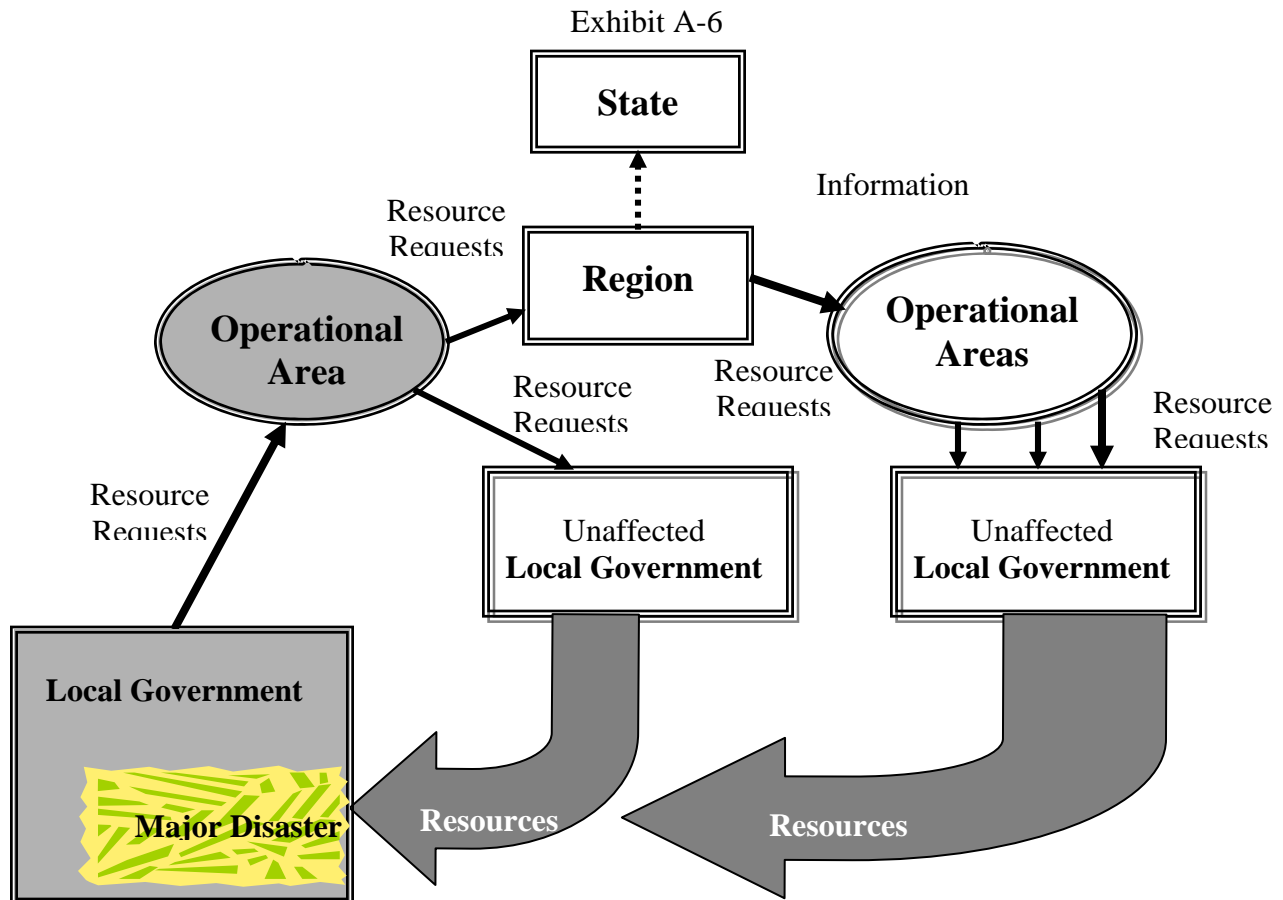


**Major Single Jurisdiction Disaster--  
Local Government Requires Additional Resources**

- **Field Response:** Field units respond as needed using the Incident Command System. One or more Incident Commands may be established depending upon the size and nature of the disaster. Resources are requested through dispatch centers, department operations centers, or EOC.
- **Local Government:** Supports Incident Commanders with available resources. Local government activates its emergency operations center and notifies the operational area lead agency. Resources are requested through operational area emergency management staff

and mutual aid coordinators. Local government retains responsibility for managing the response.

- **Operational Area:** Lead agency activates operational area emergency operations center. Operational area emergency management staff and mutual aid coordinators locate and mobilize resources requested by local Government. Mutual aid coordinators go to the EOC or send representatives depending on circumstances. Resources not available within the operational area are requested through the OES Regional Administrator and regional mutual aid coordinators.
- **Regional:** OES Regional Administrator activates regional emergency operations center (REOC) and notifies OES headquarters. OES Regional Administrator and regional mutual aid coordinators locate and mobilize resources requested by the operational area.
- **State:** State OES activates the State Operations Center (SOC) and monitors the situation.

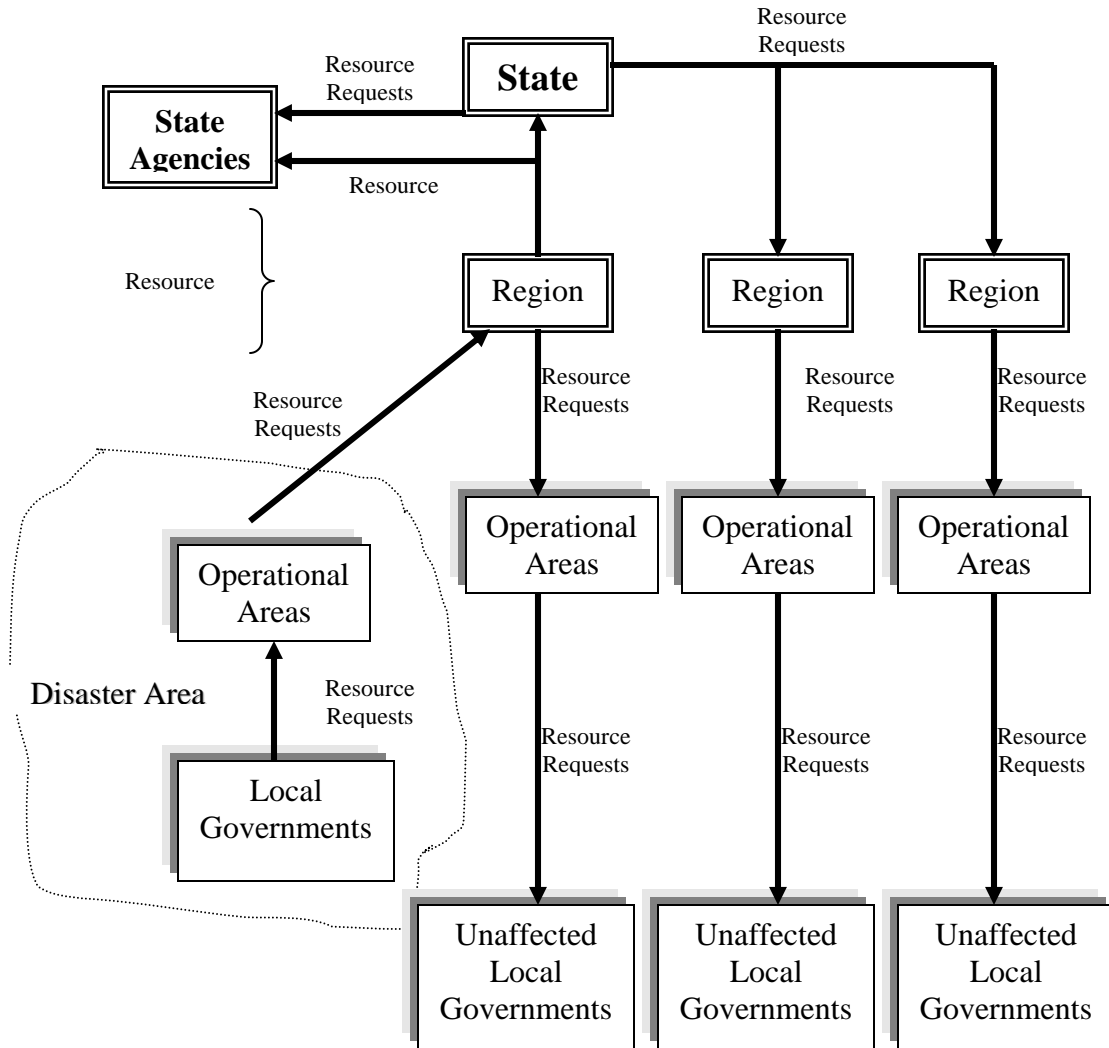


**Major Area-Wide Disaster --  
Damage in Multiple Operational Areas**

- Field Response: Field units from the affected jurisdictions respond as feasible using the Incident Command System. Incident Command Posts may be established at various sites throughout the disaster area. Resources are requested through dispatch centers, department operations centers, or EOCs.
- Local Governments: Ability to respond may be severely impaired. Local governments assess capability and report situation to operational area. Local governments mobilize all available resources. EOCs establish priorities; allocate available resources to support the field response, and request assistance through the operational area. Local governments retain responsibility for managing the response within their jurisdiction.
- Operational Areas: Lead agency activates emergency operations center and notifies OES Regional Administrator. Emergency Operations Center assesses the situation and reports information to the Regional Emergency Operations Center (REOC). The emergency management staff and mutual aid coordinators mobilize available resources in the operational area, request additional resources through the REOC and regional mutual aid coordinators, and provide overall situation information to local governments.
- Regional: OES Regional Administrator activates the REOC and notifies state headquarters. REOC staff and regional mutual aid coordinators locate and mobilize resources available within the region and from state agencies. Additional resources are requested through the State Operations Center. State agency representatives are requested for the REOC to assist in coordinating support to the disaster area. REOC monitors situation and updates State Operations Center.
- State: State Operations Center (SOC) is activated and state agency representatives are requested to staff the SOC. SOC coordinates state agency response and

mobilization of mutual aid resources from unaffected regions. SOC may direct activation of other OES REOCs to assist in resource mobilization. State agency department operations centers are activated. Federal assistance is requested, if needed. SOC continuously monitors situation.

Exhibit A-7



## Part I. System Description

### Section B

## Field Response Level

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### 1. ICS Description

#### Background

At the field (incident) level, the use of SEMS is intended to standardize the response to emergencies involving multiple jurisdictions or multiple agencies. SEMS requires emergency response agencies to use the Incident Command System (ICS) as the basic emergency management system.

ICS was originally developed by the fire services to provide a standard system for managing emergencies. Considerable effort has been done to make ICS adaptable to the needs of other disciplines. ICS provides a common organizational framework through which agencies can work collectively at the scene of an emergency. ICS also has several other features which contribute to its being an effective emergency management system for either single or multiple agency use.

Features of ICS, which apply to all SEMS levels, are described in Part I.A General System Description and are not repeated here. Three features which have special importance to the field level operations described in this section are: the modular organization of ICS, Unified Command and Incident Action Plans.

The SEMS Field Response level Approved Course of Instruction provides separate training modules, which provide in-depth coverage of the subjects discussed in this section. Over seventy hours of training and a wide variety of training materials are available. Most of the modules used in the SEMS Field Course are taken from a generic national ICS training curriculum. Organizational diagrams used as examples in this guidance are drawn from the generic national ICS training program.

#### Overview of the Structure of ICS

An organizational structure using a hierarchy of sections, branches, divisions/groups and units was originally developed within the Incident Command System to provide and organization which did not directly duplicate an agency's current response organization, and one which any



agency could readily adapt to in a multi-agency or multijurisdictional response.

The concept of using this structure within the SEMS Field Response organization is based on the following:

- Develop the form of the organization to match the function(s) to be performed.
- Fill only those organizational elements that are required.
- Stay within recommended span-of-control guidelines.
- Perform the function of any non-activated organizational element at the next highest level.
- Deactivate elements no longer required by the incident.

The designated organizational elements established for use in the ICS are listed below. How these are applied in ICS will vary slightly from section to section within the organization.

- Command
- Section
- Branches
- Divisions or Groups
- Units
- Teams, Task Forces, single resources or other elements as defined by agency policy

## **Incident Facilities**

Several primary facilities have been designated and described for widespread use in the ICS. The facilities that are discussed in the Field Response level of instruction are:

- Incident Command Post (ICP) -- Location where the primary command activities are conducted.
- Staging Area -- Locations attached to the incident where resources may be temporarily located while awaiting assignments.
- Base -- The location where primary logistics functions for an incident are coordinated and administered.
- Camp -- A location within the general incident area, which is equipped and staffed to provide sleeping, food, water and sanitary services to incident personnel.
- Helibase -- The main location for parking, fueling, maintenance and loading of helicopters operating in support of an incident.

- Helispot -- Any designated location at an incident where a helicopter can safely land and take off.

While these facilities will meet the requirements of most incidents, discipline-specific applications may require the use of additional facility locations. For example, a temporary morgue facility may be set up for certain incidents.

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## **2 Functions of ICS**

There are five primary functions within the ICS management structure. Each of these is important, and will have a role in any incident.

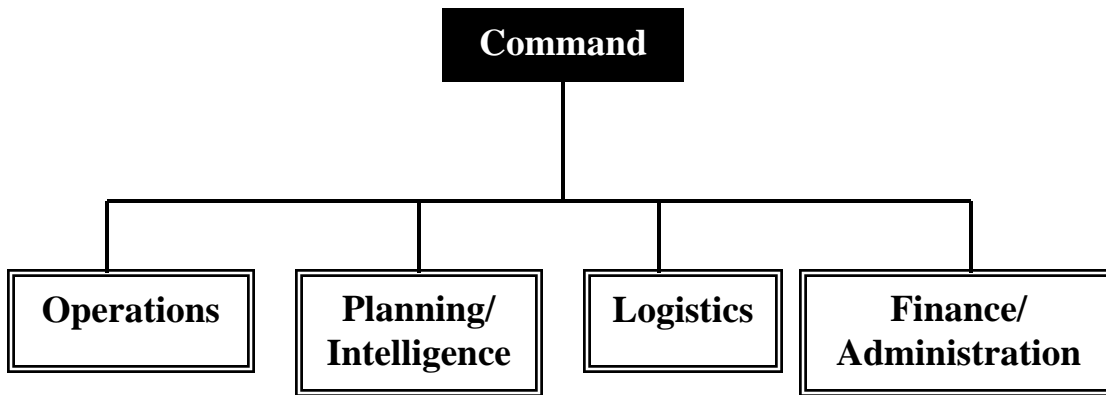
1. Command
2. Operations
3. Planning/Intelligence
4. Logistics
5. Finance/Administration

### **Command**

Command is the action taken to direct, order or control resources by virtue of some explicit legal, agency, or delegated authority. The on-scene command of an incident or an event is carried out by the Incident Commander who is commonly referred to as the IC.

The authority and rank of the IC representing a jurisdiction will vary depending upon the size and/or nature of the emergency. For example, in small incidents the IC may be a lower ranking person or a person with qualifications adequate only to meet the existing situation. If the situation requires, the initial IC will transfer command to a higher ranking or more qualified person as they arrive at the scene. Similarly, as incidents transition into a reduced level of activity, transfer or command may be made to lower ranking or less qualified personnel.

Exhibit B-1



The IC has the overall responsibility for the effective management of the incident, and must ensure that an adequate organization is in place to effectively moderate the situation. The IC may have a deputy IC, who should have the same qualifications as the IC. Optional deputy positions for Command, Section and Branch levels provide backup support and are also extensively used on an inter-agency basis to improve coordination between multiple agencies or disciplines.

The IC may assign the authority to conduct the primary functions of operations, planning/intelligence, logistics and finance/administration to others. When these functions are filled, the individuals become members of the incident General Staff. Any of these primary functions not assigned to others remain the responsibility of the IC.

In addition to the primary functions, the IC also has responsibility for staff level activities of liaison, information and safety. The authority for managing and/or conducting these activities may also have to be delegated to others.

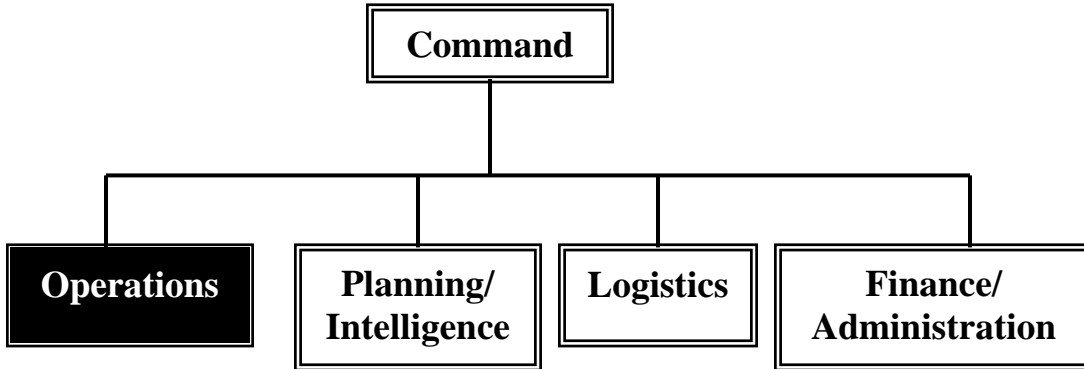
ICS allows for a wide range of functions to be performed, and provides an organizational structure to accommodate those functions. A basis premise of ICS is that the next higher level in the organization will perform all lower level functions, which have not been specifically assigned to an individual.

### **Operations**

Operations is responsible for the coordinated tactical response directly applicable to, or in support of the mission(s) in accordance with the Incident Action Plan. In

ICS, Operations is a Section level function within the organization. On smaller incidents, the IC usually performs the functions of operations.

Exhibit B-2

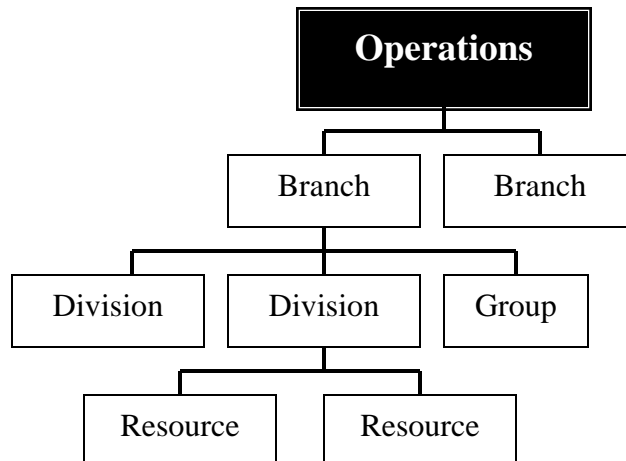


The Operations Section can develop from either the top down, or from the bottom up. In either case, the Operations Section can contain a hierarchy of:

- Branches (functional or geographical)
- Divisions (geographical) or;
- Groups (functional)
- Resources organized as single resources, or resource combinations e.g., task forces, teams, squads, platoons.

In some discipline specific applications of ICS, the Operations Section can also employ units. For example, an ICS multi-causality branch may have a Medical group which contains a Triage Unit and a Treatment Unit.

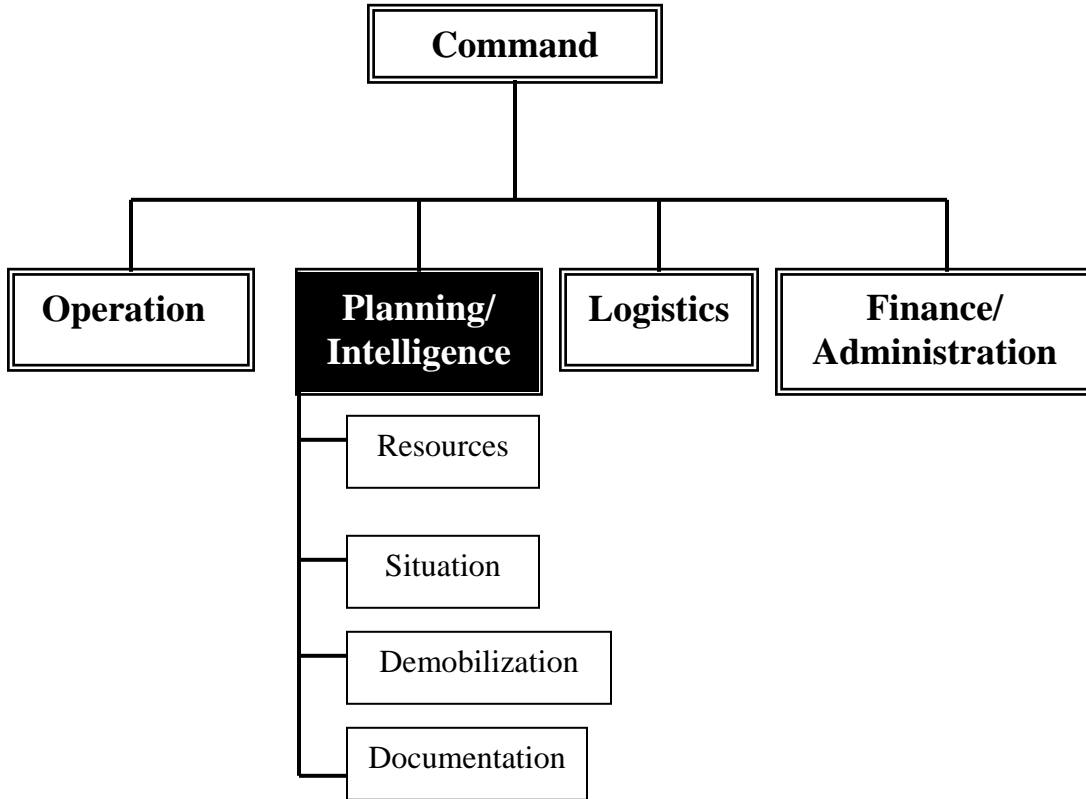
Exhibit B-3



**Planning/Intelligence**

In ICS, the function of Planning can also be called Planning/Intelligence. The planning function is responsible for the collection, evaluation, and documentation of information about the development of the incident and the status of resources. When activated for an incident or event, Planning or Planning/Intelligence is always found at the Section level. If the planning function is not activated, all planning functions will be the responsibility of the IC.

Exhibit B-4



At the field level, the planning units described in the generic national ICS are:

- Resources
- Situation
- Demobilization
- Documentation

Other special purpose units could also be assigned to the Planning Section depending upon need. For example, on some large and/or long-term incidents, the Advance Planning Unit may be desired. The primary criteria for adding Planning Section Units to an incident are:

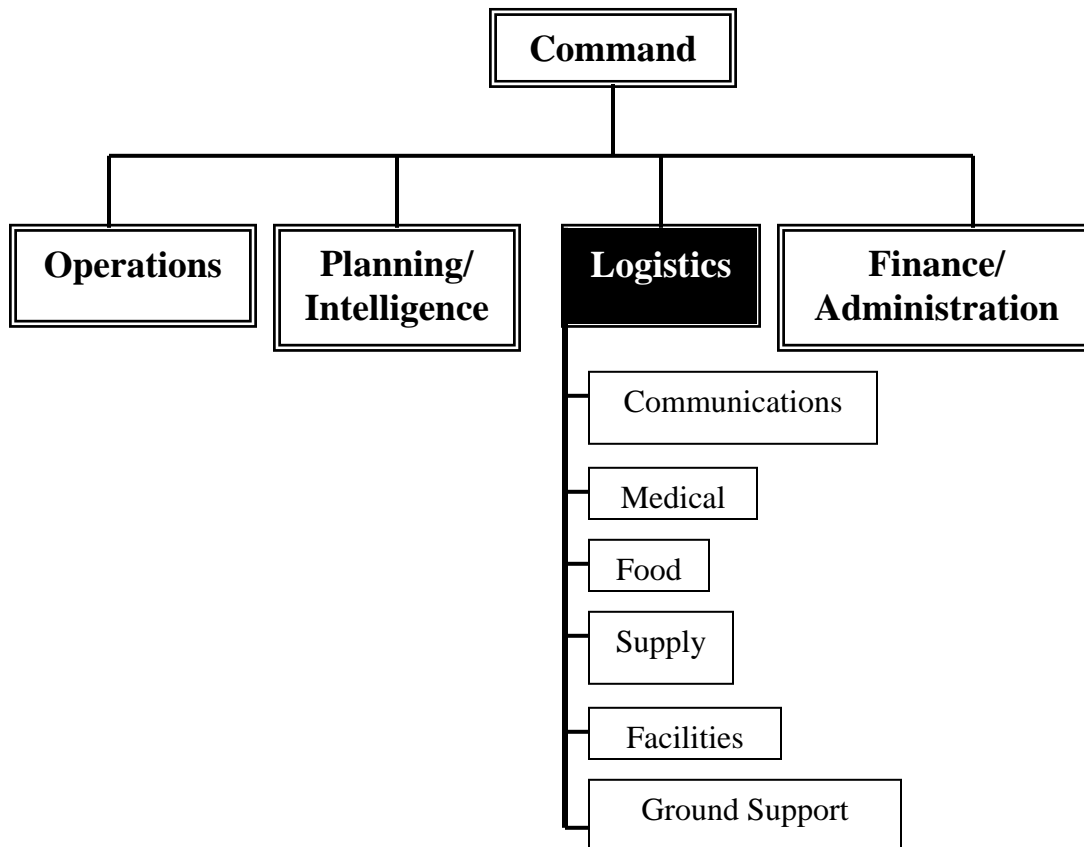
- They are essential to the needs of the incident.
- The function cannot be accommodated elsewhere.
- Effective span-of-control must be maintained.

Technical Specialists may also be assigned to the Planning/Intelligence Section on an incident. Technical Specialists can represent just about any specialized service or function, which is not normally within the expertise of the assigned incident staff. Technical Specialists may be reassigned as necessary to other parts of the organization.

### Logistics

The Logistics Section is responsible to provide facilities, services, personnel, equipment, and materials in support of the incident. The requirement to provide on-site logistical support will vary based on the size and scope of the incident, the functions involved, and the discipline that has incident jurisdiction.

Exhibit B-5



### The ICS National Training Curriculum Logistics Units

The national training curriculum for the generic version of ICS describes six commonly used logistics units that may be activated as needed:

1. Communications
2. Medical
3. Food
4. Supply
5. Facilities
6. Ground Support

### Discipline Specific Logistics Needs

Discipline specific applications of ICS may modify the unit structure of the Logistics Section to meet functional needs. For example, large-scale law enforcement ICS applications may require a Personnel Unit. A natural disaster related incident might require a Volunteer Processing or Coordination Unit.

Some jurisdictions may, in the interests of economy and coordination, elect to support one or more incidents through a centralized control of certain logistical functions such as food services. The concept to keep in mind is that the form or structure of the Logistics Section should meet the functional needs of the incident.

### Logistical Services and Support to Responders and Victims

Logistics support services and support to the incident organization, and also meet the immediate on-scene needs of persons, which may be directly affected by the incident.

A primary purpose of Logistics is to provide services and support to incident responders. For example, the Medical Unit in the Logistics Section provides medical services to personnel assigned to the incident organization, and not to victims of the emergency or disaster.

Meeting the direct medical needs of those victims within the jurisdiction of the incident would be a responsibility of the ICS Operations Section, through for example, a Medical Branch or a Medical Group. Logistical support needs of the Medical element in Operations would be provided by ordering needed support through the Logistics Section.

The Logistics Chief has the responsibility for processing all of the resource orders used in support of the incident. This can also include resources needed to provide victim relief, e.g., food, water, shelters and medical aid for victims. On larger incidents these functions are provided through the Supply Unit in Logistics.

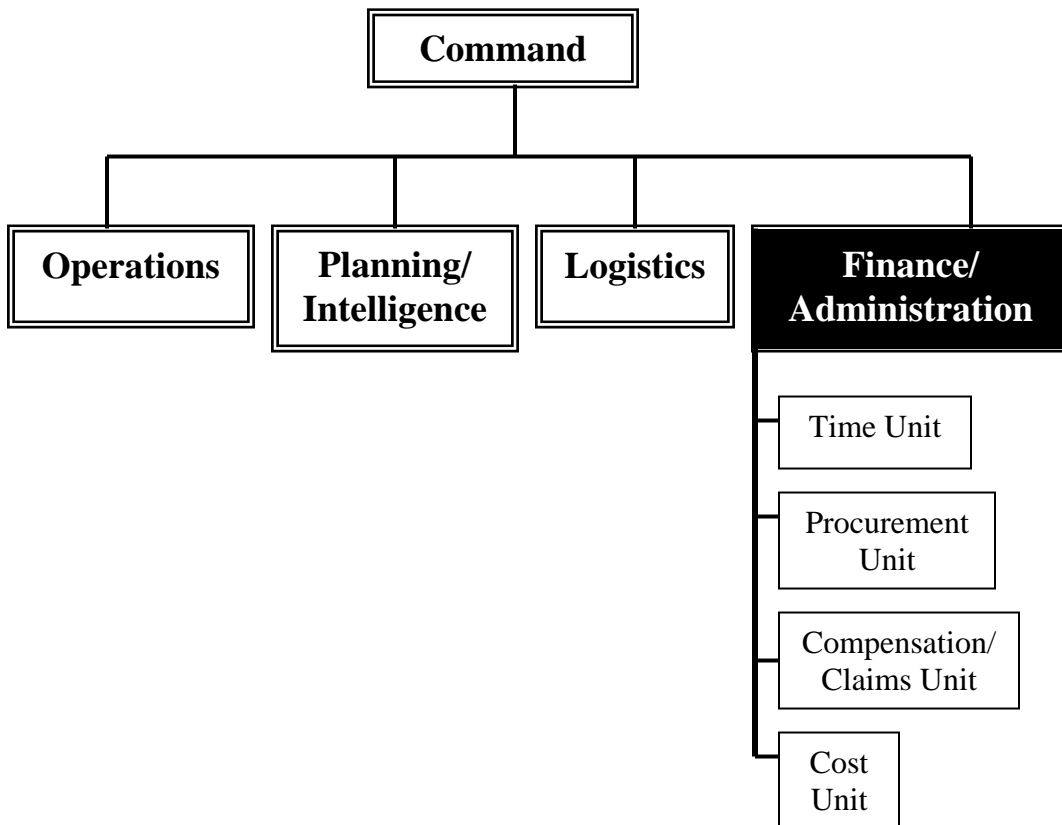
Logistics Section Branches

When span-of-control on very large incidents become difficult due to the duties and interactions involved, the Logistics Section can be divided into a Service Branch and Support Branch. This is normally only done to ease span-of-control considerations. If the Logistics Section is not activated, all logistics functions are the responsibility of the IC.

**Finance/Administration**

Finance/Administration is responsible for all financial and cost analysis aspects of the incident, and for any administrative aspects not handled by the other functions.

Exhibit B-6





There are four commonly used units within the Finance/Administration Section:

1. Time Unit
2. Procurement Unit
3. Compensation/Claims Unit
4. Cost Unit

The activation and use of the Finance/Administration function will depend on agency policy, type and size of incident. On small incidents, the IC may handle the functions. In some cases, where it is important to have a closely monitored assessment of costs, the IC may only activate the Cost Unit. In general, when there is a need it is best to activate an appropriate unit within the organization. Some jurisdictions may elect to centrally manage some or all-incident finance functions. For example, providing a cost analyst to each incident over a certain size. The cost analyst could function as a unit in the Finance/Administration Section (if activated) or as a Technical Specialist in the Planning/Intelligence Section.

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### 3 Principles of ICS

The SEMS Regulation states that emergency response agencies operating at the field response level of an incident shall utilize the Incident Command System incorporating the functions, principles and components of ICS. The principles of ICS are described below:

- a. ICS can be applied to the following kinds of incidents:
  - Single jurisdictional responsibility with single agency involvement.
  - Single jurisdictional responsibility with multiple agency involvement.
  - Multiple jurisdictional responsibility with multiple agency involvement.
  - ICS can also be used for managing planned events. meant that the system could be used in a

"Agency" was used to mean the organization within a jurisdiction that had responsibility to address the emergency situation, e.g., City X Police Department or County Y Fire Department, or state agency (\_\_\_\_\_).

This principle of ICS variety of jurisdictional and agency combinations. For example:

1. Single jurisdiction - single agency

City X - City X Police Department

2. Single jurisdiction - multiple agencies

County Y - County Y Fire Dept.

County Y Public Works Dept.

County Y Sheriff

County Y Emergency Medical Services

City X Fire Dept.

Special District

Health Care Providing Agency

3. Multiple Jurisdictions - Multiple Agency

Jurisdictions: County W, County Y, City X and Special District Agencies:

County W Sheriff, Fire, Public Works, County Y Sheriff, Fire Coroner, Public Works

City X Fire, Police, Public Works, etc.

Special District

b. The organizational structure of ICS adapts to any emergency or incident to which emergency response agencies would be expected to respond, and

c. The system shall be applicable and acceptable to all user agencies.

ICS is a management system. The kind and size of a situation to which it is being applied will determine which management elements should be activated and at what level of staffing. For example, planning for the use of ICS to manage a planned event such as a parade requires a different set of organizational elements than what is required to manage a hazardous materials incident.

d. The system is readily adaptable to new technology.

When ICS was first developed, resources status keeping, the development of Incident Action Plans, the resources ordering process, and timekeeping were all done manually. Through the use of automation, these processes are gradually becoming automated.

Similarly, the use of more sophisticated communications enhances the effectiveness of the ICS design. New technologies serve to make ICS perform more effectively as a management system.

- d. The system expands in a rapid and logical manner from an initial response into a major incident and shrinks as organization needs of the situation decreases.

The modularity and flexibility for application of ICS allows it to rapidly adopt and build the organizational form for the function it is to perform. Aside from the position of the person in overall command, the IC, there is no required structure or order in which positions are filled. The organization can be as small as one person, or large enough to handle thousands.

- e. The system has basic common elements in organization, terminology and procedures.

ICS was designed for multi-agency involvement. ICS uses common, standardized terminology related to organizational elements and titles for personnel staffing the organization, for commonly used resources, and for facilities that may be used to support the organization. All of these contribute to the use of the system in a multi-agency environment. The organizational structure does not mirror that of any existing incident management system.

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#### **4. Activation Criteria for ICS**

SEMS regulations state that where an agency has jurisdiction over a multiple-agency incident, it shall organize the field response using ICS.

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

In the most rigid sense, ICS within the SEMS Regulations need only be used on incidents, which require multiple agencies, or multiple jurisdictional involvements whether they are single discipline (e.g., all fire or all law enforcement) or multi-discipline. Activation of ICS

therefore would be required whenever an incident involves more than one agency.

A number of incidents may start by being single discipline but may expand to multi-discipline when additional resources are needed. One of the dilemmas often facing field response agencies has been this "gray area" of when are we using ICS and when do we use whatever it is we currently use as an agency response system or procedure.

There is a natural reluctance for emergency response agencies to operate within or transition between two emergency response systems. How then should agencies transition between non-ICS forms of response and ICS? The best answer is, that they should not--ICS is a system, which can be used on any incident.

A basic premise of ICS use is that:  
Every incident, no matter how small can be managed according to the principals of ICS.

The first person on the scene who has single discipline management responsibility should always follow the basic principles of ICS which include:

- Awareness of his or her responsibility for the five primary functions;
- Establishing objectives for the incident;
- Having an incident action plan (written or verbal);
- Ensuring effective span of control;
- Using common terminology as appropriate to the situation;
- Delegating authority and activating organizational elements within the ICS structure only as necessary;
- Providing for personnel accountability and a safe environment; and
- Ensuring effective communications.

While the operating situation may change, which may require moving from a one person response to multiple persons response, and incorporate one or more additional agencies from the same or additional jurisdictions, there is no "system switching" which is required. Therefore, ICS can be used as a single emergency management system for all sizes of incidents.

ICS provides the built-in capability for modular development so that the form or shape of the organization always corresponds to the functional need.

Some of the important "transitional" steps that are necessary in applying ICS in a field incident environment include:

- Recognizing in advance of the requirement that organizational elements should be activated and taking the necessary steps to delegate the authority to others.
- Establishing incident facilities as needed and placing them in locations where they can do the most good.
- Commencing the use of common terminology as soon as possible for organizational elements, position titles, facilities and resources.
- Moving from a single "in your head" incident action plan to the use of a designated Incident Briefing Form to the use of a full Incident Action Plan.

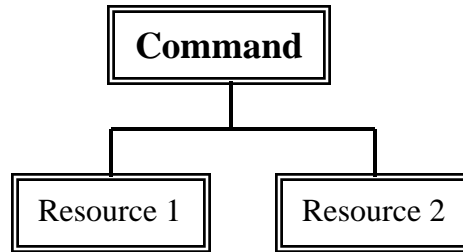
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**5. Expansion of the ICS Management Structure-Modularity**

There is complete flexibility in using the modularity feature of the ICS organizational structure at the Field Response level of SEMS. Planned events are usually organized in advance, and the operations organization can be developed using a top down approach. Incidents on the other hand usually start with a few resources and expand the organization, from the bottom up as necessary.

It is not necessary nor is it desired to implement levels of the organization unless they are required. The Incident Commander (IC) can be directly in charge of tactical personnel and equipment resources without prior activation of an Operations Section, Branches, Divisions, etc. The IC remains responsible for all functions, which have not been formally activated.

Exhibit B-7

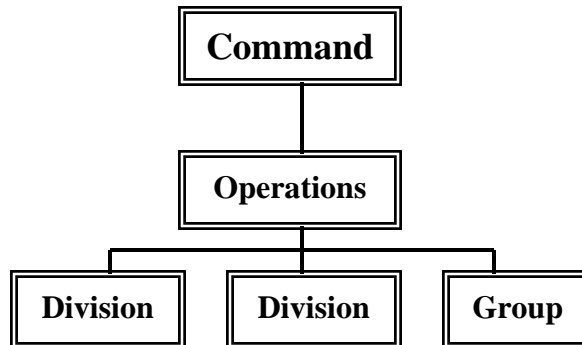


In small incidents, the only organizational levels that might be activated could be Command and Resources.

As incidents increase in size and/or complexity, the Operations Section builds from the bottom up, primarily based on span-of-control considerations.

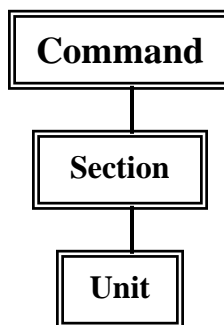
Therefore, on a somewhat larger incident the organization could be:

Exhibit B-8



In other Sections at the field response level, i.e., Planning/Intelligence, Logistics, and Finance/Administration the normal organizational structure would be:

Exhibit B-9

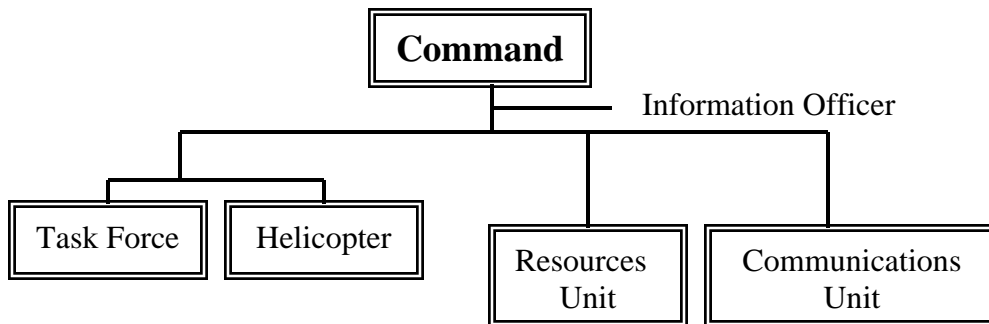


The use of these will vary somewhat depending upon the ICS section.

On large incidents, Branches may be introduced below the Section level in the Operations and Logistics Sections to provide a span-of-control for a larger organization.

An important aspect of the modularity in the SEMS Field Response level, is that there is nothing to prohibit an Incident Commander from activating one or more units in various sections without first activating the Section organizational element:

Exhibit B-10



The span-of-control for the Incident Commander in the above example is still one-to-five which is the recommended optimum.

These concepts of developing a Field Response level organization are covered in more detail in the Field level training course.

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## 6. Resources and Staging Areas

### Resources use on Incidents

A resource is defined in ICS as the personnel and equipment available or potentially available for assignments to incidents. There are many ways in which resources can be used on incidents. The primary method, which will be used in most incidents, is single resources. Examples of single resources will vary by different disciplines.

Single resources can also be brought together into other combinations for use on incidents. When all of the single resources retain the same basic capabilities, they are

commonly called teams, squads, platoons etc., depending upon how the applying discipline chooses to configure and use them.

Another combination of single resources commonly used in ICS are Task Forces. Task Forces are any combination of resources, which are assembled for a particular tactical need. Thus a Task Force could contain a mixture of different kinds of resources.

Task Forces are defined according to the operational need. For example, a task force used by a jurisdiction in an urban civil disorder might include:

- one police patrol unit
- three fire engines
- one basic life support unit

Another example task force might be:

- one bulldozer
- three dump trucks

The primary criteria for the use of resource combinations in ICS, is that they fall within appropriate span-of-control guidelines, that they have a leader, and common communications.

In some applications, aircraft assigned to an incident are used as single resources. For example, a helicopter would be used as a single resource and would report to the Operations Section Chief if that position were activated or to the IC. As the use of aircraft increases, a separate Air Operations organization can be established at the Branch level.

Additional examples of how resources are used were described in 5. Expansion of the ICS Management Structure--Modularity.

## **Staging Areas**

Staging Areas are considered a facility within the ICS. All Staging Areas are under the control of the Operations Section. They are used to temporarily locate resources that are available for assignment. Staging Areas can be established for certain types of resources, e.g., an ambulance Staging Area etc., or they can contain a mix of



resources. Staging Areas can also be established to serve a functional branch at an incident.

Staging Areas are distinct from Mobilization Centers, which are off-incident locations. Emergency services personnel and equipment may be temporarily located at Mobilization Centers pending assignment to incidents, release, or reassignment.

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## **7. Unified Command**

Unified Command is a procedure used at incidents, which allow all agencies with geographical, legal, or functional responsibility to establish a common set of incident objectives and strategies, and a single Incident Action Plan.

A single Operations Section Chief will have the responsibility for implementing and managing the operations portion of the Incident Action Plan under Unified Command.

The use of Unified Command is a valuable tool to help ensure a coordinated multi-agency response. Unified Command procedures assure agencies that they do not lose their individual responsibility, authority, or accountability.

Unified Command is highly flexible. As the incident changes over time with different disciplines moving into primary roles, the Unified Command structure and personnel assignments can change to meet the need.

### **Primary Features of a Unified Command Incident Organization**

A single integrated incident organization.

- Collocated (shared) facilities.
- A single planning process and Incident Action Plan.
- Shared planning, logistical and finance/administration operations.
- A coordinated process for resource ordering.

### **Advantages of using Unified Command**

- One set of objectives is developed for the entire incident.
- A collective approach is made to developing strategies to achieve incident goals.

- Information flow and coordination is improved between all jurisdictions and agencies involved in the incident.
- All agencies with responsibility for the incident have an understanding of one another's priorities and restrictions.
- No agency's authority or legal requirements will be compromised or neglected.
- Each agency is fully aware of the plans, actions and constraints of all others.
- The combined efforts of all agencies are optimized as they perform their respective assignments under a single Incident Action Plan.
- Duplicative efforts are reduced or eliminated, thus reducing cost and chances for frustration and conflict.

Unified Command is such an important concept, that an entire training module is devoted to it in the Field Response Level Course of Instruction.

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## **8. Incident Action Plans**

The Incident Action Plan developed at the field response level contain objectives reflecting the overall incident strategy and specific tactical actions and supporting information for the next operational period. The plan may be verbal or written.

It is important that all incidents have some form of an incident action plan. The plan developed around some duration of time called an Operational Period, will state the objectives to be achieved and describe the strategy, tactics, resources and support required to achieve the objectives within the time frame. Generally, the length of the operational period is determined by the length of time needed to achieve the objectives.

Small incidents with only a few assigned resources may have a very simple plan, which may not be written. As incidents become larger, or require multi-agency involvement, the action plan should be written.

Incident Action Plans will vary in content and form depending upon the kind and size of an incident. ICS provides for the use of a systematic planning process, and provides forms and formats for developing the Incident Action Plan.

Small incidents do not require elaborate Incident Action Plans. Most simple, short-term and single agency incidents do not require written Incident Action Plans. The general guideline for use of a written versus a verbal action plan is when:

- Two or more jurisdictions are involved.
- The incident continues into another planning or operational period.
- A number of organizational elements have been activated.
- It is required by agency policy.

For incidents being run under Unified Command, the Incident Action Plan should be written. This provides all agencies with a clear set of objectives, actions and assignments. It also provides the organizational structure and the communications plan required to manage the incident effectively under Unified Command.

### **Components of an Incident Action Plan**

Incident Action Plans have four main elements that should be included. There is no single format, which will fit all situations. Several ICS forms are appropriate for use in Incident Action Plans.

1. Statement of Objectives - Statement of what is expected to be achieved. Objectives must be measurable.
2. Organization - Describes what elements of the ICS organization will be in place for the next Operational period.
3. Tactics and Assignments - Describes tactics and control operations, and what resources will be assigned. Resource assignments are often done by the Division or Group.
4. Supporting Material - Examples could include a map of incident, a communications plan, medical plan, the traffic plan, weather data, special precautions, a safety message, and et.al.

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### **9. Area Command**

As a part of the general guidance related to the SEMS Field Response, it is appropriate to consider the use of Area Command.

In ICS, Area Command is an expansion of the incident command function primarily designed to manage a very large incident that has multiple incident management teams assigned. An Area Command may also be conducted as a Unified Area Command.

**The purpose of an Area Command is to:**

- Set overall priorities within the geographical area covered by the Area Command.
- Determine appropriate strategies for use in achieving the priorities.
- Allocate critical resources based on priorities.
- Ensure that incidents are properly managed.
- Ensure that objectives are met, and strategies followed.

**Examples when Area Command might be used:**

Natural Disaster in a Municipality

A large municipality has widespread damage as a result of an earthquake. The city has been divided into several geographical areas. Within each area, there are several separate incidents of various sizes, e.g., collapsed bridge, industrial fire, hotel evacuation etc. Each incident would have an ICS structure developed to the level necessary. Some of the incidents may be managed by the Fire Department, some by the Public Works Department and some by the Police Department. Some maybe functioning under a Unified Command structure.

A Unified Area Command made up of Police, Fire, and Public Works would be established for each of the geographical areas. An Area Command facility would be established and staffed to the level necessary.

Another example would be widespread riverine flooding in Northern California. The areas affected are protected by a vast array of levees that are maintained by state and local agencies. Flood fight activities consist of strengthening weak levees and repairing levee failures. The state Department of Water Resources and local levee maintaining agencies have a number of incidents in different geographical areas. As in the case above, some incidents may also be functioning under a Unified Command structure.

A Unified Area Command is made up of levee maintaining agencies, the Department of Water Resources, local Operational Areas (if activated) or counties and others with jurisdictional authorities for each of the geographical areas. An Area Command facility would be established and staffed to the level necessary.

Wildland Fire Example

A number of fires are burning within a several county area. Some of the fires are in close proximity to one another. An Area Command may be established over several of the fires in the same proximity which are vying for the same critical resources.

**Area Command Reporting Relationships**

When Area Command is established, Incident Commander(s) for the incidents under the authority of the Area Command will report to the Area Commander. The Area Commander is accountable to his/her agency or jurisdictional executive or administrator. This could be the jurisdictional EOC or another location. It is important to note that Area Command is a command function of Field response, and not an EOC function.

In the municipal example sited above, the Unified Area Command established within a single municipality may receive policy direction from the City EOC. In the flood example the policy direction would come from the DWR, Department Operations Center, and local and Operational Area (if activated) or county administrators.

In the case of the wildland fires, the Area Command would report to the jurisdictional administrator. If the fires under the control of the Area Command are all in the same jurisdiction, such as a county, then only one jurisdictional administrator is involved. If they cover multiple jurisdictions, then the Area Command should be run under Unified Area Command with each of the Unified Area Commanders reporting to his/her agency administrator.

Under major disaster conditions, Area Command has much to offer. Some of the advantages are listed below:

**Advantages of Using Area Command**

- Much of the inter-incident coordination normally required of each IC will be accomplished at the Area

Command level. Using and Area Command allows the Incident Commanders and their incident management teams to focus their attention on their assigned incident.

- Area Command sets priorities between incidents and allocates critical resources according to priorities established by the Agency Executive.
- Area Command helps the Agency Executive by ensuring that Agency policies, priorities, constraints and guidance are being made known to the respective Incident Commanders.
- Area Command also reduces the workload of the Agency Executive, especially if there are multiple incidents going on at the same time.

### **Requirements in Establishing Area Command**

The following requirements apply to either an Area Command or a Unified Area Command.

1. Incident Commanders covered by the Area Command must be notified that an Area Command is being established.
2. The Area Command team should consist of the best-qualified personnel with respect to their functional areas. The functions of Area Command require personnel that have experience in, and are qualified to oversee, complex incident situations.
3. The Area Command organization operates under the same basic principles, as does the Incident Command System.
4. The Area Command organization should always be kept as small as possible. Area Command organizational positions could consist of:  
Area Commander and, only as necessary:
  - Area Command Logistics Chief
  - Area Command Planning/Intelligence Chief
  - Area Command Critical Resources Unit Leader
  - Area Command Situation Unit Leader
  - Area Command Information Officer
  - Area Command Liaison Officer to help in maintaining off-incident inter-agency contacts.

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

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

An Area Command of Unified Area Command should develop an action plan concerning the priorities, objectives and needs of the Area Command. The plan should:

- clearly state Agency policy, objectives, and priorities, including priorities for critical resource allocations.
- provide an organization with clear lines of authority and communications.
- identify specific functions to be performed at the Area Command versus those on incidents, such as in the area of public information.

Area Command facilities may be co-located at department operations centers, EOCs, or other locations. It is recommended that they not be established in conjunction with and existing Incident Command Post (ICP).

A training module dedicated to Area Command is included in the SEMS Field Level Course of Instruction.

## **10. Relationship to Emergency Operations Centers (EOCs) and/or Department Operations Centers (DOCs)**

Regulations require that when a local government EOC is activated, communications and coordination be established between the Incident Commander and the department operations center to the EOC, or between the Incident Commander and the EOC. The regulations also require that communications and coordination be established between a local government EOC, when activated, and any state or local emergency response agency having jurisdiction at an incident occurring within that local government's boundaries. The relationship between Incident Commanders, department operations centers, and emergency operations centers is discussed briefly below. Additional information is provided in the SEMS Field Level Course of Instruction.

ICS field response organizations will normally communicate with the local government level (either department operating centers or EOCs) through dispatch centers. Dispatch centers have dispatch authority as

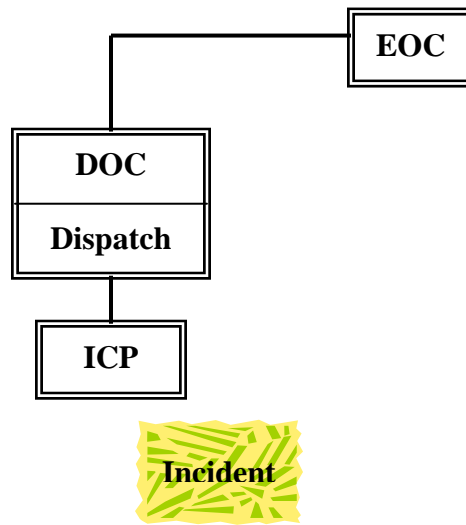
determined by agency or jurisdiction policy. Because of the communications systems involved, agency dispatch centers will often function in an intermediate role between Incident Commanders in the field and department operations centers or EOCs. Also, in some cases under heavy load conditions, agencies may elect to move into an "expanded dispatch" mode, which may provide a higher-level authority at the agency dispatch facility.

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

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

Exhibit B-11

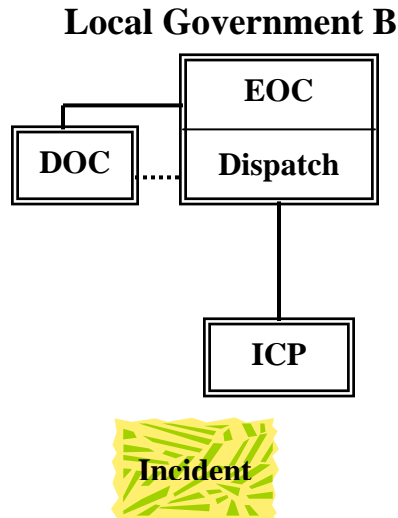
**Local Government A**





In some jurisdictions, ICS field response organizations may have direct communications with and/or receive policy direction from the local government EOC when it is activated. Whether this occurs will depend upon the size and policy of the jurisdiction, and lines of communication that are available. EOCs do not carry out tactical activities, but rather support field operations.

Exhibit B-12



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**11. Relationship to Multi-Agency Coordination Systems**

Multi-Agency Coordination Systems (MACS) operate to prioritize incidents, exchange information and, by member consensus determine resource allocation priorities between multiple incidents.

There is no direct link between ICS structures at the field response level and the MACS. MACS communicate with agencies, not with incidents.

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**12. Relationship to Multi-agency or Inter-agency Coordination**

The Incident Command System is designed to incorporate multi-or inter-agency coordination throughout the system. Thus there is no separate multi-agency or inter-agency coordination group established at the Field response level. Field level coordination takes place in several ways.

- The ICS general staff positions are designed to be filled by personnel from either single or multiple agencies. For example, it is possible within ICS to have the Incident Commander from one agency and the Operations Section Chief from another.

- Agency Representatives may be assigned to incidents for coordination purposes and have a level of authority as determined by their agency. Agency Representatives initially report to the Incident Liaison Officer.
- Multi-agency or inter-agency coordination can take place at all organizational levels of the ICS structure, i.e., section, branch, division/group or unit. This also includes having mixed multi-agency resource teams or task forces that work together at an incident. This ability to intermix inter-agency personnel within the incident organization is only limited by agency policy, inter-agency agreements, and ensuring that all personnel are adequately trained and qualified.

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**13. Involvement of Special Districts, Public Utilities Community Based Organizations, Collaboratives and Private Agencies in Incident Response**

The level of involvement of special districts, public utilities, Community Based Organizations, Collaboratives and private agencies will vary considerably depending upon the kind of incident. In general, special districts, or other agencies that have a statutory or jurisdictional involvement with the incident should be represented at the incident. The form of the involvement may be as a part of a Unified Command, or as an Agency Representative from an assisting or cooperating agency. In some cases, a special district or public utility may have lead agency responsibility.

At the field response level under ICS, assisting agencies are described as those that directly contribute tactical or services resources to another agency. For example, if the fire department provides engines and paramedic units to standby at a law enforcement hostage incident, they would be considered an assisting agency. For this kind of an incident, the fire department would not normally be part of a Unified Command. Another example, of an assisting agency would be an oil or chemical company with trained teams that directly support the incident tactical operations on a hazardous materials incident.

A cooperating agency supplies assistance other than direct tactical resources to the incident control effort. Telephone companies, electric and gas utilities, water districts, the American Red Cross, Salvation Army, and other Community Based, Collaboratives, private agencies and special districts could be cooperating agencies depending on the type of incident.

## Part I. System Description

### Section C

## Local Government Level

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### **1. Local Government Level in SEMS**

Local government is one of the five levels of the Standardized Emergency Management System. The basic role of a local government is to manage and coordinate the overall emergency response and recovery activities within its jurisdiction.

A local government under SEMS is a city, county, city and county, school district, or special district. Special districts under SEMS are units of local government (other than a city, county, or city and county) with authority or responsibility to own, operate or maintain a project (as defined in California Code of Regulations Section 2900(s) for purposes of natural disaster assistance). This may include a joint powers authority established under Section 6500 et seq. of the Code.

There also exists state (e.g., CDF, CHP, State Colleges and Universities) and federal jurisdictions at the Local Government organizational level of SEMS with responsibility to manage and coordinate the overall emergency response and recovery activities within their jurisdictions. State agencies are required to use SEMS at this level and should be incorporated (or at least coordinated), as appropriate, at the SEMS Local Government or Operational Area organizational level.

Federal agencies are not required to participate in the SEMS organization. However, many federal agencies also have responsibility to manage and coordinate the overall emergency response and recovery activities within their jurisdictions and often must coordinate with other local and state jurisdictions (e.g., the USDA, Forest Service, the California Department of Forestry and Fire Protection, and local fire agencies coordinate wildfire suppression activities utilizing the SEMS Field level ICS Unified Command concept).

Cities generally are responsible for emergency response within their boundaries. Some cities contract for some municipal services from other agencies.

County government is responsible for emergency response in unincorporated areas and for some county government functions countywide. Note that county government staff may also serve as the operational area emergency management staff. (See Part I. D. Operational Area Level.)

Special districts are primarily responsible in emergencies for restoration of services that they normally provide. They may also be responsible for safety of people at their facilities or on their property, and for warning of hazards from their facilities or operations. Some special districts may assist other local governments in the emergency response.

All local governments are responsible for coordinating with other local governments, the field response level and the operational area. Local governments are also responsible for providing mutual aid within their capabilities. (See Part I.A. for a description of the mutual aid system.)

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**2. SEMS Requirements for Local Governments**

Local governments must comply with SEMS Regulations in order to be eligible for state funding of response-related personnel costs. SEMS Regulations require local governments to:

1. Use SEMS when;
  - a. a local emergency is declared or proclaimed, or,
  - b. the local government EOC is activated.
2. Establish coordination and communications with Incident Commanders either;
  - a. through department operations centers to the EOC, when activated or,
  - b. directly to the EOC, when activated,
3. Use existing mutual aid systems for coordinating fire and law enforcement resources.
4. Establish coordination and communications between the local government EOC when activated, and any federal, state or local emergency response agency having jurisdiction at an incident within the local government's boundaries.

5. Use multi-agency or inter-agency coordination to facilitate decisions for overall local government level emergency response activities.

The requirement to use SEMS includes:

- fulfilling the management and coordination role of local government,
- providing for the five essential SEMS functions of management, operations, planning/intelligence, logistics, finance/administration.

In using SEMS, local governments should incorporate applicable features of SEMS, as described in Part I.A., into their emergency organization and operations.

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### **3. Emergency Operations Center (EOC)**

An emergency operations center (EOC) is a location from which centralized emergency management can be performed. The use of EOCs is a standard practice in emergency management. Local governments should have designated EOCs. The physical size, staffing, and equipping of a local government EOC will depend on the size and complexity of the local government and the emergency operations it can expect to manage. The level of EOC staffing will also vary with the specific emergency situation.

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

- coordination of all the jurisdiction's emergency operations,
- information gathering and dissemination,
- coordination with other local governments and the operational area.

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### **4. EOC Organization**

SEMS Regulations require local governments to provide for five functions: management, operations, planning/intelligence, logistics, and finance/administration. These functions should be the basis for structuring the EOC organization.

<u>Primary SEMS Function</u>	<u>Role at Local Government Level</u>
Management	Responsible for overall emergency policy and coordination through joint efforts of governmental agencies and private organizations.
Operations	Responsible for coordinating all jurisdictional operations in support of the emergency response through implementation of the local government's action plan.
Planning/Intelligence	Responsible for collecting, evaluating, and disseminating information; developing the local government's action plan in coordination with other functions; and maintaining documentation.
Logistics	Responsible for providing facilities, services, personnel, equipment, and materials.
Finance/Administration	Responsible for financial activities and other administrative aspects.

Other local government emergency functions may be placed under the five essential functions. Exhibit C-1 lists possible functions at the local government level. These functions may be clustered in various ways under the five SEMS functions. See Guidelines Part II.C for additional information.

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

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

- Section
- Branch
- Group
- Unit

The five essential SEMS functions would normally be established as sections within the EOC using the ICS terminology. Other functions, such as the MHFP functions would be included as branches, groups, or units. It is not necessary to use all four hierarchical levels in the EOC. For example, many EOCs use only sections, branches and units.

For the purposes of these guidelines, we will use the position title "coordinator" to refer to the lead person of each of the organizational elements in the EOC. The term coordinator is used because the role of EOC elements is to coordinate.

Exhibit C-1

**Example Local Government Emergency Functions**

(Functions that could be organizationally placed under the five SEMS functions)

<p><b>Functions and Subelements from Multi-hazard Functional Planning Guidelines</b></p>	<p><b>Other Functions*</b></p>
<p>Communications Alerting &amp; Warning Situation Analysis &amp; Reporting     Reconnaissance     Damage Assessment Public Information Radiological Protection Fire &amp; Rescue Law Enforcement &amp; Traffic Control Medical Public Health     Coroner Care &amp; Shelter     Registration &amp; Inquiry     Lodging (shelter)     Feeding Movement Rescue Construction &amp; Engineering     Street/Route Recovery     Structure &amp; Facility Inspection     Debris Removal     Flood Control Supply/Procurement Personnel Transportation Utilities</p>	<p>Animal Control Advance Planning Compensation &amp; Claims Cost Accounting Documentation Demobilization Planning Facilities Management Food Management Fuels Management Hazardous Materials Control Information Systems Liaison Purchasing Recovery Planning Risk Management Safety Sanitation Temporary Housing Time Recording Vital Records Control Water Resources Welfare Services</p>
	<p>*Some of these functions could be considered subelements of MHFP functions.</p>



Local governments may use other position titles within their EOC organization. Three options are shown below.

<u>A. Coordinators</u>	<u>B. ICS Position Titles</u>	<u>C. Combined Terminology</u>
EOC Director	EOC Director	EOC Director
- Section Coord.	- Section Chief	- Section Chief
- Branch Coord.	- Branch Director	- Branch Coord.
- Group Coord.	- Group Supervisor	- Group Coord.
- Unit Coord.	- Unit Leader	- Unit Coord.

The ICS concept of the General Staff also applies at in the EOC. Using this concept, the Coordinators for Operations, Planning/Intelligence, Logistics, and Finance/Administration constitute the EOC General Staff.

The EOC Director and General Staff function as an EOC management team. The General Staff are responsible for:

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

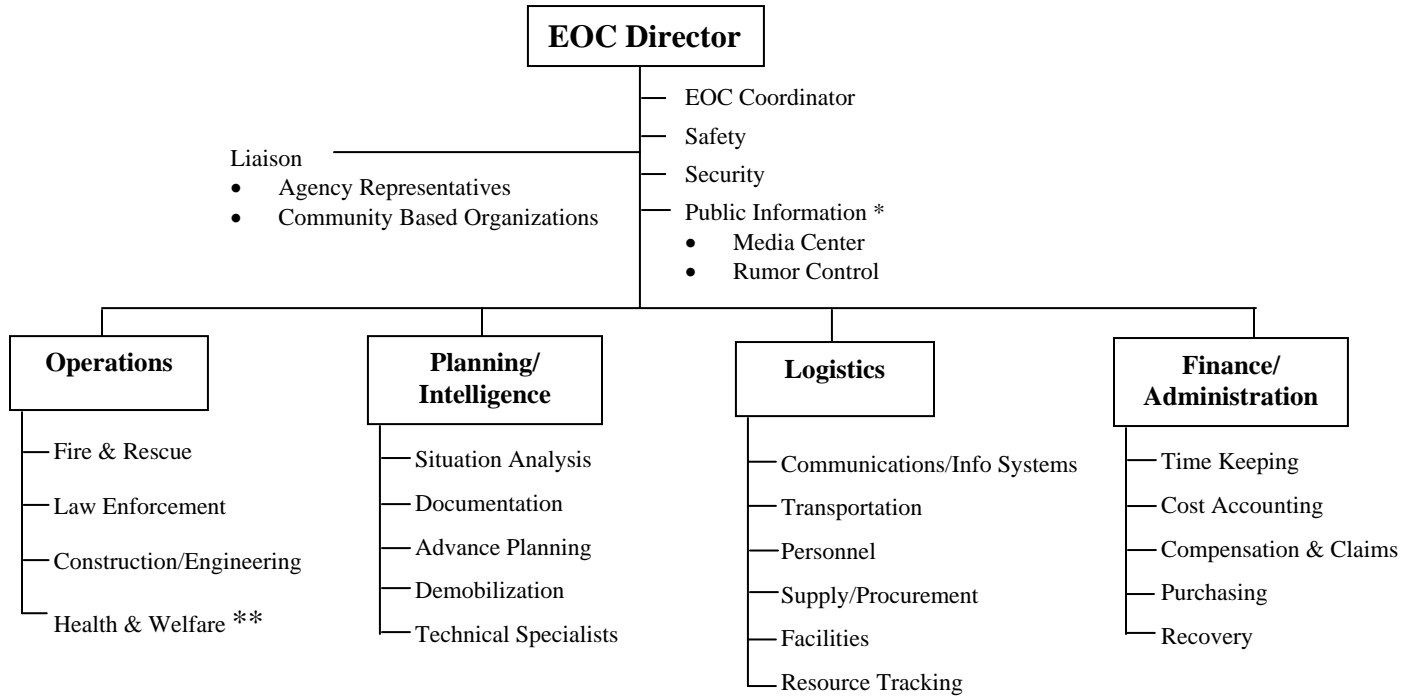
The EOC Director may wish to establish functions of Liaison and Public Information at individual, unit, group or branch level. In any event these positions should always be involved in the EOC planning sessions.

An EOC Coordinator may be designated to assist the EOC Director. The EOC Coordinator facilitates the overall functioning of the EOC and coordination with other agencies and SEMS levels. The EOC Coordinator should be a member of the EOC Director's Staff. The EOC Coordinator position would normally be filled by the local government's emergency management coordinator (or emergency services coordinator). The authority, duties, and responsibilities of this individual will vary depending on the size of the jurisdiction and the needs of the organization.

Exhibits C-2 and C-3 on the following pages show example EOC organizations for small and large jurisdictions. The examples show modular EOC organizations.

Organizational elements are staffed as needed for the situation. Exhibit C-4 shows how an EOC organization can evolve over time during a disaster.

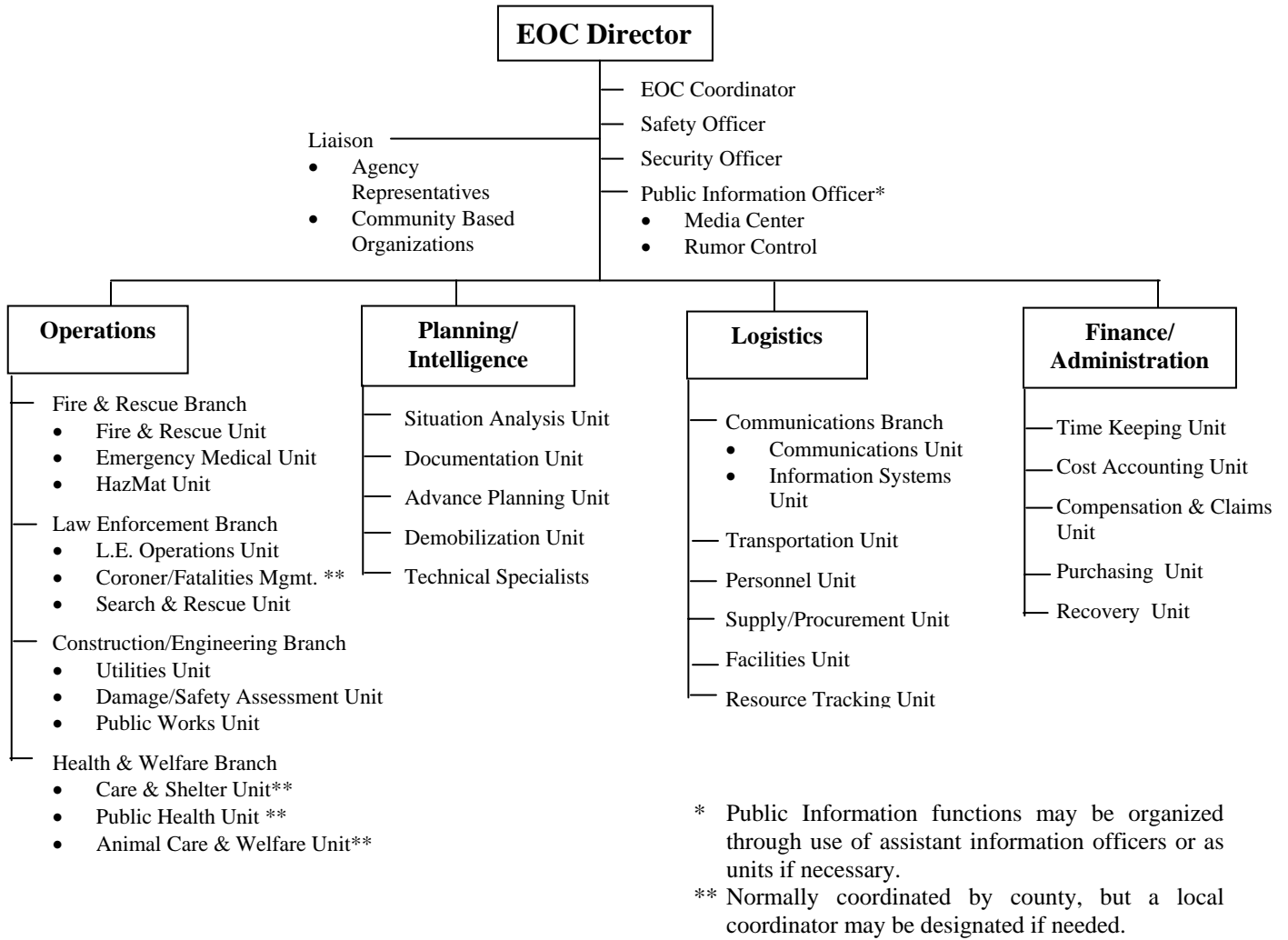
Exhibit C-2  
**Example**  
**Small Local Government EOC Functional Organization**



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

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

Exhibit C-3  
**Example**  
**Large Local Government EOC Functional Organization**



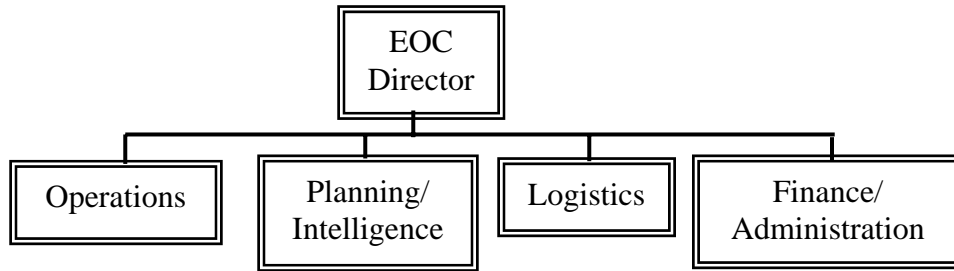
Each jurisdiction must determine the appropriate organization for the functions to be performed.

Exhibit C-4

**Example**

**Modular Changes In An EOC Organization During A Disaster**

**Period 1**  
(Level 1 - Minimum)



**Period 2**  
(Level 2)

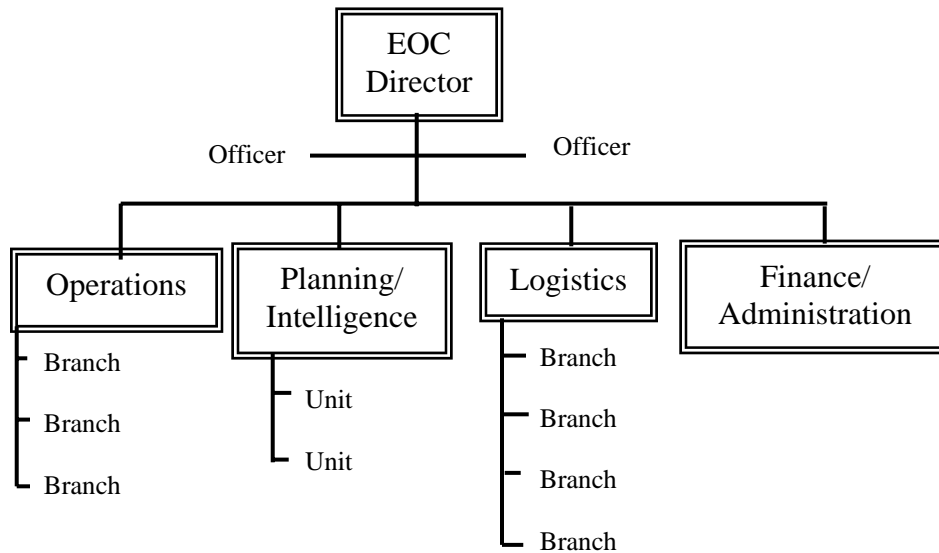
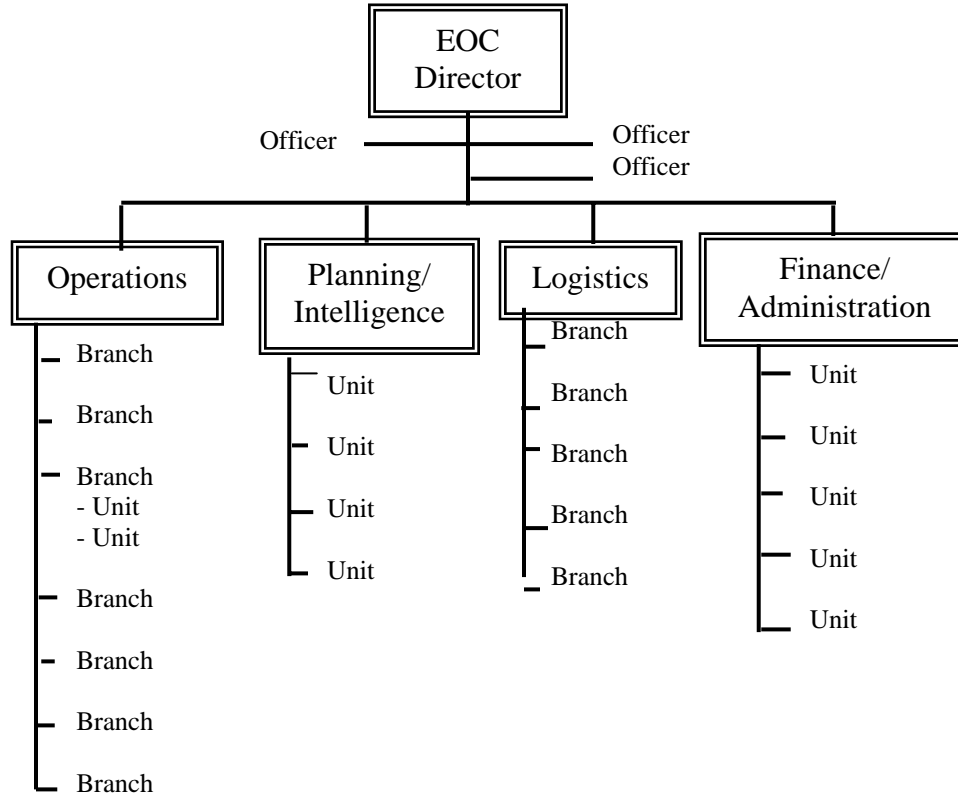
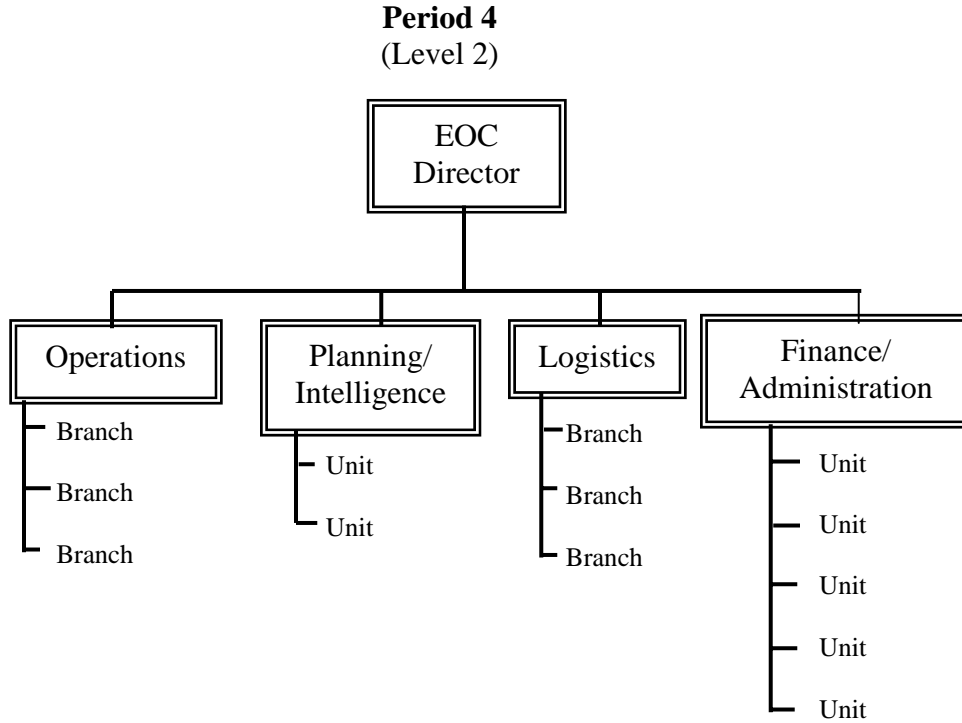


Exhibit C-4  
(Continued)

**Example**  
**Modular Changes In An EOC Organization During A Disaster**  
**Period 3**  
(Level 3 - Maximum)





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## 5. Activation

Activation of the local government level means that one local government official implements SEMS as appropriate to the scope of the emergency and the local governments role in response to the emergency.

The local government level is activated when field response agencies need support.

The local official(s) implementing SEMS may function from the EOC or from other locations depending on the situation. Each local government should establish criteria for activating its EOC. Activated EOCs may be partially or fully staffed to meet the demands of the situation. It is recommended that local government procedures provide for varying EOC staffing levels that can be applied to various situations. An example of activation criteria and staffing levels for a local government EOC is shown in Exhibit C-5.

The operational area should be notified when a local government EOC is activated.

**6. Action Planning**

Action Planning is an essential element of SEMS at the local government level. Action planning is an important management tool that involves:

- a process for identifying priorities and objectives for emergency response coordinating, supporting or recovery efforts,
- plans, which document the priorities and objectives, and the tasks and personnel assignments, associated with meeting the objectives.

The action planning process should involve the EOC Director and General Staff along with other EOC elements, special district representatives and other agency representatives, as needed. The Planning/Intelligence Section is normally responsible for development of the action plan and for facilitation of action planning meetings.

Action plans are developed for a specified operational period which may range from a few hours to 24 hours. The operational period is determined by first establishing a set of priority actions that need to be performed. A reasonable time frame is then established for accomplishing those actions. The action plans need not be complex, but should be sufficiently detailed to guide EOC elements in implementing the priority actions. Part III of the Guidelines provides further information on developing action plans.

Exhibit C-5

**Example Local Government EOC Activation Guide**

EventSituation <sup>1</sup>	Activation Level	Minimum Staffing <sup>2</sup>
Severe Weather Advisory	One	EOC Director Planning Section Coordinator
Small incidents involving 2 or more departments		
Earthquake Advisory		
Flood Watch		
Moderate Earthquake		
Wildfire affecting developed area		

Major wind or rain storm  Two or more large incidents involving 2 or more departments  Imminent Earthquake Alert  Major scheduled event (such as World Cup, Papal visit, Olympics, etc.)	Two	EOC Director All Section Coordinators Branches and Units as appropriate to situation Liaison Representatives as appropriate.
Major city or regional emergency. Multiple departments with heavy resource involvement  Major earthquake.	Three	All EOC Positions

<sup>1</sup> Local governments and the operational area should work together to develop consistent activation criteria and levels that are common with the operational area.

<sup>2</sup> Minimum staffing may vary with the size of the local government.

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**7. Multi-agency or Inter-Agency: Coordination at the Local Government Level**

Multi-agency or inter-agency coordination is important for;

- establishing priorities for response,
- allocating critical resources,
- developing strategies for handling multi-agency response problems,
- sharing information,
- facilitating communications.

**Inter-agency Coordination in the EOC**

To be consistent with the Approved Course of Instruction, the term Multi-agency or inter-agency coordination, as defined in the SEMS regulation will be shortened to Inter-agency coordination.

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



special districts, volunteer agencies and private organizations may also participate at the EOC with departmental representatives in coordinating the local government response effort. Coordination with agencies not represented in the EOC may be accomplished through communications.

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

### **Establishing a Inter-agency Coordination Group**

In some situation, it may be useful to establish formally a Inter-agency coordination group to develop consensus on priorities, resource allocation and response strategies. A formal Inter-agency coordination group can be especially useful when a particular response problem or issue requires coordination with numerous agencies not usually represented in the local government's EOC. An Inter-agency coordination group can unify multiple jurisdictions that have statutory responsibilities for the emergency. It provides a forum, similar to unified command at the field level, where responsible jurisdictions can establish common goals and objectives and assure their authorities have not been compromised. Such a group may be developed through pre-event planning for certain contingencies as a part of the jurisdiction's emergency management organization. This group will provide direction to the EOC for allocation of scarce resources.

A local government level inter-agency coordination group may function within the EOC or at another location. An inter-agency coordination group may also function through conference calls. Whether physically at the EOC or at another location, the inter-agency coordination group should remain connected to the local government EOC, and perform as an extension of an established EOC function. Priorities and objectives developed through the group should be incorporated into the action plan developed at the EOC. Objectives agreed to by the group should be implemented through the EOC.

Local government representatives may participate with other local governments and other agencies in an inter-agency coordination group organized by another local government, operational area or regional level.

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**8. Coordination with the Field Response level**

Coordination among SEMS levels is clearly necessary for effective emergency response. The local government level must have the capability to coordinate with Incident Command Systems for any field response within its boundaries.

In a major emergency, a jurisdiction's EOC may be activated to coordinate the overall response while the Incident Command System is used by field responders to manage the incident. Incident Commanders may report to department operations centers (DOCs), which in turn will coordinate with the EOC. Alternatively, in some jurisdictions Incident Commanders may report directly to the EOC, usually to their counterpart departmental staff in the Operations Section.

It is also possible in a large city or county for Area Commands to be established between the Incident Command teams and the EOC. During a major jurisdiction-wide disaster, the jurisdiction may be divided into areas, with an Area Command overseeing the Incident Command teams within each area. The Area Commands would receive policy direction from the EOC.

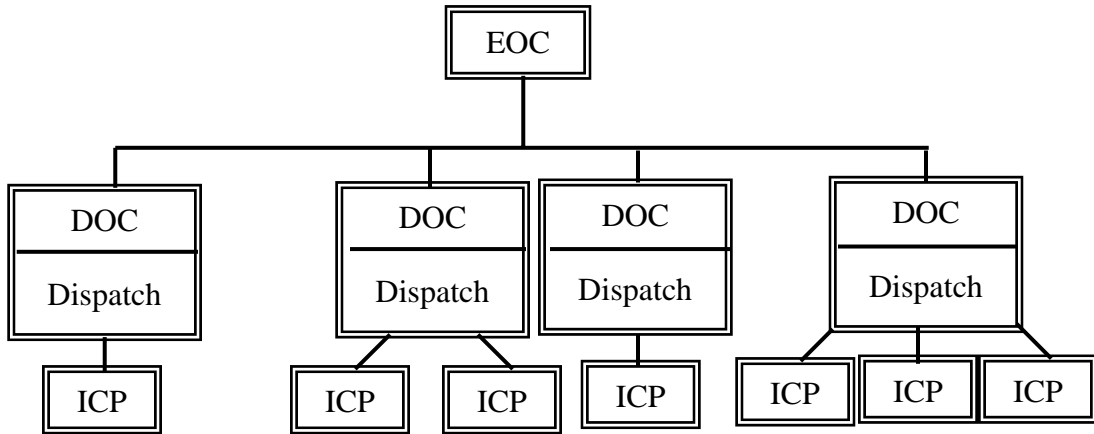
Another scenario for EOC -Area Command interactions would be the occurrence of several similar type incidents located in close proximity but in different jurisdictions. A Unified Area Command may be established to oversee Incident Commands operating in general proximity to each other. The Unified Command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

Area Command is discussed in detail in the Field Level Course, see Part III.

Exhibit C-6

**Field to Local Government Coordination and Communications in a Major Area wide Disaster**

**Example A**



**Example B**

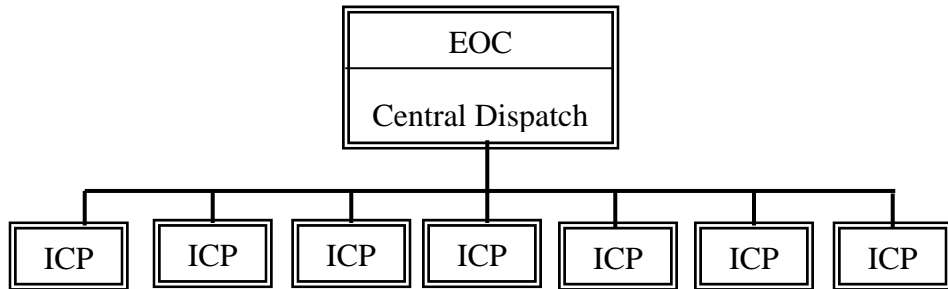
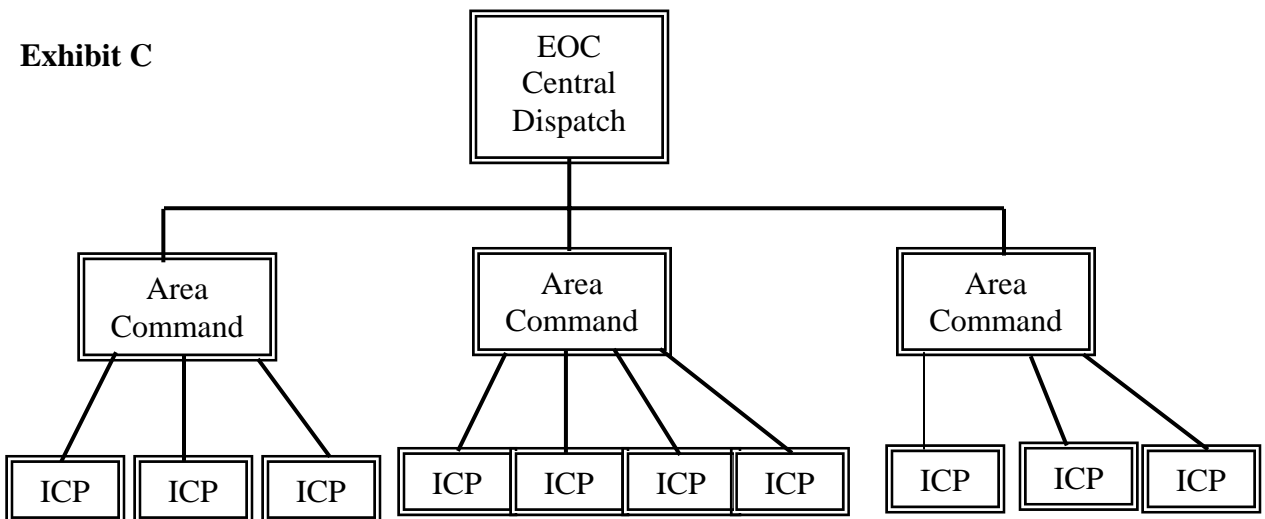


Exhibit C-6  
(Continued)

**Field to Local Government Coordination and Communications in a Major Area wide Disaster**

**Exhibit C**



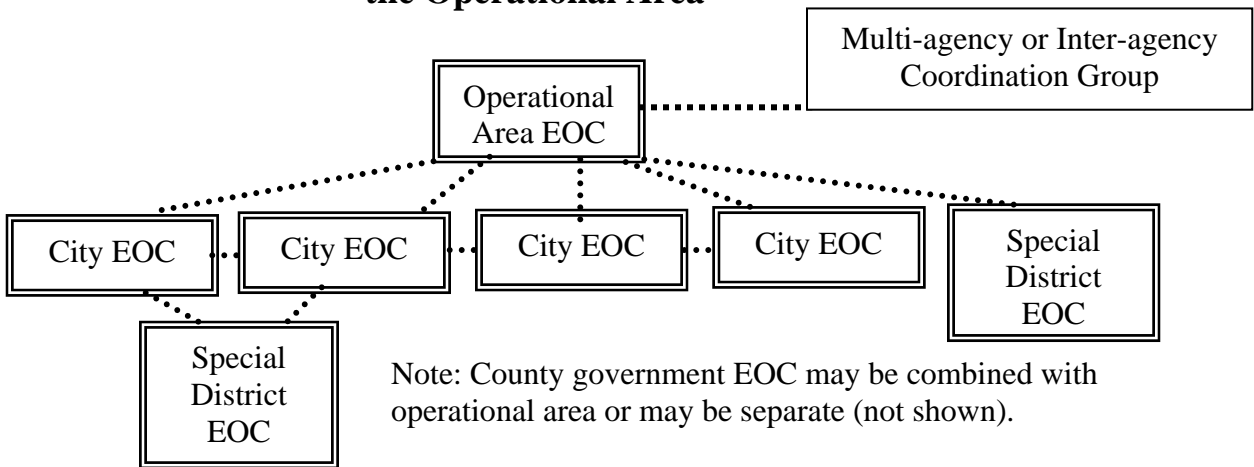
**9. Coordination with the Operational Area Level**

Coordination and communications should be established between activated local government EOCs and the operational area. Direct communications and coordination should be established between city EOCs and the operational area EOC when activated, as illustrated in Exhibit C-7, Direct communications and coordination also should be established between the county government EOC and the operational area EOC if they are physically separate.

Exhibit C-7

**Example**

**Lines of Coordination and Communications between Local Governments and the Operational Area**

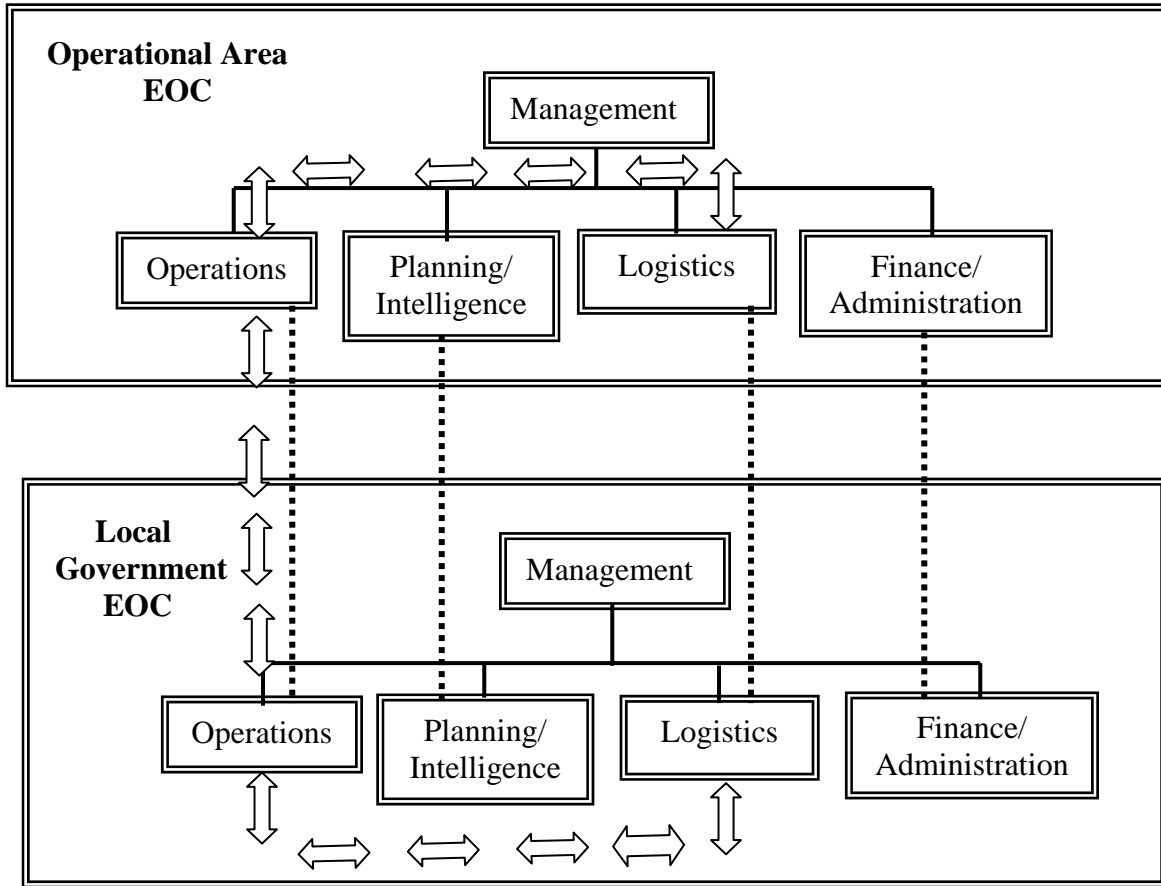


Note: County government EOC may be combined with operational area or may be separate (not shown).

Communications and coordination should occur along functional lines as illustrated in Exhibit C-8

Exhibit C-8

**Local Government EOC - Operational Area EOC Primary Interactions**



- Lines of management authority and internal coordination.
- ..... Primary lines of communications and coordination between levels.
- ↔ Primary interactions to priority resource allocation.

Coordination of resource requests should be done in accordance with agency policy. This requires close communications and coordination between the operations and logistics functions at both the local government and operational area levels. This relationship is vital particularly when there are multiple requests for similar resources or when resources are scarce.

A representative from every activated city EOC and from county government should be at the operational area EOC,

whenever feasible. In operational areas with a large number of cities, it may not always be practical to have representatives from every city EOC at the operational area EOC. For cities with very small staffs, it may not be feasible to send a representative to the operational area EOC. The operational area and cities should work together to develop arrangements to ensure that adequate coordination and information exchange occurs when city representatives are not present at the operational area EOC.

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## **10. Special District Involvement**

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

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

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

Typically, special district boundaries cross municipal boundary lines similar to state emergency response agencies. A special district may serve several cities and county unincorporated areas. Some special districts serve

more than one county. Ideally, a special district involved in the emergency response will have representatives at all activated city or county EOCs within its services area. However, this may not be practical when many jurisdictions within its services area are affected. One alternative may be to focus coordination at the operational area level and designate a representative to the operational area EOC to work with other local government representatives at the EOC.

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

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

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**11. Coordination with  
Community Based Organizations  
and Collaboratives**

Community Based Organizations differ in size, name, organizational structure and procedure, but all share a common bond of addressing the disaster concerns of individuals and special needs communities. They are often the best resources for a particular population. They bring a level of expertise and assistance to the community that is not often possible with the larger, traditional emergency service providers.

They assist in providing assurances that the needs of under served populations and the complexity of human service issues in disasters are addressed. They have the capacity to organize teams of volunteers to do the outreach necessary to reach these persons following disasters. In many

instances a strong collaboration will lead to better assist individuals recover from personal losses suffered in major emergencies and disasters. Ongoing relationships are essential in building the capacity of Community Based Organizations to respond to client needs in local disasters.

The Operational Area should establish coordination with Community Based Organizations that have multi-jurisdictional or countywide response roles. Community Based Organizations that play key roles in response should have representation at the Operational Area EOC.

If a Community Based Organization supports several functions and has only one representative at the EOC, the agency representative should be located at the liaison area as an Agency Representative. If an agency is supporting one function only, its representative may be located with that functional element. For example, in some operational areas, the American Red Cross representative may be part of the staff for the Care and Shelter element of the EOC.

Multiple Community Based Organizations may form a Collaborative which may appoint a Lead Agency Representative to represent them in the EOC. Other means of communications with individual agencies could be telecommunications.

Many Operational Areas have formed Collaboratives. If an Operational Area Collaborative has been formed and is needed for a city specific response, the request for these resources should be coordinated through the Operational Area.

If there is going to be a State response utilizing a Community Based Organization, this should be coordinated with the Operational Area and Operational Area Community Based Organizations and/or Collaboratives to assist in ensuring easy transition, non-duplication of resources and the most efficient and effective response to the victims of the emergency

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**12. Relationship to Mutual Aid Systems**

Local governments request resources through established discipline-specific mutual aid systems such as fire, law enforcement, and medical. Resource requests are made to designated Operational Area Mutual Aid Coordinators who may be located at the operational area EOC or another



location depending on the emergency situation and the mutual aid system. Resources not available through discipline-specific mutual aid systems are requested by local governments through the emergency services channel. Local governments place such requests to the operational area EOC when activated. The mutual aid system in California is described in Part I.A.

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

## Part I. System Description

### Section D

## Operational Area Level

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### **1. Role of the Operational Area**

The operational area is defined by the Emergency Services Act as an intermediate level of the state emergency services organization consisting of a county and all political subdivisions within the county area. Political subdivisions include cities, a city and county, counties, districts, or other local governmental agency, or public agency authorized by law.

The concept of an operational area was included in the Emergency Services Act in 1970. It was required by that act to be used during a state of war emergency, but its use was optional during a state of emergency or a local emergency. In many counties, the operational area concept has been used during peacetime emergencies. The operational area level has been used by established discipline-specific mutual aid systems including fire and law enforcement. Standardized Emergency Management System (SEMS) regulations now establish the operational area as one of the five SEMS levels for use in all emergencies and disasters involving multiple agencies or multiple jurisdictions.

The operational area is used by the county and the political subdivisions comprising the operational area:

- for coordination of emergency activities within the geographic area of the county,
- to serve as a link in the system of communications and coordination between the OES regional EOC (REOC) and the EOCs of the political subdivisions within the operational area.

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

SEMS Regulations specify that all local governments within a county geographic area be organized into a single operational area and that the county board of supervisors is responsible for its establishment. The county government serves as the lead agency of the operational area unless another member agency assumes that responsibility by written agreement with the county government. All local governments should cooperate in organizing an effective operational area, but the operational area authority and responsibility is not affected by the non-participation of any local government. Organizing the operational area is discussed further in Part II of the guidelines.

The lead agency of the operational area is responsible for:

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

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

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## **2. Operational Area Emergency Operations Center (EOC)**

Each operational area should have a designated emergency operations center (EOC) form which the overall coordination role of the operational area will be accomplished. The physical size, staffing, and equipping of an operational area EOC will depend on the size and complexity of the operational area and the emergency situations in which it functions. The level of EOC staffing will also vary with the specific emergency situation.

In most cases, the operational area EOC will also serve as the EOC for county government (or other designated lead agency). This will enable efficient use of available staff. In a combined EOC, some staff may be wearing two hats - coordinating operational area level and county government level functions. As local government coordinators, the

EOC staff may be interacting with department operations centers or Incident Commanders as described in Section C. Local Government Level. The EOC should be designed to enable the lead agency to fulfill both its operational area and local government responsibilities.

The operational area EOC facility should be capable of serving as the central point for:

- coordination with local governments within the operational area,
- information gathering and dissemination within the operational area,
- coordination with the regional EOC and other operational area,
- reporting information to the regional level using the SEMS forms via the Response Information System (RIMS) or OASIS

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### **3. Operational Area Emergency Management Organization**

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

<u>Primary SEMS Function</u>	<u>Role at Operational Area Level</u>
<b>Management</b>	Responsible for overall emergency policy and coordination through the joint efforts of governmental agencies and private organizations.
<b>Operations</b>	Responsible for coordinating support to local government's emergency response, coordinating inter-jurisdictional responses, and coordinating countywide activities through implementation of the operational area action plan.
<b>Planning/ Intelligence</b>	Responsible for collecting, evaluating, and disseminating information, developing the operational area action plan in

<u>Primary SEMS Function</u>	<u>Role at Operational Area Level</u>
	coordination with other functions; and maintaining documentation.
<b>Logistics</b>	Responsible for providing facilities, services, personnel, equipment, and materials to support the emergency response.
<b>Finance/ Administration</b>	Responsible for financial and other administrative activities.

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

- representatives from local governments within the operational area.
- Operational Area Mutual Aid Coordinators or their representatives from discipline-specific mutual aid systems (see below),
- coordination for other major functions needed for mutual aid and inter-jurisdictional coordination such as the functions defined in the *Emergency Planning Guidance for Local Government*, RIMS, and OASIS Interim Guidelines.
- other functions as needed to carry out the local government responsibilities of the lead agency (in a combined operational area and county or other lead agency EOC). Examples of such functions are listed in Part I.C. Local Government.

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

- Section
- Branch
- Group
- Unit

The five essential SEMS functions would normally be established as sections within the EOC using the above terminology. Other functions, such as, MHFP functions, would be included as branches, groups, or units. It is not

necessary to use all four hierarchical levels in the EOC. For example, many EOCs use only sections, branches and units. Functional elements are activated as needed.

It is important that the responsibility for major functions be clearly identified to facilitate coordination with the local government and regional levels. Exhibit D-1 provides an example of an operational area EOC organization.

For purposes of these guidelines, we will use the position title "coordinator" to refer to the lead person of each of the functional elements in the EOC. The term coordinator is used because a primary role of EOC elements is to coordinate. Local governments may use other position titles within their EOC organization. Three options are shown below.

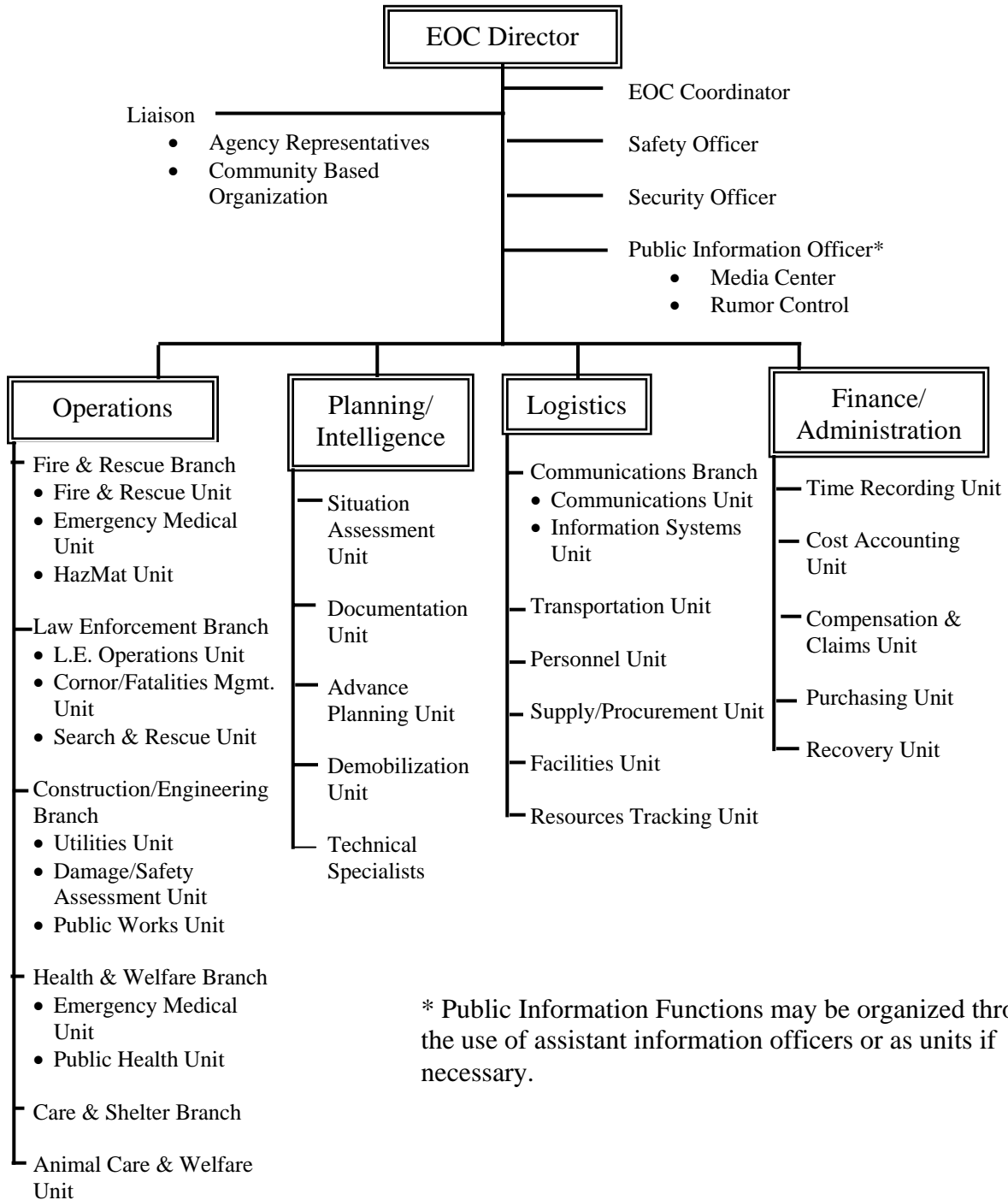
<b>A. Coordinators</b>	<b>B. ICS Position Titles</b>	<b>C. Combined Terminology</b>
EOC Director	EOC Director	EOC Director
Sector Coordinator	Section Chief	Section Chief
Branch Coordinator	Branch Director	Branch Director
Group Coordinator	Group Supervisor	Group Coordinator
Unit Coordinator	Unit Leader	Unit Coordinator

The ICS concept of the General Staff may be useful in the EOC. Using this concept, the Coordinators for Operations, Planning/Intelligence, Logistics, and Finance/Administration constitute the EOC General Staff. The EOC Director and General Staff function as an EOC management team. The General Staff are responsible for:

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

The EOC Director may wish to establish the functions of Liaison and Public Information at a individual, unit, group or branch level in the operational area EOC and to include the lead persons for these functions as members of the General Staff.

Exhibit D-1  
**Example**  
**Operational Area EOC Functional Organization**



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

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

An EOC Coordinator may be designated to assist the EOC Director. The EOC Coordinator facilitates the overall

functioning of the EOC and coordination with other agencies and SEMS levels. The EOC Coordinator position would normally be filled by the local government's emergency management coordinator (or emergency services coordinator). The authority, duties, and responsibilities of this individual will vary depending on the size of the jurisdiction and the needs of the organization.

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**4. Relationship of Operational Area Mutual Aid Coordinators**

Discipline-specific mutual aid systems, including fire, law enforcement, and medical, have designated mutual aid coordinators within each operational area. The designated Operational Area Mutual Aid Coordinators should be considered an integral part of the operational area emergency management organization. Operational Area Mutual Aid Coordinators may be located at the operational area EOC, at their normal work location, or at another location depending on the emergency situation, local communications systems, their normal job responsibility, and the level of operational area EOC activation. When the operational area EOC is fully activated, all discipline-specific mutual aid systems should have designated representatives at the EOC to facilitate coordination and information flow.

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**5. Activation of the Operational Area**

SEMS Regulations specify seven circumstances in which the operational area EOC must be activated and SEMS used:

1. A local government within the operational area has activated its EOC and requested activation of the operational area EOC to support their emergency operations.
2. Two or more cities within the operational area have declared or proclaimed a local emergency.
3. The county and one or more cities have declared or proclaimed a local emergency.
4. A city, city and county, or county has requested a governor's proclamation of a state of emergency.
5. A state of emergency is proclaimed by the governor for the county or two or more cities within the operational area.
6. The operational area is requesting resources from outside its boundaries. This does not include resources



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

Operational areas should develop EOC activation criteria that include the regulatory requirements and also identify conditions based on the hazard analysis of the area. The goal should be a rapid activation of the EOC when operational area involvement will be needed. It is recommended that two to three levels of activation be identified that will provide EOC staffing commensurate with the coordination needs of varying emergency situations. Exhibit D-2 is an example of the type of activation criteria that an operational area should consider for its EOC.

Exhibit D-2

**Example  
Operational Area EOC Activation Guide**

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

<sup>1</sup>Local governments and the operational area should work together to develop consistent activation criteria and levels for hazards that are common to the operational area.

<sup>2</sup>Minimum staffing may vary with the size of the operational area.

<sup>3</sup>Does not include resources used in normal day-to-day operations obtained through existing mutual aid agreements.

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## 6. Action Planning

Action Planning is an essential element of SEMS at the operational area level. Action planning is an important management tool that involves:

- a process for identifying priorities and objectives for emergency response or recovery efforts,
- plans which document the priorities and objectives, and the tasks and personnel assignments associated with meeting the objectives.

The action planning process should involve the EOC Director and General Staff along with other EOC elements, local government representatives, and other agency representatives, as needed. The Planning/Intelligence Section is normally responsible for development of the action plan and for facilitation of action planning meetings.

Action plans are developed for a specified operational period, which may range from a few hours to 24 hours. The operational period is determined by first establishing a set of priority actions that need to be performed. A reasonable time frame is then established for accomplishing those actions. The action plans need not be complex, but should be sufficiently detailed to guide EOC elements in implementing the priority actions. Part III of the Guidelines provides further information on developing action plans.

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## 7. Resource Management at the Operational Area Level

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

- Discipline-specific mutual aid systems: Requests for resources that are normally within the inventories of the mutual aid system will go from local coordinator to Operational Area Mutual Aid Coordinator to Regional Mutual Aid Coordinator.
- All other resource requests will be made through the logistics function at each level with emphasis on the need for lateral coordination with other EOC functions.

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

If requests for a specific resource exceeds the supply within the operational area, the available resources will be allocated consistent with priorities established through the action planning process, and additional resources will be requested from the regional level. The General Staff is responsible for ensuring that priorities are followed.

Resources not available within the operational area will be requested through the regional level by Operational Area Mutual Aid Coordinators or the operational area logistics function. Resource requests should be coordinated internally at the operational area level before being placed to the regional level.

Coordinators of functional elements in operations and logistics are responsible for tracking resource requests. A Resource Tracking Unit may be established in Logistics to facilitate this process. The concept of resource tracking is discussed further in OASIS Guidelines.

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**8. Multi-agency or Inter-agency Coordination at the Operational Area Level**

For simplicity and consistency with the Approved Course of Instruction Multi-agency or inter-agency coordination as identified in the SEMS Regulations, is shortened to Inter-Agency Coordination here. Inter-agency coordination is important for:

- establishing overall priorities,
- allocating critical resources,
- developing strategies for handling multi-agency and multi-jurisdictional response problems,
- sharing information,
- facilitating communications.

**Inter-agency Coordination in the EOC**

Inter-agency coordination is an integral part of the functioning of an operational area EOC. The EOC is staffed by representatives from the departments and

agencies who work together at the EOC to coordinate the operational area's emergency response. Agency representatives from local governments (including special districts), volunteer agencies and private organizations should also participate with EOC functional elements in coordinating the operational area response effort. Coordination with agencies not represented in the EOC may be accomplished through telecommunications.

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

### **Establishing a Inter-agency Coordination Group**

It may be useful to establish formally a inter-agency or coordination group to develop consensus on priorities, resource allocation and response strategies.

An inter-agency coordination group involving representatives of local governments in the operational area may be a standard element of the operational area organization. Such a group may meet regularly during the response or on an as needed basis. Alternatively, inter-agency coordination groups may be established to deal with specific issues that arise during the response.

A formal inter-agency coordination group may be especially useful if a particular response problem or issue requires coordination with numerous agencies not usually represented in the operational area EOC. Such groups may be established through a temporary ad hoc arrangement during an emergency or may be developed through pre-emergency planning for certain contingencies.

An operational area level inter-agency coordination group may function within the EOC or at another location. An inter-agency coordination group may also function through conference calls. Whether physically at the EOC or at another location, the inter-agency coordinating group should remain connected to the operational area EOC, and perform as an extension of an established EOC function. Priorities and objectives developed thorough the group should be incorporated into the action plans developed at

the EOC. Objectives agreed upon by the group should be implemented through the EOC.

Operational area representatives may participate with other operational areas and other agencies in a inter-agency coordination group organized by the regional level.

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**9. Coordination with Cities and County Government**

Coordination and communications should be established between the operational area EOC and all activated local government EOCs within the operational area. Direct communications and coordination should be established between any activated city EOC and the operational area EOC when activated. Direct communications and coordination also should be established between the county government EOC and the operational area EOC if they are physically separate.

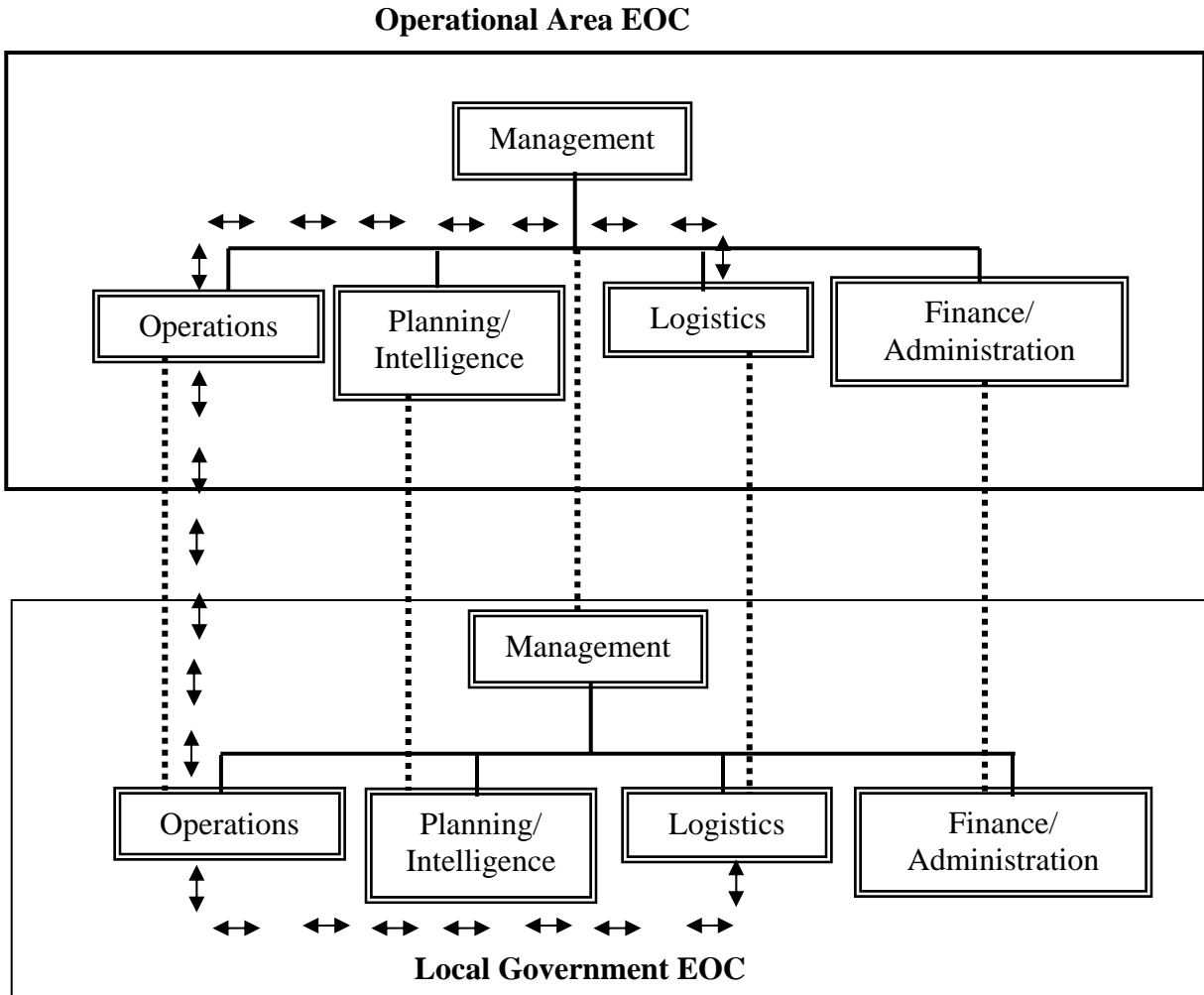
Communications and coordination should occur along functional lines as illustrated in exhibit D-3. Coordination of resource requests should be done in accordance with agency policy. This requires close communications and coordination between the operations and logistics functions at both the local government and operational area levels. This relationship is vital, particularly when there are multiple requests for similar resources or when resources are scarce.

A representative from every activated city EOC and county government should be at the operational area EOC, whenever feasible. In operational areas with a large number of cities, it may not always be practical to have representatives from every city EOC at the operational area EOC. For cities with very small staff, it may not be feasible to send a representative to the operational area EOC. The operational area and cities should work together to develop arrangements to ensure that adequate coordination and information exchange occurs when city representatives are not present at the operational area EOC.

A combined operational area and county EOC will be functioning as a local government EOC for unincorporated areas of the county. Coordination and communications needed for this role will be similar to that described in Part I.C. Local Government Level.

Exhibit D-3

**Local Government EOC - Operational Area EOC  
Primary Interactions**



- Lines of management authority and internal coordination
- ..... Primary lines of communication and coordination between levels
- ↔ Primary interactions for priority resource allocation

**10. Special District Involvement** Special districts are defined as local governments in SEMS. The emergency response role of special districts is generally focused on their normal services. During disasters, some types of special districts will be more

extensively involved in the emergency response by assisting other local governments.

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

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

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

- representatives at the operational area EOC only from designated key special districts--telecommunications with other special districts
- one representative from each type of special district who would communicate with other special districts of the same type.
- establish a special district coordination center for a particular type of special district, for example, a water



district coordination center that communicates with the operational area EOC.

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

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**11. Coordination with Community Based Organizations and Collaboratives**

Community Based Organizations differ in size, name, organizational structure and procedure, but all share a common bond of addressing the disaster concerns of individuals and special needs communities. They are often the best resources for a particular population. They bring a level of expertise and assistance to the community that is not often possible with the larger, traditional emergency services providers.

They assist in providing assurances that the needs of under served populations and the complexity of human service issues in disasters are addressed. They have the capacity to organize teams of volunteers to do the outreach necessary to reach these persons following disasters. In many instances a strong collaboration will lead to better assist individuals recover from personal losses suffered in major emergencies and disasters. Ongoing relationships are essential in building the capacity of Community Based Organizations to respond to client needs in local disasters.

It is essential when the Regional Level is coordinating between the State Level and the Operational Area Level that considerations be given to local Collaboratives and services coordinated. This will assist in ensuring easy transition, non-duplication of resources and the most efficient and effective response to the victims of the emergency.

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**12. Coordination with the Regional Level**

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

1. The REOC sends representatives to the operational area.
2. The operational area sends a representative(s) to the REOC.
3. The operational area and REOC coordinate through telecommunications that include the Response Information Management System (RIMS).

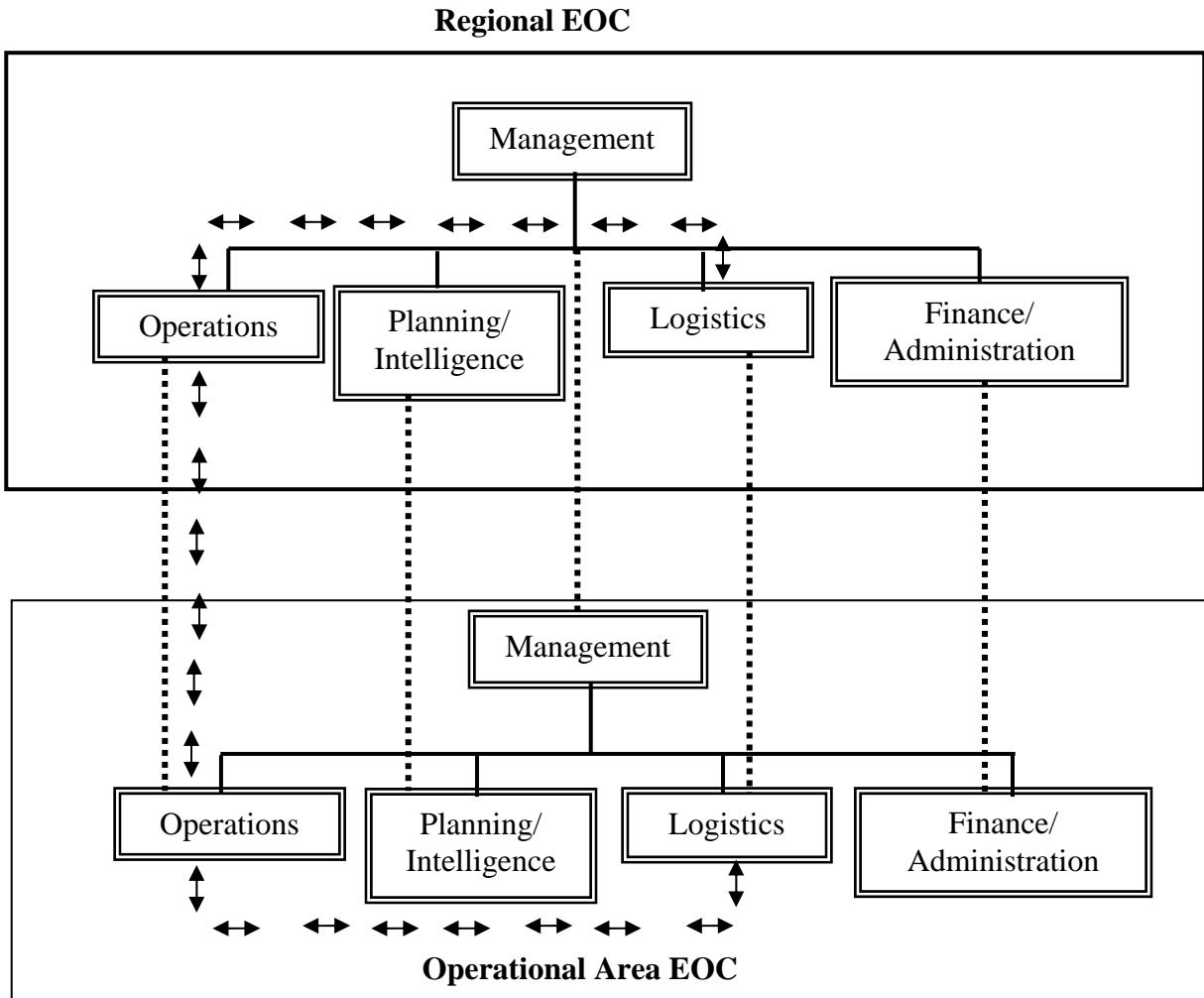
The REOC plan is to send OES Representatives when feasible, to activated operational area EOCs to facilitate communications and coordination. An operational area may provide a representative to the REOC when the presence of a representative would facilitate coordination of information exchange. The REOC Director (OES Regional Administrator) may request that a representative be sent by the operational area. Telecommunications may be a sufficient method of coordination for minor situations that require only limited staffing of the operational area EOC and REOC. Coordination and communication between an operational area EOC and REOC will be primarily along functional lines as illustrated in Exhibit D-4.

Coordination and communications will occur between the five SEMS functions at the operational area level and their counterparts at the regional level. Coordination of resource requests should be done in accordance with agency policy. This requires close communications and coordination between the operations and logistics functional both the local government and operational area levels. This relationship is vital particularly when there are multiple requests for similar resources or when resources are scarce.

In addition, coordination and communication may occur between organizational elements under a SEMS function and counterpart elements at the other level as illustrated in Exhibit D-5.

Exhibit D-4

**Operational Area EOC - Regional EOC  
Primary Interactions**



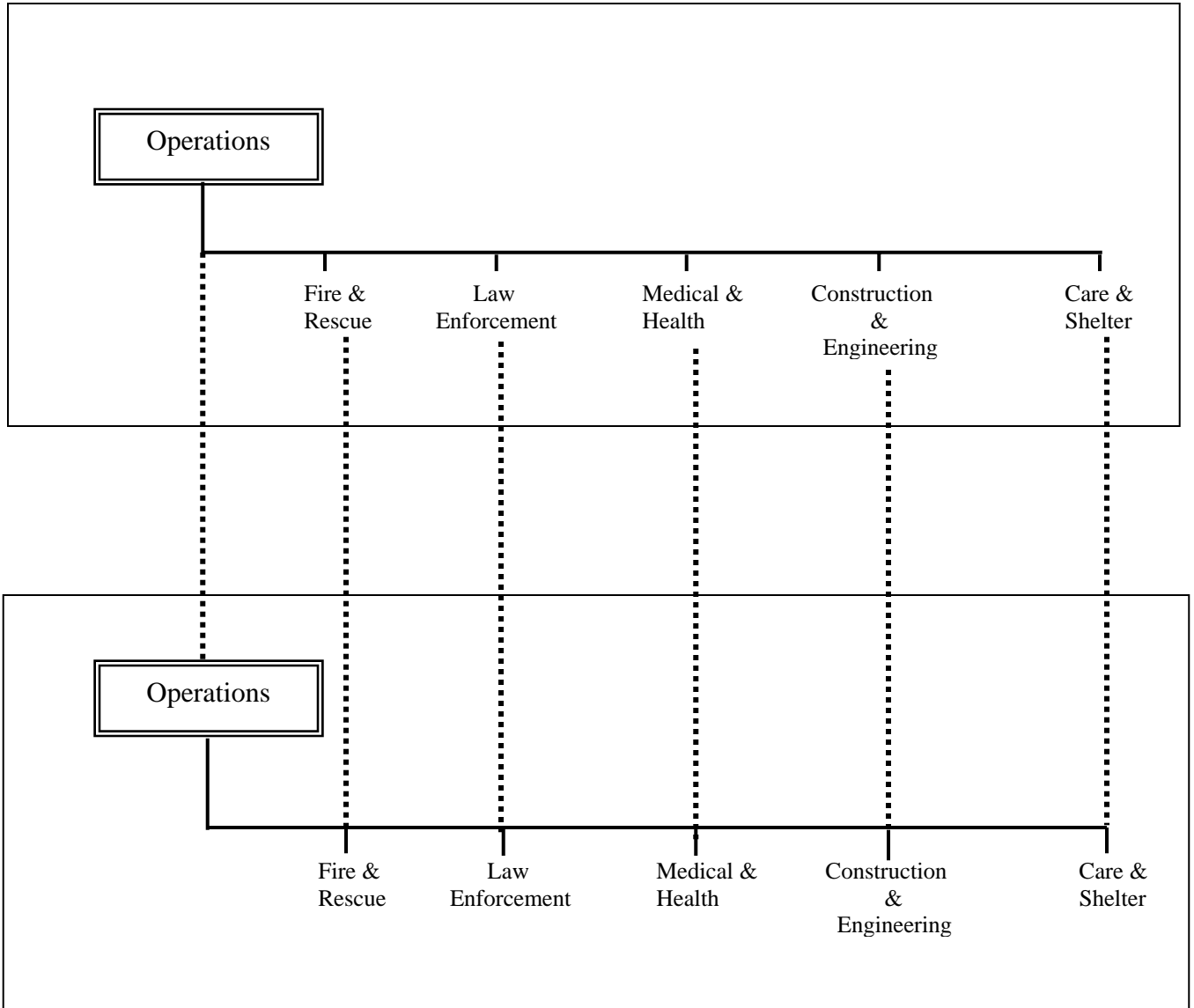
———— Lines of management authority and internal coordination

..... Primary lines of communication and coordination between levels

↔ Primary interactions for priority resource allocation for resources coordinated through the operational area EOC and REOC. Coordination must also be established with Operational Area and Regional Mutual Aid Coordinators.  
Agency Representatives also will facilitate communications and coordination as needed.

Exhibit D-5

**Example**  
**Operational Area EOC - Regional EOC**  
**Functional Interactions within a SEMS Function**



.....

Lines of communication and coordination

Notes:

Agency Representatives also will facilitate communications and coordination as needed.

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

Direct coordination and communications will also be established between Operational Area Mutual Aid Coordinators and Regional Mutual Aid Coordinators. These coordinators may be functioning from their respective operational area EOC and REOC, or from other locations depending on the situation and the mutual aid system. Mutual aid requests for resources within the inventories of the mutual aid system will be placed from the Operational Area Mutual Aid Coordinator to the Regional Mutual Aid Coordinator. Requests for other resources will be channeled through the logistics function at the operational area EOC and REOC.

### **13. Relationship to RIMS**

The Response Information Management System (RIMS) will be a key means of communications between operational area EOCs and REOCs. RIMS is a internet based computer system that uses standard forms to provide emergency information such as situation reports, status reports and provides a method for requesting and tracking resources. RIMS is the main vehicle for communicating between operational area EOCs and REOCs.

### **Operational Area Satellite Information System (OASIS)**

OASIS provides a back up to RIMS. OASIS consists of a communications satellite, a communications hub which controls the system, and remote sites which include operational area EOCs, REOCs, the State Operations Center, and other selected sites. Remote sites have a dish antenna and an indoor unit that connects to EOC telephones and computers. This enables voice and data communications with other sites. A few operational area, state, and federal agency sites will also have a high frequency radio system to provide backup communications. OASIS provides a disaster-resistant method of communications between the operational area and regional levels.

OASIS Interim Guidelines outline information needs for reporting between the operational area and the regional levels. These forms were the forerunner of the RIMS forms, which are used throughout the emergency management community

## Part I. System Description

### Section E

## Regional Level

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**1. Regional Level in SEMS** Regions is one of the five levels of the SEMS organization. A region is a geographical area made up of two or more counties. SEMS guidance for the regional level is primarily but not exclusively directed at regional facilities and systems that administer or coordinate mutual aid. These would include OES regional emergency operations centers (REOCs) and discipline-specific mutual aid systems, for example, fire, law, medical, which coordinate mutual aid within mutual aid regions.

Other state agency administrative and operational sub-levels also have a "regional" structure; for example, CHP Divisions, Cal Trans Districts, CDF & FP and Fish and Game Regions. The SEMS Regulations require that all State agencies must use SEMS. While the guidance is directed primarily at those agencies administering established mutual aid systems, the organization, concepts and principles described in the Guidelines also apply to the "regional" level of other state agencies, which are involved in response to emergencies, and are required to use SEMS.

**A. Mutual Aid, Mutual Aid Regions and Mutual Aid Systems**

Because of the importance of mutual aid, a brief description is provided of the relationships between California mutual aid and is described in Guidelines Section I.A. The SEMS Field Level Training Course describes the overall California mutual aid program, and each of the various mutual aid systems in more detail.

Mutual Aid

The delivery of all mutual aid in California is based on the Master Mutual Aid Agreement. This agreement signed in 1950 by the state and all counties and most cities, provides the basis for rendering mutual aid without the necessity of specially written agreements for mutual aid.

Essentially, this agreement states that each part agrees to furnish resources and facilities and to render services to each and every other party to prevent and combat any type

of disaster. However, no party is required to unreasonably deplete its own resources, facilities, and services in the process of furnishing mutual aid.

The use of mutual aid by a local government is determined by the jurisdiction in need. Local governments requiring assistance will request mutual aid from neighboring jurisdictions or through their respective operational area. (A variety of local written and in some cases informal mutual aid agreements exist between jurisdictions.) The operational area (which consists of the county and all political jurisdictions within the county) will coordinate the additional aid requirement first from jurisdictions within the operational area (including county owned resources). (See operational area discussion in Guidelines I.D.)

If sufficient resources are still not available, the request will be made to the regional level. The mutual aid system regional coordinator (which will differ in name and location by mutual aid system) will attempt to fill the resource order from mutual aid suppliers within the region. If sufficient resources are still not available, the request will be forwarded to the state level, which will fill the resource request from other mutual aid regions within the state, from interstate sources and/or from private and federal sources.

The regional level coordinates mutual aid information and resources among the operational area within the region and between the operational areas and the state level. The regional level and the state level coordinate overall state agency support for emergency response activities.

This general process for requesting and supplying mutual aid is shown in Exhibit E-1.

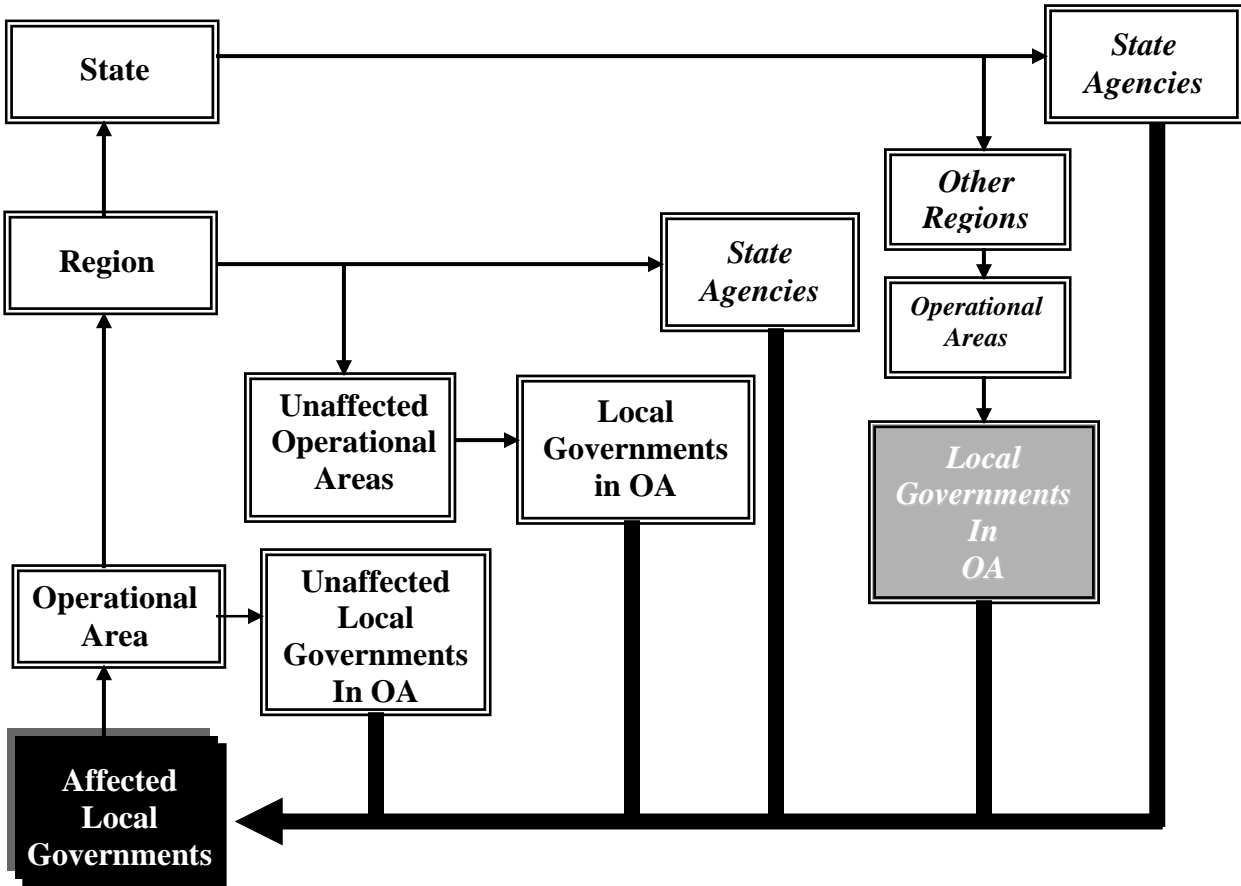
#### Mutual Aid Regions

Mutual aid regions are established under the Emergency Services Act by the Governor, who with the advise of the State's Emergency Council is authorized to divide the state into mutual aid regions for the more effective application, administration, and coordination of mutual aid and other emergency related activities. Six mutual aid regions numbered I - VI have been established within California for purposes of coordinating mutual aid between operational areas in the region. Region I is divided into two Regions, Region I and Region IA for Law Enforcement Mutual Aid.

Each mutual aid region consists of designated counties. State OES has also established three Administrative Regions, which will be discussed below. Mutual Aid and OES Administrative Regions are shown in Exhibit E-2.

Exhibit E-1

**Mutual Aid System Concept:  
General Flow of Requests and Resources**



← Resource Requests

OA - Operational Area

Notes: Local governments may request mutual aid directly from other local governments where local agreements exist.

Discipline-specific mutual aid systems may have procedures that provides additional methods of obtaining state resources.

Volunteer and private agencies may be involved at each level.



Exhibit E-2



Mutual Aid Systems

Several discipline specific mutual aid systems function within the California mutual aid regional framework. With the exception of disaster medical/health, all mutual aid systems are coordinated at the state level by the Governor's Office of Emergency Services (OES). OES coordinates all mutual aid through three independent networks or channels: Emergency Services, Fire and Rescue, and Law Enforcement.

Established mutual aid systems and their state level coordination authority are shown below.

Exhibit E-3

**California Mutual Aid Program  
Mutual Aid Systems and Channels of Statewide Mutual Aid Coordination**

COORDINATED BY STATE OES			COORDINATED BY EMSA
Fire & Rescue	Law Enforcement	Emergency Services	
Fire Mutual Aid System	Coroners Mutual Aid System	All other emergency services mutual aid not included in other systems.	Disaster Medical/Health Mutual Aid System
Urban Search and Rescue System	Law Enforcement Mutual Aid System	Volunteer Engineers Mutual Aid System <sup>1</sup>	
	Search and Rescue Mutual Aid System (non urban)	Emergency Managers Mutual Aid System	
		Water Agency Response Network (WARN)	

<sup>1</sup>Mutual Aid concepts are used by other agencies and disciplines

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

Several other mutual aid systems are being developed. Although some are in limited operations, statewide procedures for their operation are not yet in effect. When fully operational, they will be coordinated by State OES through the emergency services coordination network or through specific disciplines.

Each of the statewide mutual aid systems may supply its own facilities, communications systems, operating procedures and personnel structure. In some cases, the personnel who operate the mutual aid systems at the regional level are elected and may be representatives of other state agencies, non-state agencies and/or the private sector.

## **B. OES Administrative Regions**

The OES Administrative Region serves as general coordinator and exchanges information with mutual aid regions and mutual aid systems that operate within the boundaries of the Administrative Region. OES has established three Administrative Regions: Coastal, Inland, and Southern. As shown in Exhibit E-2, OES Administrative Regions will have common boundaries with one or more mutual aid regions.

OES Administrative Regions are used by State OES to maintain day-to-day contact with emergency services organizations at local, county, and private sector levels. An OES Regional Administrator and support staff will function at an Administrative Region headquarters.

The OES Administrative Region is responsible for providing:

- General planning and preparedness assistance to jurisdictions within the mutual aid region(s).
- Respond to resource requests from operational areas including the tasking of State agencies and tracking of State resources.
- Emergency services mutual aid coordination for public works.
- Emergency Managers Mutual Aid
- Coordination for other resources and support not included in other discipline-specific mutual aid systems.

The Region also assists in the coordination and monitoring of regional disaster recovery operations.

During an emergency, the regional coordination function for a discipline-specific mutual aid system may function at a facility operated by the affected discipline for example, fire, law, or disaster medical/health. Coordination of other mutual aid will be done from within the OES Administrative Region Emergency Operations Center (REOC).

During emergencies, OES may establish additional regional coordination facilities within mutual aid regions. These facilities would be located near the scene of disasters or major incidents, and would be connected to an Administrative Region REOC.

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## 2. SEMS Regional Guidelines

Agencies, which provide regional coordination of mutual aid and operate the various mutual aid systems within the state are required to use SEMS at the regional level.

When the OES Regional EOC (REOC) is activated, communications and coordination shall be established with:

- Operational areas within the region
- State level EOC
- Regional facilities responsible for discipline-specific mutual aid systems
- OES coordinating and support facilities established near disaster scenes
- Department operation centers (DOCs) of state agencies located within the boundaries of the OES Administrative Region

The latter could include DOCs which function as regional mutual aid system coordinators, (e.g., CDF) as well as state agency "regional" operations centers for CalTrans Districts, CHP Divisions, etc.

Boundaries of state agency districts, divisions, and regions may not correspond to those of the State's mutual aid regions.

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### 3. Responsibilities and Roles of OES

#### Regional EOCs

#### Responsibilities

Regional emergency operations centers (REOCs) when activated are responsible for:

- Ensure that an overall coordinating and information management system is in place for providing state support to local governments during an emergency. During emergencies, this is done by working through operational areas.
- Provide an organizational structure and the necessary communications to coordinate, and to provide information transfer between regional affected operational areas within the region.
- Provide the communications and coordination link between operational areas and the state level of SEMS.
- Ensure and encourage consistency of operations between state agencies and local governments through the utilizations of SEMS.

#### Operational Role

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

- Act as the State's primary point of contact for operational areas within the region
- Coordinate the regional response to disasters including collection, verification and evaluation of situation information and, for all resources dispatched through the Emergency Services Mutual Aid System, the allocation of available resources
- Coordinate mutual aid requests for emergency services between operational areas within the region. (This includes the direct coordination of all mutual aid requests other than that provided through established discipline-specific systems such as the Disaster Medical/Health, Law Enforcement, and Fire and Rescue Mutual Aid Systems).
- Maintain liaison and coordination with OES Headquarters, and with state and federal agencies within the region as required.

- Provide assistance operational areas through appropriate systems to support the protection and saving of life and property during emergencies.
- Assist operational areas in beginning recovery operations following disasters
- Assist and guide operational areas in all phases of emergency management
- Receive and disseminate emergency alerts and warnings

**Purchasing Authority,  
Procurement Policy and Mission  
Numbers**

Once an emergency has been declared, purchasing and mission number assignment authority will be delegated to the appropriate OES Administrative Region (REOC). OES headquarters will establish the conditions under which authority will be delegated. The Regional Administrator (REOC Director) may delegate purchasing authority to the REOC Finance/Administration Section, and delegate mission number assignments to the Logistics Section.

During life threatening or other time critical emergencies, resources will be procured from the closest available source(s). Unless otherwise defined by OES policy, in those situations where time is not of the essence, or life is not threatened, resources will be procured using the priority outlined below:

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

**Information Transfer**

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

1. There is freedom within the organization to exchange information. Any person in any unit or organization may make contact with any other person to exchange information.
2. Orders, directives, resource requests, and status changes must follow the REOC organization unless otherwise indicated in the REOC Action Plan.

**4. Activating the Regional EOC (REOC)**

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

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

The Region should anticipate the activation of the operational area(s) and activate the REOC as soon as practical. The Regional Administrator will maintain procedures for activating and staffing the REOC at levels appropriate to the situation. These procedures will be made available to the operational areas within the region. Representatives from the OES REOC will be sent as part of the activation process to activated operational area EOCs when possible.

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

The REOC Director and all other emergency management staff with the exception of the field liaison team(s) shall carry out their duties at the REOC location. (See REOC Plan and Standard Operating Procedures.)

Regions should establish levels of activation based on the kinds of events identified within a regional hazards assessment. Positions to be automatically activated for each level could then be delegated.

Three levels of activation are recommended.

**Level One - Minimum**

At a minimum, staffing would consist of Regional Administrator and regional Duty Officer. Other members of the General Staff may also be part of this level of activation as could be a Situation Status and Analysis Unit from the Planning Section and a Communications Unit

from the Logistics Section. If possible, an OES Agency Representative should be sent to the operational area that has experienced the emergency. If the situation is a prediction of a possible event, OES representatives should be alerted as a part of the Level one activation.

#### Level Two - Midlevel Activation

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

#### Level Three - Full Activation

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

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## 5. Regional EOC (REOC) Organization

### Organization Development

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

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

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

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

The public information function should be established at a section or branch level in the REOC to allow the capability for later activation of sub-elements within the function. It is recommended that Public Information and Liaison



positions once activated, be added to the REOC General Staff.

Primary functional responsibility includes the following:

- REOC Director (Management) - Implements policy of the OES Director and appropriate government code, and coordinates joint efforts of governmental agencies and public and private organizations functioning at the REOC.
- Operations Section - Coordinates the activities of various functional branches, which may be activated at the REOC to support operational areas.
- Planning/Intelligence Section - Collects, evaluates, and disseminates information; develops the REOC action plan in coordination with the other functions, and maintains documentation.
- Logistics Section - Procures and provides facilities, services, personnel, equipment, and materials to meet the needs of operational area requests and to support REOC operations.
- Finance/Administration Section - Administers regional level purchasing authority, cost accounting and other financial activities and administrative tasks not assigned to other functions.
- Public Information - Develops regional level State public information releases, and coordinates public information and public affairs activities with the State EPI manager at the SOC.
- Liaison - Provides coordination, and ensures adequate support is provided to incoming operational area and other agency representatives. Liaison will also assist the REOC Director in coordinating the assignment of regional field liaison teams sent to operational areas and/or other locations as necessary.

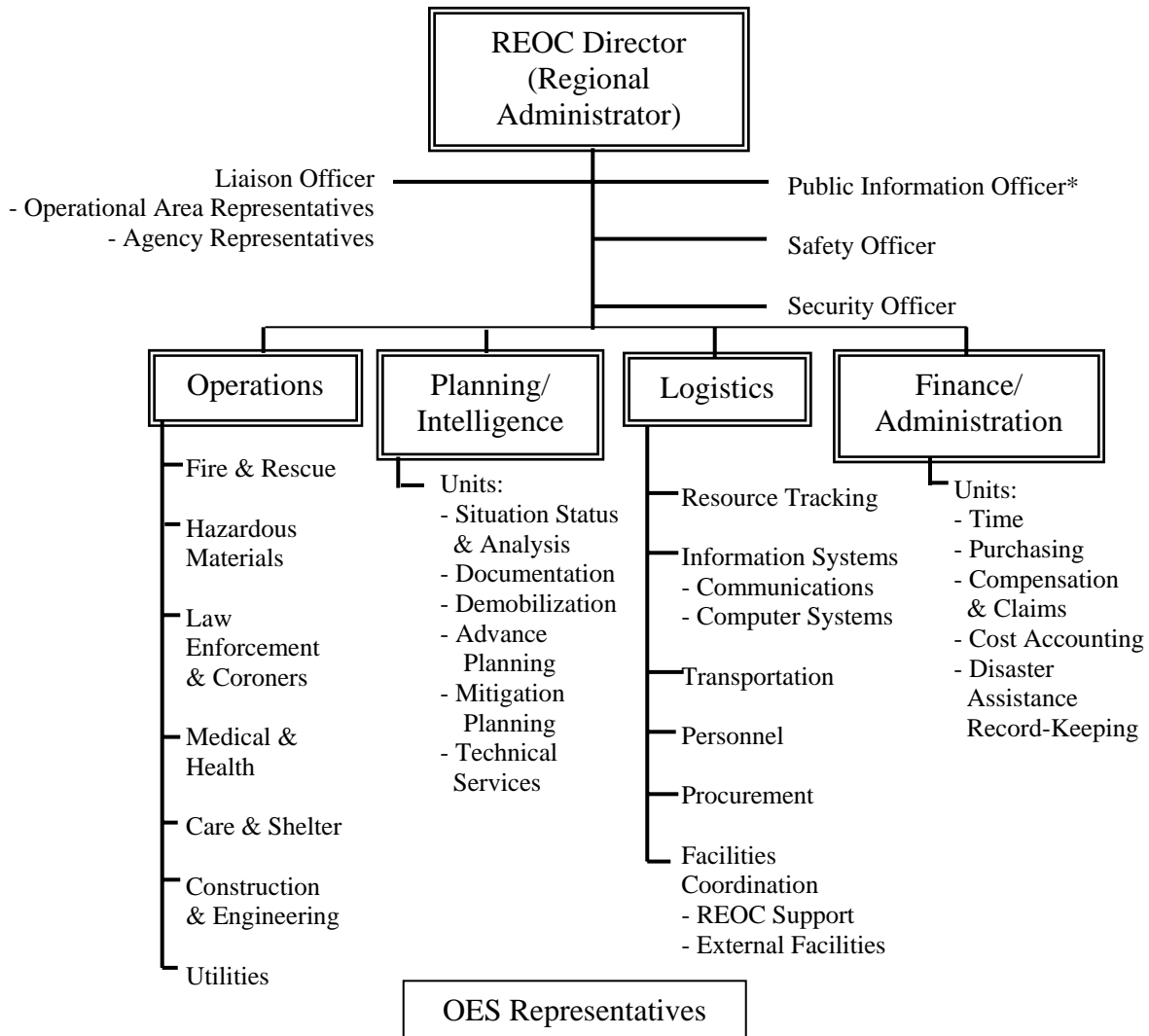
Section Coordinators constitute the REOC General Staff. The REOC Director and General Staff function as a REOC management team. If Liaison and Public Information functions are not established, the responsibility for those functions rests with the REOC Director.

All functions must be capable of being represented in the REOC. However, there is no requirement that all functional positions be activated. The only organizational position that would require activation at the regional level would be the REOC Director. The REOC Director is

responsible for all primary and support functions until he/she delegates the authority to others.  
 A fully activated REOC organization is shown in Exhibit E-4.

Exhibit E-4

**REOC Organization**



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

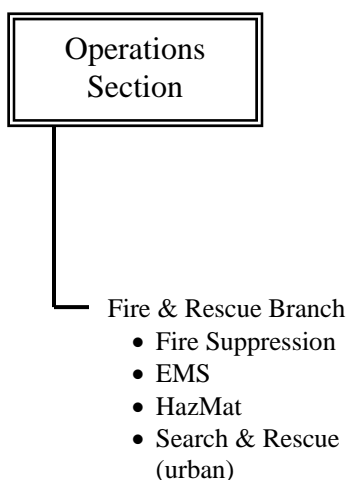
\* Public Information functions may be organized through use of assistant information officers or as units if necessary.

Functions may be organized within the REOC organization in various ways as shown in Exhibit E-5.

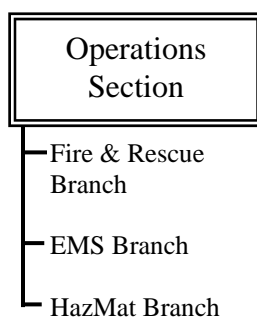
Exhibit E-5

**Example**  
**Alternative Ways to Incorporate Functions**  
**Into the REOC Organization**

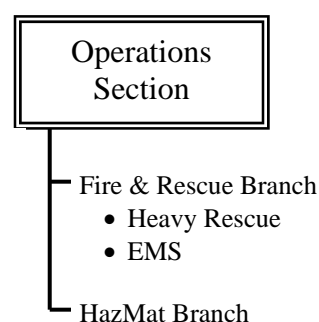
**Alternative A**



**Alternative B**



**Alternative C**



**Organizational Span-of -Control**

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

- Director
- Section
- Branch
- Group
- Unit

Personnel supervising REOC Sections will carry the position title of Section Coordinator. The title of Coordinator will be used for other position levels unless otherwise designated.

The span-of-control within the Regional EOC organization should be maintained within the range of one supervisor for every three to seven positions. If the span-of-control

exceeds seven, activation of another organizational level (e.g., Branch, Group or Unit) should be considered. Consideration should be given to deactivating or consolidating organizational elements if the span-of-control is less than three.

Not all positions in the organization need to be activated at the time of regional EOC activation. For example, a section does not have to be activated before activating a specific branch. Functional need and span-of-control are the primary considerations in organization development.

The next highest organizational level will perform the duties of functional positions not activated. One person may assume more than one functional assignment when necessary.

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## **6. Regional EOC Staffing**

The OES Regional Administrator will determine appropriate staffing at the REOC for each activation level based upon assessment of the situation. REOC positions should be staffed by available individuals most qualified to perform the necessary function. Primary staff positions may be filled by individuals from other State agencies. Sub positions within the organization will be filled by qualified personnel independent of rank or agency affiliation.

It is recommended that staffing for full activation of the REOC should use predesignated State Inter-Agency Response Teams. Teams will operate on a rotating "on-call" basis. Team composition will be established within Regional operating plans. Teams and other supporting personnel may consist of personnel from the following sources:

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

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## **7. Coordination with the Operational Area**

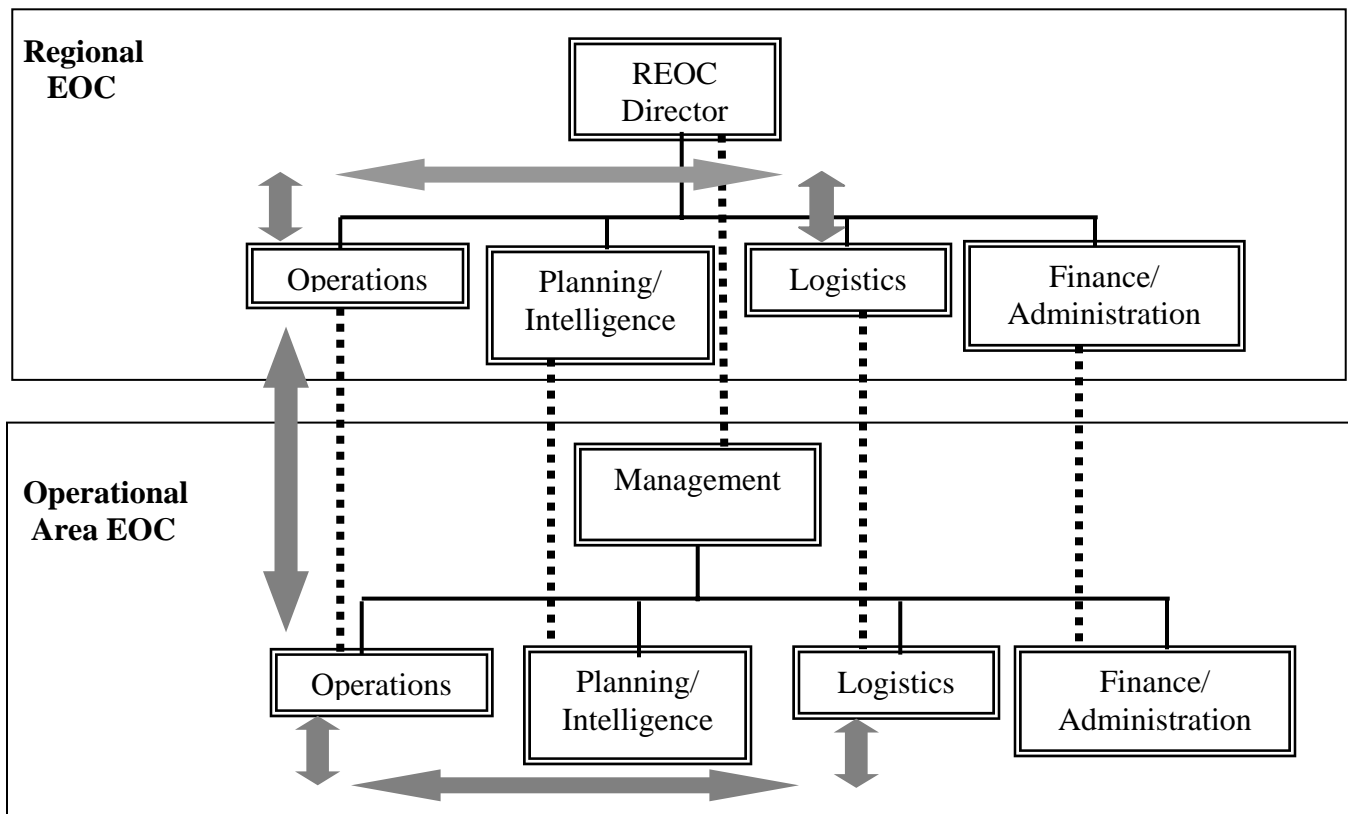
Regional coordination with operational areas can take several forms:

- The REOC sends OES Agency Representatives to the operational area(s)
- Coordination is done through telecommunications systems (telephone, radio, RIMS, OASIS Satellite).
- The operational area sends Agency liaison representatives to the REOC.

Coordination and communications between a REOC and an operational area EOC will be primarily along functional lines as illustrated in Exhibit E-6.

Exhibit E-6

**Operational Area EOC - Regional EOC  
Primary Interactions**



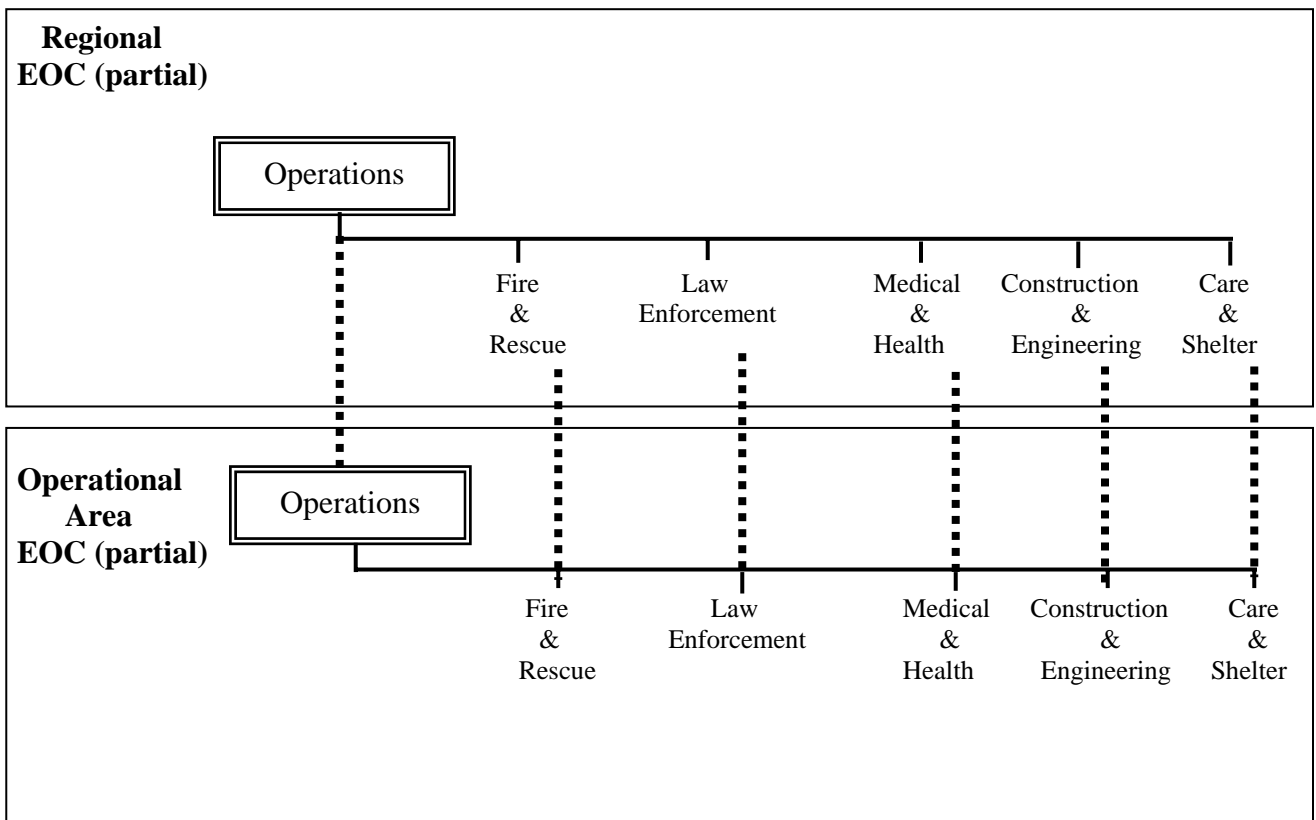
- Lines of management authority and internal coordination
- ..... Primary lines of communication and coordination between levels
- ↔ Primary interactions for priority resource allocation for resources coordinated through the operational area EOC and REOC. Coordination must also be established with Operational Area and Regional Mutual Aid Coordinators.

Agency Representatives will also facilitate communications and coordination as available and needed.

Coordination and communications will occur between the five SEMS functions at the operational area level and their counterparts at the regional level. Coordination of resource requests should be done in accordance with agency policy. This requires close communications and coordination between the operations and logistics functions at both the local government and operational area levels. This relationship is vital particularly when there are multiple requests for similar resources or when resources are scarce.

Exhibit E-7

**Example**  
**Operational Area EOC - Regional EOC**  
**Functional Interactions within a SEMS Function**



..... Lines of communication and coordination

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

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

In addition, coordination and communications may occur between organizational elements under a SEMS function and counterpart elements at the other level as illustrated in Exhibit E-7.

The REOC OES Agency Representative assigned to the operational area assumes an information and coordination role to ensure effective communication is taking place between functional elements. Agency Representatives do not replace or perform roles assigned to functional elements.

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**8. Coordination and Communication with Established Mutual Aid System Regional Coordinators**

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

1. REOC and other regional mutual aid coordinators exchange information as required but are not located at the same REOC.
2. Mutual Aid Systems send liaison representatives to the REOC. This assures a closer working relationship.
3. Mutual aid coordination is centralized at the REOC with functional branches established for some mutual aid coordination.

The modes of interaction between the REOC and mutual aid coordinators are shown in Exhibit E-8.

There is no directive mandating which node of operation will be carried out at the time of an emergency. Maintaining close coordination with established mutual aid systems is an essential requirement at the REOC. All discipline-specific mutual aid systems which are not functioning from within the REOC have a responsibility to ensure that the REOC is fully informed on all matters regarding mutual aid operations. The best mode of operation should be determined by an agreement between the REOC Director and the Regional Mutual Aid Coordinator(s). In major disasters, mutual aid systems should have representatives at the REOC to facilitate coordination and information flow.

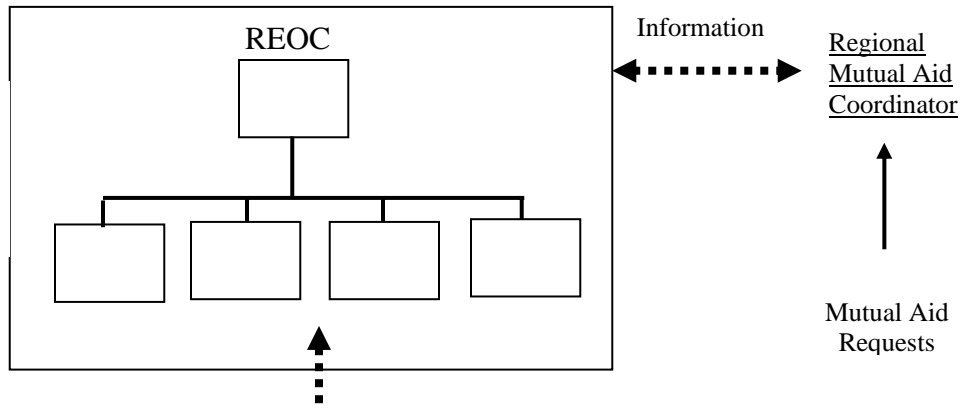
Exhibit E-8

**Concept of REOC and Discipline-Specific Mutual Aid System Relationships**

**Mode of Interaction**

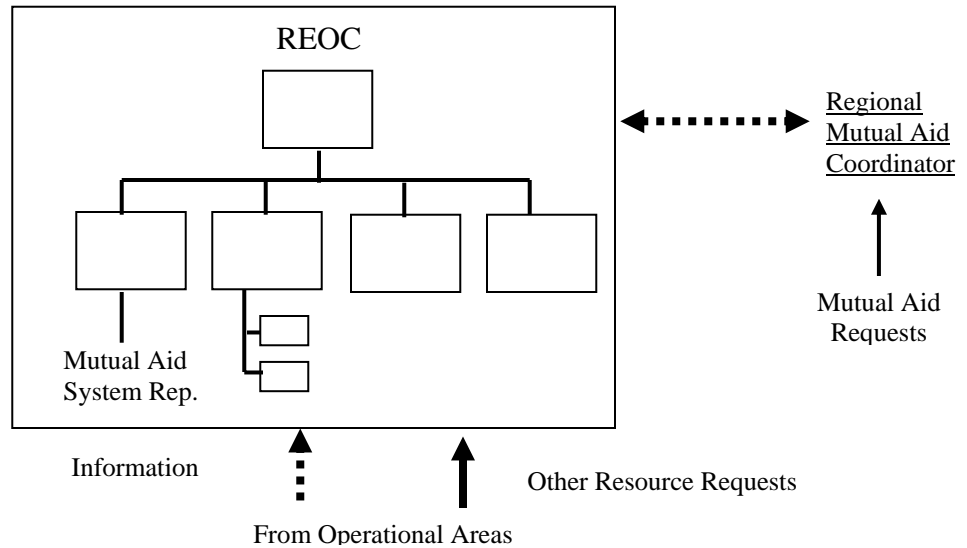
Monitoring

REOC and Regional Mutual Aid Coordinators exchange information.



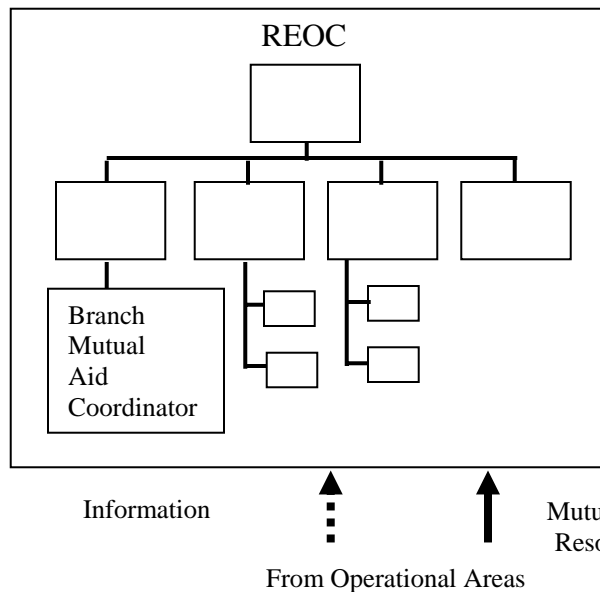
Decentralized Mutual Aid Coordination

Liaison Representative for Mutual Aid System at REOC



Centralized Mutual Aid Coordination

Regional Mutual Aid Coordinator is Branch Coordinator or is located in branch



(Note: Some Mutual Aid Systems may remain in decentralized mode with REOC while others are in centralized mode.)



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

---

**9. Coordination at the State Level**

Response coordination with mutual aid regions and operational areas will be maintained at the State OES Regional Emergency Operations Center (REOC) level whenever possible.

The State Operations Center (SOC) will ensure that all state and regional elements of the State's Standardized Emergency Management System are activated as the emergency situation requires, and are maintained at the level necessary for the response. The SOC will function as the state's initial response entity until the appropriate REOCs can be activated and assume local management of their operational response functions.

The state level will have an overall coordination role with REOCs in the event of simultaneous multi-regional disasters such as earthquakes, fires or floods. In this situation, the SOC will provide inter-regional policy direction and coordination for emergencies involving more than one REOC activation. The SOC will monitor and facilitate inter-regional communications and coordination issues.

The REOC will prepare regional Situation Reports and forward these to the SOC. The SOC will compile, validate, and provide summary disaster status information obtained from all sources, in the form of Situations Reports, to the Governor's office, the legislature, state agency headquarters, media and others as appropriate.

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**10. Regional, State and Federal Interactions**

The REOC is the primary point of contact within SEMS for operational areas to communicate information and to request resources from the State. The REOC must be

immediately able to respond to operational area requests. In some instances, joint State-Federal interaction will be necessary. This interaction is best accomplished by the SOC and REOC working closely with Federal counterpart liaisons.

The following chart, Exhibit E-9, provides a cross reference which associates SEMS REOC functions with the corresponding Emergency Support Functions as defined in the Federal Response Plan.

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

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

The FRP employs a functional approach that groups Federal capabilities under 15 types of Emergency Support Functions (ESFs); types of direct Federal Assistance that a state is most likely to need (e.g., mass care, health and medical services, etc.), as well as the kinds of Federal Operations support necessary to sustain Federal response actions (e.g., transportation, communications). ESFs are expected to support one another in carrying out their respective missions. Federal response assistance required under the FRP is provided using some or all of the ESFs as necessary. Federal ESFs are designated to supplement state and local activities.

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

fire, rescue and emergency medical responders arriving on scene are integrated into the local ICS structure.

Exhibit E-9

<b>REOC Elements (partial list)</b>	<b>Federal Emergency Support Functions</b>
<b>Operations</b>	
Fire & Rescue	<p><u>Firefighting (ESF 4)</u> - <b>Primary Agency:</b> Dept. of Agriculture, Forest Service. <b>Supporting:</b> Depts. of Commerce, Defense, Interior, Environmental Protection, and FEMA.</p> <p><u>Urban Search and Rescue (ESF 9)</u> - <b>Primary:</b> FEMA. <b>Supporting:</b> Depts. of Agriculture, Defense, Health &amp; Human Services, Interior, Justice, Labor, State, Agency for International Development, National Aeronautics &amp; Space Administration.</p>
Hazardous Materials	<p><u>Hazardous Materials (ESF 10)</u> - <b>Primary:</b> Environmental Protection Agency. <b>Supporting:</b> U.S. Coast Guard, Depts. of Agriculture, Commerce, Defense, Energy, Health &amp; Human Services, Interior, Justice, Labor, State, Transportation, Nuclear Regulatory Commission.</p>
Health & Medical	<p><u>Health &amp; Medical Services (ESF 8)</u> - <b>Primary:</b> Dept. of Health &amp; Human Services. <b>Supporting:</b> Depts. of Agriculture, Defense, Energy, Justice, Transportation, Veterans Affairs, Agency for International Development, American Red Cross, Environmental Protection Agency, General Services Admin., National Communications System, U.S. Postal Service, FEMA.</p>
Construction & Engineering	<p><u>Public Works &amp; Engineering (ESF 3)</u> - <b>Primary:</b> Dept. of Defense, U.S. Army Corps of Engineers. <b>Supporting:</b> Depts. of Agriculture, Commerce, Health &amp; Human Services, Interior, Labor, Veterans Affairs, Environmental Protection Agency, Tennessee Valley Authority.</p>
Utilities	<p><u>Energy (ESF 12)</u> - <b>Primary:</b> Dept. of Energy. <b>Supporting:</b> Depts. of Agriculture, Defense, Interior, State, Transportation, National Communications System, Nuclear Regulatory Commission, Tennessee Valley Authority.</p>
<b>Planning/Intelligence</b>	<p><u>Information &amp; Planning (ESF 5)</u> - <b>Primary:</b></p>

	FEMA. <b>Supporting:</b> Depts. of Agriculture, Commerce, Defense, Education, Energy, Health & Human Services, Interior, Justice, Transportation, Treasury, Environmental Protection Agency, General Services Admin., National Aeronautics & Space Administration, National Communications System, Nuclear Regulatory Commission, Small Business Administration, Civil Air Patrol, Voluntary Organizations.
<b>Logistics</b>	
Information Systems Communications	<u>Communications (ESF 2)</u> - <b>Primary:</b> National Communications System. <b>Supporting:</b> Depts. of Agriculture, Commerce, Defense, Interior, Federal Communications Commission, General Services Administration, FEMA.
Transportation	<u>Transportation (ESF 1)</u> - <b>Primary:</b> Dept. of Transportation. <b>Supporting:</b> Depts. of Agriculture, Defense, State, Treasury, General Services Administration, Tennessee Valley Authority, U.S. Postal Service, FEMA.
Personnel Procurement	<u>Resource Support (ESF 7)</u> - <b>Primary:</b> General Services Administration. <b>Supporting:</b> Depts. of Agriculture, Commerce, Defense, Energy, Labor, Transportation, Treasury, Veterans Affairs, National Aeronautic & Space Administration, National Communications System, Office of Personnel Management, FEMA.

**11. Multi-agency or Inter-agency Coordination at the Regional Level**

Multi-agency or Inter-agency coordination as identified in the SEMS regulations has been shortened here to be consistent with the Approved Course of Instruction to Inter-agency coordination. Inter-agency coordination is an integral part of both the REOC organization and the procedures, which function within the REOC. The REOC General Staff will serve as the primary group responsible for development of REOC Action Plans, and be a member of any inter-agency coordination group.

The REOC Director may convene meetings of personnel needed for inter agency coordination purposes. The meetings can be at the General Staff, section or branch level and include other agencies. Subject areas and discussion issues will determine the participants.

An ad-hoc task force may also be used as an effective application of inter-agency coordination to solve specific

problems. The REOC Director would assign key personnel from various functional area or disciplines to work together on the task force.

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**12. Action Planning at the REOC Level**

Action planning at the REOC, is based around an operational period. The length of the operational area period is determined by first establishing a set of objectives and priority actions that must be performed. A reasonable time frame for accomplishing those actions is then established. The actions requiring the longest time period generally will define the length of the operational period. Typically, operational periods at the beginning of an emergency are short, sometimes only a few hours. As the emergency progresses, operational periods may be longer, but should not exceed twenty-four hours.

The initial REOC Action Plan may be a verbal plan established in the first hour after EOC activation. It is usually prepared by the REOC Director and the general staff. Subsequent plans should be in writing and follow an established format.

REOC action planning need not be a complex process. The Action Plan should generally cover the following elements:

1. Operational Period Designation - (The time frame within which the action plan will be in effect)
2. Statement of current priorities
3. Listing of objectives to be accomplished (should address the priorities and be measurable in some way)
4. Statement of strategy to achieve the objectives (Identify if there is more than one way to accomplish the objective, and which method is preferred)
5. Assignments necessary to implement the strategy
6. Organizational elements to be activated to support the assignments (Also may list organizational elements that will be deactivated during or at the end of the period)
7. Logistical or other technical support required

A more detailed discussion of Action Planning is covered in Guidelines Part III, Supporting Documentation. Action Planning is also covered in more detail in the EOC Level Approved Course of Instruction (ACI).

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**13. Response Information Management System (RIMS) at the Region**

The Response Information Management System (RIMS) is an Internet based computer system used for communicating critical emergency information, requesting and monitoring resource requests from the operational areas EOCs to the REOC. Standard forms allow for rapid information gathering and reporting. Resource requests are facilitated through standard resource request forms that enables tracking and monitoring of requests. All operational areas are connected to their respective REOC through RIMS. RIMS is the primary means for tracking emergency information and resource requests.

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**14. Role of the Operational Area Satellite Information System (OASIS) at the Region**

The Operational Area Satellite Information System (OASIS) is a satellite based communications system with a high frequency radio backup. OASIS provides the capability to rapidly transfer a wide variety of information reports between OASIS user agencies. OASIS can be viewed as both a communications network and information dissemination system linking three of the five SEMS organizational levels.

OASIS can be utilized as a primary communications system when other modes are impacted or as a backup to existing systems. OASIS Users include, OES State Headquarters, OES Regions and all State operational areas. The intent of OASIS is to provide disaster-proof communications between the operational areas, state OES Regions, OES Headquarters and mobile state telecommunications units. The communications component of OASIS does not extent into the local government level of SEMS. However, RIMS forms can be transmitted through the different SEMS levels with OASIS.

The communications components to the system include a satellite system in each county operational area linked to selected state, federal and local agencies. OASIS provides voice lines as well as data. OASIS also includes a high frequency radio backup system between selected facilities.

## Part I. System Description

### Section F

## State Level

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### **1. Role of the State Level in SEMS**

The state is one of the five designated levels in the SEMS organization. The state level manages state resources in response to the emergency needs of other levels; manages and coordinates mutual aid among mutual aid regions, and between the regional level and state level, and serves as the coordination and communications like with the federal disaster response system.

Operations of the state level under SEMS are conducted from the State Operations Center (SOC) and are under the management of the Governor's Office of Emergency Services (OES).

Other state agencies having an emergency response role must also operate under SEMS. Several of these agencies maintain separate operations centers at the headquarters level, which are used during periods of emergency response. Under SEMS, these would be classified as Department Operating Centers (DOCs). A DOC is an EOC used by a distinct discipline, and may be used at all SEMS levels above the field response level. The State's Operations Center (SOC) and State agency DOCs must provide for the primary SEMS functions of management, operations, planning/intelligence, logistics and finance/administration.

DOCs of state agencies may, during an emergency be in direct contact with their own field and/or regional operations centers, with OES REOCs, and with the SOC.

**A. General Concept of Operations** Under SEMS, every effort is made to concentrate emergency response functions at the lowest level, which will ensure operational effectiveness. Wherever possible, direct State response coordination with mutual aid regions and operational areas will be maintained at the State OES Regional Emergency Operations Center (REOC) level.

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

**B. Major Responsibilities of the State Operations Center (SOC)**

1. Ensure that all State and Regional response elements of the State's Standardized Emergency Management System (SEMS) are activated, as the emergency situation requires, function effectively, and are maintained at the level necessary for the response.
2. Support the Regions, state agencies, and other entities in establishing short-term recovery operations following disasters.

**C. Primary Response Functions of the State Operations Center**

1. Act as overall state coordinator in the event of simultaneous multi-regional disasters such as earthquakes, fires, or floods. In this situation, provide inter-regional policy direction and coordination for emergencies involving more than one REOC activation. Monitor and facilitate inter-regional communications and coordination issues.
2. Compile, authenticate, and make available summary disaster status information obtained from all sources, in the form of Situation Reports to the Governor's office, the legislature, state agency headquarters, media and others as appropriate.
3. Act as the state's initial response entity until the appropriate REOCs are activated as assume local management of their operational response functions. Maintain control and status of mission numbers and purchasing authority until these functions are assumed by the REOC in the affected area.
4. Provide on-going inter-agency coordination with the DOC headquarters of all state agencies involved in the response effort to ensure adequate statewide mobilization and allocation of state assets. This is typically accomplished through state Agency Representatives assigned to the SOC.



5. Provide necessary coordination with and between established statewide mutual aid systems at the state headquarters level.
6. Manage the state's Emergency Public Information program.
7. Provide and maintain state headquarters linkage and inter-agency coordination with the Federal Response System. This includes requesting appropriate assignments of federal ESFs at both the SOC and REOC to ensure maximum effectiveness.
8. Assist in the planning for short-term recovery, and assist State agencies, and REOCs in developing and coordinating recovery action plans.

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## 2. Organization of the SOC

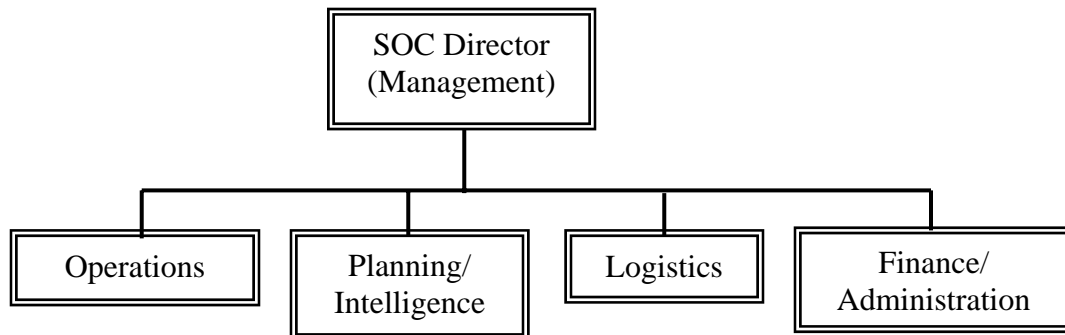
The SOC will be organized around the five primary SEMS functions of:

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

Under the SEMS Regulations Section 2403(c), these five functions must be provided for at the state level.

The organizational structure is shown below:

Exhibit F-1



The SOC organization will mirror the emergency management organization established at REOCs unless extenuating circumstances exist.

Under SEMS, only those functional elements that are needed are activated at the SOC. Duties of functions not activated will be done by the next higher level in the organization.

Primary functional responsibility is as follows:

- SOC Director (Management) - Implements the policy of the OES Director and appropriate government code. Coordinates the joint efforts of governmental agencies and public and private organizations functioning at the state level.
- Operations Section - Coordinates the activities of various functional branches which may be activated at the SOC, which have an operational response role to support REOCs.
- Planning/Intelligence Section - Collects, evaluates, and disseminates information; develops the state level Situation Report, develops the SOC Action Plan in coordination with the other functions, and maintains documentation.
- Logistics Section - Procures and provides facilities, services, personnel, equipment, and materials to meet the needs of REOC requests to the SOC and to support SOC and REOC logistic activities.
- Finance/Administration - Administers SOC and State regional level purchasing authority, cost accounting and other financial activities and administrative tasks not assigned to other functions.
- Public Information Officer - Manages the state's Joint Information Center (JIC), and coordinates public information and public affairs activities between involved agencies through the Joint Information System (JIS).
- Liaison Officer - Ensures that SOC coordination, and support is provided to incoming State, Federal and other agency representatives.

Section Coordinators constitute the SOC General Staff. The SOC Director and General Staff function as a REOC management team. If the Liaison and JIC functions are not established, the responsibility for those functions rests with the SOC Director.

The functions proposed for the SOC will define the organizational elements required to perform the functions.

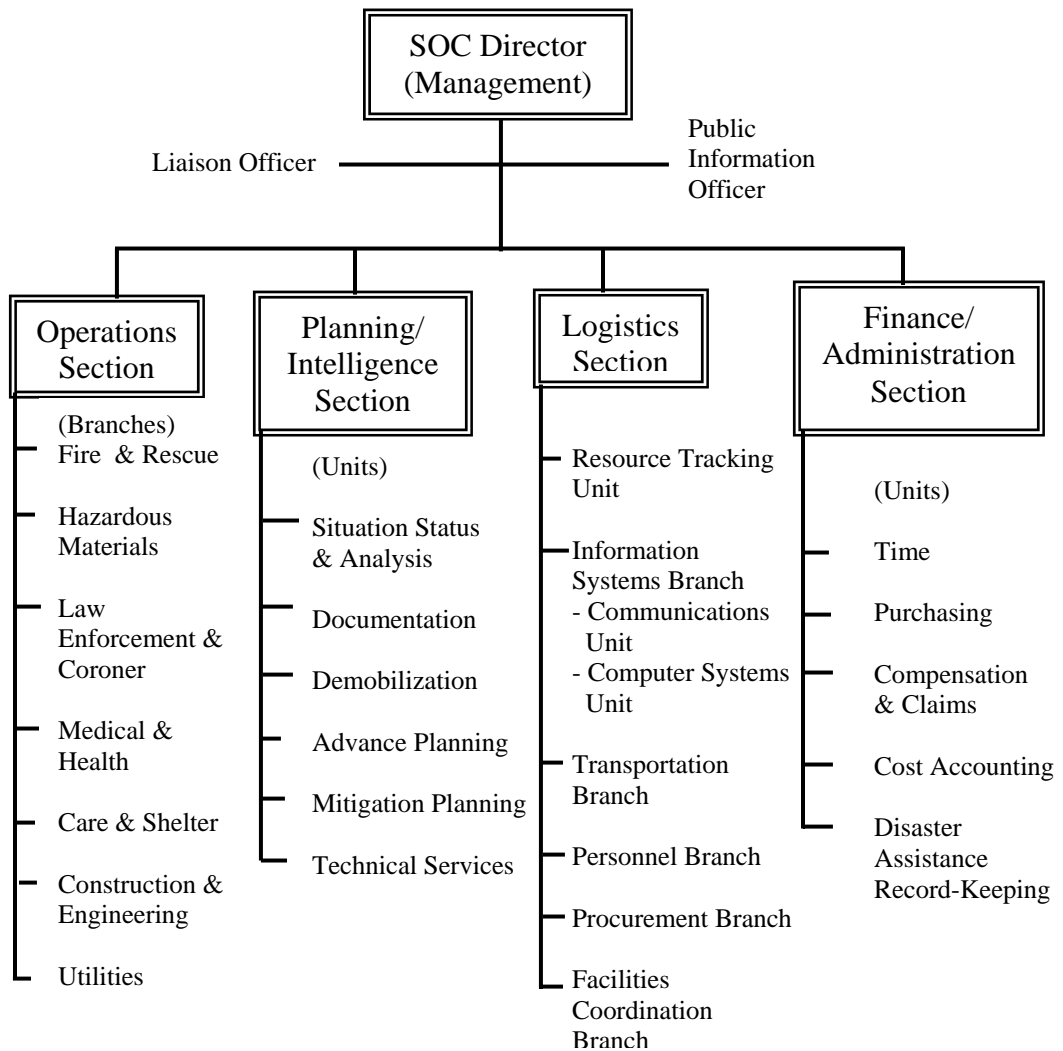
While it is desirable to have organizational consistency between the SOC, Region, and other SEMS levels, the primary organizational consideration should be centered on functional need.

All functions must be capable of being represented in the SOC. However, there is no requirement that all functional positions be activated.

A fully activated SOC EOC organization is shown in Exhibit F-2.

Exhibit F-2

**SOC Organization**



**Organizational Span-of-Control** The SOC organization will expand (or contract) as necessary to meet the operational requirement. The hierarchies of organizational elements that can be developed as needed within the EOC organization are:

- Director
- Section
- Branch
- Group
- Unit

Personnel supervising SOC Sections will carry a position title of Section Coordinator. The title of coordinator will be used at other organizational levels unless otherwise designated.

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

Not all positions in the organization need to be activated at the time of an SOC activation. For example, a branch may be activated without first activating the section which contains the branch. Functional need and span-of-control are the primary considerations in organization development. Also, one person may assume more than one functional assignment at a given time. For Example, one person may be simultaneously in charge of two logistics units. It is not recommended that units be combined as this may create confusion and internal staffing problems if they are to be separated at a later time.

Functions at the SOC will be dictated by the needs of the event and the requirements for interactions with the involved REOC(s) and Federal Emergency Support Functions (ESFs). As expressed in the concept of operations, the primary State involvement will be directed at the Regional Level.

---

**3. Activation of the State Operations Center (SOC)**

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

- A Regional Level EOC (REOC) is activated
- The governor's proclamation of a state of emergency
- The governor's proclamation of an earthquake or volcanic prediction

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

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

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

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

Three levels of activation are recommended at the State SOC.

Level One - Minimum Activation

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

Level One Activation:

- SOC Director (required)

- General Staff (Operations, Planning/Intelligence, Logistics, Finance/Administration)
- Situation Status and Analysis Unit
- Communications Unit

Level Two - Mid Level Activation

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

Level Three - Full Activation

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

---

**4. SOC Staffing**

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

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

It is recommended that staffing for full activations of the SOC should use predestinated State Inter-agency Response Teams. Teams will operate on a rotating "on-call" basis. Team composition will be established in State SOC operating plans. Teams and other supporting personnel may consist of personnel from the following sources:

- OES Headquarters
- Unaffected OES Regions

- Other State Agencies
- Emergency Managers Mutual Aid Responders

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**5. Coordination with the Region**

The level of coordination required with the REOC will be determined by the type of emergency, the ability of the REOC to perform assigned functions, and the level of required interaction between the two state levels.

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

1. Prepare and release the State Situation Report.  
Information for this report will be obtained from regional situation reports, conference calls, reports from other state agencies, and information received from any other valid information sources as determined by OES. It will be the responsibility of the SOC to collect and authenticate material from all available sources, and to compile and release Situation Reports. Extensive coordination with functional elements within the REOC serving the affected area will be required as well as information received from activated but non-affected REOCs.
2. Develop state level public information announcements.  
In any major disaster which involves multiple state agencies, it is essential that there be coordination of the release of public information about the state response. Much of this information will be obtained from REOC Situation Reports, from coordination with REOC Information Sections, and from information and public affairs officers of assisting state agencies.
3. Coordinate the involvement of all activated mutual aid systems to ensure they are functioning effectively, and sharing information, and to ensure there is no resource ordering duplications taking place through the several mutual aid channels.
4. Ensure REOC-SOC coordination takes place when federal Emergency Support Functions (ESFs) are established at more than one REOC location or are required at both SOC and REOCs. Coordinate the State and Federal interactions to ensure most effective application and use of the federal response system

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**6. Multi-agency or Inter-agency Coordination at the State Level**

Multi-agency or inter-agency coordination as identified in SEMS Regulations will be referred to as inter-agency coordination to be consistent with the Approved Course of Instruction (ACI). Inter-agency coordination is an integral part of both the SOC organization and the procedures, which function within the SOC. The SOC General Staff will serve as the primary group responsible for development of SOC Action Plans and will normally be a part of any inter-agency coordination group.

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

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

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**7. State and Federal Interactions**

In the event of a Federal Disaster Declaration, FEMA ESFs activated under the *National Incident Management Systems (NIMS)* will be represented at the REOC. The REOC(s) is the primary point of contact within SEMS for operational areas to provide status information and make resource requests to the state. The REOC must be immediately able to respond to operational area requests and informational needs. In some cases, accomplishing this will require a joint state-federal interaction, which can best be accomplished if state and federal counterpart organizations are working together at the same location.



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

1. The SOC is the primary state response entity.
2. Some state coordination functions are best performed at the SOC and require federal ESF involvement.

State functional elements and counterpart Federal ESF personnel should work closely together at the same location when possible. Some state-federal functions e.g., (state) Planning/Intelligence - (federal) Information and Planning have demonstrated the desirability of a combined operation.

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## **8. Action Planning at the SOC**

Action planning at the SOC, is based around an operational period. The length of the operational period is determined by first establishing a set of priority actions that must be performed. A reasonable time frame for accomplishing those actions is then established. Actions requiring the longest time period generally will define the length of the operational period. Typically, operational periods at the beginning of an emergency are short, sometimes only a few hours. As the emergency progresses, operational periods may be longer, but usually should not exceed twenty-four hours.

There is no requirement to have similar length operational periods at SOC and REOC levels. The length of the operational period should always be determined around the time required to perform the desired objectives.

The Initial SOC Action Plan may be a verbal plan put together in the first hour after SOC activation, it is usually prepared by the SOC Director and the General Staff. Subsequent plans should be in writing, and follow an established format.

SOC action planning need not be a complex process. The Action Plan should generally cover the following elements:

- Operational Period Designation - (The time frame within which the action plan will be in effect.)
- Statement of current priorities
- Listing of objectives to be accomplished (should address the priorities and be measurable in some way).

- Statement of strategy to achieve the objectives. (Identify if there is more than one-way to accomplish the objectives, and which method is preferred.)
- Assignments necessary to implement the strategy
- Organizational elements to be activated to support the assignments. (Also may list organizational elements that will be deactivated during or at the end of the period.)
- Logistical or other technical support required

A more detailed discussion of Action Planning is covered in Guidelines Part III, Supporting Documents. Action Planning is also covered in more detail in the EOC Level of the *Approved Course of Instruction (ACI)*.

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**9. Role of the Response Information Management System (RIMS) at the SOC**

-The Response Information Management System (RIMS) is an Internet based computer system that provides emergency information exchange between the state, other state agencies, regions, operational areas and local jurisdictions. Through the use of specialized forms it provides a vehicle for requesting and tracking resources and other critical emergency information through the SEMS levels.

RIMS is the primary method of communications within SEMS.

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**10. Role of the Operational Area Satellite System (OASIS) at the SOC**

The Operational Area Satellite Information System (OASIS) is a satellite based communications system with a high frequency radio backup. OASIS provides the capability to rapidly transfer a wide variety of information reports between OASIS user agencies. OASIS can be viewed as both a communications network and information dissemination system linking three of the five SEMS organizational levels

OASIS users include, OES State Headquarters, OES Regions, all Operational Areas and several state agencies. The intent of OASIS is to provide disaster-resistant communications between the operational areas, state OES Region, OES Headquarters and mobile state telecommunications units. OASIS provides a backup for RIMS and accommodates the established RIMS forms.

The communications component of OASIS does not extend into the local government level of SEMS.

The communications components to the system include a satellite system in each county operational area, which is linked to selected state, federal and local agencies. OASIS provides voice lines as well as data. OASIS also includes a high frequency radio back-up system between selected facilities.

## Part II. Planning and Developing SEMS

### Section A

#### **Field Response Level**

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##### **1. Who should use ICS?**

All agencies with response personnel who may be involved in incidents at the field level should use the Incident Command System (ICS). SEMS regulations require local government emergency response agencies to use ICS at the field level in order to be eligible for state reimbursement of response-related personnel costs. State agencies must use ICS for field level response. Community Based Organizations and collaborative agencies that may be assisting or cooperating agencies at an incident should use ICS.

A first step in planning for SEMS at the field level is to determine which agencies and departments have field level response personnel. Some agencies respond to emergencies on a day-to-day basis. Other agencies will become involved in emergency response to major incidents, or emergencies occurring on or affecting people on the agencies' property or facilities. All such agencies should use ICS in their field response. All state and local government agencies should review their operations to determine if they have personnel who may become involved in emergencies at the field level.

Some local governments and state agencies contract for emergency response services. Agencies that contract for emergency services should ensure that their contracts include provisions for compliance with SEMS requirements.

##### **Local Government Emergency Response Agencies at the Field Level**

SEMS regulations define an emergency response agency as any organization responding to an emergency, or providing mutual aid support to such an organization, whether in the field, at the scene of an incident, or to an operations center. Local government agencies and departments that typically have personnel who may respond to emergencies in the field include, but are not limited to:

- Fire Services

- Law Enforcement
- Emergency Medical Services
- Public Works
- Street and Road
- Transportation
- Water/Wastewater
- Levee Maintenance/Flood Control
- Coroner/Medical Examiner
- Utilities
- Environmental Health
- Parks and Recreation
- School Districts

The above list is provided only as examples of agencies that may have emergency responsibilities at the field level. Other agencies may be involved occasionally in field level emergency response. It is the responsibility of local government agencies to review their operations to determine if they have emergency response personnel.

### **State Emergency Response Agencies at the Field Level**

The State Emergency Plan describes roles of state emergency response agencies. It is the primary source used to identify state agencies that may respond to emergencies at the field level. Some of these agencies are frequently involved in emergency responses, others may become involved in particular circumstances. State agencies and departments with field emergency response personnel who should use ICS, include, but are not limited to, the following agencies:

- Air Resource Control Board
- Alcoholic Beverage Control
- CALTRANS
- Conservation Corps
- Corrections
- Division of Oil and Gas (Conservation)
- Fish and Game
- Fire Marshal
- Forestry & Fire Protection
- Food and Agriculture
- General Services
- Health Services
- Highway Patrol
- Industrial Relations
- Justice
- Mental Health

- Military Department
- Office of Emergency Services
- Office of Statewide Health Planning & Development
- Parks and Recreation
- State Lands Commission
- State University
- University of California
- Water Resources
- Water Resources Control Board
- Youth Authority

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## 2. Policies and Procedures

Agencies and departments that have field response personnel should adopt policies and procedures for using ICS. The policies should be communicated clearly to all personnel who may be involved in field level response. This includes personnel who directly respond to field incidents and those who may be coordinating with field responders from a departmental operations center or an EOC.

Field manuals and standard operating procedures should be updated to reflect the use of ICS. Manuals that include ICS positions checklist should be available to field personnel. Sample ICS position descriptions are included in Guidelines Part III.

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## 3. Training

SEMS regulations require emergency response agencies to ensure that their emergency response personnel maintain minimum training competencies pursuant to the SEMS Approved Course of Instruction (ACI). An approved SEMS field level curriculum is available that provides minimum training competencies for response personnel. Minimum competencies are identified as performance objectives in the approved SEMS courses. The SEMS Approved Course of Instruction is described in Guidelines Part III. Agencies using an alternate training course should be able to demonstrate that the required competencies are being maintained.

Agencies should develop a training plan that provides training for all existing field personnel as rapidly as feasible. Agencies with large numbers of field personnel to be trained may have to establish priorities for training. First priority should generally be given to those who have

supervisory responsibilities in the field. A program should also be kept in place to train new personnel as they are hired.

Emergency response agencies should document the training provided to emergency response personnel. SEMS training documentation may be integrated with an agency's normal training documentation system. Agencies that do not currently have a training documentation system should establish a record-keeping system for SEMS training.

It is recommended that a SEMS training record-keeping system include:

- An individual training record for each person, kept either in their personnel file or in a separate training record file. The name of the course, instructor, location, and date of the course should be included in the training record.
- Maintenance of the individual training record for as long as the person is employed in a position that involves an emergency response role. Records of personnel involved in an actual emergency should be kept at least until any training compliance issues have been resolved.
- Documentation of the agency's SEMS training program including copies of the training materials used, such as, instructor syllabus, lesson plans, student notebook, exercises, and tests.

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#### **4. Exercising**

Exercises are the best method of testing plans and procedures, without experiencing an actual emergency. As soon as practical, agencies should begin using ICS in field exercises.

Agencies that routinely respond to emergencies should also conduct periodic exercises to prepare their personnel for major, non-routine incidents, such as, major hazardous materials spills, airliner crashes, building collapses, and multi-casualty incidents. Agencies that may be involved in major incidents and disasters, but do not routinely respond to emergencies, should participate in exercises to give their personnel experience in using ICS. It is particularly valuable to conduct multi-agency and multijurisdictional

exercises. Exercises may be field level exercises or may be full-scale exercise involving coordination with EOCs.

State and local government emergency response agencies should develop an exercise program that provides field level exercises periodically as needed by agency personnel. It is recommended that emergency response agencies participate in at least one field level exercise annually. This may be accomplished through participation in a full-scale exercise. Actual major incident responses may meet the annual exercise need. State agencies with large numbers of field personnel are encouraged to conduct exercises within each of their regions or districts and participate in local government agency field exercises when appropriate.

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## 5. Planning Checklist

The following planning checklist focuses on the specific SEMS items that should be considered by emergency response agencies in planning and developing the field response level. It is not intended to be an all-encompassing emergency planning checklist for emergency response agencies.

### Policies and Procedures

- Has the agency adopted policies for using ICS in field response as a part of SEMS?
- Has the policy been communicated to all emergency response personnel?
- Have field manuals and standard operating procedures been updated to incorporate ICS?
- Do field manuals for all personnel include ICS position checklists?

### Training

- Has the agency developed a training plan?
- Does the plan provide for training all existing emergency response personnel?
- Does the training plan provide for use of the state approved SEMS training curriculum? or an alternate program that provides for the same minimum training competencies?
- Have the necessary funds been budgeted to meet the training plan timetable?
- Has the agency considered joint training with other agencies to reduce costs?



- ❑ If training is provided in-house, has the agency identified qualified instructors and appropriate train-the-trainer courses for them?
- ❑ Has the agency qualified its courses for certification by POST (Commission on Peace Officer Standards and Training), State Fire Academy, or other agency as appropriate?
- ❑ Has the agency developed a method for documenting the training program including records of all personnel trained?
- ❑ Has someone been designated with responsibility to monitor the implementation of the training plan to ensure that timetables are met and quality of training is ensured?

### **Exercising**

- ❑ Has the agency developed a program for exercising on an annual or more frequent basis?
- ❑ Is the exercise program coordinated with other agencies for multi-agency or multi-jurisdictional field exercises?
- ❑ Does the exercise program provide for participation in full-scale exercises?

## Part II. Planning and Developing SEMS

### Section B

## Local Government Level

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### 1. Adopting SEMS

Local governments must use SEMS in order to be eligible for state funding of response-related personnel costs. Local governments are encouraged to adopt SEMS as official policy to facilitate its use. This may be accomplished by ordinance, resolution, or policy statement of the governing board. A formally adopted policy provides clear direction to departments and staff to meet SEMS requirements. Local governments should update existing ordinances, resolutions, or emergency plans to reflect the use of SEMS.

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### 2. Responsibility for SEMS Planning

All elements of local government with an emergency role has responsibilities for developing and using SEMS. The development of SEMS within the local government should be a cooperative effort of all departments and agencies with an emergency response role.

Lead staff responsibility for SEMS planning should be designated. This would typically be the local government/s emergency manager or emergency services coordinator. The lead staff should be responsible for:

- communicating information within the local government on SEMS requirements and guidelines,
- coordinating SEMS development among departments and agencies,
- coordinating with other local governments, the operational area, and volunteer and private agencies on development of SEMS,
- incorporating SEMS into the local government emergency plan and procedures.

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### 3. Participating in the Operational Area

An essential part of SEMS is developing an effective operational area organization and systems for coordination within the operational area. All cities should be active participants in the development of the operational area level within their respective counties. Special districts that serve

multiple jurisdictions should also participate in developing the operational area level. Guidelines Part II.C. provides information on planning and developing the operational area level.

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**4. Developing Relationships with Other Local Governments**

Cities should identify the special districts that operate or provide services within the city boundaries. The emergency role of these special districts should be determined and provisions made for coordination during emergencies.

Special districts should determine their emergency responsibilities and identify the cities and other local governments that they serve. Contacts should be made to develop arrangements for coordination in emergencies.

Local governments should also identify local Community Based Organizations and Collaboratives, and private agencies that have an emergency response role. Contacts should be made to develop arrangements for coordination in emergencies.

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**5. Incorporating SEMS into the Emergency Plan**

Local governments should include the use of SEMS in their emergency plans and procedures to be in compliance with SEMS regulations. Additions or modifications to the existing emergency plan may be needed to reflect the use of SEMS. The following are some of the items that should be included in the emergency plan:

- Statement that SEMS will be used in emergencies
- Description of the role of local government and its relationship to other SEMS levels
- Statement of participation in the operational area
- Inclusion of the five essential SEMS functions in the EOC organization
- Incorporation of SEMS features into the functioning of the EOC including management by objectives, action planning, modular organization, organizational unity and hierarchy of management, span-of-control, personnel accountability, common terminology, resource management, and integrated communications
- Provisions for use of multi-agency and inter-agency coordination
- Use of ICS at the field level

- Relationship to department operations centers (if applicable)
- Provisions for coordination between the local government and field level
- Provision for coordination with the operational area
- Provisions for coordination with other local governments, Community Base Organizations, Collaborative and private agencies
- Provisions for use of the mutual aid system
- Description of communications systems from the EOC to department operating centers or field level, operational area level, and other agencies

The current model for local emergency plans in California is the *Emergency Planning Guidance for Local Governments (EPGLG)*. The EPGLG was developed to address the SEMS requirements and incorporate the concepts of the *Multi-Hazard Functional Planning Guidance*. The EPGLG provides a model for developing emergency plans and includes a model city and county.

A key part of meeting SEMS requirements is to include the five essential SEMS functions in the emergency plan. A method of integrated SEMS and MHFP functions is described below.

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## **6. Relationship of SEMS and MHFP**

The multi-hazard, functional concepts are designed around a set of key response functions that are described in Annexes to the Basic Plan. Neither the *EPGLG* nor the *MHFPG* recommends a specific way of incorporating these functions into an EOC organization. These functions should be incorporated into the EOC organization and placed in the framework of the five essential SEMS functions.

Exhibit 2B-1

**SEMS - MHFP Functions Matrix**

MHFP Functions	SEMS Functions				
	Management & Staff	Operations	Planning/ Intelligence	Logistics	Finance/ Administration
Managing					
Communications <sup>1</sup>					
Alerting & Warning <sup>2</sup>					
Situation Analysis & Reporting					
Public Information					
Radiological Protection					
Fire & Rescue					
Law Enforcement & Traffic Control					
Medical					
Public Health					
Coroner					
Care & Shelter					
Movement					
Rescue					
Construction & Engineering					
Resources & Support					
Supply/Procurement					
Personnel					
Transportation					
Utilities					

**Notes:** This matrix shows the MHFP SEMS function to which each SEMS function is primarily related.

Functions may also have secondary relationships to SEMS functions. Such secondary relationships are not shown in this matrix. This matrix shows one approach to placing MHFP functions under SEMS functions.

<sup>1</sup>Communication systems addressed in MHFP are those that support emergency services. A communications function can be defined as setting up, distributing, restoring, and maintaining communications equipment and coordinating use of communications systems in an emergency. This function is placed under logistics consistent with SEMS.

<sup>2</sup>Responsibilities for alerting and warning may be distributed throughout the emergency organization. It is not anticipated that a separate organizational element for warning would be established in the EOC organization. Warning of the public at the local level is often done through units under operations.

Exhibit 2B-2

**Example Other Functions & Relationship to SEMS**

Other Functions	SEMS Functions				
	Management & Staff	Operations	Planning/ Intelligence	Logistics	Finance/ Administration
Animal Control					
Advance Planning					
Compensation & Claims					
Cost Accounting					
Documentation					
Demobilization Planning					
Facilities Management					
Food Supply Management					
Fuel Supply Management					
Hazardous Materials Control					
Information Systems					
Liaison					
Purchasing					
Recovery Planning					
Risk Management					
Safety					
Sanitation					
Temporary Housing					
Time Recording					
Vital Records Control					
Water Distribution					
Welfare Services					

This table presents examples of other possible functions that may be placed under SEMS functions. The appropriate placement of these functions may vary somewhat with the defined scope of responsibilities and the emergency management phase.

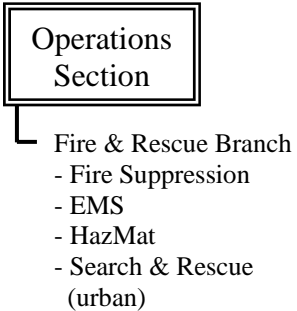
Some of the above functions could be considered sub elements of MHFP functions.

The SEMS functions of operations, planning/intelligence, logistics and finance/administration are incorporated as sections in the EOC organization, using ICS terminology. Responsibility for MHFP functions should be incorporated into the EOC organization through branches, groups, or units. Local governments may accomplish this in various ways considering jurisdiction size, complexity, and normal departmental structure. An EOC branch may be responsible for one or more MHFP functions. The functions may be organized as distinct groups or units within a branch or may simply be a responsibility of the branch. In the case of the public information function, it may be appropriately organized as a section in large EOC organizations. The following chart illustrates how functions may be organizationally placed in various ways in an EOC.

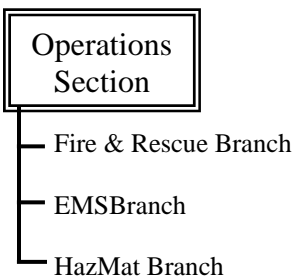
Exhibit 2B-3

**Example**  
**Alternative Ways to Incorporate Functions**  
**into the EOC Organization**

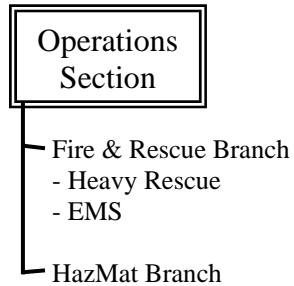
**Alternative A**



**Alternative B**



**Alternative C**



It is recommended that the emergency plan include a chart or table showing the correspondence between the EOC organizational elements and the functional annexes and appendices in the plan.

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**7. Use of Response Information Management System Forms**

The Response Information Management System (RIMS) is an internet-based system for communicating between different levels of the emergency management system. Forms used in RIMS were initially developed during the

formative stages of the Operational Area Satellite Information System (OASIS) based on ICS forms. The forms are used to convey critical information such as situation reports, damage assessments and are used for requesting and tracking mutual aid and other critical resources. RIMS provides connectivity between OES, OES Regions state agencies and Operational Areas. It is also used by some cities, special districts and field emergency management organizations.

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**8. Operational Area Satellite Information System (OASIS)**

OASIS is a satellite communications system connecting the state and regional levels to operational areas for disaster communications. OASIS contains a standard reporting system for transmitting information between operational areas and the regional EOC. OASIS provides a phone and data link between operational areas and regions. It provides a back-up system to RIMS for emergency information exchange and will accommodate the use of RIMS forms.

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**9. Training**

All local government staff who may participate in emergencies in the EOC, in department operations centers (DOCs), or at the field level must maintain minimum training competencies pursuant to the approved course of instruction. A training plan and schedule should be developed to provide SEMS training as rapidly as feasible to all staff with emergency roles. Provisions should be made for an on-going training program to accommodate personnel changes.

Approved SEMS Introductory and EOC Courses are available for personnel who will perform a SEMS function in an EOC or DOC. Minimum training competencies are identified in the approved SEMS courses as performance objectives. Agencies using an alternate training course should be able to demonstrate that the required competencies are being maintained. Further information on the approved training course is in Part III.

Training for field level personnel is discussed in Part II.A.

Local governments should document the training provided to emergency response personnel. SEMS training documentation may be integrated with agencies' normal



training documentation systems. Agencies that do not currently have a training documentation system should establish a record-keeping system for SEMS training.

It is recommended that a SEMS training record-keeping system include:

- An individual training record for each person, kept either in their personnel file or in a separate training record file. The name of the course, instructor, location, and date of the course should be included in the training record.
- Maintenance of the individual training record for as long as the person is employed in a position that involves an emergency response role. Records of personnel involved in an actual emergency should be kept at least until any training compliance issues have been resolved.
- Documentation of the agency's SEMS training program including copies of the training materials used, such as, instructor syllabus, lesson plans, student notebook, exercises, and tests.

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## 10. Exercises

Exercises provide the most effective method of training EOC staff without experiencing an actual emergency. Local governments should develop an exercise program that provides periodic exercises for EOC and DOC personnel. The following exercise program is suggested for local governments.

First year:

1. Orientation briefing for all EOC and DOC personnel.
2. Discussion type exercise(s) to walk through EOC or DOC procedures with emphasis on the use of SEMS and the local government coordination role.
3. EOC/DOC simulation exercise (functional exercise).

On-going exercises on a four-year cycle:

1. One full-scale exercise during the four-year cycle.
2. One functional exercise during each of the remaining three years.

The exercises may be conducted in conjunction with department operations centers, the operational area and other local governments.

## 11. Planning Checklist

The following planning checklist focuses on the specific requirements for SEMS at the local government level. It is not intended to be an all-encompassing emergency planning checklist for local governments.

- Has the governing body formally adopted SEMS?
- Has the governing body agreed to participate in the operational area?
- Have all departments and agencies of the local government been informed of SEMS requirements?
- Have departments and agencies of the local government involved in the field level been identified? (See Part II. A. for field level planning guidelines)
- Have departments and agencies of the local government with department operations centers (DOCs) been identified?
- Has the emergency plan been updated to include SEMS?
- Have SEMS functions been incorporated into the EOC organization?
- Have criteria and procedures been developed for EOC activation?
- Have emergency procedures or SOPs been updated to include the use of SEMS?
- Have procedures been developed for coordination and communications to the field level through DOCs or directly from the EOC?
- Have arrangements been made for coordination with:
  - department operations centers?
  - the operational area?
  - other local governments including special districts?
  - Community Based Organizations, Collaboratives?

## Part II. Planning and Developing SEMS

### Section C

## Operational Area

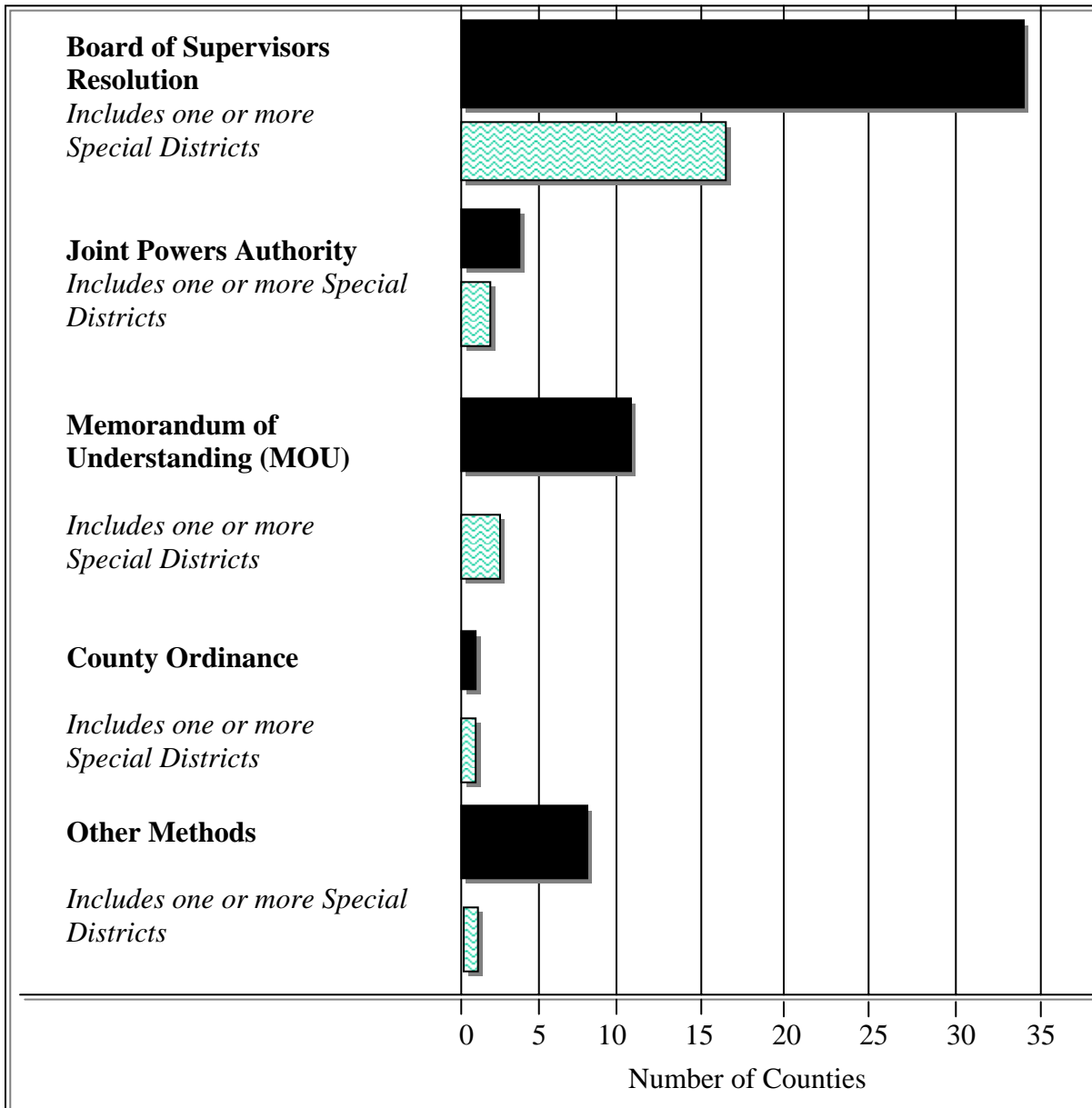
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<b>1. Responsibility for Planning and Developing the Operational Area</b>	This section describes key features of Operational Area development and planning. SEMS Regulations required the establishment of Operational Areas and did not specify the particular method to use. Within the state all counties have established operational areas utilizing a variety of techniques, within the timeframe designated by regulation.
<b>Need for Cooperative Planning Approach</b>	<p>The operational area is one of the five organizational levels of SEMS described in Part I of the guidelines. During emergencies, the operational area will coordinate mutual aid and emergency operations within the operational area and will be the channel for requesting mutual aid from the regional level.</p> <p>The functioning of the operational area during emergencies will affect all local governments. Therefore, all local governments have a stake in the development of an effective operational area. It is important that local governments within an operational area participate in its development.</p> <p>The effective functioning of the operational area during an emergency will also depend on the cooperation of the local governments with the operational area emergency management organization.</p>
<b>Board of Supervisors Responsibility</b>	The Board of Supervisors is responsible for the establishment of the operational area under SEMS regulations. This was accomplished by adoption of ordinances, resolutions, joint powers authority, memorandums of understanding and other methods establishing the operational area. Exhibit 2C-1 depicts the methods used to meet the regulation deadline.
<b>Lead Agency Responsibility</b>	A lead agency is designated for each operational area. Designated lead agency staff have day-to-day responsibility for administration of the operational area. This includes taking a lead role in the initial planning and development of

the operational area in concert with the member local governments.

Exhibit 2C-1

**Method Used For Forming Operational Areas**



Source of chart data: A polling of all counties through the Operational Areas was carried out by OES Regions; data provided was forwarded to OES Preparedness Branch for compilation. The resulting data is displayed in the chart shown above.

SEMS regulations specify that the county government is the lead agency unless another member agency of the operational area assumes that responsibility by written agreement with county government. However, in all cases the counties have assumed the role of operational area.

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**2. Elements of an Effective Operational Area**

The operational area must develop the capability to carry out its coordination role in an emergency. Among the elements needed for an effective operational area are:

- Established policy for use of the operational area in emergencies
- Agreements among local governments to participate in the operational area (although use of the operational area is not affected by non-participation of any local government)
- Designated lead agency and staff to maintain the operational area
- Designated operational area emergency management organization (EOC staff and Operational Area Mutual Aid Coordinators)
- Adequate EOC facility
- Communications links with member agencies
- Twenty-four hour-a-day answering point for emergency notification from local government and state warning center
- Operational area emergency plan and procedures

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**3. Lead Agency**

The lead agency of the operational area was established formally by resolution or ordinance adopted by the County Board of Supervisors in each of the 58 counties of the state. Methods used for the creation of the operational area varied and included:

- Creation of a lead agency through a joint powers agreement among member local governments
- Designation of the lead agency through a memorandum of understanding between the county and other member local governments
- Designation of the lead agency through joint resolutions of the county and other member local governments
- Assumption of the lead agency responsibility by county government

Counties have taken the role of operational area perhaps because the role of the county is more closely related to that of an operational area than the role of cities or special districts. The county is already responsible for coordinating some emergency functions countywide, not just in unincorporated areas.

While the county has assumed the role of lead agency under SEMS, agreements with local governments may be useful to clarify roles and responsibilities.

### **Joint Powers Agreement**

While one method for establishing a lead agency for the operational area is through a joint powers agreement, very few have chosen that path. A joint powers agreement, authorized by Government Code §6500 et seq., is an agreement between two or more public agencies to jointly exercise any power common to them. The joint powers agreement may establish a new agency or entity to administer the agreement. A new agency established by a joint powers agreement is a separate entity from the county and the other local governments signing the agreement. The joint powers agreement (JPA) agency may be the operational area lead agency or may provide day-to-day support for the designated lead agency.

Each county and its political subdivisions is a distinct operational area and must have a lead agency to meet SEMS requirements. A JPA agency is eligible to be the lead agency provided that it is formed by member agencies of a single operational area. However, a joint powers agency formed for more than one county is not eligible to be a lead agency. A multi-county joint powers agency may assist operational area lead agencies, but cannot serve as a lead agency.

The JPA agency may be the lead agency even if all local governments in the operational area have not joined in the agreement. During an emergency, the lead agency must function on behalf of all local governments in the operational area.

A policy making body, established by the joint powers agreement and typically consisting of representatives from the signatory local governments, oversees the JPA agency. The joint powers agency may hire staff, purchase

equipment and supplies, apply for grants, and enter into agreements with agencies for facilities and services. The JPA agency may undertake special projects, such as developing an operational area communications system. The staff of the JPA are responsible to the policy-making body.

The joint powers agreement may include provisions **for:**

- Establishing a policy-making body for the agreement
- Establishing a JPA administrative agency
- Assigning responsibilities to the JPA administrative agency
- Defining responsibilities of the local governments signing the agreement
- Providing for joint funding of the JPA administrative agency
- Establishing staff positions for the JPA administrative agency

#### **Memorandum of Understanding**

A memorandum of understanding (MOU) may be used to develop a cooperative approach to organizing the operational area. This method was used for slightly over 10 counties. The MOU may help clarify the county's role as the operational area lead agency and its relationship to other local governments. Unlike the joint powers agreement, it does not create a separate legal entity. The MOU may provide for sharing of staff, facilities or services among the local governments.

A memorandum of understanding may include the following provisions:

- Establishing an advisory body for the agreement
- Assigning responsibility to a member agency(s) for administering the agreement
- Defining roles and responsibilities of the local government signing the agreement
- Identifying areas of cooperation including sharing of funds, staff or other resources

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#### **4. Lead Agency Staff**

Staffing needs for the lead agency will vary depending on the size and complexity of the operational area. At a minimum, one person should be designated as the administrator for the operational area. The operational area administrator will be the lead staff person responsible for day-to-day needs of the operational area.

Operational area administrative staff will typically be the County Emergency Services Office. A joint powers agreement lead agency may have its own staff. Under a joint powers agreement, the operational area administrator and staff may also be the emergency services staff of the county government. The operational area staff may also provide staff services to other local governments' emergency services organizations, under a joint powers agreement or other staff sharing arrangement.

In an emergency, the operational area staff may fill positions in the EOC organization. The operational area administrator may be authorized to coordinate mutual aid resources within the operational area other than resources for which Operational Area Mutual Aid Coordinators have been designated such as fire, law enforcement and medical.

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**5. Operational Area Disaster Councils**

An operational area disaster council (or emergency services council) may be a useful way to involve elected officials in developing and maintaining the operational area. The council may serve as an advisory body to the County Board of Supervisors and the county staff, or pursuant to a joint powers agreement, serve as the policy-making body of the operational area lead agency.

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**6. Designated Operational Area EOC**

The operational area must have a designated emergency operations center (EOC). The operational area EOC and county government EOC should generally be combined to make efficient use of personnel (assuming the county or joint powers agency is the lead agency). Many county officials have countywide emergency responsibilities that are closely related to operational area responsibilities.

The combined operational area and county government EOC should have:

- Sufficient work space to accommodate staff for operational area and county emergency functions
- Sufficient work space to accommodate local government representatives, a state OES representative, and other liaison representatives
- Procedures for set-up and internal operations including message handling



- Communications links with:
  - Local governments including cities and special districts
  - County departmental operations centers (DOCs)
  - Incident Command Systems in unincorporated areas either directly or through DOCs
  - Volunteer and private agencies involved in emergency response
  - OES Regional EOC and Regional Mutual Aid Coordinators
  - Operational Area Mutual Aid Coordinators (if not a part of the EOC staff)
- Emergency power
- Pre-stocked supplies and forms for an extended period of operations

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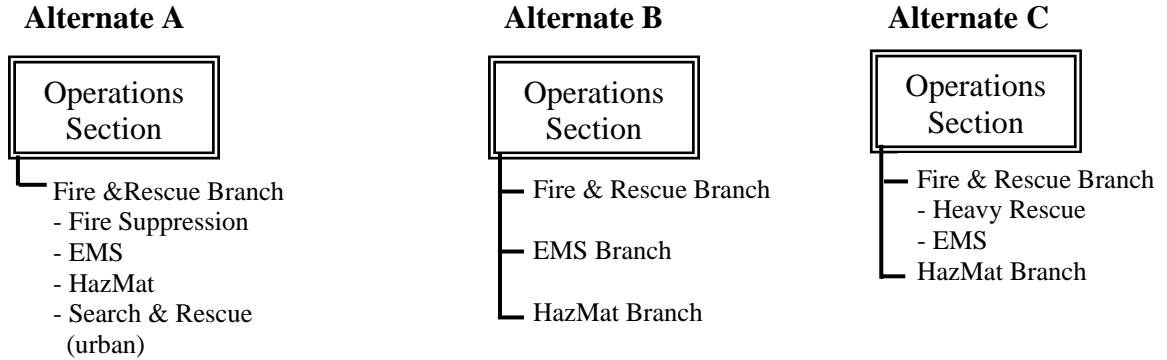
**7. Developing the EOC Organization**

The existing EOC organization should be reviewed as a starting point for developing the operational area EOC organization. Some modification may need to be made to incorporate SEMS concepts including the five essential SEMS functions. Additional elements may need to be added or existing elements redefined or rearranged to provide for all the necessary operational area functions, as well as county government functions.

An example operational area EOC organization is shown in Guidelines Part I.C. There is considerable flexibility in the way that branches and units may be arranged under the five SEMS functions. It is essential that major functions such as those identified in *The Emergency Planning Guidance for Local Governments* be covered, but that can be accomplished in various ways. For example, Exhibit 2C-1 shows how two functions, Medical and Public Health, can be handled by various branch and unit combinations along with other related functional elements.

Exhibit 2C-1

**Example**  
**Alternative Ways to Incorporate Functions**  
**into the EOC Organization**



The existing county departmental or service delivery structure should be a consideration in determining the most effective way to organize the EOC. However, the operational area emergency management organization should be a functionally based, not departmentally based, organization.

EOC staff who will be carrying out operational area responsibilities should be thoroughly briefed. The distinction between county government responsibility and the operational area coordination role should be made clear.

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**8. Plans and Procedures**

The operational area should have an adopted emergency plan. This plan may be combined with the county government emergency plan. A combined plan should include both the operational area and county government roles.

In many cases, the operational area plan can be developed by updating the county emergency plan to reflect SEMS and incorporate the operational area role. *The Emergency Planning Guidance for Local Government* has a model city and a model county plan that takes the MHFP concepts and incorporates them into SEMS compatible plans.

The emergency plan should be supported by detailed procedures needed to fulfill the operational area role. As a

minimum, the operational area should have activation procedures meeting SEMS requirements (See Guidelines Part I.C.).

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## 9. Training

All personnel who will be staffing positions in the operational area EOC must maintain minimum training competencies pursuant to the approved course of instruction. The training should be provided to primary and alternate EOC staff. Training should be initiated as soon as feasible after EOC staff are designated. Provisions should be made for an on-going training program to accommodate personnel changes.

Approved SEMS Introductory and EOC Courses are available for personnel who will perform a SEMS function in an EOC. Minimum training competencies are identified in the approved SEMS courses as performance objectives. Operational areas using an alternate training course should be able to demonstrate that the required competencies are being maintained. Further information on the approved training course is in Part III.

The lead agency should ensure that the training provided to operational area personnel is documented. SEMS training documentation may be integrated with agencies' normal training documentation systems. Agencies that do not currently have a training documentation system should establish a record-keeping system for SEMS training.

It is recommended that a SEMS training record-keeping system include:

- An individual training record for each person, kept either in their personnel file or in a separate training record file. The name of the course, instructor, location, and date of the course should be included in the training record.
- Maintenance of the individual training record for as long as the person is employed in a position that involves an emergency response role. Records of personnel involved in an actual emergency should be kept at least until any training compliance issues have been resolved.
- Documentation of the agency's SEMS training program including copies of the training materials used, such as,

instructor syllabus, lesson plans, student notebook, exercises, and tests.

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## 10. Exercises

Exercises provide the most effective method of training EOC staff without experiencing an actual emergency. The following exercise program is suggested for operational areas.

First year:

1. Orientation briefing for all EOC personnel
2. Discussion type exercise to walk through EOC procedures with emphasis on operational area coordination role.
3. EOC simulation exercise (functional exercise)

On-going exercises on a four-year cycle:

1. One full-scale exercise during the four-year cycle
2. One functional exercise during each of the remaining three years

The exercises may be conducted in conjunction with local governments and the regional level.

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## 11. Planning Checklist

This checklist is intended as a guide to the initial planning and development of the operational area level.

- Have all local governments in the operational area been identified?
- Have special districts' emergency roles and methods of coordinating with them been determined?
- Have Community Based Organizations and Collaboratives been identified who should be involved at the operational area level?
- Has the board of supervisors established the operational area by policy, resolution or ordinance?
- Have local governments adopted policies to participate in the operational area?
- Has the operational area lead agency been identified?
- Has the operational area disaster or emergency council been formed?
- Has an operational area emergency plan been adopted?
- Has an adequate operational area EOC been identified?

- ❑ Have EOC activation criteria and procedures been developed?
  - ❑ Does it include the five SEMS functions?
  - ❑ Does it provide for functions from the *Emergency Planning Guidance for Local Governments* and other needed functions?
  - ❑ Does it include operational area mutual aid coordinators or their representatives?
- ❑ Have primary and alternate EOC staff been identified?
- ❑ Has a training plan and schedule been developed for EOC staff?
- ❑ Has means of communicating with local governments been identified?
- ❑ Have means of communicating with the OES REOC and Regional Mutual Aid Coordinators been identified?
- ❑ Has an exercise plan been developed?

## Part II. Planning and Developing SEMS

### Section D

### **Regional Level**

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#### **1. Responsibility for SEMS Planning**

The development of an effective SEMS regional level requires the cooperative effort of all departments and agencies having a regional level role in emergencies. The Governor's Office of Emergency Services (OES) has the lead responsibility for planning and developing SEMS at the regional level. OES, other state departments and agencies, and Regional Mutual Aid Coordinators should work cooperatively to develop effective regional level emergency management.

The OES Regional Administrator and staff have the lead responsibility within each region for overall SEMS planning and development. The OES Regional Administrator is responsible for:

- Communicating information within the region on SEMS requirements and guidelines
- Coordinating development of the SEMS regional level among state departments and agencies that have a regional structure
- Coordinating with designated Regional Mutual Aid Coordinators on development of SEMS within the region
- Coordinating with local governments, the operational area, and Community Based and Collaboratives on development of SEMS within the region
- Developing and maintaining a Regional Emergency Operations Center (REOC)
- Developing and maintaining a REOC operating plan and standard operating procedures
- Designating and training REOC staff
- Participating in, and supporting the SEMS Maintenance System

State emergency response agencies with regional level involvement in coordinating mutual aid or with regional level department operations centers should:

- Cooperate with OES in developing SEMS at the regional level
- Incorporate SEMS functions and features into their regional level department operations center
- Update their regional emergency plans and procedures to be consistent with SEMS
- Ensure that SEMS training is received by agency personnel assigned to the REOC or regional level department operations centers.

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**2. Developing and Maintaining the REOC**

The OES Regional Administrator is responsible for designating primary and alternate REOC facilities. The REOC facility should have:

- Sufficient work space to accommodate staff for regional coordination functions
- Sufficient work space to accommodate operational area representatives and other agency representatives
- Sufficient work space in the primary REOC or the ability to expand the primary or and alternate REOC to accommodate collocated Federal (Emergency Support Functions) ESFs for major disasters.
- Procedures for setup and internal operations
- Communications links with:
  - Operational areas
  - Regional Mutual Aid Coordinators
  - Regional level department operations centers (DOCs) of state agencies
  - Special districts that provide emergency response in multiple operational areas
  - Regional level coordination centers of Community Based Organizations and Collaboratives with major roles in the emergency response
  - State Operations Center
  - REOCs in the other OES regions
- Emergency Power
- Pre-stocked supplies and forms for an extended period of operation

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**3. REOC Operating Plan and Standard Operating Procedures**

The OES Regional Administrator is responsible for developing and maintaining a REOC Operating Plan and Standard Operating Procedures (SOPs). The plan and SOPs should include:

- Description of the role of the REOC in SEMS
- Activation criteria and procedures consistent with SEMS regulations
- REOC organization based on the five SEMS functions
- Designated REOC staffing
- Internal procedures incorporating SEMS features
- Inter-agency coordination
- Position checklists

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#### 4. Training

All personnel who will be staffing positions in the REOC must maintain minimum training competencies pursuant to the approved course of instruction. Training should be provided to primary and alternate REOC staff. Training should be initiated as soon as feasible after REOC staff are designated. Provisions should be made for an ongoing training program to accommodate personnel changes. Personnel involved in coordinating mutual aid or staffing department operations centers at the regional level also must maintain minimum training competencies and should receive SEMS training as soon as feasible.

Approved SEMS Introductory and EOC Courses are available for personnel who will perform a SEMS function in and EOC or DOC. Minimum training competencies are identified in the approved SEMS courses as performance objectives. OES will provide the approved EOC SEMS course for designated REOC staff. State and other emergency response agencies are responsible for training their regional level personnel. Agencies using an alternate training course should be able to demonstrate that the required competencies are being maintained. Further information on the approved training course is in Part III.

Training provided to regional level personnel should be documented. SEMS training documentation may be integrated with agencies' normal training documentation systems. Agencies that do not currently have a training documentation system should establish a record-keeping system for SEMS training.

It is recommended that a SEMS training record-keeping system include:

- An individual training record for each person, kept either in their personnel file or in a separate training



record file. The name of the course, instructor, location, and date of the course should be included in the training record.

- Maintenance of the individual training record for as long as the person is employed in a position that involves and emergency response role. Records of personnel involved in an actual emergency should be kept at least until any training compliance issues have been resolved.
- Documentation of the agency's SEMS training program including copies of the training materials used, such as, instructor syllabus, lesson plans, student notebook, exercises, and tests.

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## 5. Exercises

Exercises provide the most effective method of training EOC staff without experiencing an actual emergency. It is recommended that OES conduct periodic exercises involving the regional level. The following exercise program is suggested for regions.

First year:

1. Orientation briefing for all REOC personnel
2. Discussion type exercise to walk through REOC procedures with emphasis on the SEMS coordination role
3. REOC simulation exercise (functional exercise)

On-going exercises on a four year cycle:

1. One full-scale exercise during the four year cycle
2. One functional exercise during each of the remaining three years

The exercises may be conducted in conjunction with operational areas, the state level, and federal ESFs. Actual major emergency responses may substitute for exercises.

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## 6. Planning Checklist

This planning checklist is intended to highlight major items necessary for development of SEMS at the regional level.

- Have adequate primary and alternate REOCs been identified?

- ❑ Have arrangements been made for communicating and coordinating with:
  - ❑ Operational areas?
  - ❑ State Operations Center?
  - ❑ Regional Mutual Aid Coordinators?
  - ❑ Regional department operations centers of state agencies?
  - ❑ Regional coordination centers of key Community Based Organizations and Collaboratives.
  - ❑ Special districts serving multiple operational areas?
- ❑ Have a REOC Plan and Standard Operating Procedures been developed consistent with SEMS?
- ❑ Have REOC staff been identified for all positions for 24 hour operations?
- ❑ Has a training plan and schedule been developed for REOC staff.
- ❑ Has a record-keeping system for documentation training been established?
- ❑ Has an exercise plan been developed?

## Part II. Planning and Developing SEMS

### Section E

### State Level

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#### 1. Responsibility for SEMS Planning

The development of the SEMS state level requires a cooperative effort of all departments and agencies having a role at the state level in emergencies. The Governor's Office of Emergency Services (OES) has the lead responsibility for planning and developing SEMS at the state level. OES, other state departments and agencies, and State Mutual Aid Coordinators should work cooperatively to develop effective emergency management at the state level.

OES staff at the state level are responsible for:

- Communicating information on SEMS requirements and guidelines
- Coordinating development of the SEMS state level among state departments and agencies that have emergency responsibilities
- Coordinating with designated State Mutual Aid Coordinators on development of SEMS
- Coordinating with OES Regional Administrators on statewide development of SEMS
- Maintaining the State Operations Center (SOC)
- Maintaining the State Emergency Plan and supporting plans consistent with SEMS
- Maintaining standard operating procedures for the SOC consistent with SEMS
- Designating and training SOC staff
- Participating in, and supporting the SEMS Maintenance System

State agencies with emergency responsibilities as identified in the State Emergency Plan should:

- Cooperate with OES on development of SEMS at the state level.
- Incorporate SEMS functions and features into their state level department operations center

- Update their emergency plans and procedures to be consistent with SEMS
- Ensure that regional level elements of the agency incorporate SEMS into their department operations centers and coordinate with the OES Regional Administration as needed (See Guidelines Part II.C)
- Ensure that ICS is used by the agency for field response (See Guidelines Part II. B.)
- Ensure that SEMS training is received by all agency personnel who have emergency assignments, including personnel assigned to the SOC, department operations centers, and field response

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## **2. State Emergency Plan and Related Plans**

OES is responsible for maintaining the State Emergency Plan. There are also a number of state supporting plans that address contingencies such as nuclear power accidents, volcanic eruptions, regional earthquake scenarios and oil spills that involve interaction with federal and state agencies. Even though federal agencies are not required to use SEMS these plans identify how to integrate emergency responses in a manner that is compatible with SEMS.

Some of the contingency plans provide for the activation of special facilities near the disaster site from which state officials will coordinate the response effort, in some cases co-locate with local or federal officials. Depending on the plan, these forward deployments could be considered:

- OES Agency Representative or teams reporting back to the REOC (in most of the plans the role is more than liaison)
- Inter-agency coordination groups
- Alternate REOC facilities to be used for certain contingencies
- Joint state-local EOCs to be used as alternates to the REOC for certain contingencies

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## **3. State Operations Center**

OES is responsible under SEMS for establishing the state level EOC which is the State Operations Center (SOC). To serve effectively as the state level EOC, the SOC should have:

- Sufficient work space to accommodate OES and other agency staff for state level coordination functions

- Sufficient work space in the primary SOC or the ability to expand the primary or an alternate SOC to accommodate co-located Federal Emergency Support Functions (ESFs) in the event of multi-region major disasters or when functioning as an alternate REOC.
- Procedures for setup and internal operations
- Communication links with:
  - Governor
  - Regional Emergency Operations Centers
  - State Mutual Aid Coordinators
  - State level department operations centers (DOCs) of state agencies
  - State level coordination centers of volunteer and private agencies with major roles in the emergency response
  - FEMA Region 9
  - Operational Areas (in order to provide backup to REOC or serve as an alternate REOC)
- Emergency power
- Pre-stocked supplies and forms for an extended period of operation

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#### **4. SOC Standard Operating Procedures**

A corollary OES responsibility is maintaining SOC Standard Operating Procedures (SOP). The SOC SOP provides for:

- A description of the role of the SOC
- Activation criteria and procedures consistent with SEMS regulations
- SOC organization based on the five SEMS functions
- Designated SOC staffing
- Internal procedures incorporating SEMS features
- Inter-agency coordination
- Position checklists

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#### **5. Training**

All personnel who will be staffing positions in the SOC must maintain minimum training competencies pursuant to the approved course of instruction. The training should be provided to primary and alternate SOC staff. Training should be initiated as soon as feasible after SOC staff are designated. Provisions should be made for an on-going training program to accommodate personnel changes. Personnel involved in coordinating mutual aid or staffing

department operations centers at the state level also must maintain minimum training competencies and should receive SEMS training as soon as feasible.

Approved SEMS Introductory and EOC Courses are available for personnel who will perform a SEMS function in an EOC, or DOC. Minimum training competencies are identified in the approved SEMS courses as performance objectives. OES will provide the approved EOC SEMS course for designated SOC staff. State emergency response agencies are responsible for training their state level personnel. Agencies using an alternate training course should be able to demonstrate that the required competencies are being maintained. Further information on the approved training courses is in Guidelines Part III.

Training provided to state level personnel should be documented. SEMS training documentation may be integrated with agencies' normal training documentation systems. Agencies that do not currently have a training documentation system should establish a record-keeping system for SEMS training.

It is recommended that a SEMS training record-keeping system include:

- An individual training record for each person, kept either in their personnel file or in a separate training record file. The name of the course, instructor, location, and date of the course should be included in the training record.
- Maintenance of the individual training record for as long as the person is employed in a position that involves an emergency role. Records of personnel involved in an actual emergency should be kept at least until any training compliance issues have been resolved.
- Documentation of the agency's SEMS training program including copies of the training materials used, such as, instructor syllabus, lesson plans, student notebook, exercises, and tests.

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## 6. Exercises

Exercises provide the most effective method of training emergency staff without experiencing an actual emergency. OES is responsible for conducting periodic exercises

involving the state level. The following exercise program is suggested for the state level.

First year:

1. Orientation briefing for all SOC personnel
2. Discussion type exercise to walk through SOC procedures with emphasis on the SEMS coordination role
3. SOC simulation exercise (functional exercise)

On-going exercises on a four year cycle:

1. One full-scale exercise during the four year cycle
2. One functional exercise during each of the remaining years

The exercises may be conducted in conjunction with the regional level, state department operations centers and federal ESFs. Actual major emergency responses may substitute for exercises.

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## 7. Planning Checklist

This planning checklist is intended to highlight major items necessary for development of SEMS at the state level.

- Have all state agencies with emergency responsibilities been informed of SEMS requirements and guidelines?
- Have the State Emergency Plan and supporting plans been reviewed and updated for consistency with SEMS?
- Have arrangements been made for communicating and coordinating with:
  - Regional Emergency Operations Centers?
  - State Mutual Aid Coordinators?
  - Department operations centers of state agencies?
  - State coordination centers of key private and volunteer agencies?
  - Federal agencies?
- Have SOC Standard Operating Procedures been updated to be consistent with SEMS?
- Have SOC staff been identified for all positions for 24-hour operations?
- Has a SEMS training plan and schedule been developed for SOC staff?

- ❑ Has a record-keeping system for documenting SEMS training been established?
- ❑ Has a state level exercise plan been developed?
- ❑ Have state agencies incorporated SEMS into their emergency plans and procedures including department operations center procedures?
- ❑ Have state agency staff assigned to department operations centers received SEMS training?



## Part III. Supporting Documents

### Standardized Emergency Management System (SEMS)

#### **After Action Reports**

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##### **I. Introduction**

The completion of after action reports is a part of the required SEMS reporting process. The Emergency Services Act, Section 8607 (f) mandates that the Office of Emergency Services (OES) in cooperation with involved state and local agencies complete an after action report within 120 days after each declared disaster.

Section 2450 (a) of the SEMS Regulations states that...."Any city, city and county, or county declaring a local emergency for which the governor proclaims a state of emergency, and any state agency responding to that emergency shall complete and transmit an after action report to OES within ninety (90) days of the close of the incident period as specified in the California Code of Regulations, section 2900(j).

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##### **II. Use of After Action Reports**

After action reports are made available to all interested public safety and emergency management organizations and serve the following important functions:

- A source for documentation of response activities
- Identification of problems/successes during emergency operations
- Analysis of the effectiveness of components of the SEMS
- Describe and define a plan of action for implementing improvements

The SEMS approach to the use of after action reports emphasizes the improvement of emergency management at all levels. The after action report provides a vehicle for not only documenting system improvements, but also can, if desired, provide a work plan for how these improvements can be implemented.

It may be useful to coordinate the after-action report process when multiple agencies/jurisdictions are involved in the same emergency. Jurisdictions are encouraged to work together in the development of after action reports when appropriate and feasible. For example, an operational area may take the lead in coordinating the development of an after action report which involves several jurisdictions. If appropriate, jurisdictional reports may become part of an overall operational area report.

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### **III. After Action Report Process**

Suggested processes for developing after action reports for local governments, state agencies, and for State OES are described below.

#### **A. Local Government and State Agency Report Process**

##### 1. Assign Responsibility for after action report

This assignment should be initiated as early as possible during the response phase of any emergency which will require an after action report. Ideally, the person assigned should have a background in the planning function, be familiar with emergency organization functions, and have an understanding of SEMS.

At both the field and EOC levels in SEMS the responsibility for initiating the after action report process should be assigned to the Documentation Unit within the Planning/Intelligence Function.

At the completion of the emergency period, and after the field ICS and EOC level organizations have been deactivated, the responsibility for the continuance of the after action report process should be assigned elsewhere within the organization. In many organizations, the same personnel may actually be assigned to the after action report function to provide continuity.

While it may appear to be premature to assign a person to this duty early in an emergency, it actually permits several key things to occur.

- It emphasizes the importance of documentation.
- It allows for early identification of possible system improvements and possible on-the-spot improvements.

- It allows data to be compiled before too much time has elapsed and participants have returned to their normal duties.

Early assignment also allows for establishment of timelines and expedites the actual preparation of the after action report.

## 2. Initiate the Documentation Process

Documentation actions should be initiated in the early stages of an emergency. Although it may be tempting to forgo documentation during the emergency response, adequate documentation;

- Is essential to operational decision-making
- May have future legal ramifications
- May have implications for reimbursement eligibility

Depending upon the situation, different types of documentation comprise the source documents or "data base" for the after action report. Documentation should not be restricted to those reports or forms used exclusively by the planning function, but should include materials from the entire emergency organization. Ideally, key components of this data base such as time-keeping procedures, would be identified as part of pre-event planning and would then be used during and actual event.

There are many types of documentation. Some recommended types include:

- Action plans developed to support operational period activities
- Forms used in the SEMS field level Incident Command Systems
- Unit activity logs and journals
- Response Information Management System (RIMS) forms and locally developed "feeder" forms/reports that support the RIMS forms
- Written messages
- Function and position checklists
- Public information and media reports
- FEMA-developed forms
- Other forms or documentation

### 3. Data Gathering Methods

Aside from reliance on documentation developed during emergency operations, there are other methods for gathering information. Among these methods are:

- Exit interview or critique forms distributed and completed as personnel rotate out of a function.
- Critiques performed at various time frames after and operation. Some critiques may be conducted immediately after an event and may be fairly informal in approach. Others may be conducted substantially later and may employ more formal, carefully structured workshops.
- Surveys distributed to individuals and organizations after the fact which can be used either for direct input to the after action report or as a basis for workshop discussions.
- After action report research teams, whose function is to gather information, and perhaps, write the applicable portions of the after action report.

There are many approaches to structuring and organizing data compilation. Some questions to consider are:

- What is the purpose of the critique or survey?
- Who is the survey's audience?
- Have all key "players" been included in the workshop?
- Does the survey/workshop process permit identification of internal, agency-specific improvements?
- Does the survey/workshop process permit identification of external improvements? Improvements involving the SEMS levels?
- Are SEMS functions (planning/intelligence, logistics, etc.) being assessed?
- Does the critique/survey format mesh with the after action report format?
- Does the research team understand its assignment and tasks?

### 4. After Action Report Preparation

A four step process to prepare the after action report for local governments and state agencies is recommended:

1. Compile the results of surveys, critiques, and workshops and sort the information according to the areas covered in the attached sample after action report.

2. Review, analyze and sort documentation according to the areas covered in the attached sample after action report or another format as appropriate to the organization.
3. Prepare after action report drafts and distribute for review and approval to participating agencies, advisory boards, political bodies, and other appropriate interested parties.
4. Prepare final after action report and forward it to the city, operational area, OES Region, or OES Headquarters, as appropriate.

## **B. State OES After Action Report Process**

To facilitate timely completion of the after action report and to provide assistance for state and local agencies with reporting requirements, OES may employ various methods. Holding a workshop is one way OES could receive the 90 day report required by Section 2450 (a). If held, these workshops will include representatives of agencies directly involved with response and recovery activities, and those agencies providing support. OES may incorporate surveys and/or interviews as additional data gathering methodology for the after action report.

### 1. Assign Team and Team Leader

The first activity will be the assignment of a team and a team leader for OES's after action report. Assignments will be initiated as early as possible. Persons assigned will be familiar with SEMS functions and emergency operations.

### 2. Development of Work Plan

The team will then develop a detailed work plan. The work plan will include the following:

- Scope of Work
- Work Schedule with Milestones
- Resource Needs

### 3. Identify and Contact Key Agencies

Once the work plan is completed, the OES team will need to identify and contact primary responding agencies. Agencies providing a secondary or support role (sometimes called cooperating agencies) will also need to be identified and contracted.

#### 4. Initial Data Gathering

After identifying and contacting the primary and secondary agencies, a survey may be prepared and distributed to those agencies. This will be an incident-oriented survey. When the initial data gathering process has been completed, interviews may also be conducted.

#### 5. Conducting a Workshop

The next step in the process is conducting a workshop. The workshop attendees will include key representatives of involved emergency response agencies. These representatives should be able to address each of the SEMS functions.

The workshop will concentrate on fact finding and discovery of pertinent information related to the emergency response and recovery activities. This will be a facilitated process that will assist with data gathering. Also, it will provide a forum for the airing of concerns. Objective information on "what went right" and "what did not" will be encouraged during the workshop.

#### 6. OES After Action Report Preparation

Following the conclusion of the workshop, team members will begin preparing OES's after action report. Team members will use a four-step process:

1. Compile the results of the survey, interviews and workshop and sort the information according to the specific areas covered in the after action report.
2. Review, analyze and sort documentation according to the areas covered in the after action report. The main purpose for analyzing the data is to verify and support comments and conclusions reached by participants and team members.
3. Prepare after action report drafts and distribute for review and approval to the appropriate parties (e.g., primary responders).
4. Prepare final after action report and forward it to the interested parties.

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#### **IV. Sample After Action Report Outline**

The following is an example of one way to structure an after action report. Other options are possible. The format

**Executive Summary-Principle  
Recommendations**

of the report should fit the situation, and there is no requirement to force the report into a single structured format.

1. Introduction and Background

- a. Type/location of event (Describe and attach maps if available)
- b. Chronological Summary (Provide description and list items such as key evacuations, areas destroyed, etc.)
- c. Date/Time and content of Proclamations/Declarations

2. Discussion of Response at Designated SEMS Levels

Cover the levels appropriate to the jurisdiction and situation. Include:

Summary of response

Conclusions

Recommendations (will be summarized at the end)

- a. Field Response Level
  - Command
  - Operations (includes Air Operations)
  - Planning/Intelligence
  - Logistics (includes Communications)
  - Finance/Administration (if activated)
- b. Local Government Level
  - Emergency Operations Center (EOC)
  - Department Operations Center (DOC)
  - Special Districts
  - Other local government support
  - Community Based Organizations and Collaboratives
  - (Note: For each item above, discuss Management, Operations, Planning/Intelligence, Logistics, Finance/Administration, and multi or interagency coordination as appropriate.)
- c. Interaction with the Operational Area (discuss as appropriate)
- d. Interaction with the Regional Level
  - Regional EOC (REOC)
  - Other State Agencies (if not part of REOC)

- e. Interaction with State above Regional Level (discuss as appropriate)
- f. Interaction with Federal Agencies (discuss as appropriate)

3. Interacting Systems, Agencies and Programs

- a. Mutual Aid Systems (Law Enforcement, Fire and Rescue, Medical and others if used)
- b. Cooperating Agencies
  - Utilities (telephone, electric, gas, etc.)
  - American Red Cross
  - Salvation Army
  - Others (as appropriate)
- c. Telecommunications and Information Processing
  - Field Level
  - Local Government
  - Operational Area
  - Interface with Region
  - Interface with State
- d. Training Needs (Consider all levels)
- e. Recovery Activities to Date
- f. Summary of Principal Recommendations
- g. References
  - Maps
  - Charts
  - Bibliography
  - Other Items (as appropriate)

**Action Plan for Improvements**

(This section of the report can be done separately or included as appropriate.)

It should describe for each of the principal recommendations:

Description of actions to be taken

Assignments



Associated costs and budget

Timetable for completion

Follow-up responsibility

## Part III. Supporting Documents

### Standardized Emergency Management System (SEMS)

#### **Action Planning**

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#### **I. Background**

Action Plans are an essential part of SEMS at all levels. Action Planning is an effective management tool involving two essential items:

- A process to identify objectives, priorities, and assignments related to emergency response or recovery actions.
- Plans which document the priorities, objectives, tasks and personnel assignments associated with meeting the objectives

There are two kinds of action plans, Incident Action Plans and EOC Action Plans. EOC Action Plans should focus on jurisdictional related issues. The format and content for action plans at the Incident level and the EOC levels will vary. The process for developing action plans is quite similar for all SEMS levels.

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#### **II. Incident Action Plans**

At the field level, action plans developed for use at incidents are called Incident Action Plans (IAP). Incident action plans are required for each operational period. (An operational period is the length of time scheduled for the execution for a given set of operational actions as specified in the incident action plan.) Incident action plans may be either verbal or written.

Written incident action plans are recommended for:

- Any multi-agency and multi-jurisdictional incident
- Complex incidents
- Long term incidents when operational periods would span across shift changes

Special forms are used within ICS to record information for written incident action plans. These forms should be used

whenever possible. The format for an incident action plan will generally include the following elements:

1. Incident objectives and priorities (Overall, what do we want to achieve?)
2. Primary and alternative strategies (as appropriate) to achieve incident objectives. (What are the ways in which we can achieve the objectives? How do the strategies compare in safety, speed, environmental impact, cost etc.? Is current resource availability a limiting or dictating factor in strategy selection?)
3. Tactics appropriate to the selected strategy (Given a selected strategy, what are the specific tactics necessary to implement the strategy?)
4. The kinds and number of resources to be assigned (determined by the tactics to be used)
5. The operations tactical organization necessary for the selected strategy and tactics (Can include describing the incident geographically or functionally)
6. Overall support organization including logistical, planning/intelligence and finance/administration functions
7. A communications plan
8. Safety messages
9. Other supporting documentation needed, e.g., and incident map, showing access, key facilities etc., a medical support plan etc.

The Field Level SEMS Approved Course of Instruction (ACI) addresses Incident Action Planning in more detail, describing the forms, and includes an exercise in developing an incident action plan.

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### **III. Action Planning at SEMS EOC Levels**

Action planning at all EOC levels, like that of the field level, is based on the use of an operational period. The length of the operational period for the EOC is determined by first establishing a set of objectives and priority actions that need to be performed. Then establishing a reasonable time frame for accomplishing those actions. Generally, the actions requiring the longest time period will define the length of the operational period.

Typically, operational periods at the beginning of an emergency are short, sometimes only a few hours. As the emergency progresses, operational periods may be longer,

but should not exceed twenty-four hours. Operational periods should not be confused with staffing patterns or shift change periods. They may be the same, but need not be.

The initial EOC action plan may be a verbal plan put together in the first hour after EOC activation. The EOC Director in concert with the General Staff usually does it. Once the EOC is fully activated, EOC action plans should be written.

EOC action plans should not be complex or create a time consuming process. The format may vary somewhat within the several EOC SEMS levels, but the EOC action plan should generally cover the following elements:

1. Listing of objectives to be accomplished (should be measurable)
2. Statement of current priorities related to objectives
3. Statement of strategy to achieve the objectives. (Identify if there is more than one way to accomplish the objective, and which way is preferred)
4. Assignments and actions necessary to implement the strategy
5. Operational period designation - The time frame necessary to accomplish the actions
6. Organizational elements to be activated to support the assignments. (Also, later action plans may list organizational elements that will be deactivated during or at the end of the period)
7. Logistical or other technical support required

**Focus of the EOC Action Plan**

The primary focus of the EOC action plan should be on jurisdictional issues - The plan sets overall objectives for the jurisdiction and may establish the priorities as determined by the jurisdictional authority. It can also include mission assignments to departments, provide policy and cost constraints, inter-agency considerations etc. Properly prepared, the EOC action plan becomes an essential input to developing departmental action plans.

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**IV. The Action Planning Process (EOC and Incident)**

The primary responsibility for preparing an incident or an EOC Action Plan is assigned to the Planning/Intelligence Section. Several elements of the organization will be involved in the development of the content for the plan.

1. The Incident Commander or EOC Director and all members of the General Staff must participate in the action planning process.
2. There must be adequate representation of key organizational components, organizations and agencies.
3. Representatives participating in the planning process must have the technical expertise and authority to commit to accomplishing the objectives.
4. Representatives must understand the action planning process and be willing to function according to the process.
5. There must be adequate logistical arrangements and facilities to support the process.
6. There must be adequate pre-event planning, and participants must adhere to the format and timetables related to the planning process.

**Steps in the Planning Process (EOC and Incident)**

1. Identify representatives and organizational entities needed for current planning. This will include but is not limited to the Incident Commander or EOC Director, General Staff, Information and Liaison functions as well as key agency representatives essential to meeting the objectives.
2. Establish a cycle for action planning meetings. Initially, these may be every few hours or several times a day. Over time, they will move to twice a day and then to daily.
3. Develop a format for the plan, and use that format in the planning process. Formats will vary depending upon Field or EOC level, complexity of the plan etc.
4. Determine who needs the plan, and establish procedures for publication and distribution of the plan.
5. Establish a procedure for revisions and updates. This could include sections providing suggested written revisions, or provision for making expedient changes during the operational period if required.
6. Prepare and distribute the Action Plan. The plan will be prepared based on information obtained at the planning meeting. Ensure that the plan is approved by the Incident Commander or the EOC Director prior to distribution.
7. Establish a documentation file for incident or EOC action plans. The documentation file will consist of the action plans and any supporting documentation.

## Part III. Supporting Documents

### Standardized Emergency Management System (SEMS)

## Glossary of Terms

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### I. Introduction

The Glossary contains definitions of terms commonly used in the Standardized Emergency Management System (SEMS). The Glossary was developed from a glossary used in the Incident Command System National Training Curriculum. It does not contain terms or definitions related to specific resources for particular application areas. Users should supplement this glossary with agency-specific terms and definitions as appropriate.

### A

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#### **Action Plan**

The plan prepared in the EOC containing the emergency response objectives of that SEMS level reflecting overall priorities and supporting activities for a designated period. The plan is shared with supporting agencies. See also Incident Action Plan.

#### **Activate**

At a minimum, a designated official of the emergency response agency that implements SEMS as appropriate to the scope of the emergency and the agency's role in response to the emergency.

#### **After action report**

A report covering response actions, application of SEMS, modifications to plans and procedures, training needs, and recovery activities. After action reports are required under SEMS after any emergency which requires a declaration of an emergency. Reports are required within 90 days.

#### **Agency**

An agency is a division of government with a specific function, or a non-governmental organization (e.g., private contractor, business, etc.) that offers a particular kind of assistance. In ICS, agencies are defined as jurisdictional (having statutory responsibility for incident mitigation), or assisting and/or cooperating (providing resources and/or

assistance). (See Assisting Agency, Cooperating Agency and Multi-agency.)

**Agency Dispatch**

The agency or jurisdictional facility from which resources are allocated to incidents.

**Agency Executive or Administrator**

Chief executive officer (or designee) of the agency or jurisdiction that has responsibility for the incident.

**Agency Representative**

An individual assigned to an incident or to an EOC from an assisting or cooperating agency who has been delegated authority to make decisions on matters affecting that agency's participation at the incident or at the EOC. Agency Representatives report to the Liaison Officer at the incident, or the Liaison Coordinator at SEMS EOC levels.

**Air Operations Branch Director**

The person primarily responsible for preparing and implementing the air operations portion of the Incident Action Plan. Also responsible for providing logistical support to helicopters operating on the incident.

**Allocated Resources**

Resources dispatched to an incident.

**Air Command**

An organization established to: 1) oversee the management of multiple incidents that are each being handled by an Incident Command System organization; or 2) to oversee the management of a very large incident that has multiple Incident Management Teams assigned to it. Area Command has the responsibility to set overall strategy and priorities, allocate critical resources based on priorities, ensure that incidents are properly managed, and ensure that objectives are met and strategies followed.

**Assigned Resources**

Resources checked in and assigned work tasks on an incident.

**Assignments**

Tasks given to resources to perform within a given operational period, based upon tactical objectives in the Incident or EOC Action Plan.

**Assistant**

Title for subordinates of the Command Staff positions at the Field SEMS level. The title indicates a level of technical capability, qualifications, and responsibility subordinate to the primary positions. Assistants may also be used to supervise unit activities at camps.

**Assisting Agency**

An agency directly contributing tactical or service resources to another agency.

**B**

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**Base**

The location at an incident at which primary logistical functions for an incident are coordinated and administered. There is only one Base per incident. (Incident name or other designator will be added to the term "Base.") The Incident Command Post may be collocated with the Base.

**Branch**

The organizational level at the SEMS Field Level having functional or geographic responsibility for major parts of incident operations. The Branch level is organizationally between Section and Division/Group in the Operations Section, and between Section and Units in the Logistics Section. Branches are identified by the use of Roman Numerals or by functional name (e.g., medical, security, etc.). Branches are also used in the same sequence at the SEMS EOC levels.

**Branch Director**

The ICS title for individuals responsible for supervision of a Branch at the Field Level. At SEMS EOC levels, the title Branch Coordinator is preferred.

**C**

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**Cache**

A pre-determined complement of tools, equipment and/or supplies stored in a designated location, available for incident use.



**Camp**

A geographical site, within the general incident area, separate from the Incident Base, equipped and staffed to provide sleeping, food, water, and sanitary services to incident personnel.

**Chain of Command**

A series of management positions in order of authority.

**Check-in**

The process whereby resources first report to an incident or into an EOC. Check-in locations at the SEMS Field Level include: Incident Command Post (Resources Unit), Incident Base, Camps, Staging Areas, Helibases, Helispots, and Division Supervisors (for direct line assignments).

**Clear Text**

The use of plain English in radio communications transmissions. No Ten Codes or agency specific codes are used when utilizing Clear Text.

**Command**

The act of directing, and/or controlling resources at an incident by virtue of explicit legal, agency, or delegated authority. May also refer to the Incident Commander.

**Command Post**

(See Incident Command Post)

**Command Staff**

The Command Staff at the SEMS Field Level consists of the Information Officer, Safety Officer, and Liaison Officer. They report directly to the Incident Commander. They may have an assistant or assistants, as needed. These functions may also be found at the EOC levels in SEMS. At the EOC, they would report to the EOC Director but may be designated as Coordinators. At EOCs, the functions may also be established as Sections, or Branches to accommodate subsequent expansion.

**Communications Unit**

An organizational unit in the Logistics Section responsible for providing communication services at an incident or an EOC. A Communications Unit may also be a facility (e.g., a trailer or mobile van) used to provide the major part of an Incident Communications Center.

### **Community Based Organizations**

A local organization (which may or may not be an affiliate of a national organization) with a primary mission to provide services to specific groups of people. This could include services to people who are developmentally disabled, homeless, low-income elderly, non-English speaking, or others. CBOs are usually nonprofit organizations. Most have a 501 (c) (3) tax-exempt status from the Internal Revenue Service. Some may have the nonprofit status from the Franchise Tax Board. In size, they range from all-volunteer organizations that get by on virtually no budget, to multi-million dollar operations. Examples include Food Banks, Centers for Independent Living, Immigration Assistance Programs, Easter Seals, Neighborhood Clinics, and Family Centers.

### **Compensation Unit/Claims Unit**

Functional unit within the Finance/Administration Section responsible for financial concerns resulting from property damage, injuries or fatalities at the incident or within an EOC.

### **Complex**

Two or more individual incidents located in the same general area, which are assigned to a single Incident Commander or to a Unified Command.

### **Cooperating Agency**

An agency supplying assistance other than direct tactical or support functions or resources to the incident control effort (e.g., American Red Cross, telephone company, etc.)

### **Coordination**

The process of systematically analyzing a situation, developing relevant information, and informing appropriate command authority of viable alternatives for selection of the most effective combination of available resources to meet specific objectives. The coordination process (which can be either intra-or inter-agency) does not involve dispatch actions. However, personnel responsible for coordination may perform command or dispatch functions within the limits established by specific agency delegations, procedures, legal authority, etc. Mutli-agency or Inter-agency coordination is found at all SEMS levels.

**Coordination Center**

Term used to describe any facility that is used for the coordination of agency or jurisdictional resources in support of one or more incidents.

**Cost Sharing Agreements**

Agreements between agencies or jurisdictions to share designated costs related to incidents. Cost sharing agreements are normally written but may also be verbal between authorized agency or jurisdictional representatives at the incident.

**Cost Unit**

Functional unit within the Finance/Administration Section responsible for tracking costs, analyzing cost data, making cost estimates, and recommending cost-saving measures.

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**D**

**Delegation of Authority**

A statement provided to the Incident Commander by the Agency Executive delegating authority and assigning responsibility. The Delegation of Authority can include objectives, priorities, expectations, constraints and other considerations or guidelines as needed. Many agencies require written Delegation of Authority to be given to Incident Commanders prior to their assuming command on large incidents.

**Demobilization Unit**

Functional unit within the Planning Section responsible for assuring orderly, safe and efficient demobilization of incident or EOC assigned resources.

**Department Operations Center**

A facility used by a distinct discipline, such as flood operations, fire, medical, hazardous material, or a unit, such as Department of Public Works, or Department of Health. Department Operations Centers may be used at all SEMS levels above the field response level depending upon the needs of the emergency.

**Deputy Incident Commander (Section Chief or Branch Director)**

A fully qualified individual who, in the absence of a superior, could be delegated the authority to manage a functional operation or perform a specific task. In some

cases, a Deputy could act as relief for a superior and therefore must be fully qualified in the position. Deputies may also be found as necessary at all SEMS EOC levels.

**Disaster**

A sudden calamitous emergency event bringing great damage loss or destruction.

**Dispatch**

The implementation of a command decision to move a resource or resources from one place to another.

**Dispatch Center**

A facility from which resources are assigned to an incident.

**Division**

Divisions are used to divide an incident into geographical areas of operation. Divisions are identified by alphabetic characters for horizontal applications and, often, by numbers when used in buildings. Divisions are also used at SEMS EOC levels and are found organizationally between Branches and Units.

**Division or Group Supervisor**

The position title for individuals responsible for command of a Division or Group at an Incident. At the EOC level, the title is Division Coordinator.

**Documentation Unit**

Functional unit within the Planning Section responsible for collecting, recording and safeguarding all documents relevant to an incident or within an EOC.

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**E**

**Emergency**

A condition of disaster or of extreme peril to the safety of persons and property caused by such conditions as air pollution, fire, flood, hazardous material incident, storm, epidemic, riot, drought, sudden and severe energy shortage, plant or animal infestations or disease, the Governor's warning of an earthquake or volcanic prediction, or an earthquake or other conditions, other than conditions resulting from a labor controversy.

**Emergency Management Coordinator**

The individual within each jurisdiction that is delegated the day-to-day responsibility for the development and maintenance of all emergency management coordination efforts.

**Emergency Management Director (Emergency Services Director)**

The individual within each political subdivision that has overall responsibility for jurisdiction emergency management. For cities and counties, this responsibility is commonly assigned by local ordinance.

**Emergency Medical Technician (EMT)**

A health-care specialist with particular skills and knowledge in pre-hospital emergency medicine.

**Emergency Operations Center (EOC)**

A location from which centralized emergency management can be performed. EOC facilities are established by an agency or jurisdiction to coordinate the overall agency or jurisdictional response and support to an emergency.

**Emergency Operations Plan**

The plan that each jurisdiction has and maintains for responding to appropriate hazards.

**Emergency Response Agency**

Any organization responding to an emergency, or providing mutual aid support to such an organization, whether in the field, at the scene of an incident, or to an operations center.

**Emergency Response Personnel**

Personnel involved with an agency's response to an emergency.

**EOC Action Plan**

The plan developed at SEMS EOC levels, which contains objectives, actions to be taken, assignments and supporting information for the next operational period.

**Event**

A planned, non-emergency activity. ICS can be used as the management system for a wide range of events, e.g., parades, concerts or sporting events.

**F**

**Facilities Unit**

Functional unit within the Support Branch of the Logistics Section at the SEMS Field Response Level that provides fixed facilities for the incident. These facilities may include the Incident Base, feeding areas, sleeping areas, sanitary facilities, etc.

**Field Operations Guide**

A pocket-size manual of instructions on the application of the Incident Command System.

**Finance/Administration Section**

One of the five primary functions found at all SEMS levels, which is responsible for all costs and financial considerations. At the incident and Section can include the Time Unit, Procurement Unit, Compensation/Claims Unit and Cost Unit.

**Food Unit**

Functional unit within the Service Branch of the Logistics Section responsible for providing meals for incident and/or EOC personnel.

**Function**

In ICS, function refers to the five major activities in the ICS, i.e., Command, Operations, Planning/Intelligence, Logistics and Finance/Administration. The same five functions are also found at all SEMS EOC levels. At the EOC, the term Management replaces Command. The term function is also used when describing the activity involved, e.g., "the planning function."

**Functional Element**

Refers to a part of the incident, EOC or DOC organization such as section, branch, group or unit.

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**G**

**General Staff**

The group of management personnel reporting to the Incident Commander or to the EOC Director. They may each have a deputy, as needed. At the Field SEMS level, the General Staff consists of:

- Operations Section Chief
- Planning/Intelligence Section Chief
- Logistics Section Chief

Finance/Administration Section Chief

At some SEMS EOC levels, the position titles are Section Coordinators.

**Generic ICS**

Refers to the description of ICS that is generally applicable to any kind of incident or event.

**Ground Support Unit**

Functional unit within the Support Branch of the Logistics Section at the SEMS Field Response level that is responsible for the fueling, maintaining and repairing of vehicles, and the transportation of personnel and supplies.

**Group**

Groups are established to divide the incident into functional areas of operation. Groups are composed of resources assembled to perform a special function not necessarily within a single geographic division. (See Division)  
Groups are located between Branches (when activated) and Resources in the Operations Section.

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**H**

**Helibase**

The main location for parking, fueling, maintenance, and loading of helicopters operating in support of an incident. It is usually located at or near the incident base.

**Helispot**

Any designated location where a helicopter can safely take off and land. Some helispots may be used for loading of supplies, equipment, or personnel.

**Hierarchy of Command (See Chain of Command)**

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**I**

**Incident**

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

**Incident Action Plan**

The plan developed at the field response level, which contains objectives reflecting the overall incident strategy and specific tactical actions and supporting information for

the next operational period. The plan may be oral or written.

**Incident Base**

Location at the incident where the primary logistics functions are coordinated and administered. (Incident name or other designator will be added to the term "Base.") The Incident Command Post may be collocated with the Base. There is only one Base per incident.

**Incident Commander**

The individual responsible for the command of all functions at the field response level.

**Incident Command Post (ICP)**

The location at which the primary command functions are executed. The ICP may be collocated with the incident base or other incident facilities.

**Incident Command System (ICS)**

The nationally use standardized on-scene emergency management concept specifically designed to allow its user(s) to adopt an integrated organizational structure equal to the complexity and demands of single or multiple incidents without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, with responsibility for the management of resources to effectively accomplish stated objectives pertinent to an incident.

**Incident Communications Center**

The location of the Communications Unit and the Message Center.

**Incident Management Team**

The Incident Commander and appropriate General and Command Staff personnel assigned to an incident.

**Incident Objectives**

Statements of guidance and direction necessary for the selection of appropriate strategy(s), and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed.



Incident objectives must be achievable and measurable, yet flexible enough to allow for strategic and tactical alternatives.

**Information Officer**

A member of the Command Staff responsible for interfacing with the public and the media or with other agencies requiring information directly from the incident. There is only one Information Officer per incident. The Information Officer may have assistants. This position is also referred to as Public Affairs or Public Information Officer in some disciplines. At SEMS EOC levels, the information function may be established as a Coordinator or as a section or branch reporting directly to the EOC Director.

**Initial Action**

The actions taken by resources, which are the first to arrive at an incident.

**Initial Response**

Resources initially committed to an incident.

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**J**

**Jurisdiction**

The range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority for incident mitigation. Jurisdictional authority at an incident can be political/geographical (e.g., special district, city, county, state or federal boundary lines), or functional (e.g., police department, health department, etc.). (See Multijurisdiction)

**Jurisdictional Agency**

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

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**L**

**Landing Zone**

(See Helispot)

**Leader**

The ICS title for an individual responsible for a functional unit, task forces, or teams.

**Liaison Officer**

A member of the Command Staff at the Field SEMS level responsible for coordinating with representatives from cooperating and assisting agencies. At SEMS EOC levels, the function may be done by a Coordinator and/or within a Section or Branch reporting directly to the EOC Director.

**Life-Safety**

Refers to the joint consideration of both the life and physical well being of individuals.

**Local Government**

Means local agencies per Article 3 of the SEMS regulations. The Government Code 8680.2 defines local agencies as any city, city and county, county, school district or special district.

**Local Government Advisory Committee (LGAC)**

Committees established by the Director of OES to provide a forum for the exchange of information among the cities and counties of a Mutual Aid Region. The LGAC may develop a consensus of action and policy among local emergency managers on issues, policies, and programs of concern to local governments, and if necessary bring such concerns to the attention of the OES Executive Management. This Committee has become inactive with the advent of the Mutual Aid Regional Advisory Committees.

**Logistics Section**

One of the five primary functions found at all SEMS levels. The Section responsible for providing facilities, services and materials for the incident or at an EOC.

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**M**

**Management by Objectives**

In SEMS field and EOC levels, this is a top-down management activity, which involves a three-step process to achieve the desired goal. The steps are: establishing the objectives, selection of appropriate strategy(s) to achieve the objectives, and the direction or assignments associated with the selected strategy.

**Master Mutual Aid Agreement**

An agreement entered into by and between the State of California, its various departments and agencies, and the

various political subdivision, municipal corporations, and public agencies of the State of California to assist each other by providing resources during an emergency Mutual Aid occurs when two or more parties agree to furnish resources and facilities and to render services to each other to prevent and combat any type of disaster or emergency.

**Marshaling Area**

An area used for the completed mobilization and assemblage of personnel and resources prior to their being sent directly to the disaster affected area. Marshaling Areas are utilized particularly for disasters outside of the continental United States.

**Medical Unit**

Functional unit within the Service Branch of the Logistics Section at SEMS Field levels responsible for the development of the Medical Emergency Plan, and from providing emergency medical treatment of incident personnel.

**Message Center**

The Message Center is part of the Incident or EOC Communications Center and is collocated or placed adjacent to it. It receives, records, and routes information to appropriate locations at an incident or within an EOC.

**Mobilization**

The process and procedures used by all organizations federal, state and local for activating, assembling, and transporting all resources that have been requested to respond to or support an incident.

**Mobilization Center**

An off-incident location at which emergency service personnel and equipment are temporarily located pending assignment to incidents, release, or reassignment.

**Multi-Agency or Inter-Agency Coordination**

The participation of agencies and disciplines involved at any level of the SEMS organization working together in a coordinated effort to facilitate decisions for overall emergency response activities, including the sharing of critical resources and the prioritization of incidents.

**Multi-Agency Coordination System (MACS)**

The combination of personnel, facilities, equipment, procedures and communications integrated into a common system. When activated, MACS has the responsibility for coordination of assisting agency resources and support in a multi-agency or multijurisdictional environment. A MAC Group functions within the MACS. MACS organizations are used within the California Fires Services.

**Multi-Agency Incident**

An incident where one or more agencies assist a jurisdictional agency or agencies. The incident may be managed under single or unified command.

**Multijurisdictional Incident**

An incident requiring action from multiple agencies that have a statutory responsibility for incident mitigation. In ICS these incidents will be managed under Unified Command.

**Mutual Aid Agreement**

Written agreement between agencies and/or jurisdictions in which they agree to assist one another upon request, by furnishing personnel and equipment.

**Mutual Aid Coordinator**

An individual at local government, operational area, region or state level that is responsible to coordinate the process of requesting, obtaining, processing and using mutual aid resources. Mutual Aid Coordinator duties will vary depending upon the mutual aid system.

**Mutual Aid Region**

A mutual aid region is a subdivision of state OES established to assist in the coordination of mutual aid and other emergency operations within a geographical area of the state, consisting of two or more county (operational) areas.

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**O**

**Office of Emergency Services**

The Governor's Office of Emergency Services.

**Operational Area**

An intermediate level of the state emergency organization, consisting of a county and all political subdivisions within the county area.

**Operational Period**

The period of time scheduled for execution of a given set of operation actions as specified in the Incident or EOC Action Plan. Operational Periods can be of various lengths, although usually not over 24 hours.

**Operations Section**

One of the five primary functions found at all SEMS levels. The Section responsible for all tactical operations at the incident, or for the coordination of operational activities at an EOC. The Operations Section at the SEMS Field Response Level can include Branches, Divisions and/or Groups, Task Forces, Teams, Single Resources and Staging Areas. At the EOC levels, the Operations Section would contain Branches or Divisions as necessary because of span-of-control considerations.

**Out-of-Service Resources**

Resources assigned to an incident but unable to respond for mechanical, rest, or personnel reasons.

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**P**

**Planning Meeting**

A meeting held as needed throughout the duration of an incident to select specific strategies and tactics for incident control operations and for service and support planning. On larger incidents, the planning meeting is a major element in the development of the Incident Action Plan. Planning meetings are also an essential activity at all SEMS EOC levels.

**Planning Section**

(Also referred to as Planning/Intelligence) One of the five primary functions found at all SEMS levels. Responsible for the collection, evaluation, and dissemination of information related to the incident or an emergency, and for the preparation and documentation of Incident or EOC Action Plans. The section also maintains information on the current and forecasted situation, and on the status of resources assigned to the incident. At the SEMS Field Response Level, the Section will include the Situation, Resource, Documentation, and Demobilization Units, as

well as Technical Specialists. Other units may be added at the EOC level.

**Procurement Unit**

Functional unit within the Finance/Administration Section responsible for financial matters involving vendor contracts.

**Public Information Officer**

The individual at field or EOC level that has been delegated the authority to prepare public information releases and to interact with the media. Duties will vary depending upon the agency and SEMS level.

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**R**

**Recorders**

Individuals within ICS or EOC organizational units who are responsible for recording information. Recorders may be found in Planning, Logistics and Finance/Administration Units.

**Region Emergency Operations Center (REOC)**

Facilities found at State OES Administrative Regions. REOCs are used to coordinate information and resources among operational areas and between the operational areas and the state level.

**Reporting Locations**

Specific locations or facilities where incoming resources can check-in at the incident. (See Check-in).

**Resources**

Personnel and equipment available, or potentially available, for assignment to incidents or to EOCs. Resources are described by kind and type, and may be used in tactical support or supervisory capacities at an incident or at EOCs.

**Resources Unit**

Functional unit within the Planning Section at the SEMS Field Response level responsible for recording the status of resources committed to the incident. The Unit also evaluates resources currently committed to the incident, the impact that additional responding resources will have on the incident, and anticipated resource needs.

**S**

**Safety Officer**

A member of the Command Staff at the incident or within an EOC responsible for monitoring and assessing safety hazards or unsafe situations, and for developing measures for ensuring personnel safety. The Safety Officer may have assistants.

**Section**

The organization level with responsibility for a major functional area of the incident or at an EOC, e.g., Operations, Planning/Intelligence, Logistics, Administration/Finance.

**Section Chief**

The ICS title for individuals responsible for command of functional sections: Operations, Planning/Intelligence, Logistics, and Administration/Finance. At the EOC level, the position will be Section Coordinator.

**Service Branch**

A Branch within the Logistics Section responsible for service activities at the incident. Includes the Communications, Medical and Food Units.

**Single Resource**

An individual, a piece of equipment and its personnel complement, or a crew or team of individuals with an identified work supervisor that can be used on an incident.

**Situation Unit**

Functional unit within the Planning Section responsible for the collection, organization and analysis of incident status information, and for analysis of the situation as it progresses. Reports to the Planning Section Chief.

**Span-of-control**

The supervisory ratio maintained within an ICS or EOC organization. A span-of-control of five-positions reporting to one supervisor is considered optimum.

**Special District**

A unit of local government (other than a city, county, or city and county) with authority or responsibility to own, operate or maintain a project (as defined in California Code of Regulations Section 2900(s) for purposes of natural

disaster assistance. This may include a joint powers authority established under Section 6500 et.seq.of the Code.

**Staging Area**

Staging Areas are locations set up at an incident where resources can be placed while awaiting a tactical assignment. Staging Areas are managed by the Operations Section.

**Staging Area Managers**

Individuals within ICS organizational units that are assigned specific managerial responsibilities at Staging Areas (Also Camp Manager).

**Standardized Emergency Management System (SEMS)**

A system required by California Government Code for managing response to multi-agency and multijurisdictional emergencies in California. SEMS consists of five organizational levels, which are activated as necessary: Field Response, Local Government, Operational Area, Region, State.

**State Operations Center (SOC)**

An EOC facility operated by the Governor's Office of Emergency Services at the state level in SEMS.

**Strategy**

The general plan or direction selected to accomplish incident or EOC objectives.

**Supply Unit**

Functional unit within the Support Branch of the Logistics Section responsible for ordering equipment and supplies required for incident operations.

**Support Branch**

A Branch within the Logistics Section responsible for providing personnel, equipment and supplies to support incident operations. Includes the Supply, Facilities and Ground Support Units.

**Support Resources**

Non-tactical resources under the supervision of the Logistics, Planning/Intelligence, Finance/Administration Sections or the Command Staff.



**Supporting Materials**

Refers to the several attachments that may be included with an Incident Action Plan, e.g., communications plan, map, safety plan, traffic plan, and medical plan.

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**T**

**Tactical Direction**

Direction given by the Operations Section Chief at the SEMS Field level which includes the tactics appropriate for the selected strategy, the selection and assignment of resources, tactics implementation, and performance monitoring for each operational area.

**Task Force**

A combination of single resources assembled for a particular tactical need, with common communications and a leader.

**Team**

(See Single Resource)

**Technical Specialists**

Personnel with special skills that can be used anywhere within the ICS or EOC organization.

**Time Unit**

Functional unit within the Finance/Administration Section responsible for recording time for incident or EOC personnel and hired equipment.

**Type**

Refers to resource capability. A Type 1 resource provides a greater overall capability due to power, size, capacity, etc., than would be found in a Type 2 resource. Resource typing provides managers with additional information in selecting the best resource for the task.

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**U**

**Unified Area Command**

A Unified Area Command is established when incidents under an Area Command are multijurisdictional. (See Area Command and Unified Command)

**Unified Command**

In ICS, Unified Command is a unified team effort which allows all agencies with responsibility for the incident,

either geographical or functional, to manage an incident by establishing a common set of incident objectives and strategies. This is accomplished without losing or abdicating agency authority, responsibility or accountability.

**Unit**

An organizational element having functional responsibility. Units are commonly used in incident Planning/Intelligence, Logistics, or Finance/Administration sections and can be used in operations for some applications. Units are also found in EOC organizations.

**Unity of Command**

The concept by which each person within an organization reports to one and only one designated person.

Part III. Supporting Documents

Standardized Emergency Management System  
(SEMS)

**SEMS Maintenance System**

A System Description for the Ongoing Development, Maintenance, and  
Operations of SEMS

November 2009

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**I. Purpose of the SEMS  
Maintenance System**

To establish, formalize, and institutionalize a process for supporting the ongoing improvement and maintenance of California's overall system for emergency management, including the Standardized Emergency Management System (SEMS).

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**II. Background**

SEMS was established by State legislation, Senate Bill (SB) 1841, Chapter 1069, Statutes of 1992, which went into effect January 1, 1993 (California Government Code Section 8607). Paragraph 2425 of the SEMS Regulations states that, "...The Agency Secretary, California Emergency Management Agency (Cal EMA), shall establish the SEMS Advisory Board consisting of representatives from emergency response agencies to provide advice on all aspects of this Chapter." Paragraph 2443 of the regulation states that, "...On or before December 1, 1995, Cal EMA shall develop standards for compliance that will include a method of evaluation regarding planning, training, exercises and performance."

Initially an Advisory Committee was formed by the Agency Secretary of Cal EMA in 1993 following the passing of SB 1841. The Committee was instrumental in the development of the SEMS Regulations. A Training Working Group was also formed in 1993 to assist and advise the Advisory Committee on the development of a SEMS Training Curriculum. The Training Working Group was expanded in 1994 to oversee the development of both Guidance and Training materials.

By the end of 1997 the statewide implementation of SEMS was completed. This included the development of the SEMS Advisory Board, the SEMS Technical Group, SEMS Specialist Committees, and the Mutual Aid Regional Advisory Committees (MARAC), collectively serving as the SEMS Maintenance System. From 1998 to 2000, the Maintenance System was modified to meet the challenges of Y2K. From 2001 until 2004 SEMS Specialist Committees did not meet due to budget shortages and the major changes that occurred at the federal level due to the September 11, 2001 terrorist event.

In 2004, with the federal initiation of the National Incident Management System (NIMS), the SEMS Maintenance System was reactivated to determine how state and local agencies could both operate within SEMS and be compliant with NIMS.

The experiences of Hurricane Katrina in 2005 identified emergency management issues and resulted in policy changes at both the federal and state level. The role of emergency management at the federal level has become increasingly important. Accordingly, the National Response Plan (NRP) and the NIMS are undergoing further changes. State laws, Executive Orders, and plans have been adopted that directly enhance the make up and mission of the SEMS Maintenance System. Further, to comply with NIMS, the state formally adopted the federal system and integrated it into the California Emergency Management System (Governor's Executive Order S-02-05).

#### **Change in Scope of SEMS**

While SEMS addresses response operations, the scope of the SEMS Maintenance System has been broadened to include all aspects of emergency management: response, recovery, hazard mitigation, preparedness, planning, training, exercising, and resource tracking as required by NIMS.

As a result of the passage of SB 1451, Chapter 600, Statutes of 2006, the SEMS Advisory Board has been expanded to better represent participants in California's emergency management system.

SEMS Specialist Committees have a broader array of subject areas to consider and more flexibility in their

duration with some committees having an almost permanent status.

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### **III. SEMS Maintenance System Requirements**

1. All emergency response levels, i.e., field, local government, operational area, region, state, and federal, will require representation in any ongoing SEMS Maintenance System.
2. SEMS will be used by emergency response and emergency management personnel from a variety of agencies and disciplines, including public, private, and volunteer entities throughout the state; therefore, multi-agency, and multi-discipline representation is required in any SEMS Maintenance System.
3. Statutory responsibility for SEMS rests with the Agency Secretary of Cal EMA. The SEMS Maintenance System provides for an orderly process to assist the Secretary in implementing and maintaining SEMS, and for improving California's emergency management system as a whole.
4. The SEMS Maintenance System will be used to address the NIMS, the NRP, and any other federal emergency management or homeland security effort that requires the state to modify SEMS or comply with federal guidance.
5. Planning, activation, implementation, modifications, after-action/corrective action reporting, document control, training and compliance are all elements that may require development of specific procedures, on-going guidance, and maintenance activities as a part of the SEMS Maintenance System.
6. A well-documented process is needed to ensure that SEMS is maintained and operated effectively on a long-term basis.
7. Because of the need to maintain a standardized national fire services Incident Command System (ICS), all SEMS recommended modifications to ICS must be coordinated with the FIRESCOPE Program prior to implementation.
8. Many efforts to enhance California's Standardized Emergency Management System can be implemented through the use of the SEMS Specialist Committees. However, broadening of the System does not prevent the Governor from creating advisory committees outside of the System as needed. But, by creating Specialist Committees to address emergency

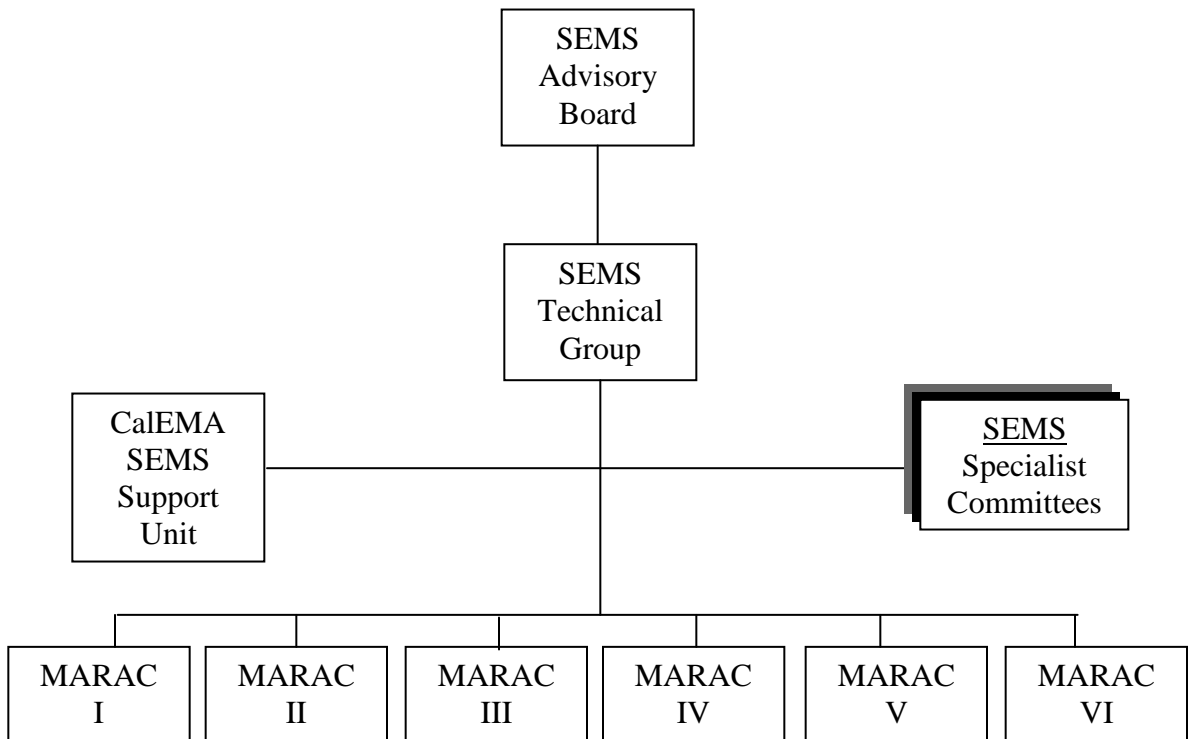
management issues within the SEMS Maintenance System, the Governor can be assured that the work of these committees will be properly vetted and processed through a proven system that has demonstrated its effectiveness and is accepted by the California Emergency Organization.

**IV. SEMS Maintenance System Description**

The SEMS Maintenance System consists of three levels of operation. Each level is described in terms of responsibilities, membership, operating procedures and information flow. The three levels in the SEMS Maintenance System are:

1. SEMS Advisory Board
2. SEMS Technical Group (supported by)
  - SEMS Specialist Committees, as needed
  - A Cal EMA SEMS Support Unit
3. SEMS Mutual Aid Regional Advisory Committees (MARAC)

The overall organization is depicted in the figure below:



MARAC - Mutual Aid Regional Advisory Committee

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**SEMS Advisory Board**

The SEMS Advisory Board (hereafter referred to as the Board) develops and recommends policy to the Cal EMA Agency Secretary. The SEMS Advisory Board shall consist of the following members or their designee:

**Membership**

- Cal EMA Agency Secretary, Board Chairperson
- Adjutant General California National Guard
- Chairperson California Utilities Emergency Association
- Chairperson FIRESCOPE Board of Directors
- Cal EMA Regional Administrators
- Representatives from each of the six Mutual Aid Regional Advisory Committees
- Representative of California Operational Area Coalition
- Secretary, California Department of Food and Agriculture
- Secretary, Resources Agency
- Secretary, Business, Transportation and Housing Agency
- Secretary, California Environmental Protection Agency
- Secretary, State and Consumer Services Agency
- Secretary, California Health and Human Services Agency
- Director , California Volunteers
- President, Public Utilities Commission
- President, California Emergency Services Association
- President, California Chiefs of Police Association
- President, California State Sheriffs Association
- President, California Fire Chiefs Association
- Chairperson of the SEMS Technical Group (non-voting)
- Director, FEMA Region IX

**Responsibilities**

The primary purpose of the Board is to give advice to and make recommendations to the Agency Secretary of Cal EMA related to the administration and coordination of California's Standardized Emergency Management System and the SEMS regulations. The responsibilities of the Board are:

1. Oversee the functioning of the California Standardized Emergency Management System and the SEMS Maintenance System.
2. Provide policy guidance and direction to the SEMS Technical Group.

3. Review, arbitrate and make final recommendations regarding unresolved issues on guidance, training and compliance.

### **Operating Procedures**

1. The SEMS Advisory Board shall meet bi-annually or more often based on activity.
2. Special meetings of the Board can be called by the Agency Secretary of Cal EMA as required.
3. All meetings will be held at the Cal EMA Headquarters, unless circumstances warrant a change in location.
4. The Agency Secretary of Cal EMA can modify the Board membership.
5. Each Board member will have a designated alternate who must have the delegated authority to commit the agency in decision matters before SEMS Advisory Board. The Chairperson of the SEMS Technical Group, or the Chair designee, will be a non-voting member of the Board. This will ensure a close coordination and information transfer process between the two levels.
6. Decision issues brought before the Board from the SEMS Technical Group will be presented by the Chairperson of the SEMS Technical Group, or the Chair designee, along with prior staff work, which will include recommendations of the SEMS Technical Group or Specialist Committees as appropriate.
7. The Board will provide timely resolution on all issues presented. Where consensus cannot be achieved, the Board may require further staff action on the part of the SEMS Technical Group or Specialist Committees or refer the matter to the Agency Secretary of Cal EMA for decision.
8. The Board may task the SEMS Technical Group and/or Specialist Committees with specific issues for analysis and recommendations.

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### **SEMS Technical Group**

#### **Membership**

The SEMS Technical Group shall consist of the following members or their designee:

- Cal EMA Agency Under Secretary, Group Chairperson
- Chairpersons of the Specialist Committees
- Representative from each of the six MARACs
- Cal EMA Branches, including Regional Administrators
- Representative of the Disabled Community (SB 1451)



**Responsibilities**

1. Responds to the needs and directives of the SEMS Advisory Board.
2. Recommends policy changes to the Board.
3. Ensures necessary staff work (SEMS Technical Group or Specialist Committees) is done on issues presented to the SEMS Technical Group by the Board.
4. Reviews and coordinates proposals/recommendations submitted by Specialist Committees, the MARACs and the Cal EMA SEMS Support Unit.
5. Makes consensus decisions on all SEMS matters brought to the SEMS Technical Group unless those matters must be decided at the Advisory Board level.
6. Completes necessary staff work on issue related matters to insure that the Board has sufficient information to make policy decisions.
7. Oversees the establishment and functioning of the SEMS Specialist Committees. Provides direction to these committees, and analyzes and evaluates their recommendations.
8. Keeps the Board informed of the progress of SEMS development, implementation, operations and training.
9. Advises the Board on the effectiveness of the SEMS Maintenance System, the work of Specialist Committees and the MARACs.
10. Reports on and monitors implementation of the Statewide Emergency Management Strategic Plan.
11. Approves Specialist Committee Charters.

**Operating Procedures**

1. The SEMS Technical Group will meet two weeks prior to the SEMS Advisory Board meeting.
2. Special meetings of the group can be called by the chairperson as required.
3. All meetings will be held at the Cal EMA Headquarters.
4. The Chairperson of the SEMS Technical Group shall establish meeting agendas, and ensure that the Cal EMA SEMS Support Unit provides meeting announcements, agendas, and working documents for review to all members at least one week prior to SEMS Technical Group meetings.
5. The SEMS Technical Group will make consensus decisions on issues presented to the group whenever possible.

6. The Chair of the SEMS Technical Group will be a non-voting member of the SEMS Advisory Board, and will attend Board meetings.

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**Specialist Committees**

Specialist Committees may be formed under the direction of the SEMS Technical Group as necessary, through legislation, at the direction of the SEMS Advisory Board, or at the direction of the Cal EMA Agency Secretary. The SEMS Technical Group will approve the membership of Specialist Committees.

Specialist Committee membership will be kept to the minimum necessary to represent the functional area and provide the necessary expertise to staff out the issue.

Specialist Committees can function on an issue-by-issue basis or they can be semi-permanent committees. Each Specialist Committee will prepare a Charter for review and approval by the SEMS Technical Group.

The Chairperson(s) of each Specialist Committee will be responsible for scheduling meetings, developing agendas, identifying staff support, producing progress reports, work products, and coordinating the work of the committee.

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**Cal EMA SEMS Support Unit**

Ongoing SEMS technical support will be required for the SEMS Maintenance System to function properly. Activities to be performed may include: document control, printing, preparation of meeting agendas and minutes, announcements, etc., for the SEMS Advisory Board and the SEMS Technical Group.

**Responsibilities**

1. Prepare and distribute meeting announcements and agendas for SEMS Technical Group and SEMS Advisory Board meetings.
2. Prepare and distribute (postal mail or email) material for SEMS Technical Group and SEMS Advisory Board meetings.
3. Prepare, maintain, and distribute rosters of SEMS Advisory Board, Technical Group, and Specialist Committees.
4. Provide minutes of the SEMS Technical Group and SEMS Advisory Board meetings.

5. Provide other technical support as directed.

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**Mutual Aid Regional Advisory Committees**

Six mutual aid regions (I-VI) are in existence, with several discipline specific mutual aid systems functioning within the mutual aid region framework. (Note: Law Enforcement has seven mutual aid regions.) Each mutual aid system works within a defined set of counties and with its own procedures, communications and personnel structure. Cal EMA has established three Administrative Regions (Coastal, Inland, and Southern). The Administrative Region functions in a general coordinative and information exchange role with regard to the mutual aid regions and systems that operate within the Administrative Region.

To provide a broad base for local government participation in the SEMS Maintenance System the MARACs were established within the existing six mutual aid regions. The result of this is as follows:

Cal EMA Southern Region	MARAC I MARAC VI
Cal EMA Coastal Region	MARAC II
Cal EMA Inland Region	MARAC III MARAC IV MARAC V

MARACs are a principal source of input and information in the SEMS Maintenance System. Recommendations from these committees to the SEMS Technical Group provide a means by which SEMS is maintained and improved.

**Membership**

Each MARAC consists of:

- The Cal EMA Regional Administrator, or deputy, for the Administrative Region encompassing the mutual aid region(s)
- Regional Mutual Aid Coordinators (fire, law enforcement, disaster medical and other established mutual aid systems)
- A representative from each Operational Area located within the mutual aid region
- Representatives from two municipalities (small/large and rotates bi-annually)
- Regional Public Utility Representative

- Private utility representative (rotates bi-annually)
- Special District Representative
- Other designee as appointed by an individual MARAC

**Responsibilities**

1. Adopts regional goals and objectives that support the development, and implementation of SEMS.
2. Ensures that local governments, operational areas, special districts and other organizations, including the private sector and non-governmental organizations, are kept informed of the latest information on emergency management and on SEMS.
3. Recommend changes or modifications to SEMS to the SEMS Technical Group.
4. Provide personnel and/or technical support to SEMS Specialist Committees as appropriate.
5. Ensure that local agencies and jurisdictions are provided the opportunity for ongoing comment and suggestions for system improvements.

**Operating Procedures**

1. MARACs will meet on a bi-monthly or quarterly basis as needed.
2. The Regional Administrator, or the designee, will chair MARAC meetings.
3. Formal MARAC membership will be specified by State Cal EMA and be representative of the emergency management community within the Cal EMA Regions and be consistent with membership categories of the SEMS Technical Group and SEMS Advisory Board.
4. The Regional Administrator in consultation with the MARAC members will designate an Operational Area representative to serve on the SEMS Technical Group and SEMS Advisory Board from each Mutual Aid Region. This appointment may be reviewed annually, or as needed. The selected representative of each MARAC will attend SEMS Advisory Board meetings as a voting member.
5. Each issue presented to, or generated by, the MARAC will be reviewed and discussed by the full MARAC at regularly scheduled meetings, or in special meetings of the OA membership as called by the Regional Administrator. If deemed appropriate, recommendations relative to the issues presented will be forwarded to the SEMS Technical Group for action at their next scheduled meeting.

6. For purposes of voting on SEMS-related MARAC business, the Regional Administrator or designated representative and a majority of members or their designees from county Operational Areas must be in attendance before an official vote can be taken. Only formal members of the MARAC may vote. On issues requiring a vote, business under the quorum should be conducted according to Roberts Rules of Order.
7. Staff support to MARACs will be provided through the associated Cal EMA Administrative Region.
8. The Regional Administrator or designated representative is not a voting member unless required to break a tie.
9. MARAC members may request the Regional Administrator to place a SEMS maintenance issue item on the agenda of the next meeting. The sponsoring member may facilitate the discussion or appoint a designated representative from within their Operational Area to present the issue and participate in the discussion of the issue with the MARAC members.
10. The Regional Administrator may amend the MARAC operating procedures, and forward them for approval by the SEMS Advisory Board.

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**V. Information Flow within the SEMS Maintenance System**

Organizational elements of the SEMS Maintenance System may at any time be involved in:

- Providing general information to all levels of the SEMS Maintenance System.
- Resolving technical issues related to ongoing SEMS implementation, operation, or training.
- Resolving issues regarding problems that require additional guidance or training materials.
- Developing, approving, implementing new guidance, or training material.
- Resolving issues of compliance.

All levels of the SEMS Maintenance System are considered appropriate points of entry for issues to be resolved. Any person or agency can bring an issue to the attention of any level of the SEMS Maintenance System. This includes SEMS Specialist Committees and the Cal EMA SEMS Support Unit.

Issues will be forwarded to, and resolved at the lowest level possible within the organization. Issues that cannot be

successfully resolved at a lower level will be elevated to the next higher level.

Standardized Emergency Management System (SEMS) Guidelines

**CALIFORNIA CODE OF REGULATIONS**

**TITLE 19**

**DIVISION 2**

**OFFICE OF EMERGENCY SERVICES**

**ADOPTED REGULATIONS**

**CHAPTER 1**

**Article 1. Short Title**

**§ 2400. Short Title.**

This Chapter shall be known and may be cited as the Standardized Emergency Management System (SEMS) Regulations.

Note:     **AUTHORITY:**     GOVERNMENT CODE §8607(a)  
              **REFERENCE:**     GOVERNMENT CODE §8607

**Article 2. Purpose and Scope**

**§2401. Purpose and Scope.**

These regulations establish the Standardized Emergency Management System (SEMS) based upon the Incident Command System (ICS) adapted from the system originally developed by the Firefighting Resources of California Organized for Potential Emergencies (FIREScope) program including those currently in use by state agencies, the Multi-Agency Coordination System (MACS) as developed by FIREScope program, the operational area concept, and the Master Mutual Aid Agreement and related mutual aid systems.

SEMS is intended to standardize response to emergencies involving multiple jurisdictions or multiple agencies. SEMS is intended to be flexible and adaptable to the needs of all emergency responders in California. SEMS requires emergency response agencies use basic principles and components of emergency management including ICS, multi-agency or inter-agency coordination, the operational area concept, and established mutual aid systems. State agencies must use SEMS. Local government must use SEMS by December 1, 1996 in order to be eligible for state funding of response-related personnel costs pursuant to activities identified in California Code of Regulations, Title 19, §2920, §2925, and §2930. Individual agencies' roles and responsibilities contained in existing laws or the state emergency plan are not superseded by these regulations.

Note:     **AUTHORITY:**     GOVERNMENT CODE §8607(a), §8607(b)  
              **REFERENCE:**     GOVERNMENT CODE §8607, HEALTH AND SAFETY CODE §13071, §13072

## Standardized Emergency Management System (SEMS) Guidelines

### Article 3. Definitions

#### §2402. Definitions.

- (a) "Action Plan" means the plan prepared in the EOC containing the emergency response objectives of that SEMS level reflecting overall priorities and supporting activities for a designated period. The plan is shared with supporting agencies.
- (b) "Activate" means, at a minimum, a designated official of the emergency response agency implements SEMS as appropriate to the scope of the emergency and the agency's role in response to the emergency.
- (c) "Department Operations Center" means an EOC used by a distinct discipline, such as fire, medical, hazardous material, or a unit such as Department of Public Works, Department of Health, or local water district. Department operations centers may be used at all SEMS levels above the field response level depending upon the impacts of the emergency.
- (d) "Disaster Assistance Program" is a program that provides state funding or reimbursement for local government response-related personnel costs incurred in response to an incident as defined in Section 2402(i).
- (e) "Emergency" means a condition of disaster or of extreme peril to the safety of persons and property within the state caused by such conditions as air pollution, fire, flood, hazardous material incident, storm, epidemic, riot, drought, sudden and severe energy shortage, plant or animal infestations or disease, the Governor's warning of an earthquake or volcanic prediction, or an earthquake or other conditions, other than conditions resulting from a labor controversy.
- (f) "Emergency Operations Center" means a location from which centralized emergency management can be performed.
- (g) "Emergency Response Agency" means any organization responding to an emergency, whether in the field, at the scene of an incident, or to an EOC, in response to an emergency, or providing mutual aid support to such an organization.
- (h) "Emergency Response Personnel" means personnel involved with an agency's response to an emergency.
- (i) "Incident" means an occurrence or event, either human-caused or by natural phenomena, that requires action by emergency response personnel to prevent or minimize loss of life or damage to property and/or natural resources.
- (j) "Incident Action Plan" means the plan developed at the field response level which contains objectives reflecting the overall incident strategy and specific tactical actions and supporting information for the next operational period. The plan may be oral or written.
- (k) "Incident Commander" means the individual responsible for the command of all functions at the field response level.



## Standardized Emergency Management System (SEMS) Guidelines

(l) "Incident Command System (ICS)" means a nationally used standardized on-scene emergency management concept specifically designed to allow its user(s) to adopt an integrated organizational structure equal to the complexity and demands of single or multiple incidents without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, with responsibility for the management of resources to effectively accomplish stated objectives pertinent to an incident.

(m) "Local Government" means local agencies as defined in Government Code §8680.2 and special districts as defined in California Code of Regulations, Title 19, Division 2, Chapter 5, NDAA, §2900(y).

(n) "Multi-agency or inter-agency coordination" means the participation of agencies and disciplines involved at any level of the SEMS organization working together in a coordinated effort to facilitate decisions for overall emergency response activities, including the sharing of critical resources and the prioritization of incidents.

(o) "Office of Emergency Services" means the Governor's Office of Emergency Services.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607, §8680.2, §8558(c)

### Article 4. Standardized Emergency Management System

#### §2403. SEMS Organizational Levels and Functions.

(a) All emergency response agencies shall use the Standardized Emergency Management System in responding to, managing, and coordinating multiple agency or multiple jurisdiction incidents, whether single or multiple discipline.

(b) There are five designated levels in the SEMS organization: field response, local government, operational area, regional, and state. Each level is activated as needed.

(1) "Field response level" commands emergency response personnel and resources to carry out tactical decisions and activities in direct response to an incident or threat.

(2) "Local government level" manages and coordinates the overall emergency response and recovery activities within their jurisdiction.

## Standardized Emergency Management System (SEMS) Guidelines

- (3) "Operational area level" manages and/or coordinates information, resources, and priorities among local governments within the operational area and serves as the coordination and communication link between the local government level and the regional level.
- (4) "Regional level" manages and coordinates information and resources among operational areas within the mutual aid region designated pursuant to Government Code §8600 and between the operational areas and the state level. This level along with the state level coordinates overall state agency support for emergency response activities.
- (5) "State level" manages state resources in response to the emergency needs of the other levels, manages and coordinates mutual aid among the mutual aid regions and between the regional level and state level, and serves as the coordination and communication link with the federal disaster response system.
- (c) Local government, operational area, regional, and state levels shall provide for all of the following functions within SEMS: management, operations, planning/intelligence, logistics, and finance/administration.
- (1) Management is responsible for overall emergency policy and coordination through the joint efforts of governmental agencies and private organizations.
- (2) Operations is responsible for coordinating all jurisdictional operations in support of the response to the emergency through implementation of the organizational level's action plan.
- (3) Planning/Intelligence is responsible for collecting, evaluating, and disseminating information; developing the organizational level's action plan in coordination with the other functions; and maintaining documentation.
- (4) Logistics is responsible for providing facilities, services, personnel, equipment, and materials.
- (5) Finance/Administration is responsible for financial activities and administrative aspects not assigned to the other functions.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607, §8559, §8605, §8600

### **§2405. Field Response Level.**

- (a) Emergency response agencies operating at the field response level of an incident shall utilize the Incident Command System, incorporating the functions, principles and components of ICS.
- (1) The functions of ICS are command, operations, planning, logistics and finance.
- (A) Command is the directing, ordering, and/or controlling of resources by virtue of explicit legal, agency, or delegated authority.
- (B) Operations is responsible for the coordinated tactical response of all field operations directly applicable to or in support of the mission(s) in accordance with the Incident Action Plan.

## Standardized Emergency Management System (SEMS) Guidelines

- (C) Planning (may be referred to as planning/intelligence) is responsible for the collection, evaluation, documentation, and use of information about the development of the incident and the status of resources.
  - (D) Logistics is responsible for providing facilities, services, personnel, equipment, and materials in support of the incident.
  - (E) Finance (may be referred to as finance/administration) is responsible for all financial and cost analysis aspects of the incident, and for any administrative aspects not handled by the other functions.
- (2) The principles of ICS are that:
- (A) The system provides for the following kinds of operation: single jurisdictional responsibility/single agency involvement, single jurisdictional responsibility with multiple-agency involvement, and multiple-jurisdictional responsibility with multiple-agency involvement.
  - (B) The system's organizational structure adapts to any emergency or incident to which emergency response agencies would be expected to respond.
  - (C) The system shall be applicable and acceptable to all user agencies.
  - (D) The system is readily adaptable to new technology.
  - (E) The system expands in a rapid and logical manner from an initial response into a major incident and contracts just as rapidly as organizational needs of the situation decrease.
  - (F) The system has basic common elements in organization, terminology and procedures.
- (3) The components of ICS are common terminology, modular organization, unified command structure, consolidated action plans, manageable span-of-control, predesignated incident facilities, comprehensive resource management, and integrated communications.
- (A) Common terminology is the established common titles for organizational functions, resources, and facilities within ICS.

## Standardized Emergency Management System (SEMS) Guidelines

- (B) Modular organization is the method by which the ICS organizational structure develops based upon the kind and size of an incident. The organization's staff builds from the top down with responsibility and performance placed initially with the Incident Commander. As the need exists, operations, planning, logistics, and finance may be organized as separate sections, each with several units.
- (C) Unified command structure is a unified team effort which allows all agencies with responsibility for the incident, either geographical or functional, to manage an incident by establishing a common set of incident objectives and strategies. This is accomplished without losing or abdicating agency authority, autonomy, responsibility or accountability.
- (D) Consolidated action plans identify objectives and strategy determinations made by the Incident Commander for the incident based upon the requirements of the jurisdiction. In the case of a unified command, the incident objectives must adequately reflect the policy and needs of all the jurisdictional agencies. The action plan for the incident covers the tactical and support activities required for the operational period.
- (E) Manageable span-of-control within ICS is a limitation on the number of emergency response personnel who can effectively be supervised or directed by an individual supervisor. The kind of incident, the nature of the response or task, distance, and safety will influence the span of control range. The ordinary span-of-control range is between three and seven personnel.
- (F) Predesignated incident facilities are identified within ICS. The determination of the kinds and locations of facilities to be used will be based upon the requirements of the incident.
- (G) Comprehensive resource management is the identification, grouping, assignment and tracking of resources.
- (H) Integrated communications are managed through the use of a common communications plan and an incident-based communications center established for the use of tactical and support resources assigned to the incident.
- (b) Where an agency has jurisdiction over multiple-agency incidents, it shall organize the field response using ICS to provide for coordinated decision-making with emergency response agencies.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(a)(1), §8607(e), HEALTH AND SAFETY CODE  
§13071, §13072

## Standardized Emergency Management System (SEMS) Guidelines

### § 2407. Local Government Level.

- (a) The Standardized Emergency Management System as described under SEMS Organizational Levels and Functions (§2403) shall be utilized:
- (1) when the local government emergency operations center is activated.
  - (2) when a local emergency, as defined in Government Code §8558(c), is declared or proclaimed.
- (b) When a local government EOC is activated, communications and coordination shall be established between the Incident Commander(s) and the department operations center(s) to the EOC or between the Incident Commander(s) and the EOC. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.
- (c) Communications and coordination shall be established between a local government EOC, when activated, and any state or local emergency response agency having jurisdiction at an incident occurring within that local government's boundaries.
- (d) Local government shall use multi-agency or inter-agency coordination to facilitate decisions for overall local government level emergency response activities.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8558(c), §8607(a), §8607(e)

### § 2409. Operational Area Level.

- (a) "Operational Area Level" means an intermediate level of the state emergency services organization, consisting of a county and all political subdivisions within the county area. Each county geographic area is designated as an operational area. An operational area is used by the county and the political subdivisions comprising the operational area for the coordination of emergency activities and to serve as a link in the system of communications and coordination between the state's emergency operation centers and the operation centers of the political subdivisions comprising the operational area, as defined in Government Code §8559(b) & §8605. This definition does not change the definition of operational area as used in the existing fire and rescue mutual aid system.
- (b) All local governments within a county geographic area shall be organized into a single operational area by December 1, 1995, and the county board of supervisors shall be responsible for its establishment.
- (c) The operational area authority and responsibility under SEMS shall not be affected by non-participation of any local government(s) within the operational area.
- (d) The county government shall serve as the lead agency of the operational area unless another member agency of the operational area assumes that responsibility by written agreement with county government.
- (e) The lead agency of the operational area shall:

## Standardized Emergency Management System (SEMS) Guidelines

- (1) Coordinate information, resources and priorities among the local governments within the operational area.
- (2) Coordinate information, resources and priorities between the regional level and the local government level. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.
- (3) Use multi-agency or inter-agency coordination to facilitate decisions for overall operational area level emergency response activities.
- (f) The operational area EOC shall be activated and SEMS used as described in the SEMS Organizational Levels and Functions (§2403) when any of the following conditions exists:
  - (1) A local government within the operational area has activated its EOC and requested activation of the operational area EOC to support their emergency operations.
  - (2) Two or more cities within the operational area have declared or proclaimed a local emergency.
  - (3) The county and one or more cities have declared or proclaimed a local emergency.
  - (4) A city, city and county, or county has requested a governor's proclamation of a state of emergency, as defined in Government Code §8558(b).
  - (5) A state of emergency is proclaimed by the governor for the county or two or more cities within the operational area.
  - (6) The operational area is requesting resources from outside its boundaries, except those resources used in normal day-to-day operations which are obtained through existing agreements providing for the exchange or furnishing of certain types of facilities and services on a reimbursable, exchange, or other basis as provided for under the Master Mutual Aid Agreement.
  - (7) The operational area has received resource requests from outside its boundaries, except those resources used in normal day-to-day operations which are obtained through existing agreements providing for the exchange or furnishing of certain types of facilities and services on a reimbursable, exchange, or other basis as provided for under the Master Mutual Aid Agreement.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(a), §8558(c), §8559(b), §8605, §8561, §8616,  
§8617, §8618

## Standardized Emergency Management System (SEMS) Guidelines

### § 2411. Regional Level.

- (a) The regional level EOC shall be activated and SEMS used as described in SEMS Organizational Levels and Functions (§2403) when any operational area EOC within the mutual aid region is activated.
- (b) The lead agency for establishment of the regional level EOC shall be OES.
- (c) The location of the regional level EOC shall be identified by OES to accommodate the needs of the operational area(s) served.
- (d) When the regional level EOC is activated, communications and coordination shall be established with the operational area(s), the state level EOC, and regional level department operations centers. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.
- (e) The regional level shall use multi-agency or inter-agency coordination to facilitate decisions for overall regional level emergency response activities.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(a), §8600, §8559(a)

### § 2413. State Level.

- (a) The state level EOC shall be activated and SEMS used as described in SEMS Organizational Levels and Functions (§2403) when any of the following conditions exists:
  - (1) A regional level EOC is activated.
  - (2) Upon the governor's proclamation of a state of emergency.
  - (3) Upon the governor's proclamation of an earthquake or volcanic prediction.
- (b) The lead agency for establishment of the state level EOC shall be OES.
- (c) When the state level EOC is activated, communications and coordination shall be established with the regional level EOC(s), state level department operations centers, and federal emergency response agencies. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.
- (d) The state level shall use multi-agency or inter-agency coordination to facilitate decisions for overall state level emergency response activities.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(a), §8558(b)

## Standardized Emergency Management System (SEMS) Guidelines

### **§2415. Mutual Aid.**

(a) "Mutual Aid" means voluntary aid and assistance by the provision of services and facilities, including but not limited to: fire, police, medical and health, communication, transportation, and utilities. Mutual aid is intended to provide adequate resources, facilities, and other support to jurisdictions whenever their own resources prove to be inadequate to cope with a given situation.

(b) "Mutual Aid System" means the system which allows for the progressive mobilization of resources to/from emergency response agencies, local governments, operational areas, regions, and the state with the intent of providing adequate resources to requesting agencies. The California mutual aid system includes several discipline-specific mutual aid systems (e.g., fire and rescue, law enforcement, medical and public works) which are consistent with the Master Mutual Aid Agreement.

(c) All mutual aid systems and agreements shall be consistent with SEMS and the Master Mutual Aid Agreement.

(d) Unless otherwise provided by agreement, the responsible local official in whose jurisdiction(s) an incident requiring mutual aid has occurred remains in charge and retains overall direction of personnel and equipment provided through mutual aid (as provided for in Government Code §8618).

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(a)(3), §8561, §8616, §8617, §8618

## **Article 5. Standardized Emergency Management System Advisory Board**

### **§ 2425. Establishment and Purpose.**

The Director, OES, shall establish the SEMS Advisory Board consisting of representatives from emergency response agencies to provide advice on all aspects of this Chapter.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(a), §8587



# Standardized Emergency Management System (SEMS) Guidelines

## Article 6. Training

### §2428. Minimum Performance Objectives.

- (a) Emergency response agencies shall determine the appropriate level(s) of SEMS instruction for each member of their staff, based upon the staff member's potential assignment during an emergency response.
- (b) Emergency response agencies shall ensure that their emergency response personnel can demonstrate and maintain, to the level deemed appropriate, the minimum SEMS performance objectives required by their agencies' training programs. Agencies shall use the Minimum Performance Objectives contained in the Approved Course of Instruction (ACI) Syllabus dated March 1, 1995, which are hereby incorporated by reference, as the basis for their training programs. Minimum Performance Objectives are contained in Paragraph D of each Course Module description.
- (c) SEMS minimum performance objectives shall be met through completion of materials from the ACI, completion of equivalent courses of instruction, or through incorporation of the objectives into exercises.

Note: AUTHORITY: GOVERNMENT CODE § 8607(a)  
REFERENCE: GOVERNMENT CODE § 8607(a) and §8607(e)

## Article 7. Compliance

### §2443. General Provisions.

- (a) Local government must use SEMS in order to be eligible for state funding of response-related personnel costs occurring in response to an incident as defined in §2402 (i). All state agencies shall use SEMS to coordinate multiple jurisdiction or multiple agency emergency and disaster operations.
- (b) Compliance with SEMS shall be documented in the areas of planning, training, exercises, and performance.
- (c) All applicants for reimbursement of response-related personnel costs shall self-certify compliance with §2445, 2446, 2447, and 2448. This self-certification shall be submitted in writing with the application.
- (d) Evidence of compliance with SEMS as set forth in §2445, 2446, 2447, and 2448 shall be available for review.

## Standardized Emergency Management System (SEMS) Guidelines

(e) When the OES Director determines sufficient evidence exists to warrant a SEMS Compliance review, a Review Team shall be established to evaluate the compliance with SEMS of any local government which has requested funding of its response-related personnel costs under disaster assistance programs, or any operational area or state agency. The OES Director shall notify the local government, operational area, or state agency being evaluated, the SEMS Advisory Board, and the fund(s) administrator of any disaster assistance program of the establishment of the Review Team. At a minimum, participants on the Review Team shall include peers of the entity being evaluated, OES staff, and others knowledgeable in emergency operations and SEMS. The Review Team shall meet with the local government, operational area, or state agency being evaluated and solicit all pertinent information. The team may also review records and interview persons knowledgeable on the SEMS compliance activities of the entity being evaluated. The Review Team shall report its findings to the local government, operational area, or state agency that was evaluated, the SEMS Advisory Board, and the OES Director. This report must be issued within ninety (90) days of the establishment of the Review Team.

(f) The SEMS Advisory Board shall examine the Review Team's report within sixty (60) days of submittal of the report. The SEMS Advisory Board shall also consider additional information pertinent to the evaluation. The local government, operational area, or state agency being evaluated may submit additional information to the Board, either verbally or in writing. After consideration, the SEMS Advisory Board shall submit a recommendation to the OES Director. A copy of the recommendation shall be forwarded to the local government, operational area, or state agency being evaluated.

(g) The OES Director shall make a determination on whether or not the local government, operational area, or state agency being evaluated was in compliance with SEMS. This determination shall be forwarded to the local government, operational area, or state agency being evaluated by certified letter within thirty (30) days of the SEMS Advisory Board's recommendation. A copy of the determination shall be provided to the fund(s) administrator of any disaster assistance program.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(e), §8682.9, §8558(c)

### **§2444. Appeal Process.**

(a) In the event the local government, operational area, or state agency being evaluated disagrees with the determination of the OES Director, the local government, operational area, or state agency may request a reconsideration of the determination. The request must be submitted within thirty (30) days of receipt of the letter of determination.

(b) The request for reconsideration shall be in writing and indicate why the local government, operational area, or state agency disagrees with the decision, any new or additional pertinent information, and any legal authority or other basis for the disagreement with the determination.

## Standardized Emergency Management System (SEMS) Guidelines

(c) The OES Director shall review the request for reconsideration and make a determination. The local government, operational area, or state agency that submitted the request for reconsideration shall be notified of the OES Director's decision by certified letter within thirty (30) days of receipt of the request for reconsideration. A copy of the determination shall be provided to the fund(s) administrator of any disaster assistance program.

(d) The OES Director's decision shall be considered final for the purposes of the appeal process.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(e)

### **§2445. Planning.**

Local governments, operational areas, and state agencies shall include the use of SEMS in emergency plans and procedures pursuant to §2403, 2405, 2407, 2409, 2411, 2413 and 2415.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(a), §8607(b), §8607(c), §8607.2(c)

### **§2446. Training.**

Local governments, operational areas, and state agencies shall document SEMS training provided to its emergency response personnel pursuant to §2428.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(c)

### **§2447. Exercises.**

Local governments, operational areas, and state agencies shall incorporate the use of SEMS pursuant to §2403, 2405, 2407, 2409, 2411, 2413 and 2415 at all levels of operation when exercises are performed.

Note: AUTHORITY: GOVERNMENT CODE §8607(a), §8607.2(c)  
REFERENCE: GOVERNMENT CODE §8607(c), §8607.2(c)

### **§2448. Performance.**

Local governments, operational areas, and state agencies shall document the use of SEMS. Documentation shall include activities performed pursuant to §2403, 2405, 2407, 2409, 2411, 2413 and 2415 during the emergency.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(d)

## Standardized Emergency Management System (SEMS) Guidelines

### Article 8. After Action Reports

#### §2450. Reporting Requirements.

(a) Any city, city and county, or county declaring a local emergency for which the governor proclaims a state of emergency, and any state agency responding to that emergency shall complete and transmit an after action report to OES within ninety (90) days of the close of the incident period as specified in California Code of Regulations, Title 19, §2900(j).

(b) The after action report shall, at a minimum, be a review of response actions taken, application of SEMS, suggested modifications to SEMS, necessary modifications to plans and procedures, identified training needs, and recovery activities to date.

Note: AUTHORITY: GOVERNMENT CODE §8607(a)  
REFERENCE: GOVERNMENT CODE §8607(f)

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SECTION  
Function Specific Handbook**

**CHAPTER THREE  
MARCH 2001**

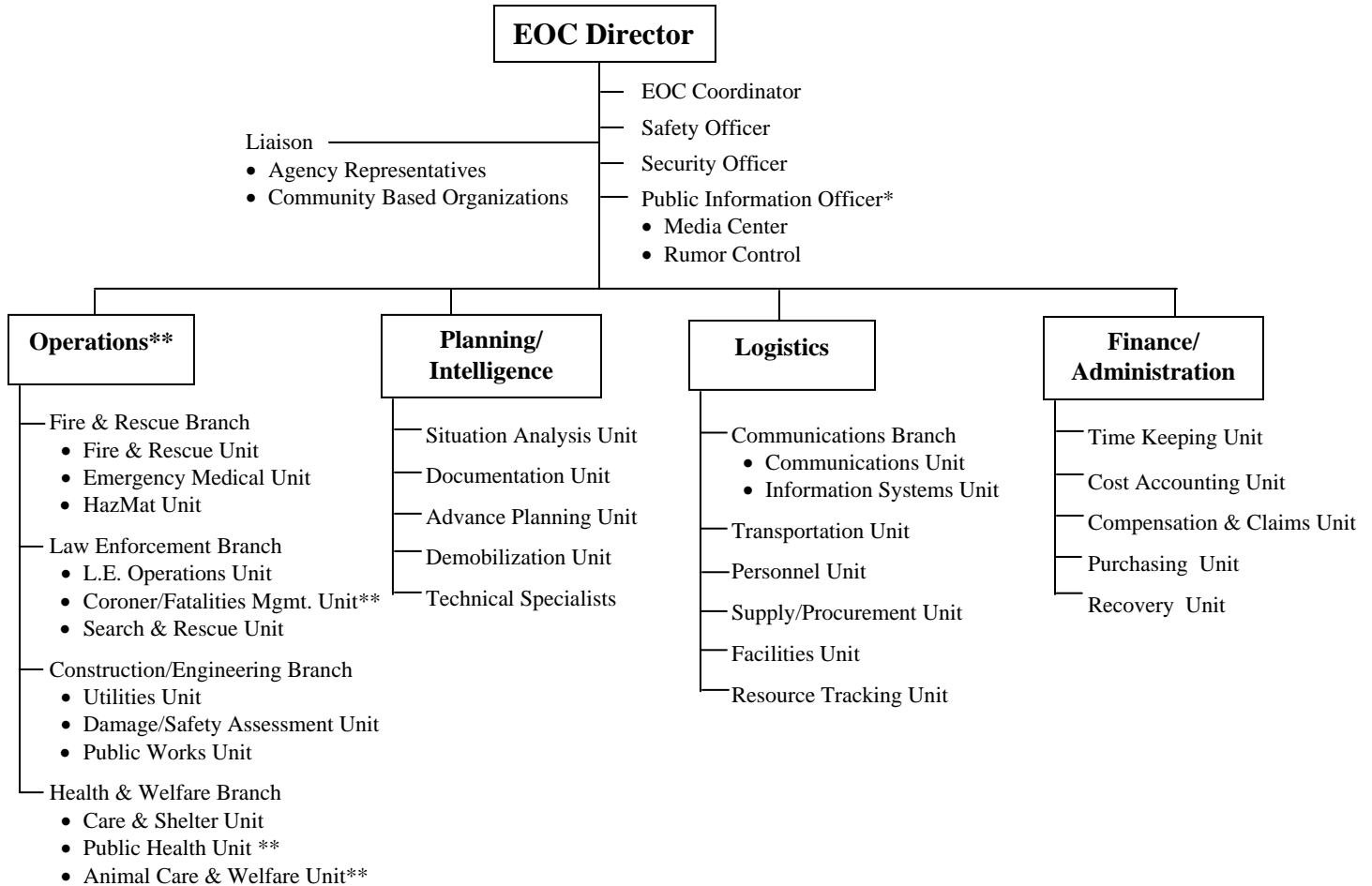
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# LOCAL GOVERNMENT FINANCE/ADMINISTRATION SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Local Government EOC Functional Organization Chart



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

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

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

See last page of this handbook for an example of a Small Local Government EOC Functional Organization Chart.

## II. General Considerations

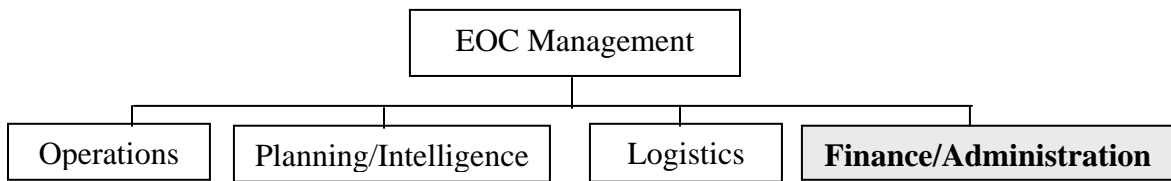
### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Finance/Administration Section of an EOC. The checklists describe minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

### C. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established as Units. However in some jurisdictions the sub-functions may also be established as Branches or Groups.

The functions described here are those activities that may need to be activated during an EOC activation for the Finance/Administration Section at the local government EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

### D. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply:

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub functions.



- One person may have delegated authority for more than one area of responsibility (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

### III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

#### **Activation Phase:**

- Check in upon arrival at the EOC.
- Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- Set up your workstation and review your position responsibilities.
- Establish and maintain a position log that chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure RIMS (Response Information Management System) is operational.

#### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the EOC Director.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- Be prepared to provide input to the after-action report.

- If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.
- Leave a forwarding phone number where you can be reached.

#### IV. Finance/Administration Section Functional Descriptions

The EOC Director has the authority and responsibility to direct all EOC activity. The EOC Director may delegate authority to a General Staff.

Finance/Administration positions will vary depending upon the need of the EOC Director for support. The positions listed below are the more common Finance/Administration positions. Note that in some EOCs these positions may be activated at a one-person level, or at a unit level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The Finance/Administration Section positions are important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.

## **Finance/Administration Section Coordinator**

### **Function Description:**

The Finance/Administration function in the EOC manages all financial, administrative and cost analysis aspects of the emergency. Initially, this work may be done in the EOC, but in later stages of the emergency this function may be accomplished at other locations.

### **Responsibilities:**

1. Ensure that all financial records are maintained throughout the emergency.
2. Ensure that all on-duty time is recorded for all emergency response personnel.
3. Ensure that all on-duty time sheets are collected from EOC assigned personnel and that departments are collecting this information from Field Level Supervisors or Incident Commanders and their staffs.
4. Ensure there is a continuum of the payroll process for all employees responding to the emergency.
5. Determine purchase order limits for the procurement function in Logistics.
6. Ensure that workers' compensation claims, resulting from the response are processed within a reasonable time, given the nature of the situation.
7. Ensure that all travel and expense claims are processed within a reasonable time, given the nature of the situation.
8. Provide administrative support to all EOC Sections as required, in coordination with the Personnel Unit.
9. Activate units within the Finance/Administration Section as required; monitor section activities continuously and modify the organization as needed.
10. Ensure that all recovery documentation is accurately maintained during the response and submitted on the appropriate forms to the Federal Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.
11. Supervise the Finance/Administration Section.

### **Activation Phase:**

- Follow the generic Activation Phase Checklist.

- Ensure that the Finance/Administration Section is set up properly and that appropriate personnel, equipment, and supplies are in place.
- Based on the situation, activate units within section as needed and designate Unit Coordinators for each element:
  - Time Keeping Unit
  - Cost Accounting Unit
  - Purchasing Unit
  - Compensation & Claims Unit
  - Recovery Unit
- Ensure that sufficient staff are available for a 24-hour schedule, or as required.
- Meet with the Logistics Section Coordinator and review financial and administrative support requirements and procedures; determine the level of purchasing authority to be delegated to Logistics Section.
- Meet with all Unit Leaders and ensure that responsibilities are clearly understood.
- In conjunction with Unit Leaders, determine the initial Action Planning objectives for the first operational period.
- Notify the EOC Director when the Finance/Administration Section is operational.
- Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

**Operational Phase:**

- Ensure that Finance/Administration Section position logs and other necessary files are maintained.
- Ensure that displays associated with the Finance/Administrative Section are current, and that information is posted in a legible and concise manner.
- Participate in all Action Planning meetings.
- Brief all Unit Leaders and ensure they are aware of the EOC objectives as defined in the Action Plan.
- Keep the EOC Director, General Staff, and elected/other officials aware of the current fiscal situation and other related matters, on an on-going basis.
- Ensure that the Recovery Unit maintains all financial records throughout the emergency.

- Ensure that the Time Keeping Unit tracks and records all agency staff time.
- In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.
- Ensure that the Compensation & Claims Unit processes all workers' compensation claims, resulting from the emergency, in a reasonable time-frame, given the nature of the situation.
- Ensure that the Time-Keeping Unit processes all time-sheets and travel expense claims promptly.
- Ensure that the Finance/Administration Section provides administrative support to other EOC Sections as required.
- Ensure that all recovery documentation is accurately maintained by the Recovery Unit during the response, and submitted on the appropriate forms to Federal Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Time Keeping Unit Leader

### Responsibilities:

1. Track, record, and report all on-duty time for personnel working during the emergency.
2. Ensure that personnel time records, travel expense claims and other related forms are prepared and submitted to budget and payroll office.
3. Supervise the Time Keeping Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Initiate, gather, or update time reports from all personnel, to include volunteers assigned to each shift; ensure that time records are accurate and prepared in compliance with policy.
- Obtain complete personnel rosters from the Personnel Unit. Rosters must include all EOC personnel as well as personnel assigned to the field level.
- Provide instructions for all supervisors to ensure that time sheets and travel expense claims are completed properly and signed by each employee prior to submitting them.
- Establish a file for each employee or volunteer within the first operational period; to maintain a fiscal record for as long as the employee is assigned to the response.
- Keep the Finance/Administration Section Coordinator informed of significant issues affecting the Time-Keeping Unit.

### Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

## Cost Accounting Unit Leader

### Responsibilities:

1. Responsible for collecting cost information, performing cost-effectiveness analyzes and providing cost estimates and cost savings recommendations.
2. Supervise the Cost Accounting Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Establish (or implement) an accounting system and special cost codes associated with this emergency.
- Monitor all emergency expenditures.
- Ensure that all sections and units are documenting cost related information.
- Collect, and compile cost information at the end of each shift.
- Obtain and record all cost data to cover:
  - Personnel
  - Equipment
  - Rental/Contract Equipment
  - Supplies from outside vendors
  - Contracts for special or emergency services
- Coordinate with the Documentation Unit on content and format of cost related files to be transferred.
- Review existing documentation to determine if there are additional cost items that may have been overlooked.
- Prepare cost estimates related to EOC objectives and strategies. Be prepared to discuss these at EOC Planning Meetings if required.

- Compile cumulative cost records on a daily basis.
- Ensure that departments are compiling cost information using any special agency/jurisdiction cost codes.
- Ensure that estimate costs are replaced with actual costs where known.
- Provide verbal or written reports to the Finance/Administration Section Coordinator upon request.
- Prepare and maintain a cost report to include cumulative analysis, summaries and total expenditures related to the emergency.
- Organize and prepare records for audits as necessary.
- Act as the liaison for the EOC with county and other disaster assistance agencies to coordinate the cost recovery process.
- Prepare all required state and federal documentation as necessary to recover allowable costs.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.



## Compensation and Claims Unit Leader

### Responsibilities:

1. Oversee the investigation of injuries and property/equipment damage claims arising out of the emergency.
2. Complete all forms required by worker's compensation program.
3. Maintain a file of injuries and illnesses associated with the emergency which includes results of investigations.
4. Supervise the Compensation and Claims Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Maintain a chronological log of injuries and illnesses, and property damage reported during the emergency.
- Investigate all injury and damage claims as soon as possible.
- Prepare appropriate forms for all verifiable injury claims and forward them to Workmen's Compensations within the required time frame consistent with jurisdiction's policy & procedures.
- Coordinate with the Safety Officer regarding the mitigation of hazards.
- Keep the Finance/Administration Coordinator informed of significant issues affecting the Compensation and Claims Unit.
- Forward all equipment or property damage claims to the Recovery Unit.

### Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

## Purchasing Unit Leader

### Responsibilities:

1. Coordinate vendor contracts not previously addressed by existing approved vendor lists.
2. Coordinate with Supply/Procurement Unit on all matters involving the need to exceed established purchase order limits.
3. Supervise the Purchasing Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Review the emergency purchasing procedures.
- Prepare and sign contracts as needed, be sure to obtain concurrence from the Finance/Administration Section Coordinator.
- Ensure that all contracts identify the scope of work and specific site locations.
- Negotiate rental rates not already established, or purchase price with vendors as required.
- Admonish vendors as necessary, regarding unethical business practices, such as inflating prices or rental rates for their merchandise or equipment during emergencies.
- Finalize all agreements and contracts, as required.
- Complete final processing and send documents to Budget and Payroll for payment.
- Verify costs data in the pre-established vendor contracts and/or agreements.
- In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.
- Keep the Finance/Administration Section Coordinator informed of all significant issues involving the Purchasing Unit.

## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Recovery Unit Leader

## Responsibilities:

1. Determine impacts of the emergency requiring recovery planning.
2. Initiate recovery-planning meetings with appropriate individuals and agencies.
3. Develop the initial recovery plan and strategy for the jurisdiction.
4. Ensure that all appropriate agencies are kept informed and have the opportunity to participate in the recovery planning process.
5. Develop the strategy to transition from recovery planning in the EOC to a wider post-emergency recovery effort.
6. Supervise the Recovery Unit.

## Activation Phase:

- Follow the generic Activation Phase Checklist.

## Operational Phase:

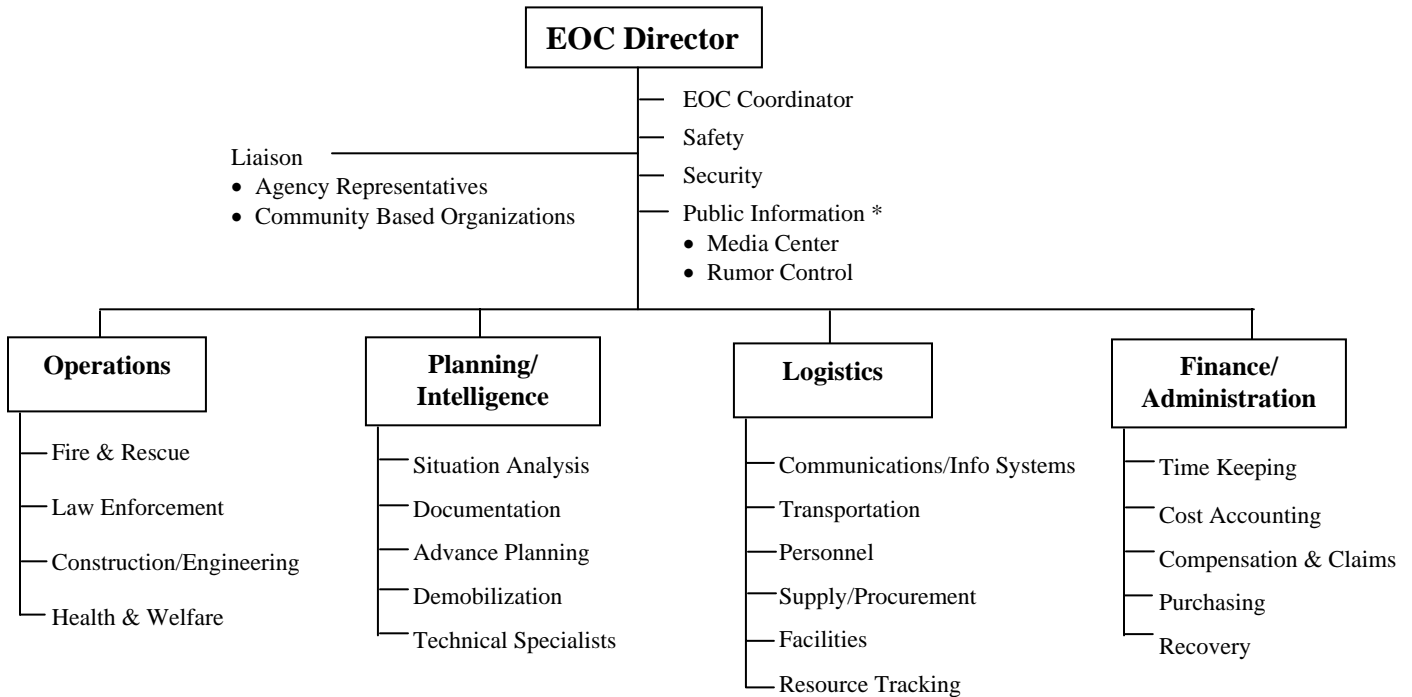
- Establish and maintain a position log and other necessary files.
- Monitor the current situation report to include recent updates and determine overall impacts of the emergency.
- Based on available information, prepare an initial estimate of likely recovery issues that must be addressed. Document these in a preliminary report.
- Coordinate with the Advance Planning Unit to determine major mid-to-long range social, economic, environmental and political impacts.
- Assist the Operational Area as necessary in determining appropriate sites for Disaster Application Centers.
- Facilitate recovery planning meetings involving appropriate Management and General Staff personnel and other agencies as needed.
- Develop a recovery plan and strategy for the jurisdiction or agency.

- Coordinate with Finance/Administration to ensure that FEMA, OES and other public reimbursement source documents and applications are consistent with the recovery strategy.
- In conjunction with Finance/Administration, ensure that specific project timelines are developed to meet the goals and objectives of the recovery plan.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## V. Small Local Government EOC Functional Organization Chart



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

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

**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

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LOGISTICS SECTION  
Function Specific Handbook**

**CHAPTER THREE**

**MARCH 2001**

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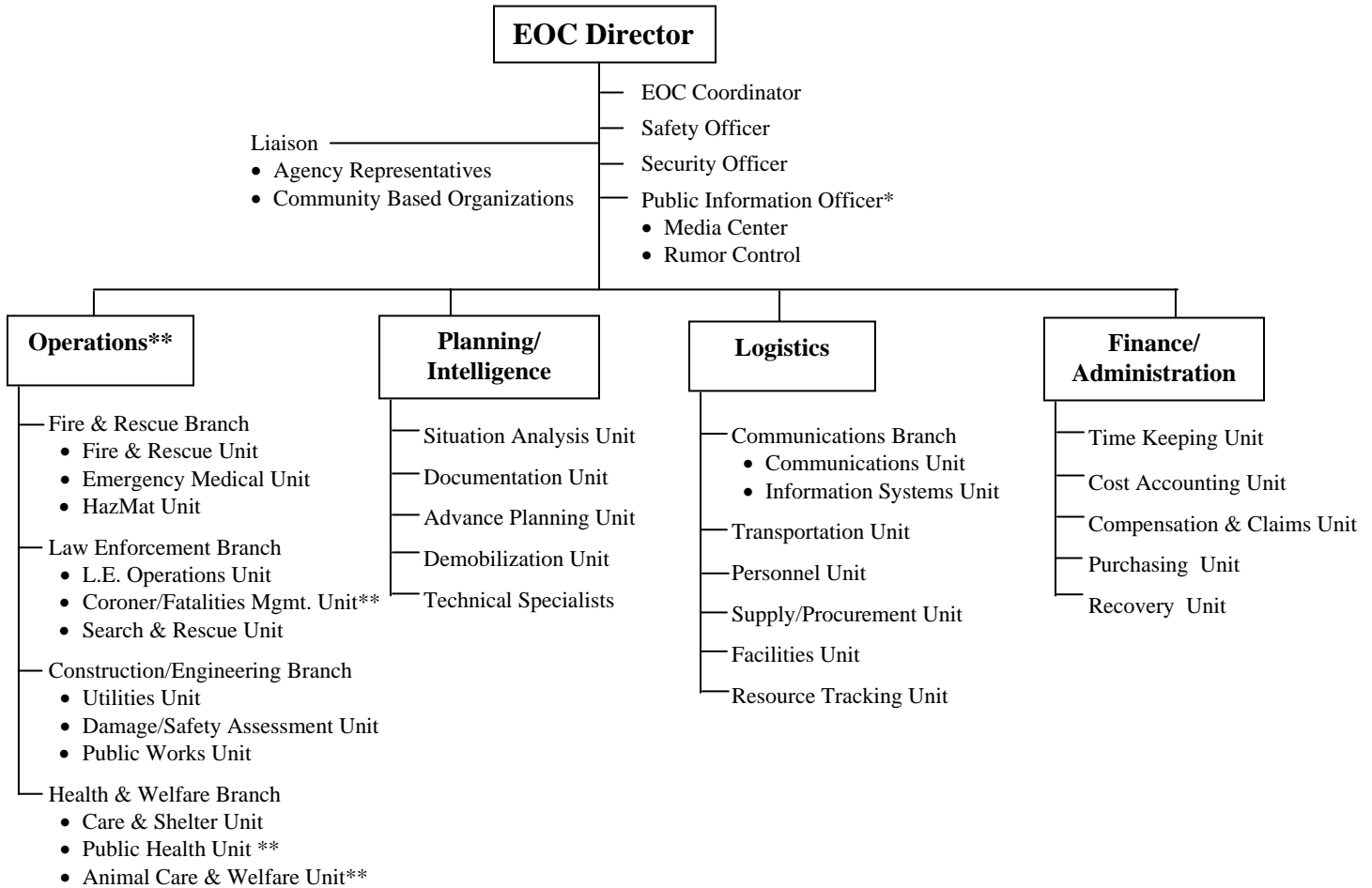


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# LOCAL GOVERNMENT LOGISTICS SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Local Government EOC Functional Organization Chart



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

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

See last page of this handbook for an example of a Small Local Government EOC Functional Organization Chart.

## II. General Considerations

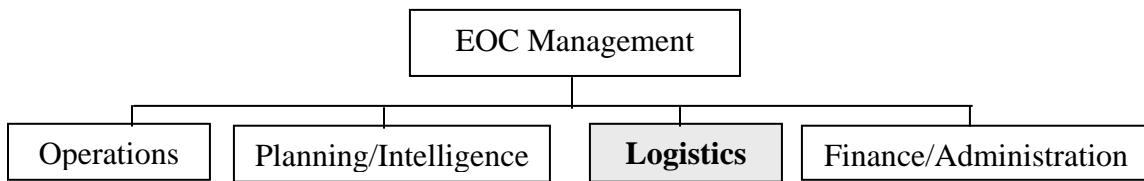
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### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

### C. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established as Branches and/or Units.

The functions described here are those activities that may need to be activated during an EOC activation for the Logistics Section at the local government EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

### D. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply:

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub-functions.

- One person may have delegated authority for more than one area of responsibility (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

### III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

#### **Activation Phase:**

- Check in upon arrival at the EOC.
- Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- Set up your workstation and review your position responsibilities.
- Establish and maintain a position log that chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure RIMS (Response Information Management System) is operational.

#### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the EOC Director.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- Be prepared to provide input to the after-action report.
- If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.

- Clean up your work area before you leave.
- Leave a forwarding phone number where you can be reached.

#### IV. Logistics Section Functional Descriptions

The EOC Director has the authority and responsibility to direct all EOC activity. The EOC Director may delegate authority to perform logistical functions. Logistics Section positions will vary depending upon the need of the EOC Director for support. The positions listed are the more common Logistics Section positions. Note that in some EOCs these positions may be activated at a one-person level, or at a unit, group or branch level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The Logistics Section positions are extremely important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.

# Logistics Section Coordinator

## Function Description:

The Logistics Section provides facilities, services, resources and other support services both to agencies responding to the emergency, and to meet internal EOC operating requirements. Incident, DOC or agency requests for support directed to the EOC will be channeled through the EOC Operations Section. The Logistics Section Coordinator reports to the EOC Director.

## Responsibilities:

1. Ensure the Logistics function is carried out in support of the EOC. This function includes providing communication services, resource tracking; acquiring equipment, supplies, personnel, facilities, and transportation services; as well as arranging for food, lodging, and other support services as required.
2. Establish the appropriate level of branch and/or unit staffing within the Logistics Section, continuously monitoring the effectiveness of the organization and modifying as required.
3. Ensure section objectives as stated in the EOC Action Plan are accomplished within the operational period or within the estimated time frame.
4. Coordinate closely with the Operations Section Coordinator to establish priorities for resource allocation to activated Incident Commands within the affected area.
5. Keep the EOC Director informed of all significant issues relating to the Logistics Section.
6. Supervise the Logistics Section.

## Activation Phase:

- Follow the generic Activation Phase Checklist.
- Ensure the Logistics Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps, status boards, vendor references, and other resource directories.
- Based on the situation, activate branches/units within section as needed and designate Unit Leaders for each element:
  - Communications Branch
  - Transportation Unit
  - Supply/Procurement Unit
  - Personnel Unit
  - Facilities Unit
  - Resource Tracking Unit

- Mobilize sufficient section staffing for 24 hour operations.
- Establish communications with the Logistics Section at the Operational Area EOC if activated.
- Advise Branches and Units within the section to coordinate with appropriate branches in the Operations Section to prioritize and validate resource requests from DOCs or Incident Command Posts in the field. This should be done prior to acting on the request.
- Meet with the EOC Director and General Staff and identify immediate resource needs.
- Meet with the Finance/Administration Section Coordinator and determine level of purchasing authority for the Logistics Section.
- Assist branch and Unit Leaders in developing objectives for the section as well as plans to accomplish their objectives within the first operational period, or in accordance with the Action Plan.
- Provide periodic Section Status Reports to the EOC Director.
- Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

### **Operational Phase:**

- Ensure that Logistic Section position logs and other necessary files are maintained.
- Meet regularly with section staff and work to reach consensus on section objectives for forthcoming operational periods.
- Provide the Planning/Intelligence Section Coordinator with the Logistics Section objectives at least 30 minutes prior to each Action Planning meeting.
- Attend and participate in EOC Action Planning meetings.
- Ensure that the Supply/Procurement Unit coordinates closely with the Purchasing Unit in the Finance/Administration Section, and that all required documents and procedures are completed and followed.
- Ensure that transportation requirements, in support of response operations, are met.
- Ensure that all requests for facilities and facility support are addressed.
- Ensure that all resources are tracked and accounted for, as well as resources ordered through Mutual Aid.

- Provide section staff with information updates as required.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.



# Communications Branch Coordinator

## Function Description:

This function may be established at the Unit or Branch level depending upon the functions to be performed, and personnel requirements.

The Communications Branch provides for the coordination of agency or jurisdiction communications services to meet incident, DOC or agency needs. These services will include electronic information processing, telephone, fax, and radio. The Branch also provides internal and external communications services to meet and support EOC operating requirements.

## Responsibilities:

1. Ensure radio, telephone, and computer resources and services are provided to EOC staff as required.
2. Oversee the installation of communications resources within the EOC. Ensure that a communications link is established with the Operational Area EOC.
3. Determine specific computer requirements for all EOC positions.
4. Implement RIMS if available, for internal information management to include message and e-mail systems.
5. Ensure that the EOC Communications Center is established to include sufficient frequencies to facilitate operations, and that adequate communications operators are available for 24-hour coverage.
6. Develop and distribute a Communications Plan that identifies all systems in use and lists specific frequencies allotted for the emergency.
7. Supervise the Communications Branch.

## Activation Phase:

- Follow the generic Activation Phase Checklist.
- Based on the situation, activate the necessary units within the Communications Branch:
  - Communications Unit
  - Information Systems Unit
- Prepare objectives for the Communications Branch; provide them to the Logistics Section Coordinator prior to the initial Action Planning meeting.

### **Operational Phase:**

- Ensure Branch and Unit position logs and other necessary files are maintained.
- Keep all sections informed of the status of communications systems, particularly those that are being restored.
- Coordinate with all EOC sections/branches/units regarding the use of all communication systems.
- Ensure that the EOC Communications Center is activated to receive and direct all emergency related communications to appropriate destinations within the EOC.
- Ensure that adequate communications operators are mobilized to accommodate each discipline on a 24-hour basis or as required.
- Ensure that RIMS Communications links, if available, are established with the Operational Area EOC.
- Ensure that communications links are established with activated EOC within the Operational Area, as appropriate.
- Continually monitor the operational effectiveness of EOC communications systems. Provide additional equipment as required.
- Ensure that technical personnel are available for communications equipment maintenance and repair.
- Mobilize and coordinate amateur radio resources to augment primary communications systems as required.
- Keep the Logistics Section Coordinator informed of the status of communications systems.
- Prepare objectives for the Communications Branch; provide them to the Logistics Section Coordinator prior to the next Action Planning meeting.
- Refer all contacts with the media to the Public Information Branch.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Communications Unit Leader

## Responsibilities:

1. Install, activate, and maintain telephone and radio systems for the EOC.
2. Assist EOC positions in determining appropriate numbers of telephones and other communications equipment required to facilitate operations.
3. Acquire radio frequencies as necessary to facilitate operations.
4. Assign Amateur Radio Operators as needed to augment primary communications networks.
5. Supervise the EOC Communications Center and the Communications Unit.

## Activation Phase:

- Follow generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- Continually monitor and test the activated radio and telephone systems. Keep the Communications Branch Coordinator informed of system failures and restoration activities.
- Develop instructional guidance for use of radios and telephones and conduct training sessions for EOC staff as necessary.
- Meet periodically with the Operations Section Branches to ensure that their radio frequencies are adequate. Make modifications as necessary to maintain their operational capability.
- Coordinate with Telephone Company to obtain portable telephone banks, as necessary.
- Refer all contacts with the media to the Public Information Branch.

## Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

# Information Systems Unit Leader

## Responsibilities:

1. Install, activate, and maintain information systems for the EOC.
2. Assist EOC positions in determining appropriate types and numbers of computers and computer applications required to facilitate operations.
3. Install RIMS, if available, on all computers for internal information management to include message and e-mail systems.
4. Conduct training as required on use of information management systems.
5. Supervise the Information Systems Unit.

## Activation Phase:

- Follow generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- Continually monitor and test RIMS if available, and ensure automated information links with the Operational Area EOC are maintained.
- Keep the Communications Branch Coordinator informed of system failures and restoration activities.
- Develop instructional guidance for use of computers and computer programs such as RIMS. Be prepared to conduct training sessions for EOC staff as necessary.
- Request additional computer equipment as required through the Communications Branch Coordinator.

## Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

# Transportation Unit Leader

## Responsibilities:

1. In coordination with the Construction/Engineering Branch Coordinator, and the Situation Analysis Unit, develop a transportation plan to support EOC operations.
2. Arrange for the acquisition or use of required transportation resources.
3. Supervise the Transportation Unit.

## Activation Phase:

- Follow the generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- Routinely coordinate with the Situation Analysis Unit to determine the status of transportation routes in and around the affected area.
- Routinely coordinate with the Construction/Engineering Branch Coordinator to determine progress of route recovery operations.
- Develop a Transportation Plan which identifies routes of ingress and egress; thus facilitating the movement of response personnel, the affected population, and shipment of resources and materiel.
- Establish contact with local transportation agencies and schools to establish availability of equipment and transportation resources for use in evacuations and other operations as needed.
- Keep the Logistics Section Coordinator informed of significant issues affecting the Transportation Unit.

## Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

## Personnel Unit Leader

### Responsibilities:

1. Provide personnel resources as requested in support of the EOC and Field Operations.
2. Identify, recruit and register volunteers as required.
3. Develop an EOC organization chart.
4. Supervise the Personnel Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- In conjunction with the Documentation Unit, develop a large poster size EOC organization chart depicting each activated position. Upon check in, indicate the name of the person occupying each position on the chart. The chart should be posted in a conspicuous place, accessible to all EOC personnel.
- Coordinate with the Liaison Officer and Safety Officer to ensure that all EOC staff to include volunteers, receive a current situation and safety briefing upon check-in.
- Establish communications with volunteer agencies and other organizations that can provide personnel resources.
- Coordinate with the Operational Area EOC to activate the Emergency Management Mutual Aid System (EMMA), if required.
- Process all incoming requests for personnel support. Identify the number of personnel, special qualifications or training, where they are needed and the person or unit they should report to upon arrival. Determine the estimated time of arrival of responding personnel, and advise the requesting parties accordingly.
- Maintain a status board or other reference to keep track of incoming personnel resources.
- Update EOC organization chart for each operational period.

- Coordinate with the Liaison Officer and Security Officer to ensure access, badging or identification, and proper direction for responding personnel upon arrival at the EOC.
- Assist the Fire Rescue Branch and Law Enforcement Branch with ordering of mutual aid resources as required.
- To minimize redundancy, coordinate all requests for personnel resources from the field level through the EOC Operations Section prior to acting on the request.
- In coordination with the Safety Officer, determine the need for crisis counseling for emergency workers; acquire mental health specialists as needed.
- Arrange for child care services for EOC personnel as required.
- Establish registration locations with sufficient staff to register volunteers, and issue them disaster service worker identification cards.
- Keep the Logistics Section Coordinator informed of significant issues affecting the Personnel Unit.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Supply/Procurement Unit Leader

### Responsibilities:

1. Oversee the procurement and allocation of supplies and materiel not normally provided through mutual aid channels.
2. Coordinate procurement actions with the Finance/Administration Section.
3. Coordinate delivery of supplies and materiel as required.
4. Supervise the Supply/Procurement Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Determine if requested types and quantities of supplies and materiel are available in inventory.
- Determine procurement spending limits with the Purchasing Unit in Finance/Administration. Obtain a list of pre-designated emergency purchase orders as required.
- Whenever possible, meet personally with the requesting party to clarify types and amount of supplies and materiel, and also verify that the request has not been previously filled through another source.
- In conjunction with the Resource Tracking Unit, maintain a status board or other reference depicting procurement actions in progress and their current status.
- Determine if the procurement item can be provided without cost from another jurisdiction or through the Operational Area.
- Determine unit costs of supplies and materiel, from suppliers and vendors and if they will accept purchase orders as payment, prior to completing the order.
- Orders exceeding the purchase order limit must be approved by the Finance/Administration Section before the order can be completed.



- If vendor contracts are required for procurement of specific resources or services, refer the request to the Finance/Administration Section for development of necessary agreements.
- Determine if the vendor or provider will deliver the ordered items. If delivery services are not available, coordinate pick up and delivery through the Transportation Unit.
- In coordination with the Personnel Unit, provide food and lodging for EOC staff and volunteers as required. Assist field level with food services at camp locations as requested.
- Coordinate donated goods and services from community groups and private organizations. Set up procedures for collecting, inventorying, and distributing usable donations.
- Keep the Logistics Section Coordinator informed of significant issues affecting the Supply/Procurement Unit.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Facilities Unit Leader

## Responsibilities:

1. Ensure that adequate essential facilities are provided for the response effort, including securing access to the facilities and providing staff, furniture, supplies, and materials necessary to configure the facilities in a manner adequate to accomplish the mission.
2. Ensure acquired buildings, building floors, and or workspaces are returned to their original state when no longer needed.
3. Supervise the Facilities Unit.

## Activation Phase:

- Follow the generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- Work closely with the EOC Coordinator and other sections in determining facilities and furnishings required for effective operation of the EOC.
- Coordinate with branches and units in the Operations Section to determine if assistance with facility acquisition and support is needed at the field level.
- Arrange for continuous maintenance of acquired facilities, to include ensuring that utilities and restrooms are operating properly.
- If facilities are acquired away from the EOC, coordinate with assigned personnel and designate a Facility Manager.
- Develop and maintain a status board or other reference which depicts the location of each facility; a general description of furnishings, supplies and equipment at the site; hours of operation, and the name and phone number of the Facility Manager.
- Ensure all structures are safe for occupancy and that they comply with ADA requirements.
- As facilities are vacated, coordinate with the facility manager to return the location to it's original state. This includes removing and returning furnishings and equipment, arranging for janitorial services, and locking or otherwise securing the facility.

- Keep the Logistics Section Coordinator informed of significant issues affecting the facilities unit.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Resource Tracking Unit Leader

### Responsibilities:

1. Coordinate with the other units in the Logistics Section to capture and centralize necessary resource/ location status information.
2. Develop and maintain resource status/location boards in the Logistics Section.
3. Supervise the Resource Tracking Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

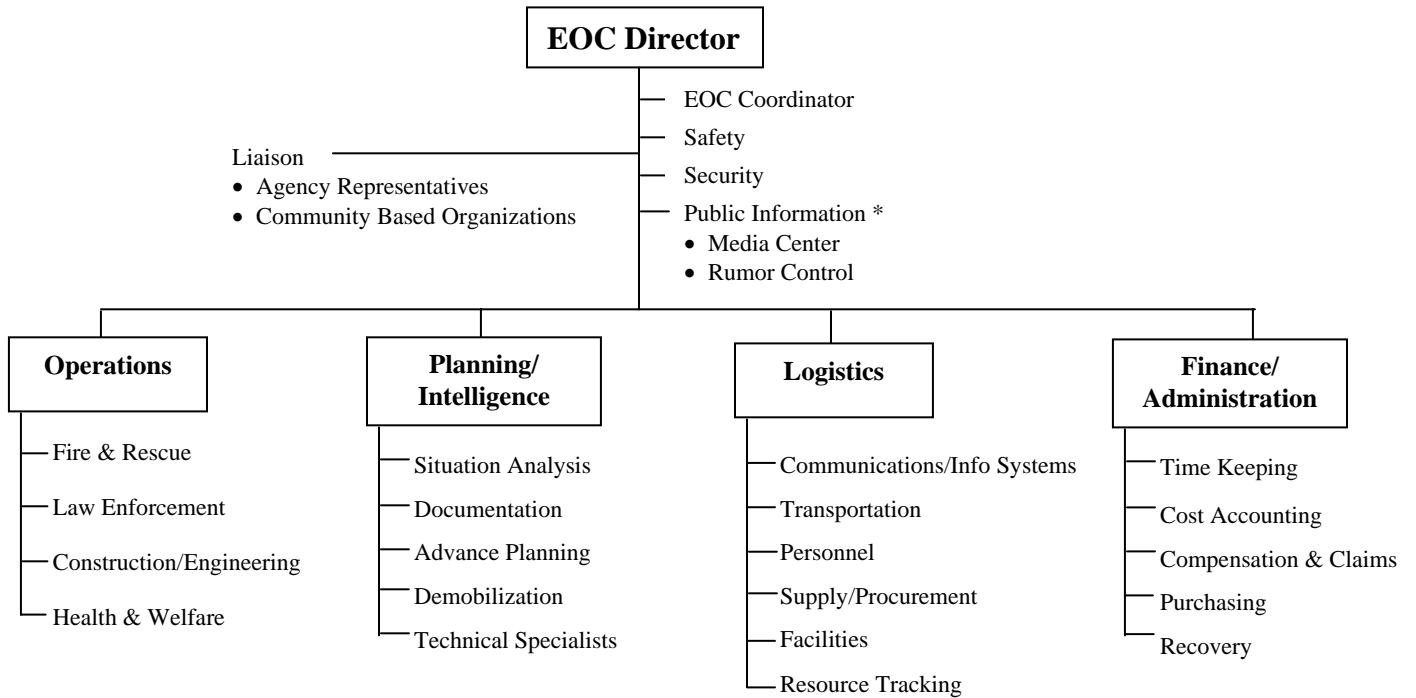
### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Coordinate closely with all units in the Logistics Section particularly Supply/ Procurement, personnel, and transportation.
- As resource requests are received in the Logistics Section, post the request on a status board and track the progress of the request until filled.
- Status boards should track requests by providing at a minimum, the following information: date & time of the request, items requested, priority designation, time the request was processed and estimated time of arrival or delivery to the requesting party.
- Work closely with other logistics units and assist in notifying requesting parties of the status of their resource request. This is particularly critical in situations where there will be delays in filling the request.
- An additional status board may be developed to track resource use by the requesting party. Information categories might include the following: actual arrival time of the resource, location of use, and an estimate of how long the resource will be needed. Keep in mind that it is generally not necessary to track mutual aid resources unless they are ordered through the Logistics Section.

### Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

V. Small Local Government EOC Functional Organization Chart



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

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

**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS CENTER COURSE G611**

**LOCAL GOVERNMENT  
MANAGEMENT SECTION  
Function Specific Handbook**

**CHAPTER THREE  
MARCH 2001**

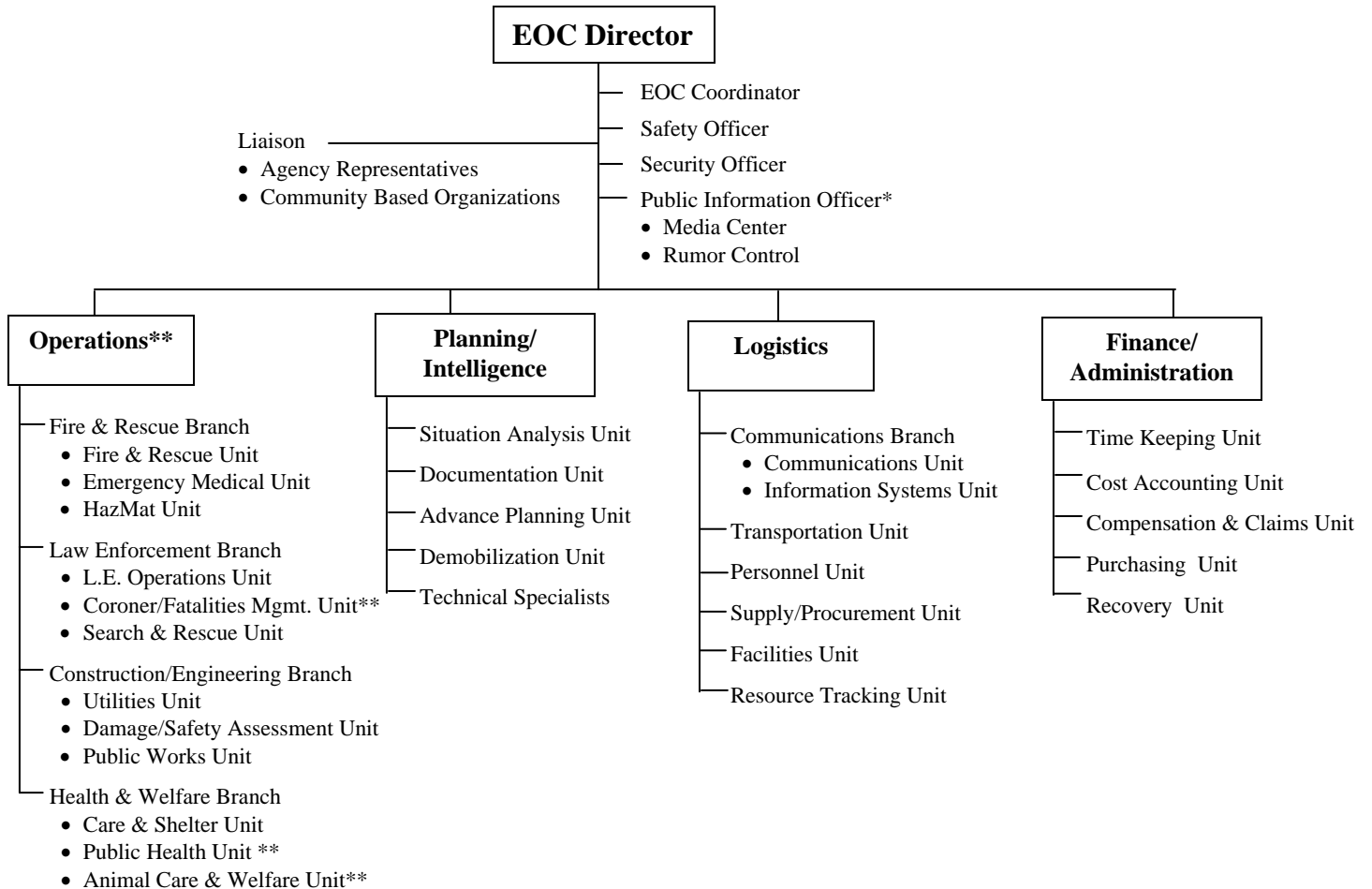
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# LOCAL GOVERNMENT MANAGEMENT SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Local Government EOC Functional Organization Chart



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

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

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

See last page of this handbook for an example of a Small Local Government EOC Functional Organization Chart.



## II. General Considerations

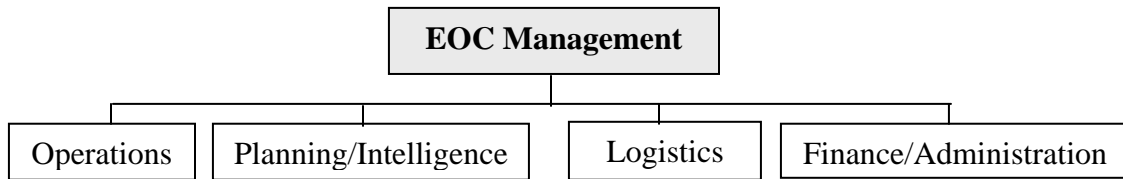
### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Management Section of an EOC. The checklists describe minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

### C. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established. However in some jurisdictions the sub-functions may also be established as Branches or Groups.

The functions described here are those activities that may need to be activated during an EOC activation for the Management Section at the local government EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

### D. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply:

- Staff the organization with the most qualified person in the discipline most closely aligned to the emergency (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub-functions.

- One person may have delegated authority for more than one area of responsibility (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

### III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

#### **Activation Phase:**

- Check in upon arrival at the EOC.
- Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- Set up your workstation and review your position responsibilities.
- Establish and maintain a position log that chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure RIMS (Response Information Management System) is operational.

#### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the EOC Director.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- Be prepared to provide input to the after-action report.
- If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.

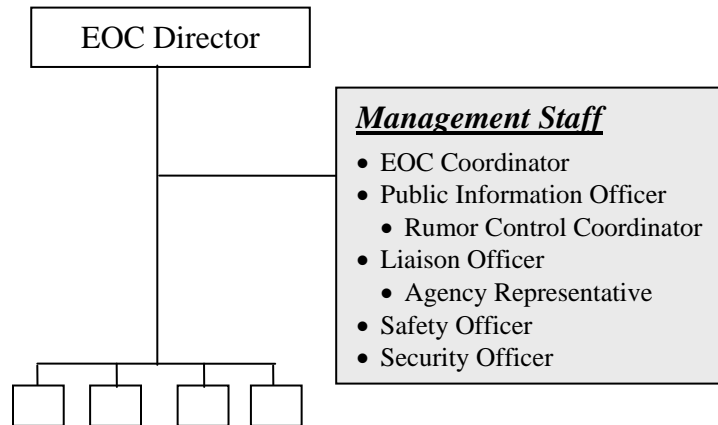
- Clean up your work area before you leave.
- Leave a forwarding phone number where you can be reached.

#### IV. Management Section Functional Descriptions

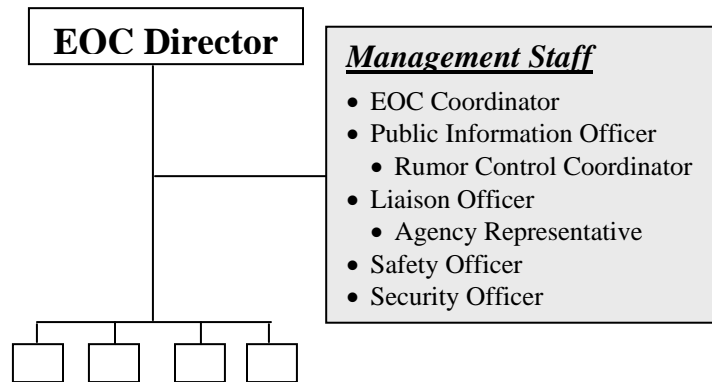
The EOC Director has the authority and responsibility to direct all EOC activity. The EOC Director may have support personnel called the Management Staff. They are delegated responsibility to perform management support functions.

Management Staff positions will vary depending upon the need of the EOC Director for support. The positions listed below are the more common Management Staff positions. Note that in some EOCs these positions may be activated at a one-person level, with staff assistants depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The management staff positions are extremely important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.



# EOC Director



## Function Description:

The EOC Director has overall responsibility and authority for the operation of the EOC. He/she will assure that the EOC is staffed and operated at a level commensurate with the emergency. The EOC Director's reporting relationship to higher authority will vary depending upon the SEMS Level. Examples of reporting relationships are described below.

### Local Government Level:

- Mayor, President of the Council, Chairperson of an Emergency Council, Administrative Officer, or other named authority as stated in the local government's emergency ordinance.

### Operational Area:

- Chairperson of the Board of Supervisors, Chairperson of an emergency council, County Chief Administrative Officer or other named authority as stated in the operational areas emergency ordinances.

### Regional:

- OES Region Administrator or designee

### State:

- OES Director or designee

In some jurisdictions, the EOC Director may also be referred to as the EOC Manager. The title Incident Commander should not be used to refer to the person in charge of the EOC. The title Incident Commander should be reserved for use at the SEMS Field level.

The EOC Director will delegate authority as appropriate and necessary to members of the Management Staff and to the General Staff.

Positions reporting to the EOC Director will vary depending upon the SEMS level. Standard functions may include but are not limited to:

- Coordinators of Functional Sections (called the General Staff)
  - Operations Section Coordinator
  - Planning/Intelligence Section Coordinator
  - Logistics Section Coordinator
  - Finance/Administration Section Coordinator
- Management Staff
  - EOC Coordinator
  - Public Information Officer
  - Liaison Officer
  - Safety Officer
  - Security Officer

The position of EOC Director may be pre-established where the same person/agency is always in charge of the EOC regardless of the type of emergency, or as is done in some jurisdictions, a qualified person from the agency that has the greatest field involvement in the emergency will fill the position of EOC Director.

### **Responsibilities:**

1. Establish the appropriate staffing level for the EOC and continuously monitor organizational effectiveness ensuring that appropriate modifications occur as required.
2. Exercise overall management responsibility for the coordination between emergency response agencies within the jurisdictional area.
3. In conjunction with the General Staff, set jurisdictional priorities for response efforts. Ensure that all department and agency actions are accomplished within the priorities established at the EOC.
4. Ensure that inter-agency coordination is accomplished effectively.

### **Activation Phase:**

- Determine appropriate level of activation based on situation as known.
- Mobilize appropriate personnel for the initial activation of the EOC.
- Respond immediately to EOC site and determine operational status.

- Obtain briefing from whatever sources are available.
- Ensure that the EOC is properly set up and ready for operations.
- Ensure that an EOC check-in procedure is established immediately.
- Ensure that an EOC organization and staffing chart is posted and completed.
- Determine which sections are needed, assign Section Coordinators as appropriate and ensure they are staffing their sections as required.
  - Operations Section Coordinator
  - Planning/Intelligence Section Coordinator
  - Logistics Section Coordinator
  - Finance/Administration Coordinator
- Determine which Management Staff positions are required and ensure they are filled as soon as possible.
  - Liaison Officer
  - Public Information Officer
  - Security Officer
  - EOC Coordinator
  - Safety Officer
- Ensure that telephone and/or radio communications with other EOCs are established and functioning.
- Schedule the initial Action Planning meeting.
- Confer with the General Staff to determine what representation is needed at the EOC from other emergency response agencies.
- Assign a liaison officer to coordinate outside agency response to the EOC, and to assist as necessary in establishing an Inter-agency Coordination Group.

### **Operational Phase:**

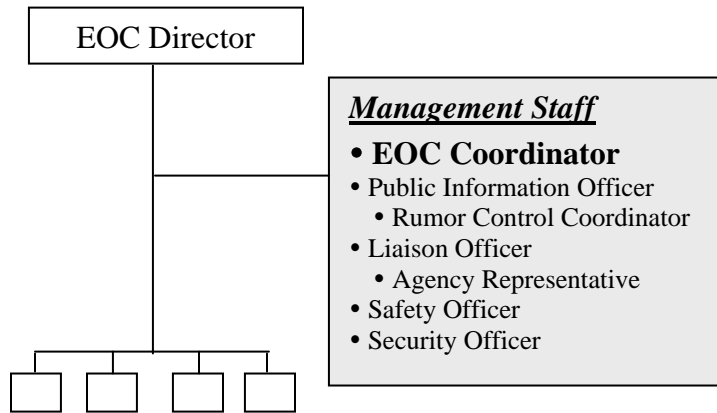
- Monitor general staff activities to ensure that all appropriate actions are being taken.
- In conjunction with the Public Information Officer, conduct news conferences and review media releases for final approval, following the established procedure for information releases and media briefings.
- Ensure that the Liaison Officer is providing for and maintaining effective inter-agency coordination.
- Based on current status reports, establish initial strategic objectives for the EOC.

- In coordination with Management Staff, prepare EOC objectives for the initial Action Planning Meeting.
- Convene the initial Action Planning meeting. Ensure that all Section Coordinators, Management Staff, and other key agency representatives are in attendance. Ensure that appropriate Action Planning procedures are followed. (refer to Planning/Intelligence Section, "Action Planning Guidelines.") Ensure that the meeting is facilitated appropriately by the Planning/Intelligence Section.
- Once the Action Plan is completed by the Planning/Intelligence Section, review, approve and authorize its implementation.
- Conduct periodic briefings with the general staff to ensure strategic objectives are current and appropriate.
- Conduct periodic briefings for elected officials or their representatives.
- Formally issue an Emergency Proclamation as necessary, and coordinate local government proclamations with other emergency response agencies, as appropriate.
- Brief your relief at shift change, ensuring that ongoing activities are identified and follow-up requirements are known.

**Demobilization Phase:**

- Authorize demobilization of sections, branches and units when they are no longer required.
- Notify higher level EOCs and other appropriate organizations of the planned demobilization, as appropriate.
- Ensure that any open actions not yet completed will be handled after demobilization.
- Ensure that all required forms or reports are completed prior to demobilization.
- Be prepared to provide input to the after action report.
- Deactivate the EOC at the designated time, as appropriate.
- Proclaim termination of the emergency response and proceed with recovery operations.

# EOC Coordinator



## Function Description:

The EOC Coordinator is typically the person who has the overall best knowledge of the functioning of the EOC. The EOC Coordinator may be the Director of Emergency Services or other similar title, and often is the person who is most familiar with emergency services for the agency or jurisdiction. The EOC Coordinator, because of his/her working knowledge of the EOC facility, communications, support services, and the jurisdictions emergency plan can be an invaluable asset to the EOC Director who may not be as well versed in the day-to-day inner workings of the facility.

## Responsibilities:

1. Facilitate the overall functioning of the EOC.
2. Assist and serve as an advisor to the EOC Director and General Staff as needed, providing information and guidance related to the internal functions of the EOC and ensure compliance with operational area emergency plans and procedures.
3. Assist the Liaison Officer in ensuring proper procedures are in place for directing agency representatives and conducting VIP/visitor tours of the EOC.

## Activation Phase:

- Follow generic Activation Phase Checklist.
- Assist the EOC Director in determining appropriate staffing for the EOC.
- Provide assistance and information regarding section staffing to all general staff.



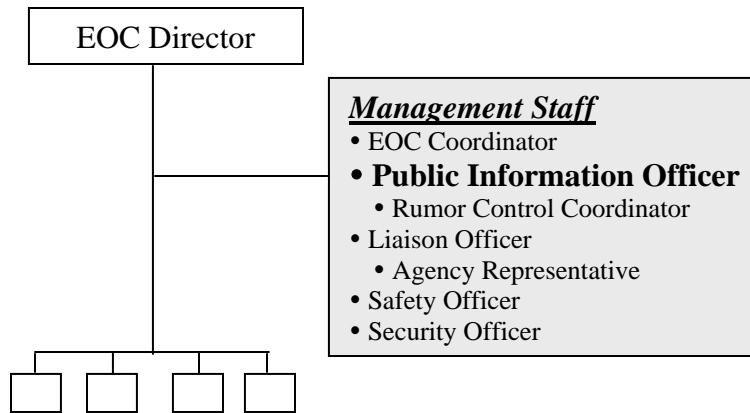
### **Operational Phase:**

- Assist the EOC Director and the General Staff in developing overall strategic objectives as well as section objectives for the Action Plan.
- Advise the EOC Director on proper procedures for enacting emergency proclamations, emergency ordinances and resolutions, and other legal requirements.
- Assist the Planning/Intelligence Section in the development, continuous updating, and execution of the EOC Action Plan.
- Provide overall procedural guidance to General Staff as required.
- Provide general advice and guidance to the EOC Director as required.
- Ensure that all notifications are made to the Operational Area EOC.
- Ensure that all communications with appropriate emergency response agencies is established and maintained.
- Assist the EOC Director in preparing for and conducting briefings with Management Staff, the agency or jurisdiction policy groups, the media, and the general public.
- Assist the EOC Director and Liaison Officer, in establishing and maintaining Inter-agency Coordination Groups as necessary.
- Assist the Liaison Officer with coordination of all EOC visits.
- Provide assistance with shift change activity as required.

### **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

## Public Information Officer



### Function Description:

The Public Information Officer serves as the primary point of contact between the EOC and the media and the public. The Public Information Officer will prepare information releases, brief media representatives, and provide for press conferences. Normally, the Public Information function will also oversee the Rumor Control activity.

A primary source of information for the Public Information function will be from the Situation Analysis Unit in Planning/Intelligence. While not all information in the unit may be appropriate for the public, the information in Situation Analysis should be the best available and will have been verified for accuracy.—The Public Information Officer will provide guidance as appropriate to other departments/agencies on the release of emergency related information.

### Organizing the Information function in an EOC

The Information function within an EOC may have special organizational needs due to the possible size of the organization required to meet the agency or jurisdictional information needs.

Normally, the Information function is handled by the Information Officer who is a member of the Management Staff. Assistant Information Officers may be assigned as needed. The Assistants may represent other jurisdictional departments, agencies, other jurisdictions, and/or they may also be assigned to handle specific Information functions.

In some cases in larger jurisdictions or major agency EOCs, it may be desirable to extend the Information function organization to meet greater needs. When this happens, the Information function may be established in the Management Section as a Group or at the maximum a Branch under the management of the Information Officer. Individual Units could then be established for such sub-functions as:

- Information Gathering
- Media Center

- Rumor Control
- Joint Information Center (JIC)
- Print media dissemination
- Broadcast media dissemination

### **Responsibilities:**

1. Serve as the central coordination point for the agency or jurisdiction for all media releases.
2. Ensure that the public within the affected area receives complete, accurate, and consistent information about life safety procedures, public health advisories, relief and assistance programs and other vital information.
3. Coordinate media releases with Public Information Officers at incidents or representing other affected emergency response agencies as required.
4. Develop the format for press conferences, in conjunction with the EOC Director.
5. Maintaining a positive relationship with the media representatives.
6. Supervising the Public Information Branch.

### **Activation Phase:**

- Follow generic Activation Phase Checklists.
- Determine staffing requirements and make required personnel assignments for the Public Information function as necessary.

### **Operational Phase:**

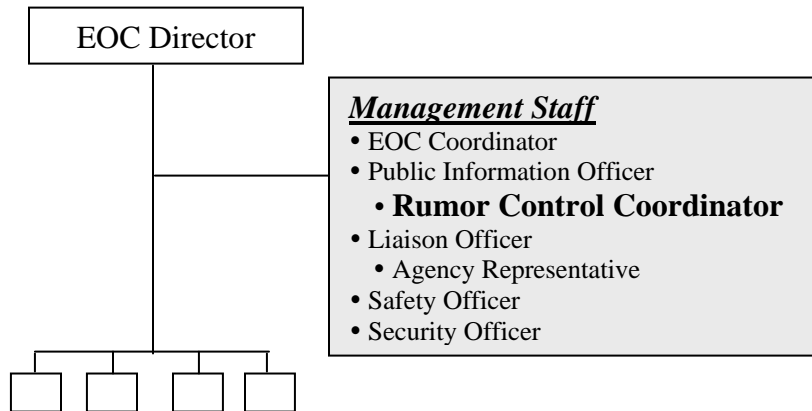
- Obtain policy guidance from the EOC Director with regard to media releases.
- Keep the EOC Director advised of all unusual requests for information and of all major critical or unfavorable media comments. Recommend procedures or measures to improve media relations.
- Coordinate with the Situation Analysis Unit and identify the method for obtaining and verifying significant information as it is developed.
- Develop and publish a media-briefing schedule, to include location, format, and preparation and distribution of handout materials.
- Implement and maintain an overall information release program.

- Establish a Media Information Center, as required, providing necessary space, materials, telephones, and electrical power.
- Maintain up-to-date status boards and other references at the media information center. Provide adequate staff to answer questions from members of the media.
- Interact with other EOC PIOs and obtain information relative to public information operations.
- Develop content for state Emergency Alert System (EAS) releases if available. Monitor EAS releases as necessary.
- In coordination with other EOC sections and as approved by the EOC Director, issue timely and consistent advisories and instructions for life safety, health, and assistance for the public.
- At the request of the EOC Director, prepare media briefings for members of the agencies or jurisdiction policy groups and provide other assistance as necessary to facilitate their participation in media briefings and press conferences.
- Ensure that a rumor control function is established to correct false or erroneous information.
- Ensure that adequate staff is available at incident sites to coordinate and conduct tours of the affected areas.
- Provide appropriate staffing and telephones to efficiently handle incoming media and public calls.
- Prepare, update, and distribute to the public a Disaster Assistance Information Directory, which contains locations to obtain food, shelter, supplies, health services, etc.
- Ensure that announcements, emergency information and materials are translated and prepared for special populations (non-English speaking, hearing impaired etc.).
- Monitor broadcast media, using information to develop follow-up news releases and rumor control.
- Ensure that file copies are maintained of all information released.
- Provide copies of all media releases to the EOC Director.
- Conduct shift change briefings in detail, ensuring that in-progress activities are identified and follow-up requirements are known.
- Prepare final news releases and advise media representatives of points-of-contact for follow-up stories.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

## Rumor Control Coordinator



### Function Description:

The function of rumor control is to establish within the EOC an activity designed to respond rapidly and with correct and timely information to any and all rumors raised as a result of the emergency.

Rumor Control is generally established as a part of the Public Information function, but may be established as a separate unit within the Management Staff as necessary. The Rumor Control Coordinator must work closely with the Public Information function and with the Planning/Intelligence Section.

### Responsibilities:

1. Provide staffing for rumor control telephone bank.
2. Establish a "Disaster Hotline" with an up-to-date recorded message.
3. Ensure that all rumors are responded to in a timely manner and with factual information.
4. Supervise the Rumor Control Unit.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

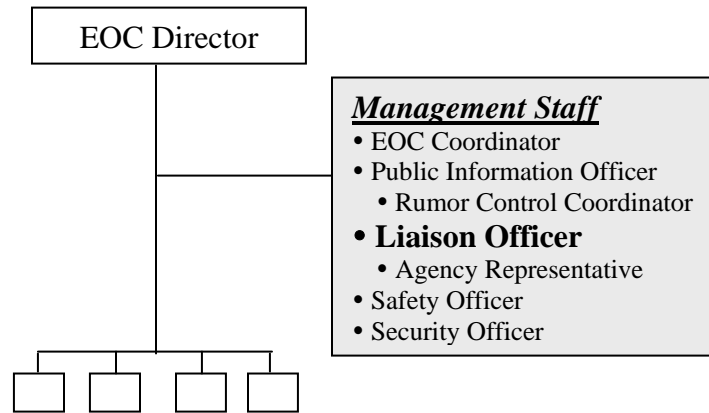
- Obtain "confirmed" disaster information.
- Operate a telephone bank for receiving incoming inquiries from the general public.

- Correct rumors by providing factual information based on confirmed data.
- Establish a "Disaster Hotline" recorded message and provide updated message information periodically.
- Refer inquiries from members of the media to the lead Public Information Officer or designated staff.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

# Liaison Officer



## Function Description:

The Liaison Officer function is to provide a primary point of contact for all incoming agency representatives assigned to the EOC. The Liaison Officer will ensure that agency representatives are provided with the necessary workspace, communications, information and internal points of contact necessary to perform their responsibilities. The Liaison Officer will also ensure that the EOC Director is informed as to what agencies are represented in the EOC.

During major emergencies, and depending upon the SEMS level, it is not uncommon to find many agencies representatives reporting to the EOC. American Red Cross, Community Based Organizations, National Guard, other state/local agencies, federal agencies etc. all may send representatives. The Liaison Officer will be the primary contact, and relieve the EOC Director from overseeing their activities.

## Responsibilities:

1. Oversee all liaison activities, including coordinating outside agency representatives assigned to the EOC and handling requests from other EOCs for EOC agency representatives.
2. Establish and maintain a central location for incoming agency representatives, providing workspace and support as needed.
3. Ensuring that position specific guidelines, policy directives, situation reports, and a copy of the EOC Action Plan is provided to Agency Representatives upon check-in.
4. In conjunction with the EOC Coordinator, provide orientations for VIPs and other visitors to the EOC.
5. Ensuring that demobilization is accomplished when directed by the EOC Director.



### Activation Phase:

- Follow generic Activation Phase Checklist.
- Obtain assistance for your position through the Personnel Unit in Logistics, as required.

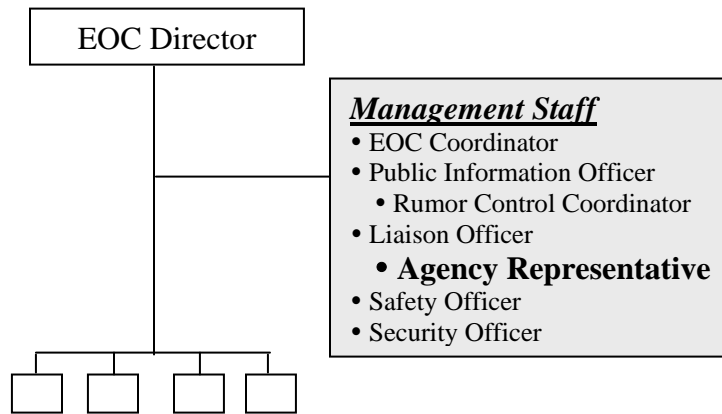
### Operational Phase:

- Contact Agency Representatives already on-site, ensuring that they:
  - Have signed into the EOC,
  - Understand their role in the EOC,
  - Know their work locations,
  - Understand the EOC organization and floor plan.
- Determine if additional representation is required from:
  - Community based organizations,
  - Private organizations,
  - Utilities not already represented,
  - Other agencies.
- In conjunction with the EOC Director and EOC Coordinator, establish and maintain an Inter-agency Coordination Group comprised of outside agency representatives and executives not assigned to specific sections within the EOC.
- Assist the EOC Director and EOC Coordinator in conducting regular briefings for the Inter-agency Coordination Group and with distribution of the current EOC Action Plan and Situation Report.
- Request that Agency Representatives maintain communications with their agencies and obtain situation status reports regularly.
- With the approval of the EOC Director, provide agency representatives from the EOC to other EOCs as required and requested.
- Maintain a roster of agency representatives located at the EOC. Roster should include assignment within the EOC (Section or Inter-agency Coordination Group). Roster should be distributed internally on a regular basis.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist
- Release agency representatives that are no longer required in the EOC when authorized by the EOC Director.

## Agency Representative



### Function Description:

Agency Representatives are individuals assigned to the EOC by other agencies/jurisdictions. The Agency Representative serves three principal functions. 1) He/she will bring to the EOC information from the agency they represent, 2) they will normally have some level of authorization to speak or act for their agency, and 3) they will provide their agency with information obtained at the EOC.

### Responsibilities:

1. Agency Representatives should be able to speak on behalf of their agencies, within established policy limits, acting as a liaison between their agencies and the EOC.
2. Agency Representatives may facilitate requests to or from their agencies, but normally do not directly act on or process resource requests.
3. Agency Representatives are responsible for obtaining situation status information and response activities from their agencies for the EOC.

### Activation Phase:

- Follow generic Activation Phase Checklist.
- Check in with the Liaison Officer and clarify any issues regarding your authority and assignment, including the functions of other representatives from your agency (if any) in the EOC.
- Establish communications with your home agency; notify the Logistics Section Communications Unit and the Liaison Officer of any communications problems.
- Unpack any materials you may have brought with you and set up your assigned station, requesting necessary materials and equipment through the Liaison Officer and/or Logistics.

- Obtain an EOC organization chart, floor plan, and telephone list from the Liaison Officer.
- Contact the EOC sections or branches that are appropriate to your responsibility; advise them of your availability and assigned work location in the EOC.

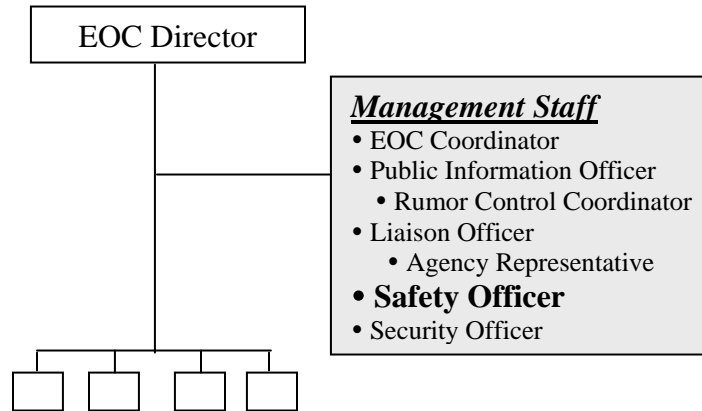
### **Operational Phase:**

- Facilitate requests for support or information that your agency can provide.
- Keep current on the general status of resources and activity associated with your agency.
- Provide appropriate situation information to the Planning/Intelligence Section.
- Represent your agency at planning meetings, as appropriate, providing update briefings about your agency's activities and priorities.
- Keep your agency executives informed and ensure that you can provide agency policy guidance and clarification for the EOC Director as required.
- On a regular basis, inform your agency of the EOC priorities and actions that may be of interest.
- Maintain logs and files associated with your position.

### **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.
- When demobilization is approved by the EOC Director, contact your agency and advise them of expected time of demobilization and points of contact for the completion of ongoing actions or new requirements.
- Ensure that you complete all final reports, close out your activity log, and transfer any ongoing missions and/or actions to the Liaison Officer or other appropriate individual.
- Ensure copies of all documentation generated during the operation are submitted to the Planning/Intelligence Section.

# Safety Officer



## Function Description:

When activated, the Safety Officer position at the EOC is to ensure that a safe working environment is established and maintained within the facility. The Safety Officer will routinely inspect and correct any deficiencies in the operating environment of the EOC. The Safety Officer will also ensure that personnel working in EOC positions are not over stressed or working for extended periods that may jeopardize their health.

## Responsibilities:

1. Ensure that all buildings and other facilities used in support of the EOC are in a safe operating condition.
2. Monitor operational procedures and activities in the EOC to ensure they are being conducted in a safe manner, considering the existing situation and conditions.
3. Stop or modify all unsafe operations outside the scope of the EOC Action Plan, notifying the EOC Director of actions taken.

## Activation Phase:

- Follow generic Activation Phase Checklist.

## Operational Phase:

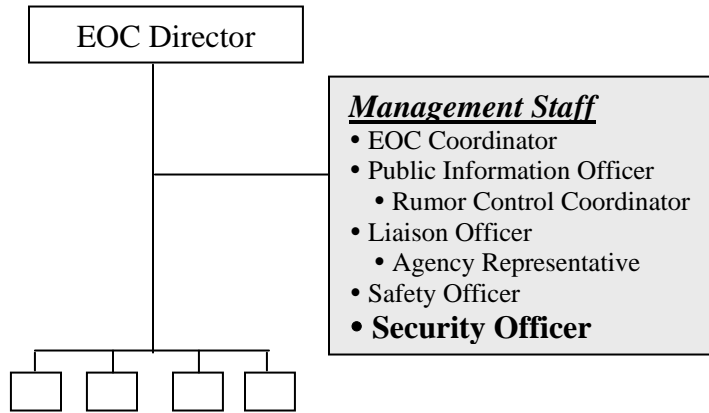
- Tour the entire EOC facility and evaluate conditions; advise the EOC Director of any conditions and actions that might result in liability, (unsafe layout or equipment set-up, etc.)
- Study the EOC facility and document the locations of all fire extinguishers, emergency pull stations, and evacuation routes and exits.

- Be familiar with particularly hazardous conditions in the facility; take action when necessary.
- Prepare and present safety briefings for the EOC Director and General Staff at appropriate meetings.
- If the event that caused activation was an earthquake, provide guidance regarding actions to be taken in preparation for aftershocks.
- Ensure that the EOC facility is free from any environmental threats - e.g., radiation exposure, air purity, water quality, etc.
- Keep the EOC Director advised of unsafe conditions; take action when necessary.
- Coordinate with the Finance/Administration Section in preparing any personnel injury claims or records necessary for proper case evaluation and closure.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

# Security Officer



## Function Description:

When activated, the Security Officer position provides access control for the EOC facility. The EOC Director will establish policy and procedures for access. The Security Officer will normally oversee personnel check-in and checkout rosters.

## Responsibilities:

1. Provide 24-hour security for the EOC.
2. Control personnel access to the EOC in accordance with policies established by the EOC Director.
3. Handle any situation arising from inappropriate personnel actions within the EOC.

## Activation Phase:

- Follow the generic Activation Phase Checklist.

## Operational Phase:

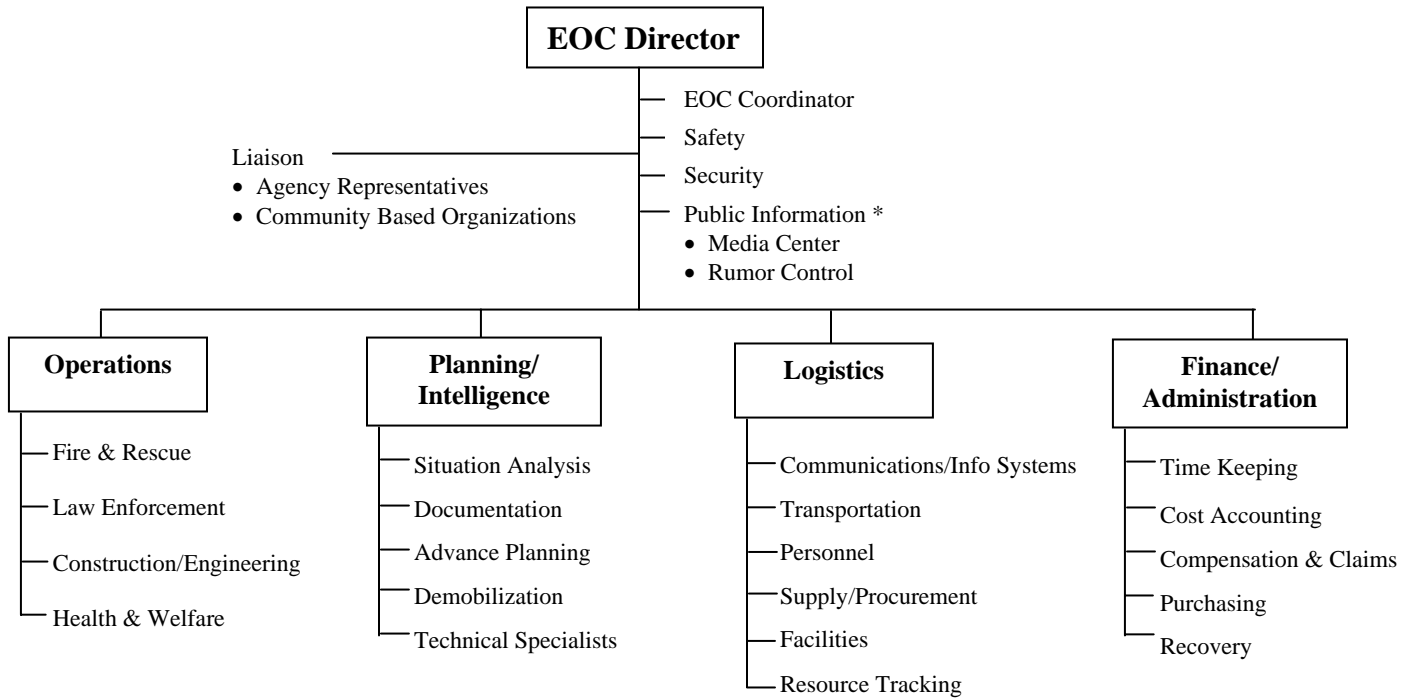
- Determine the current EOC security requirements and arrange for staffing as needed.
- Determine needs for special access to EOC facilities.
- Provide executive and V.I.P. security as appropriate and required.
- Provide recommendations as appropriate to EOC Director.
- Prepare and present security briefings for the EOC Director and General Staff at appropriate meetings.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.



## V. Small Local Government EOC Functional Organization Chart



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

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

**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS CENTER COURSE G611**

**LOCAL GOVERNMENT  
OPERATIONS SECTION  
Function Specific Handbook**

**CHAPTER THREE  
MARCH 2001**

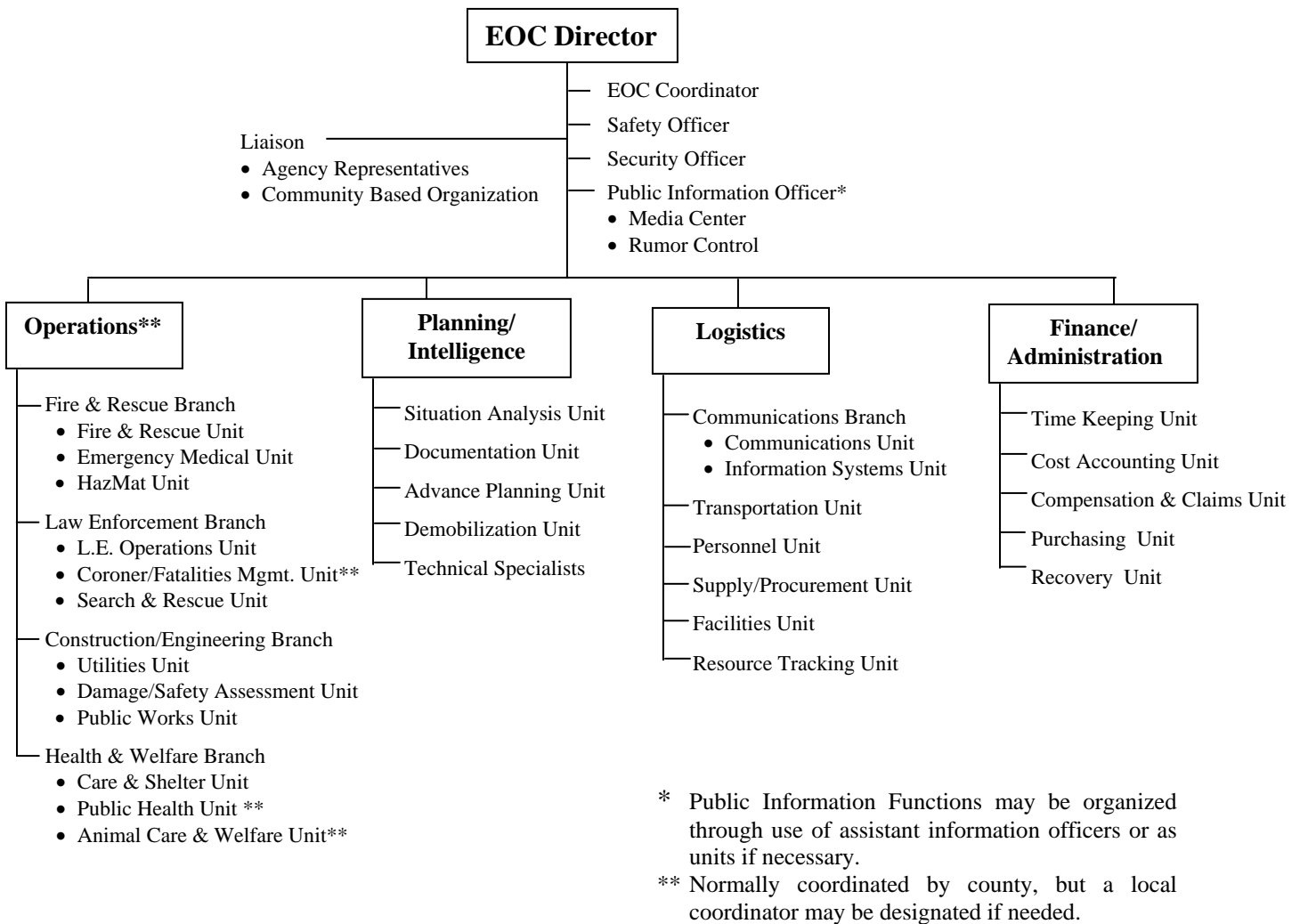
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# LOCAL GOVERNMENT OPERATIONS SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Local Government EOC Functional Organization Chart



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

See last page of this handbook for an example of a Small Local Government EOC Functional Organization Chart.

## II. General Considerations

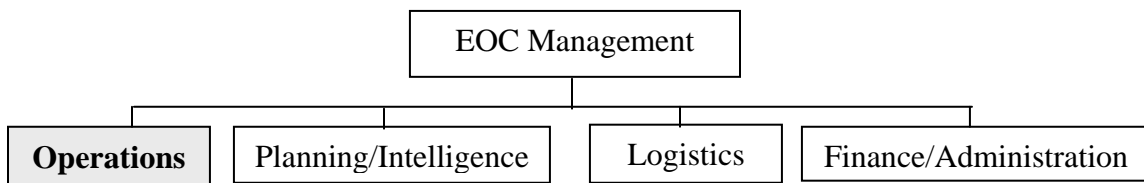
### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Operations Section of a Local Government EOC. The checklists describe the minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

### C. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub functions that would normally be established as branches or units depending on their size.

The functions described here are those activities that may need to be activated during an EOC activation for the Operations Section at the local government EOC. Variations in branch/unit names and responsibilities may be found in local governments, and at different SEMS levels.

### D. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply:

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub-functions.

- One person may have delegated authority for more than one area of responsibility (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

### III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

#### **Activation Phase:**

- Check in upon arrival at the EOC.
- Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- Set up your workstation and review your position responsibilities.
- Establish and maintain a position log that chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure RIMS (Response Information Management System) is operational.

#### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the EOC Director.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- Be prepared to provide input to the after-action report.
- If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.

- Clean up your work area before you leave.
- Leave a forwarding phone number where you can be reached.

#### IV. Operations Section Functional Descriptions

The EOC Director has the authority and responsibility to direct all EOC activity. The Director may delegate authority to members of the General Staff. Operations Section positions will vary depending upon the need. The following positions are the more common Operations Section positions, however function titles and organization alignments may vary with local governments. Note that in some EOCs these positions may be activated at a one-person level, or at a unit, group or branch, level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The Operations Section in the Local Government EOC acts as the primary point of contact between the EOC and the jurisdiction's Department Operations Center (DOC), and in some jurisdictions may be linked directly to field Incident Commands. Department Coordinators assigned to the EOC Operations Section receive incoming situation reports, department status, resource requests, and field intelligence. Incoming information will be routed to the appropriate EOC section. They will provide information from the EOC to DOCs and field Incident Commands as appropriate to the jurisdiction.

The Operations Section positions are extremely important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.

# Operations Section Coordinator

## Function Description:

The Operations Section Coordinator, a member of the General Staff, is responsible for the management and coordination of all EOC related operational functions. The Operations Section Coordinator will ensure, based on the emergency, that all necessary operational functions have been activated and are appropriately staffed.

## Responsibilities:

1. Ensure that the Operations Function is carried out including coordination of activities for all operational functions assigned to the EOC.
2. Ensure that operational objectives and assignments identified in the EOC Action Plan are carried out effectively.
3. Establish the appropriate level of branch and unit organizations within the Operations Section, continuously monitoring the effectiveness and modifying accordingly.
4. Exercise overall responsibility for the coordination of Branch and Unit activities within the Operations Section.
5. Ensure that the Planning/Intelligence Section is provided with Status Reports and Major Incident Reports (utilizing the RIMS formats if available).
6. Conduct periodic Operations briefings for the EOC Director as required or requested.
7. Supervise the Operations Section.

## Activation Phase:

- Follow the generic Activation Phase Checklist.
- Ensure that the Operations Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps and status boards.
- Meet with Planning/Intelligence Section Coordinator; obtain a preliminary situation briefing.



- Based on the situation, activate appropriate branches within the section. Designate Branch Coordinators as necessary.
  - Fire & Rescue
  - Health and Welfare
  - Law Enforcement
  - Construction & Engineering
- Determine if there are mutual aid requests for these functional areas. Initiate coordination with appropriate mutual aid systems as required.
- Request additional personnel for the section as necessary for 24-hour operation.
- Obtain a current communications status briefing from the Communications Branch Coordinator in Logistics. Ensure that there is adequate equipment and radio frequencies available as necessary for the section.
- Determine estimated times of arrival of section staff from the Personnel Branch in Logistics.
- Confer with the EOC Director to ensure that the Planning/Intelligence and Logistics Sections are staffed at levels necessary to provide adequate information and support for operations.
- Coordinate with the Liaison Officer regarding the need for Agency Representatives in the Operations Section.
- Coordinate with the Planning/Intelligence Section Coordinator to determine the need for any Technical Specialists.
- Establish radio or phone communications with Department Operations Centers (DOCs), and/or with Incident Commander(s) as directed, and coordinate accordingly.
- Determine activation status of other EOCs in the Operational Area or adjacent areas and establish communication links with their Operations Sections if necessary.
- Based on the situation known or forecasted, determine likely future needs of the Operations Section.
- Identify key issues currently affecting the Operations Section; meet with section personnel and determine appropriate section objectives for the first operational period.
- Review responsibilities of branches in section; develop an Operations Plan detailing strategies for carrying out Operations objectives.
- Adopt a pro-active attitude. Think ahead and anticipate situations and problems before they occur.

### **Operational Phase:**

- Ensure Operations Section position logs and other necessary files are maintained.
- Ensure that situation and resources information is provided to the Planning/Intelligence Section on a regular basis or as the situation requires, including Status Reports and Major Incident Reports (utilize RIMS format if available).
- Ensure that all media contacts are referred to the Public Information Officer.
- Conduct periodic briefings and work to reach consensus among staff on objectives for forthcoming operational periods.
- Attend and participate in EOC Director's Action Planning meetings.
- Provide the Planning/Intelligence Section Coordinator with the Operations Section's objectives prior to each Action Planning meeting.
- Work closely with each Branch Coordinator to ensure that the Operations Section objectives, as defined in the current Action Plan, are being addressed.
- Ensure that the branches coordinate all resource needs through the Logistics Section.
- Ensure that intelligence information from Branch Coordinators is made available to the Planning/Intelligence Section in a timely manner.
- Ensure that fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of emergency expenditures and daily time sheets).
- Brief the EOC Director on all major incidents.
- Complete a Major Incident Report for all major incidents; forward a copy to the Planning/Intelligence Section.
- Brief Branch Coordinators periodically on any updated information you may have received.
- Share status information with other sections as appropriate.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Fire & Rescue Branch Coordinator

## Function Description:

The Fire and Rescue Branch in the EOC Operations Section is responsible for linking the EOC to Fire Department Operations Centers, Dispatch Centers, the fire and rescue mutual aid system and, as appropriate to the jurisdiction Incident Command on incidents under the management of the fire services. The Branch Coordinator reports to the Operations Section Coordinator. The Branch will obtain situation reports, requests for resource support (outside of the mutual aid system), and be the primary link from the EOC to fire department operations. The Branch will supply fire DOCs and ICs as appropriate, with information and directives developed in the EOC.

Smaller jurisdictions may not activate separate units for fire operations, emergency medical, fire and rescue and hazmat.

## Responsibilities:

1. Coordinate fire, emergency medical, hazardous materials, and urban search and rescue operations in the jurisdictional area.
2. Assist Fire & Rescue Mutual Aid System Coordinator in acquiring mutual aid resources, as necessary.
3. Coordinate the mobilization and transportation of all resources through the Logistics Section.
4. Complete and maintain status reports (in RIMS format if available) for major incidents requiring or potentially requiring operational area, state and federal response, and maintains status of unassigned fire & rescue resources.
5. Coordinate with the Law Enforcement Branch Coordinator on jurisdiction Search & Rescue activities.
6. Implement the objectives of the EOC Action Plan assigned to the Fire & Rescue Branch.
7. Supervise the Fire & Rescue Branch.

## Activation Phase:

- Follow the generic Activation Phase Checklist.

- Based on the situation, activate the necessary Units within the Fire & Rescue Branch:
  - Fire & Rescue Unit
  - Emergency Medical Unit
  - HazMat Unit
- If the mutual aid system is activated, coordinate use of fire resources with the Operational Area Fire & Rescue Mutual Aid Coordinator.
- Prepare and submit a preliminary status report and major incident reports as appropriate to the Operations Section Coordinator.
- Prepare objectives for the Fire & Rescue Branch; provide them to the Operations Section Coordinator prior to the first Action Planning meeting.

### **Operational Phase:**

- Ensure that Branch and Unit position logs and other necessary files are maintained.
- Obtain and maintain current status on Fire & Rescue missions being conducted in the jurisdictional area.
- Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Fire & Rescue Branch operations periodically or as requested during the operational period.
- On a regular basis, complete and maintain the Fire & Rescue Status Report on RIMS forms if available.
- Refer all contacts with the media to the Public Information Branch.
- Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).
- Prepare objectives for the Fire & Rescue Branch for the subsequent operational period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning meeting.
- Provide your relief with a briefing at shift change; inform him/her of all on going activities, branch objectives for the next operational period, and any other pertinent information.

## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Fire & Rescue Unit Leader

### Responsibilities:

1. Provide coordination for mutual aid requests to and from the Operational Area Fire / Rescue Mutual Aid Coordinator, as appropriate.
2. Respond to requests for non-fire support resources from the fire departments DOC in a timely manner, following established priorities (life safety, protection of the environment, and protection of property).
3. Monitor and track fire resources utilized during the event.
4. Assist in mobilizing urban search & rescue teams at the request of Department Operations Centers (DOCs) or Incident Commands as appropriate.
5. Provide general support to field personnel as required.
6. Supervise the Fire & Rescue Unit.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Establish and maintain radio or phone communication with the Fire Department Operations Center, or with Fire Incident Commands if appropriate.
- Determine the status of all department emergency operations.
- Obtain regular status reports on the fire situation from the Department Operations Center as appropriate from Incident Commands.
- Determine the impact of the emergency on the Fire Department's operational capability.
- Establish the objectives of the Fire & Rescue Unit based on the nature and severity of the emergency, and provide them to the Fire & Rescue Branch Coordinator prior to the first Action Planning meeting.

- Work closely with all Operations Section Branch Coordinators to determine the scope of any urban search and rescue assistance required.
- Coordinate with the Fire & Rescue Branch Coordinator to determine missions for urban search and rescue teams based on established priorities.
- Assist in mobilizing urban search and rescue teams consistent with established policies and priorities.
- Work closely with the Logistics Section to determine the status and availability of urban search and rescue resources specifically larger jurisdictions who have organized USAR teams.
- Coordinate with the Law Enforcement Branch to determine availability of search dog units and other SAR resources.
- Provide fire status updates to the Fire & Rescue Branch Coordinator on a regular basis.
- Evaluate and process all requests for fire Mutual Aid resources through the Operational Area Fire & Rescue Mutual Aid Coordinator.
- In conjunction with Planning/Intelligence, determine if current and forecasted weather conditions will affect fire and rescue operations.
- Inform the Fire & Rescue Branch Coordinator of all significant events that occur.
- Coordinate with the Law Enforcement Branch to determine status of SAR missions, evacuations and shelter locations.
- Determine availability of shelter facilities (or commercial lodging) through the Logistics Section.
- Reinforce the use of proper procedures for media contacts.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

# Emergency Medical Unit Leader

## Responsibilities:

1. Ensure that all available emergency medical resources are identified and mobilized as required.
2. Provide assistance as required to Incident Command Posts and Department Operations Centers in establishing triage teams.
3. Determine the status of medical facilities within the affected area.
4. Ensure adequate transportation resources are available for appropriate DOCs or Incident Commands for the transportation of injured victims to appropriate medical facilities.
5. Supervise the Emergency Medical Unit.

## Activation Phase:

- Follow generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- Work closely with all Operations Section Branch Coordinators to determine the scope of emergency medical assistance required.
- Determine the status and availability of medical mutual aid resources in the operational area; specifically paramedics and ambulances.
- Establish radio or telephone communication with area hospitals and other medical facilities to determine their capability to treat disaster victims.
- Determine status and availability of specialized treatment such as burn centers.
- Assist the Fire & Rescue Unit Leader in providing triage for extricated victims.
- Coordinate with the Logistics Section to acquire suitable transportation for injured victims as required or requested.
- Establish and maintain communication with the Operational Area EOC and determine status and availability of medical resources.



- Coordinate with the Logistics Section to obtain necessary supplies and equipment to support emergency medical operations in the field.
- Inform the Fire & Rescue Branch Coordinator of all significant events.
- Reinforce the use of proper procedures for media contacts. This is particularly critical in a emergency medical situation where statistical information is requested by the media.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# HazMat Unit Leader

## Responsibilities:

1. Determine the scope of hazardous materials incidents.
2. Assist in mobilizing hazardous materials teams at the request of Department Operations Centers or Field Incident Commanders.
3. Request assistance from and/or provide hazardous materials support as required to Operational Area Emergency Response Agencies consistent with established priorities and objectives.
4. Ensure that deployed teams are provided with adequate support.
5. Supervise the HazMat Unit.

## Activation Phase:

- Follow generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- Work closely with all Operations Section Branch Coordinators to determine the scope of HazMat incident response required.
- Coordinate with the Fire & Rescue Branch Coordinator to determine missions for HazMat teams based on established priorities.
- Mobilize and deploy available HazMat teams in a manner consistent with the HazMat Mutual Aid System and established priorities.
- Establish radio or phone communication with all deployed HazMat teams to determine the scope of support required.
- Work closely with the Logistics Section to determine the status and availability of HazMat Response Teams in the Operational Area.
- Coordinate with Construction/Engineering to provide on-site assistance with HazMat operations at the request of team leaders.

- Coordinate with the Emergency Medical Unit to determine medical facilities where victims of HazMat incidents can be transported following decontamination.
- Coordinate with the Coroner/Fatalities Management Unit to provide on-site assistance in managing fatalities at HazMat scenes.
- Monitor and track the progress and status of each HazMat team.
- Ensure that HazMat Team Leaders report all significant events.
- Assist in establishing camp facilities (or commercial lodging) for HazMat teams through the Logistics Section, if not addressed at the ICP or DOC.
- Inform the Fire & Rescue Branch Coordinator of all significant events.
- Reinforce the use of proper procedures for media contacts. This is particularly critical in instances where the media is seeking technical information on the hazardous material, statistical information, or personal identities of injured victims or fatalities.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Law Enforcement Branch Coordinator

## Function Description:

The Law Enforcement Branch in the EOC Operations Section is responsible for linking the EOC to law enforcement agencies Department Operations Centers, Dispatch Centers, the law enforcement mutual aid system, and, as appropriate to the jurisdiction, with Incident Command on incidents under the management of law enforcement agencies. The Law Enforcement Branch Coordinator reports to the Operations Section Coordinator. The Branch will obtain situation reports, requests for resource support (outside of the mutual aid system), and be the primary link from the EOC to law enforcement operations. The Branch will supply law enforcement agency DOCs and ICs as appropriate, with information and directives developed in the EOC.

Smaller jurisdictions may not activate separate units for coroner or search and rescue.

## Responsibilities:

1. Coordinate movement and evacuation operations during an emergency.
2. Alert and notify the public of the impending or existing emergency.
3. Coordinate law enforcement, search and rescue, and traffic control operations during the emergency.
4. Coordinate site security at incidents.
5. Coordinate Law Enforcement Mutual Aid requests from emergency response agencies through the Law Enforcement Mutual Aid Coordinator at the Operational Area EOC.
6. Supervise the Law Enforcement Branch.

## Activation Phase:

- Follow the generic Activation Phase Checklist.
- Based on the situation, activate the necessary Units within the Law Enforcement Branch:
  - Law Enforcement Operations Unit
  - Coroner/Fatalities Management Unit
  - Search and Rescue Unit
- Contact and assist the Operational Area EOC Law Enforcement and Coroner's Mutual Aid Coordinators as required or requested.
- Provide an initial situation report to the Operations Section Coordinator.

- Based on the initial EOC strategic objectives, prepare objectives for the Law Enforcement Branch and provide them to the Operations Section Coordinator prior to the first Action Planning meeting.

### **Operational Phase:**

- Ensure that Branch and Unit position logs and other necessary files are maintained.
- Maintain current status on Law Enforcement missions being conducted.
- Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Law Enforcement Branch operations periodically or as requested during the operational period.
- On a regular basis, complete and maintain the Law Enforcement Status Report. (Use RIMS Forms if available).
- Refer all contacts with the media to the Public Information Branch.
- Determine need for Law Enforcement Mutual Aid.
- Determine need for Coroner's Mutual Aid.
- Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).
- Prepare objectives for the Law Enforcement Branch for the subsequent Operational period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning Meeting.
- Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch objectives for the next operational period, and any other pertinent information.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Law Enforcement Operations Unit Leader

## Responsibilities:

1. Coordinate requests for Law Enforcement Mutual Aid Resources through the Operational Area Law Enforcement Mutual Aid Coordinator.
2. Establish and maintain communication with Law Enforcement Branch Directors in the field or at the Department Operations Center (DOC) if activated.
3. Respond to requests for Law Enforcement resources from the field in a timely manner, following established priorities (life safety, protection of the environment, and protection of property).
4. Monitor and track law enforcement resources utilized during the event.
5. Provide general support to field personnel as required.
6. Supervise the Law Enforcement Operations Unit.

## Activation Phase:

- Follow generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- Establish and maintain radio or phone communication with the Department Operations Center, or Law Enforcement Branch Directors at the field level as appropriate.
- Obtain regular status reports on the law enforcement situation from the Department Operations Center or Law Enforcement Incident Command.
- Assess the impact of the emergency on the department's operational capability.
- Establish the objectives of the Law Enforcement Operations Unit based on the nature and severity of the emergency, and provide them to the Law Enforcement Branch Coordinator prior to the first Action Planning meeting.
- If the Department Operations Center is not activated, ensure that the assignment of law enforcement resources are closely monitored and coordinated, and that on-scene time is logged at the field level.

- In conjunction with Planning/Intelligence, determine if current and forecasted weather conditions will affect law enforcement operations.
- Coordinate major evacuation activity with the Fire Operations Branch, as required.
- Coordinate with the Care and Shelter Unit to establish suitable shelter locations and appropriate shelter facilities for evacuated population.
- Determine availability of camp facilities (or commercial lodging) for law enforcement personnel, through the Logistics Section.
- Reinforce the use of proper procedures for media contacts.
- Provide law enforcement status updates to the Law Enforcement Branch Coordinator on a regular basis.
- Evaluate and process all requests for law enforcement resources through the Operational Area Law Enforcement Mutual Aid Coordinator.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Coroner/Fatalities Management Unit Leader

### Responsibilities:

This function will normally be accomplished by the county. However, during major emergencies local governments may be required to provide interim capabilities.

1. At the direction of the Sheriff/Coroner, establish and oversee an interim system for managing fatalities resulting from the emergency.
2. At the direction of the Sheriff/Coroner, establish and oversee the operation of temporary morgue facilities and maintain detailed records of information relative to each fatality.
3. Supervise the Coroner/Fatalities Management Unit.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Ensure that locations where fatalities are discovered are secured.
- Ensure that fatality collection points are established and secured as necessary.
- Ensure that temporary morgue facilities are established in accordance with guidelines established by the Sheriff/Coroner.
- Request Coroner's Mutual Aid as required.
- Procure, through Logistics, all necessary fatalities management equipment and supplies, such as temporary cold storage facilities or vehicles, body bags, etc.
- Coordinate with the Fire & Rescue unit or Law Enforcement Search & Rescue (SAR) Unit to determine location and number of extricated fatalities.
- Ensure that human remains are transported from fatality collection points to temporary morgue(s), if so advised by the Sheriff/Coroner.
- Assist the Sheriff/Coroner with identification of remains and notification of next of kin as required.



- In conjunction with local mortuaries and cemeteries, assist with the reburial of any coffins that were surfaced and/or disturbed as a result of an emergency.
- Keep the Law Enforcement Branch Coordinator informed of Coroner/Fatalities Management Unit activities on a regular basis.
- Inform the Law Enforcement Branch Coordinator and the Public Information Officer of the number of confirmed fatalities resulting from the emergency. **(NOTE: This information must be verified with the Sheriff/Coroner prior to release).**
- Ensure that all media contacts are referred to the Public Information Officer.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Search & Rescue (SAR) Unit Leader

### Responsibilities:

1. Determine the scope of the search and rescue mission.
2. Assist in mobilizing Search and Rescue Teams at the request of Department Operations Centers or Field Incident Commanders.
3. Provide search and rescue support as required to other emergency response agencies consistent with established priorities and objectives.
4. Ensure that deployed teams are provided with adequate support.
5. Supervise the Search & Rescue Unit.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Work closely with all Operations Section Branch Coordinators to determine the scope of search and rescue assistance required.
- Coordinate with the Law Enforcement Branch Coordinator to determine missions for search and rescue teams based on established priorities.
- Mobilize and deploy available search and rescue teams to locations or to other emergency response agencies, consistent with established policies and priorities.
- Establish radio or phone communication with all deployed search and rescue team leaders to determine the scope of support required.
- Work closely with the Logistics Section to determine the status and availability of search and rescue resources specifically larger jurisdictions who have organized SAR teams.
- Coordinate with Construction/Engineering to provide on-site assistance with rescue operations at the request of team leaders.

- Coordinate with the Emergency Medical Unit to provide on-site assistance to extricated victims requiring medical treatment.
- Coordinate with the coroner/fatalities management unit to provide on-site assistance in managing fatalities at search locations.
- Ensure that each team leader develops a safety plan for each assigned mission.
- Monitor and track the progress and status of each search and rescue team.
- Ensure that team leaders report all significant events.
- Assist in establishing camp facilities (or commercial lodging) for Search and Rescue Teams through the Logistics Section, if not addressed at the ICP or DOC.
- Inform the Law Enforcement Branch Coordinator of all significant events.
- Reinforce the use of proper procedures for media contacts. This is particularly critical in instances where the media is seeking statistical information or personal identities of injured victims or fatalities.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Construction/Engineering Branch Coordinator

## Function Description:

The Construction/Engineering Branch in the Local Government EOC coordinates all infrastructure related activities during an emergency. The Branch Coordinator reports to the Operations Section Coordinator. The Branch title may vary depending on the jurisdictional organization. Typically it may include coordination of utility services (public and private), public works, engineering, and damage and safety inspections and assessments.

Smaller jurisdictions may not activate separate units for utilities, damage assessment and public works.

## Responsibilities:

1. Survey all utility systems, and restore systems that have been disrupted, including coordinating with utility service providers in the restoration of disrupted services.
2. Survey all public and private facilities, assessing the damage to such facilities, and coordinating the repair of damage to public facilities.
3. Survey all other infrastructure systems, such as streets and roads within the jurisdictional area.
4. Assist other sections, branches, and units as needed.
5. Supervise the Construction/Engineering Branch.

## Activation Phase:

- Follow the generic Activation Phase Checklist.
- Based on the situation, activate the necessary units within the Construction/Engineering Branch:
  - Utilities Unit
  - Public Works Unit
  - Damage/Safety Assessment Unit
- Contact and assist the Operational Area Public Works Mutual Aid Coordinator with the coordination of mutual aid resources as necessary.
- Provide an initial situation report to the Operations Section Coordinator.
- Based on the initial EOC strategic objectives, prepare objectives for the Construction/ Engineering Branch and provide them to the Operations Section Coordinator prior to the first Action Planning meeting.

### **Operational Phase:**

- Ensure that Branch and Unit position logs and other necessary files are maintained.
- Maintain current status on all construction/engineering activities being conducted.
- Ensure that damage and safety assessments are being carried out for both public and private facilities.
- Request mutual aid as required through the Operational Area Public Works Mutual Aid Coordinator.
- Determine and document the status of transportation routes into and within affected areas.
- Coordinate debris removal services as required.
- Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Construction/Engineering Branch activities periodically during the operational period or as requested.
- Ensure that all Utilities and Construction/Engineering Status Reports, as well as the Initial Damage Estimation are completed and maintained. (Utilize RIMS forms if available).
- Refer all contacts with the media to the Public Information Branch.
- Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).
- Prepare objectives for the Construction/Engineering Branch for the subsequent operations period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning meeting.
- Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch objectives for the next operational period, and any other pertinent information.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Utilities Unit Leader

## Responsibilities:

1. Assess the status of utilities, provide Utility Status Reports as required.
2. Coordinate restoration of damaged utilities with utility representatives in the EOC if present, or directly with Utility companies.
3. Supervise the Utilities Unit.

## Activation Phase:

- Follow generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- Establish and maintain communications with the utility providers.
- Determine the extent of damage to utility systems.
- Coordinate with the Liaison Officer to ensure that agency representatives from affected utilities are available to respond to the EOC.
- Ensure that all information on system outages is consolidated and provided to the Situation Analysis Unit in the Planning/Intelligence Section.
- Ensure that support to utility providers is available as necessary to facilitate restoration of damaged systems.
- Keep the Health & Welfare Branch Coordinator informed of any damage to sewer and sanitation systems, as well as possible water contamination problems.
- Keep the Construction/Engineering Branch Coordinator informed of the restoration status.
- Complete and maintain the Utilities Status Report (Utilize RIMS forms if available).
- Refer all contacts with the media to the Public Information Officer.

## Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

## Damage/Safety Assessment Unit Leader

### Responsibilities:

1. Collect initial damage/safety assessment information from other branches/units within the Operations Section.
2. If the emergency is storm, flood, or earthquake related, ensure that inspection teams have been dispatched to assess the condition of the dam.
3. Provide detailed damage/safety assessment information to the Planning/Intelligence Section, with associated loss damage estimates.
4. Maintain detailed records on damaged areas and structures.
5. Initiate requests for Engineers, to inspect structures and/or facilities.
6. Supervise the Damage/Safety Assessment Unit.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Obtain initial damage/safety assessment information from Fire & Rescue Branch, Law Enforcement Branch, Utilities Unit and other branches/units as necessary.
- Coordinate with the American Red Cross, utility service providers, and other sources for additional damage/safety assessment information.
- Prepare detailed damage/safety assessment information, including estimate of value of the losses, and provide to the Planning/Intelligence Section.
- Clearly label each structure and/or facility inspected in accordance with ATC-20 standards and guidelines.
- Maintain a list of structures and facilities requiring immediate inspection or engineering assessment.
- Initiate all requests for engineers and building inspectors through the Operational Area EOC.



- Keep the Construction/Engineering Branch Coordinator informed of the inspection and engineering assessment status.
- Refer all contacts with the media to the Public Information Officer.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Public Works Unit Leader

### Responsibilities:

1. Assist other Operation Section Branches by providing construction equipment and operators as necessary.
2. Provide heavy equipment assistance to the Damage/Safety Assessment Unit as required.
3. Provide emergency construction and repair to damaged roadways. Assist with the repair of utility systems as required.
4. Providing flood-fighting assistance, such as sandbagging, rerouting waterways away from populated areas, and river, creek, or streambed debris clearance.
5. Supervise the Public Works Unit.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Ensure that appropriate staff are available to assist other emergency responders with the operation of heavy equipment, in coordination with the Logistics Section.
- Ensure that engineering staff are available to assist the Damage/Safety Assessment Unit in inspecting damaged structures and facilities.
- As requested, direct staff to provide flood fighting assistance, clear debris from roadways and water ways, assist with utility restoration, and build temporary emergency structures as required.
- Work closely with the Logistics Section to provide support and materiel as required.
- Keep the Construction/Engineering Branch Coordinator informed of unit status.
- Refer all contacts with the media to the Public Information Officer.

## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Health and Welfare Branch Coordinator

## Function Description:

The Health and Welfare Branch at the Local Government EOC is responsible for jurisdictional coordination of people, animals and population mass care activities during the emergency. This can include but is not limited to, providing care and shelter for evacuated or displaced personnel, and for ensuring public physical and mental health. The Branch will coordinate the care giving activities through resources available within the jurisdiction, or by obtaining such services as required through agreements and/or established mutual aid programs.

Smaller jurisdictions may not activate separate units for the functions covered under health and welfare. The county would normally do some of the activities of the branch. Local Governments must be capable of providing interim services.

## Responsibilities:

1. Safeguard the public health of citizens by ensuring there is an ample supply of potable water, a functioning sanitation system, and vector controls are established, as required.
2. In coordination with volunteer and private agencies, provide clothing, shelter, and other mass care services as required, to disaster victims.
3. Provide as required for animal control, care and sheltering.
4. Supervise the Health and Welfare Branch.

## Activation Phase:

- Follow the generic Activation Phase Checklist.

## Operational Phase:

- Ensure Branch and Unit position logs and other necessary files are maintained.
- Ensure that all potable water supplies remain safe, and free from contaminants.
- Ensure that sanitation systems are operating effectively and not contaminating water supplies.
- Ensure that a vector control plan is established and implemented for the affected area(s).

- Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Health and Welfare Branch Operational periodically during the operations period or as requested.
- Complete and maintain the Care & Shelter Status Reports (utilizing RIMS forms if available).
- Ensure that the Public Health Branch is available to assist the Coroner/Fatalities Management Unit in mitigating and managing mass fatality situations.
- Ensure coordination of all mass care activities occurs with the American Red Cross and other volunteer agencies as required.
- Ensure that animal control measures are in effect and animal care and sheltering is appropriate for the emergency.
- Prepare objectives for the Health and Welfare Branch for the subsequent operational period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning meeting.
- Refer all contacts with the media to the Public Information Branch.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Care & Shelter Unit Leader

### Responsibilities:

1. Coordinate directly with the American Red Cross and other volunteer agencies to provide food, potable water, clothing, shelter and other basic needs as required to disaster victims.
2. Assist the American Red Cross with inquiries and registration services to reunite families or respond to inquiries from relatives or friends.
3. Assist the American Red Cross with the transition from mass care to separate family/individual housing.
4. Supervise the Care & Shelter Unit.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Coordinate with the Liaison Officer to request an Agency Representative from the American Red Cross. Work with the Agency Representative to coordinate all shelter and congregate care activity.
- Establish communications with other volunteer agencies to provide clothing and other basic life sustaining needs.
- Ensure that each activated shelter meets the requirements as described under the Americans With Disabilities Act.
- Assist the American Red Cross in staffing and managing the shelters to the extent possible.
- In coordination with the American Red Cross, activate an inquiry registry service to reunite families and respond to inquiries from relatives or friends.
- Assist the American Red Cross with the transition from operating shelters for displaced persons to separate family/individual housing.
- Complete and maintain the Care and Shelter Status Report Form (utilize RIMS forms if available).

- Refer all contacts with the media to the Public Information Officer.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Public Health Unit Leader

### Responsibilities:

1. Assess the status and availability of potable water.
2. Assess the status of the sanitation system.
3. Inspect and assess emergency supplies such as food and other consumables for purity and utility.
4. Assess the need for a vector control plan for the affected emergency areas.
5. Supervise the Public Health Unit.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Coordinate with the Utilities Unit Leader to determine current status of water and sanitation systems.
- If systems are damaged, request assistance from County Public Health to assess drinking water quality and potential health risks from ruptured sewer/sanitation systems.
- Develop a distribution system for drinking water as required.
- Contact and coordinate with the Logistics Section, to obtain chemical (portable) toilets and other temporary facilities for the disposal of human waste and other infected waste.
- Inspect emergency supplies to be used in the EOC or by field emergency responders, such as food, drugs, and other consumables for purity and utility.
- Determine the need for vector control, and coordinate with County Public Health for vector control services as required.
- Inform the Health & Welfare Branch Coordinator on all activities of the Public Health Unit periodically during the operational period, or as requested.
- Refer all contacts with the media to the Public Information Branch.



## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## **Animal Care & Welfare Unit Leader**

### **Responsibilities:**

1. Assess the status of animal care needs with the jurisdiction.
2. Determine status of available shelters and establish locations for additional sheltering.
3. Determine the need for animal care and veterinary services.
4. Develop a plan for meeting jurisdictional animal welfare needs for the duration of the emergency.
5. Coordinate as necessary with Health & Welfare Branch Coordinator and other EOC positions on Animal Care & Welfare issues and requirements.
6. Supervise the Animal Care & Welfare Unit.

### **Activation Phase:**

- Follow generic Activation Phase Checklist.

### **Operational Phase:**

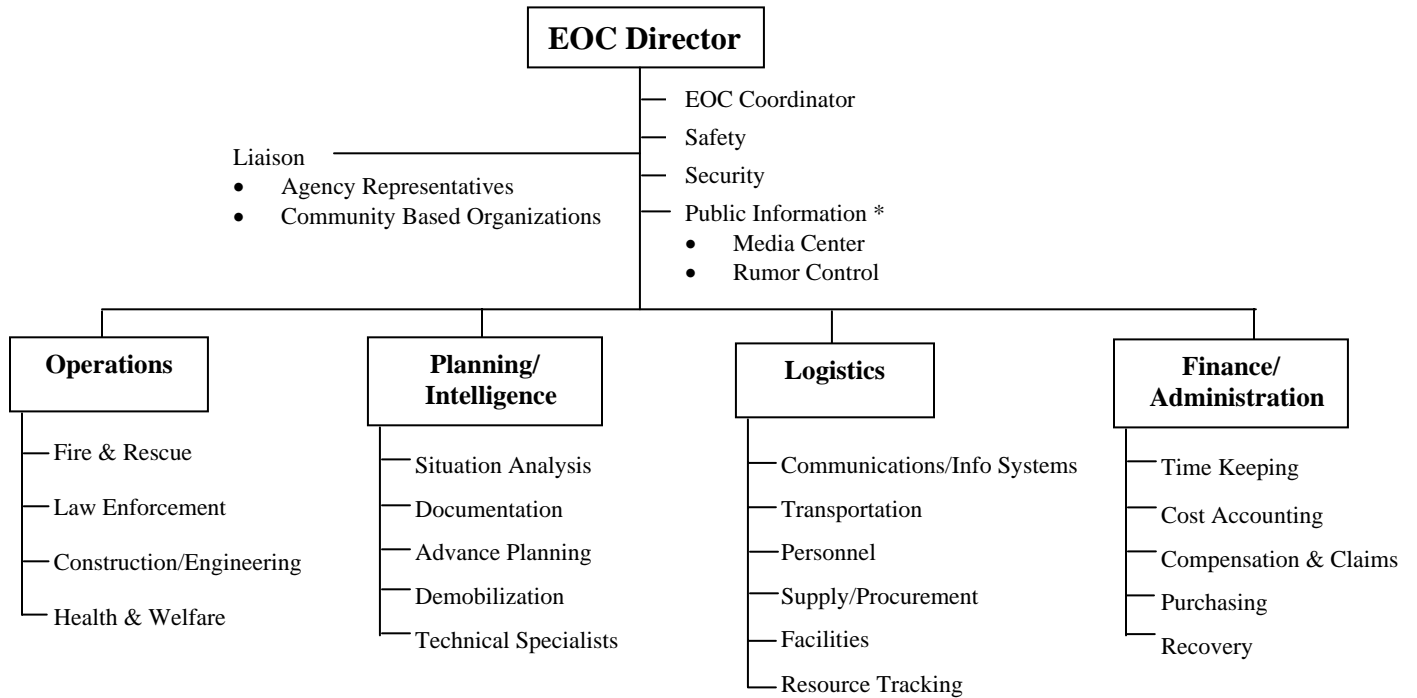
- Establish and maintain a position log and other necessary files.
- Contact jurisdictional animal welfare facilities and determine their status and ability to function.
- Determine location and time of any animal welfare facilities are activated.
- Obtain phone numbers/pager numbers for all essential locations and/or personnel that may have contact with the EOC.
- Determine status of available communications systems.
- Obtain current level of staffing and anticipated needs for additional personnel (include volunteer personnel in estimate).
- Determine location and status of major incidents involving a threat to or from animals.
- Determine extent of damage to, and the operational capacity of department shelter facilities.
- Provide above information to the Branch Coordinator and to the Situation Analysis Unit.

- Participate in EOC planning meetings, as required.
- As requested, provide estimate of the emergency's impact on area animals, and the need for animal control and care.
- Communicate plans developed at the EOC that affect animal control and care to appropriate outside locations.
- Assign specific duties to support staff, and supervise staff.
- As needed, request additional resources through established ordering procedures.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## V. Small Local Government EOC Functional Organization Chart



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

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

**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS CENTER COURSE G611**

**LOCAL GOVERNMENT  
PLANNING/INTELLIGENCE  
SECTION  
Function Specific Handbook**

**CHAPTER THREE  
MARCH 2001**

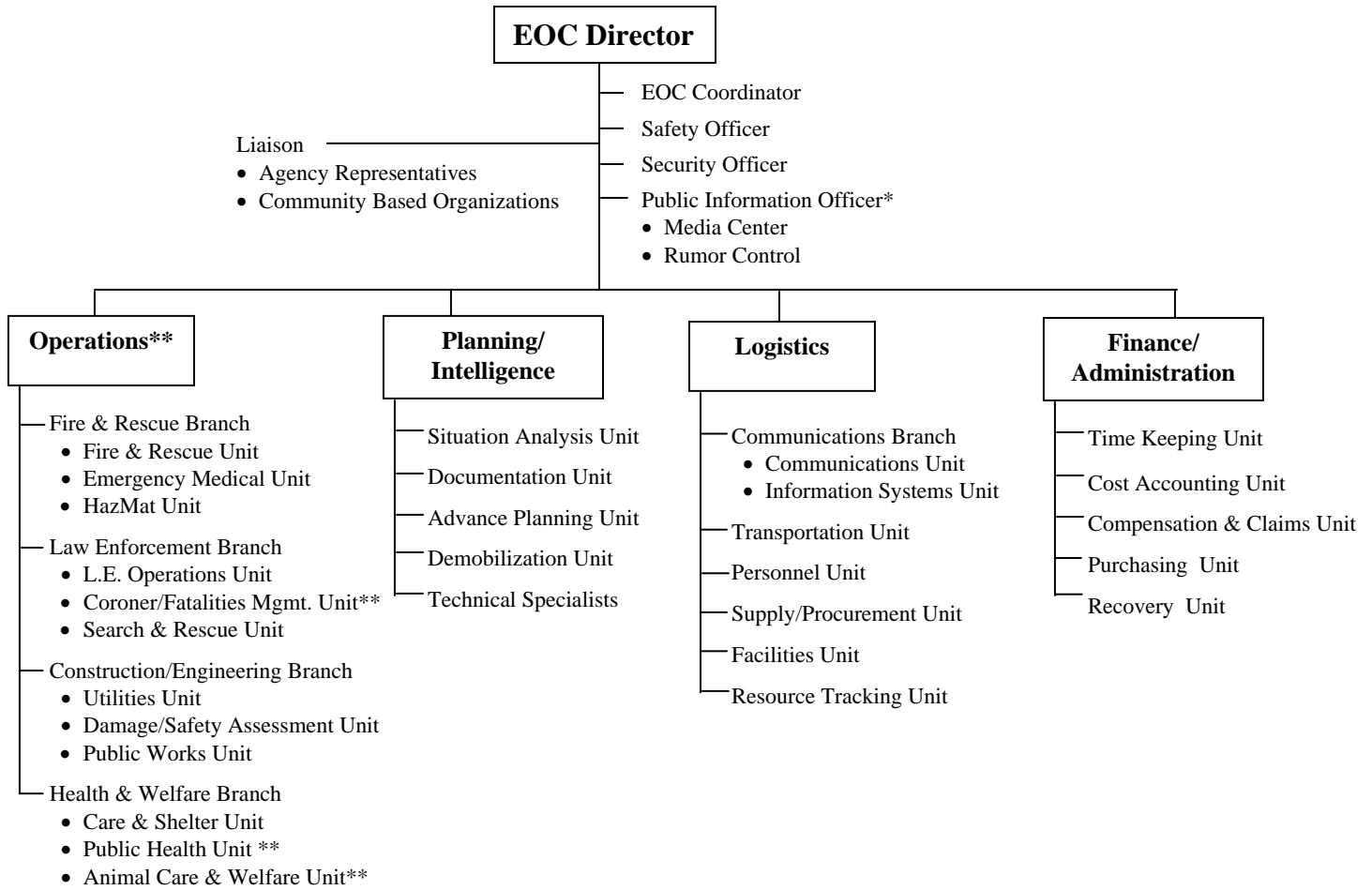
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# LOCAL GOVERNMENT PLANNING/INTELLIGENCE SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Local Government EOC Functional Organization Chart



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

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

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

See page 19 of this handbook for an example of a Small Local Government EOC Functional Organization Chart.

## II. General Considerations

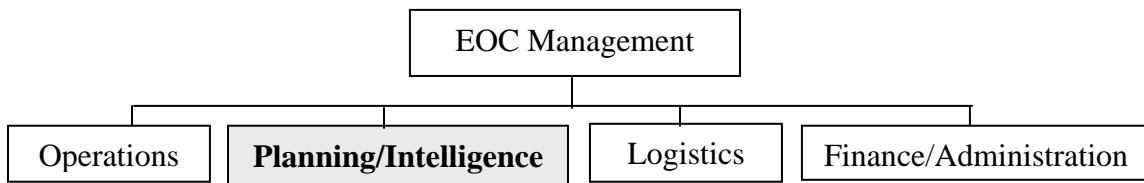
### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Planning/Intelligence Section of a local government EOC. The checklists describe minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

### C. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established.

The functions described here are those activities that may need to be activated during an EOC activation for the Planning/Intelligence Section at the local government EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

### D. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply:

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub-functions.



- One person may have delegated authority for more than one area of responsibility (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

### III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

#### **Activation Phase:**

- Check in upon arrival at the EOC.
- Report to EOC Director, Section Coordinator, or other assigned Supervisor.
- Set up your workstation and review your position responsibilities.
- Establish and maintain a position log that chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure RIMS (Response Information Management System) is operational.

#### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the EOC Director.
- Complete all required forms, reports, and other documentation, as appropriate, prior to your departure.
- Be prepared to provide input to the after-action report.
- If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.

- Leave a forwarding phone number where you can be reached.

#### IV. Planning/Intelligence Section Functional Descriptions

The EOC Director has the authority and responsibility to direct all EOC activity. The Director may delegate authority to members of the General Staff. Planning/Intelligence Section positions will vary depending upon the need. The positions listed below are the more common Planning/Intelligence Section positions found in a local government EOC. Note that in some EOCs these positions may be activated at a one-person level, or at a unit level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The Planning/Intelligence Section positions are extremely important, in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.

# Planning/Intelligence Section Coordinator

## Function Description:

The Planning/Intelligence Section is a primary function for any local government EOC. The Section will gather information from a variety of sources, analyze and verify information, and prepare and update internal EOC information and map displays. The Situation Analysis function will be activated under any EOC activation. The Section has an important function in overseeing the Planning Meetings and in preparing the EOC Action Plan. The Section will collect and process internal EOC documentation, and prepare advance planning information as necessary. Technical Specialists assigned to the EOC will initially be part of the Planning/Intelligence Section. The Section Coordinator reports directly to the EOC Director.

## Responsibilities:

1. Ensure that the following responsibilities of the Planning/Intelligence Section are addressed as required:
  - Collecting, analyzing, and displaying situation information,
  - Preparing periodic Situation Reports,
  - Preparing and distributing the EOC Action Plan and facilitating the Action Planning meeting,
  - Conducting Advance Planning activities and report,
  - Providing technical support services to the various EOC sections and branches, and documenting and maintaining files on all EOC activities.
2. Establish the appropriate level of organization for the Planning/Intelligence Section.
3. Exercise overall responsibility for the coordination of unit activities within the section.
4. Keep The EOC Director informed of significant issues affecting the Planning/Intelligence Section.
5. In coordination with the other Section Coordinators, ensure that Status Reports are completed and utilized as a basis for Situation Analysis Reports, and the EOC Action Plan.
6. Supervise the Planning/Intelligence Section.

## Activation Phase:

- Follow the generic Activation Phase Checklist.
- Ensure that the Planning/Intelligence Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps and status boards.

- Based on the situation, activate units within the section as needed and designate Unit Leaders for each element:
  - Situation Analysis Unit
  - Advance Planning Unit
  - Documentation Unit
  - Demobilization Unit
- Request additional personnel for the section as necessary to maintain a 24-hour operation.
- Establish contact with the Operational Area EOC when activated, and coordinate Situation Analysis Reports with their Planning/Intelligence Section.
- Meet with Operations Section Coordinator; obtain and review any major incident reports.
- Review responsibilities of units in the section; develop plans for carrying out all responsibilities.
- Make a list of key issues to be addressed by Planning/Intelligence; in consultation with section staff, identify objectives to be accomplished during the initial Operational Period.
- Keep the EOC Director informed of significant events.
- Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

### **Operational Phase:**

- Ensure that Planning/Intelligence Section position logs and other necessary files are maintained.
- Ensure that The Situation Analysis Unit is maintaining current information for the situation analysis report.
- Ensure that major incidents reports and status reports are completed by the Operations Section and are accessible by Planning/Intelligence (Utilize RIMS forms if available).
- Ensure that a situation analysis report is produced and distributed to EOC Sections and the Operational Area EOC at least once, prior to the end of the operational period.
- Ensure that all status boards and other displays are kept current and that posted information is neat and legible.
- Ensure that the Public Information Branch has immediate and unlimited access to all status reports and displays.
- Conduct periodic briefings with section staff and work to reach consensus among staff on section objectives for forthcoming operational periods.

- Facilitate the EOC Director's Action Planning meetings approximately two hours before the end of each operational period.
- Ensure that objectives for each section are completed, collected and posted in preparation for the next Action Planning meeting.
- Ensure that the EOC Action Plan is completed and distributed prior to the start of the next operational period.
- Work closely with each unit within the Planning/Intelligence Section to ensure the section objectives, as defined in the current EOC Action Plan, are being addressed.
- Ensure that the Advance Planning Unit develops and distributes a report which highlights forecasted events or conditions likely to occur beyond the forthcoming operational period; particularly those situations which may influence the overall strategic objectives of the EOC.
- Ensure that the Documentation Unit maintains files on all EOC activities and provides reproduction and archiving services for the EOC, as required.
- Provide technical specialists to all EOC sections as required.
- Ensure that fiscal and administrative requirements are coordinated through the Finance/ Administration Section.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Situation Analysis Unit Leader

### Responsibilities:

1. Oversee the collection, organization, and analysis of situation information related to the emergency.
2. Ensure that information collected from all sources is validated prior to posting on status boards.
3. Ensure that situation analysis reports are developed for dissemination to EOC staff and also to other EOCs as required.
4. Ensure that an EOC Action Plan is developed for each operational period.
5. Ensure that all maps, status boards and other displays contain current and accurate information.
6. Supervise Situation Analysis Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.
- Make contact with local government EOCs in the operational area and establish a schedule for obtaining situation reports.
- Ensure there are adequate staff available to collect and analyze incoming information, maintain the Situation Analysis Report and facilitate the Action Planning process.
- Prepare Situation Analysis Unit objectives for the initial Action Planning meeting.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Oversee the collection and analysis of all emergency related information.
- Oversee the preparation and distribution of the Situation Report. Coordinate with the Documentation Unit for manual distribution and reproduction as required.
- Ensure that each EOC Section provides the Situation Analysis Unit with Status Reports on a regular basis.
- Meet with the Public Information Officer to determine the best method for ensuring access to current information.

- Prepare a situation summary for the EOC Action Planning meeting.
- Ensure each section provides their objectives at least 30 minutes prior to each Action Planning meeting.
- In preparation for the Action Planning meeting, ensure that all EOC objectives are posted on chart paper, and that the meeting room is set up with appropriate equipment and materials (easels, markers, situation analysis reports, etc.).
- Following the meeting, ensure that the Documentation Unit publishes and distributes the EOC Action Plan prior to the beginning of the next operational period. (See attachment)
- Ensure that adequate staff are assigned to maintain all maps, status boards and other displays.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Documentation Unit Leader

### Responsibilities:

1. Collect, organize and file all completed emergency related forms, to include: all EOC position logs, situation analysis reports, EOC Action Plans and any other related information, just prior to the end of each operational period.
2. Provide document reproduction services to EOC staff.
3. Distribute the EOC situation analysis reports, EOC Action Plan, and other documents, as required.
4. Maintain a permanent electronic archive of all situation reports and Action Plans associated with the emergency.
5. Assist the EOC Coordinator in the preparation and distribution of the After Action Report.
6. Supervise the Documentation Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Meet with the Planning/Intelligence Section Coordinator to determine what EOC materials should be maintained as official records.
- Meet with the Recovery Unit Leader to determine what EOC materials and documents are necessary to provide accurate records and documentation for recovery purposes.
- Initiate and maintain a roster of all activated EOC positions to ensure that position logs are accounted for and submitted to the Documentation Unit at the end of each shift.
- Reproduce and distribute the Situation Reports and Action Plans. Ensure distribution is made to the Operational Area EOC.
- Keep extra copies of reports and plans available for special distribution as required.
- Set up and maintain document reproduction services for the EOC.



## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Advance Planning Unit Leader

### Responsibilities:

1. Development of an Advance Plan consisting of potential response and recovery related issues likely to occur beyond the next operational period, generally within 36 to 72 hours.
2. Review all available status reports, Action Plans, and other significant documents. Determine potential future impacts of the emergency; particularly issues which might modify the overall strategic EOC objectives.
3. Provide periodic briefings for the EOC Director and General Staff addressing Advance Planning issues.
4. Supervise the Advance Planning Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Monitor the current situation report to include recent updates.
- Meet individually with the general staff and determine best estimates of the future direction & outcomes of the emergency.
- Develop an Advance Plan identifying future policy related issues, social and economic impacts, significant response or recovery resource needs, and any other key issues likely to affect EOC operations within a 36 to 72 hour time frame.
- Submit the Advance Plan to the Planning/Intelligence Coordinator for review and approval prior to conducting briefings for the General Staff and EOC Director.
- Review Action Planning objectives submitted by each section for the next operational period. In conjunction with the general staff, recommend a transition strategy to the EOC Director when EOC activity shifts predominately to recovery operations.

## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

## Demobilization Unit Leader

### Responsibilities:

1. Develop a Demobilization Plan for the EOC based on a review of all pertinent planning documents, and status reports.
2. Supervise the Demobilization Unit.

### Activation Phase:

- Follow the generic Activation Phase Checklist.

### Operational Phase:

- Establish and maintain a position log and other necessary files.
- Review EOC personnel roster to determine size and scope of any demobilization efforts.
- Meet individually with the general staff to determine their need for assistance in any Demobilization Planning.
- Advise Planning/Intelligence Section Coordinator on the need for a formal written Demobilization Plan.
- If a Demobilization Plan is required, develop the plan using detailed specific responsibilities, release priorities and procedures.
- Establish with each Section Coordinator which units/personnel should be demobilized first.
- Establish time tables for deactivating or downsizing units.
- Determine if any special needs exist for personnel demobilization (e.g. transportation).
- Develop a checkout procedure if necessary, to ensure all deactivated personnel have cleared their operating position.
- Submit any formalized Demobilization Plan to the Planning/Intelligence Section Coordinator for approval.
- Meet with each assigned Agency Representative and Technical Specialist to determine what assistance may be required for their demobilization from the EOC.

- Monitor the implementation of the Demobilization Plan and be prepared to handle any demobilization issues as they occur.

## Technical Specialists

### Responsibilities:

1. Provide technical observations and recommendations to EOC staff in specialized areas as required.
2. Advise on legal limitations use of particular resources.
3. Work with inter-agency coordination groups as necessary providing expertise.

### Activation Phase:

- Follow appropriate portions of the Activation Phase Checklist.

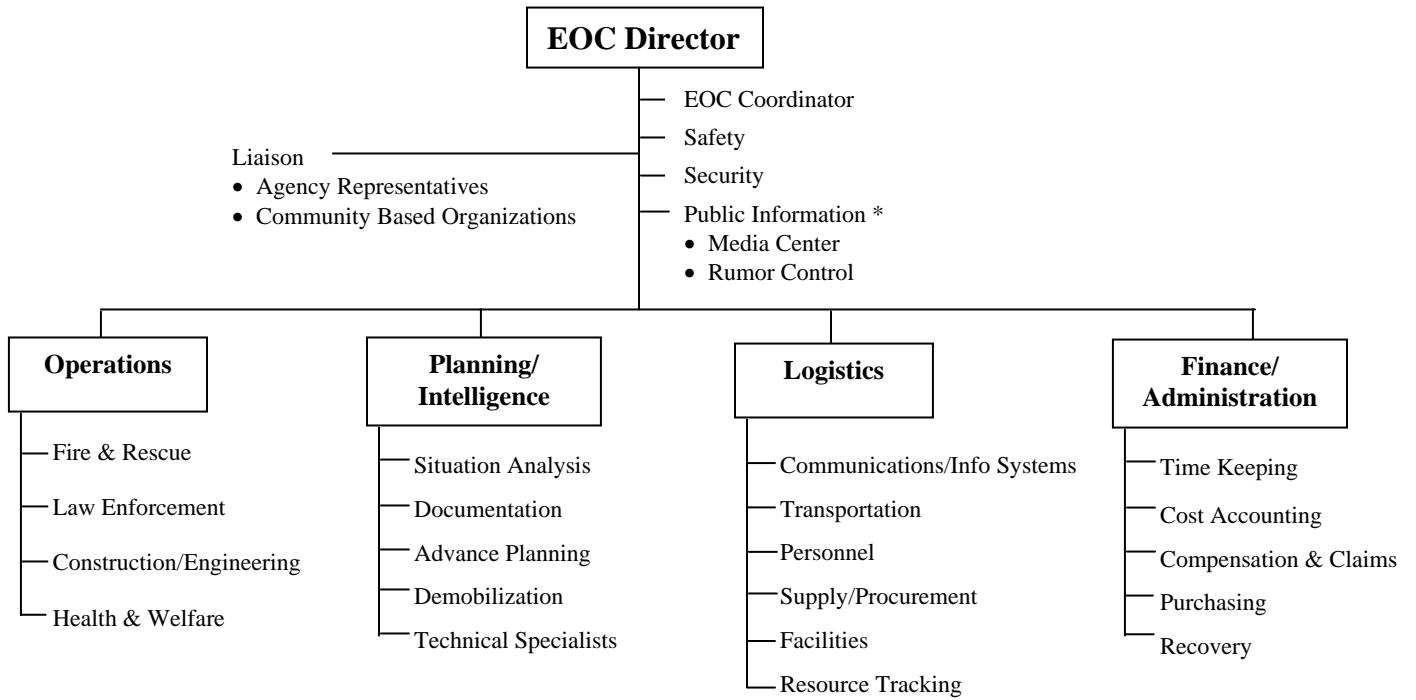
### Operational Phase:

- Provide technical services as required to requesting EOC staff.
- Contribute to EOC planning meetings and inter-agency coordination groups as requested.
- Ensure that all recommendations are appropriately documented.
- Advise Planning/Intelligence Section when duties are completed.
- Obtain release from Planning/Intelligence Section Coordinator prior to leaving the EOC.

### Demobilization Phase:

- Follow applicable portions of the generic Demobilization Phase Checklist.

V. Small Local Government EOC Functional Organization Chart



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

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

# GUIDE FOR CONDUCTING ACTION PLANNING MEETINGS (LOCAL GOVERNMENTS AND OPERATIONAL AREAS)

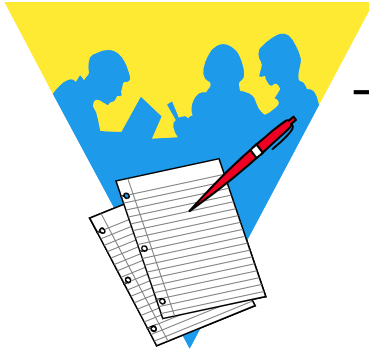
## VI. EOC Action Planning Responsibilities:

- ❖ **EOC Director:** Ensure that EOC Action Planning is accomplished within the EOC.
- ❖ **Planning/Intelligence Coordinator:** Is directly responsible for the EOC Action Planning process.
- ❖ **Situation Analysis Unit Leader:** Conducts the EOC Action Planning meeting and prepares or assigns staff to prepare the Action Plan.
- ❖ **Documentation Unit Leader:** Distributes and archives the EOC Action Plan.

### Purpose of the EOC Action Plan:

- ❖ Establishes **Direction and Priorities** for EOC operations in the form of overall objectives.
- ❖ Establishes **Operational Objectives for each SEMS function** in the EOC, and tracks the progress.
- ❖ Establishes the **Operational Period**. (Time-frame for completion of operational objectives)
- ❖ Provides for **Accountability** and reduces **Redundancy**.
- ❖ Provides **valuable documentation** for After Action Reports.





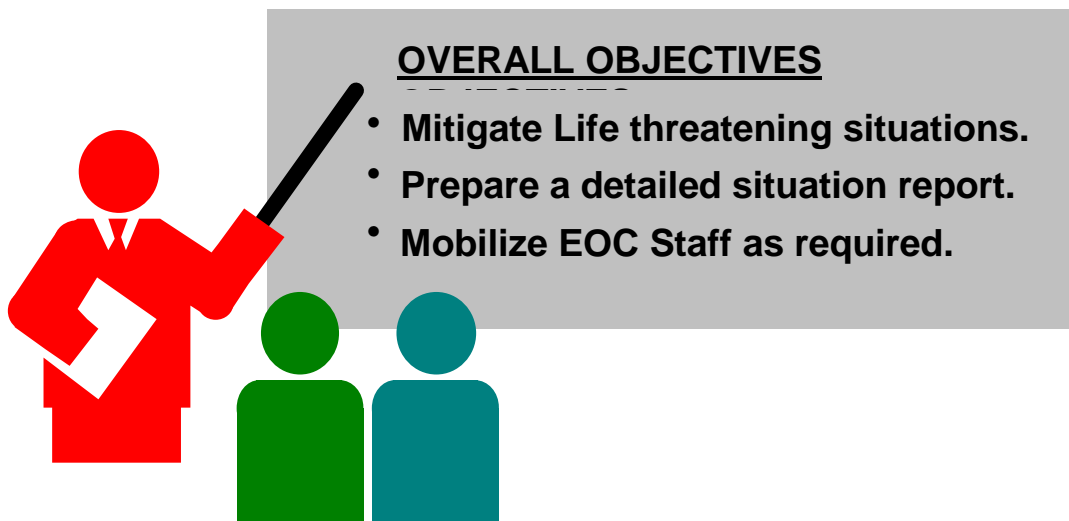
# The Action Planning Process:

## Step # 1:

### Conducting the Initial Planning Meeting:

- ❖ EOC Director reviews the initial situation immediately upon activation of the EOC.
- ❖ EOC Director meets with available general staff and establishes overall (broad) objectives.

### Example:



### Initial Planning Meeting Outcomes:

1. Overall objectives identified. Objectives must represent the **INITIAL PRIORITIES FOR EOC OPERATIONS!**
2. Key management and general staff members must know the overall objectives.
3. The first **formal** EOC Action Planning Meeting is scheduled. (Usually 1 hour after the overall objectives have been established)

**Important:**

**The Initial Planning Meeting should be BRIEF  
– No more than 10 Minutes!**

- ❖ **The EOC Director concludes the meeting by directing all management and general staff members to prepare their operational objectives and be ready to present them at the first EOC Action Planning Meeting.**

### Step # 2:

### Preparing for the Action Planning Meeting:

**Purpose?**

1. Review the Overall Objectives
2. Present Operational Objectives by SEMS Function
3. Update Progress and Completion Estimates for Objectives

**Who Should Attend?**

1. EOC Director
2. Key Management Staff
3. Section Coordinators and Key Unit and Branch Leads

**Who Facilitates?**

1. Situation Analysis Unit Leader (Primary)
2. Planning Intelligence Coordinator (Secondary)

**Duration?  
Frequency?**

***This meeting should not last more than 30 minutes!***

1. Meeting should be scheduled 2 hours prior to the end of the Operational Period.

**NOTE:** If the overall objectives are changed during the operational period, the EOC Director may convene an Action Planning Meeting accordingly to address the new situation.

**Tools & Facilities?  
(Manual Process)**



1. Quiet meeting room with wall space for chart paper.
2. Two easels with chart tablets.
3. Felt tip markers and masking tape.
4. Copies of the most recent Situation Report.

**Tools & Facilities?  
(RIMS)**



1. Quiet meeting room with space for a projector screen.
2. Laptop or desktop computer.
3. LCD Projector.
4. One easel with chart tablet, felt tip markers and masking tape.
5. Copies of the most recent Situation Report.

**Report  
Format:**

The EOC Action Plan format is maintained on RIMS.

Should it become necessary, the template may be printed from RIMS and completed manually.

**Important:**

If Chart Paper is used, format each sheet prior to the meeting as shown below:

**Example: (Chart Paper Layout: Overall Objectives)**

<b>Action Planning Meeting</b>	
September 20, 2000	
EBMUD E.O.C. Disaster / Event Name: _____  Operational Period: From: _____ To: _____	Overall Objectives:  1. Mitigate life-threatening situations. 2. Prepare a detailed situation report. 3. Mobilize EOC Staff as required. 4. Restore service area utility infrastructure.

**Example: (Chart Paper Layout: Operational Objectives)**

<b>OPERATIONS SECTION OBJECTIVES</b>			
<u>OBJECTIVE:</u>	<u>BRANCH – UNIT RESPONSIBLE:</u>	<u>% COMPLETE:</u>	<u>EST. TIME COMPLETED:</u>
1. Prepare a branch status report outlining repair activities and priorities.	Response Branch	25%	1600 hrs 9/20/2000
2. Prepare a branch status report on water quality in the affected service	Water Quality Branch	50%	1700 hrs 9/20/2000

## Before The Meeting....

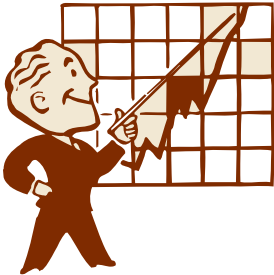
1. Situation Analysis staff meets with Management and all Section Coordinators or designees, and obtains all Section objectives to be presented at the meeting.
2. Objectives are entered into RIMS for projection on the screen, or written out on chart paper for posting.
3. It is mandatory that all objectives be prepared for presentation **Before the meeting is convened.**



## Step # 3:

### Conducting the Action Planning Meeting:

#### The Facilitator:



1. Starts the meeting ON TIME!
2. States the purpose of the meeting.
3. Reviews the “ground-rules:”
  - ❖ Pagers and cell-phones OFF!
  - ❖ No unnecessary “side-discussions!”
  - ❖ Participants must keep focused and take notes.
  - ❖ **The meeting is over in 30 minutes or less!**
4. Briefly highlights the Situation Status Report:
  - ❖ Operational Priorities (significant incidents in progress).
  - ❖ Weather report if critical to the response.
5. Presents the Overall Objectives (updating as necessary).

**Important:**

**Ask the EOC Director to emphasize the importance of the Overall Objectives. Everyone must understand the priorities.**

6. Calls on Management Staff to present and update their objectives. The following order is recommended:
  - ❖ Public Information
  - ❖ Liaison
  - ❖ Safety
  - ❖ Security
  - ❖ Others as appropriate
  
7. Calls on each Section Coordinator to present and update their objectives. The following order is recommended:
  - ❖ Operations Section
  - ❖ Planning Intelligence Section
  - ❖ Logistics Section
  - ❖ Finance Administration Section

**Important:**

**If using the computer, corresponding screen images from the Action Plan can be projected during each Section Report.**

**If done manually, refer to the posted chart paper as Section Reports are given.**



**Important:**

**Progress reports on existing objectives should be given by indicating the % completed, as appropriate.**



**Important:**

**When a Section Objective is completed, it is closed out in the Action Planning Meeting. It will be listed as “completed” in the next Action Plan. It will then be removed from subsequent Plans.**

**Important:**

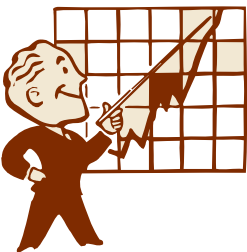
**DEVELOPING OPERATIONAL STRATEGY**

**Should NOT occur as part of the Action Planning Meeting! These strategy sessions should be conducted in the Section workplace with respective staffs present. They are NOT part of the Action Planning Meeting. The facilitator should encourage inter/intra-sectional strategic or operational planning subsequent to the Action Planning Meeting.**

**Step # 4:**

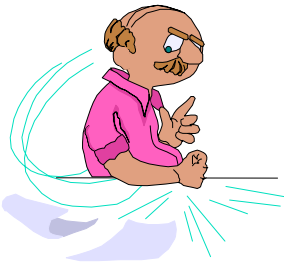
**Concluding and Adjourning the Meeting:**

**The Facilitator:**



**When all reports are completed, the facilitator should:**

1. Ensure objectives are clearly stated and understood by all participants.
2. Encourage follow-up strategy sessions **AFTER** the meeting is adjourned.
3. Announce the time for the next meeting.
4. Announce the deadline for submitting new or updated objectives
5. **ADJOURN THE MEETING!**



**REMEMBER!**

- ❖ The Action Planning Meeting is **BRIEF! 30 MINUTES OR LESS!**
- ❖ Detailed “game-plan” development occurs **AFTER THE MEETING IS ADJOURNED, NOT DURING THE MEETING!**
- ❖ Do not allow the meeting to drift off course...**STAY FOCUSED!**

## Step # 5:

### Preparing and Distributing the Action Plan:

#### **MANUAL PREPARATION:**

1. Situation / Documentation staff transfers information from chart paper in the RIMS Action Plan Format.
2. Plan is approved by the Planning Intelligence Coordinator and EOC Director.
3. The Documentation staff conducts hard copy or automated distribution.
4. Extra copies should be kept by Documentation.
5. Archive on CD or Disk.

#### **RIMS PREPARATION:**

1. The Action Plan should be nearly complete as a result of the meeting.
2. The Planning Intelligence Coordinator and the EOC Director approve the Plan.
3. Distribution of the Action Plan may be done electronically through RIMS, or replicated by other information management software.
4. Archiving should occur through periodic program back up or other archiving procedures.



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**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS CENTER COURSE G611**

**OPERATIONAL AREA**  
**FINANCE/ADMINISTRATION**  
**SECTION**  
**Function Specific Handbook**

**CHAPTER THREE**  
**MARCH 2001**

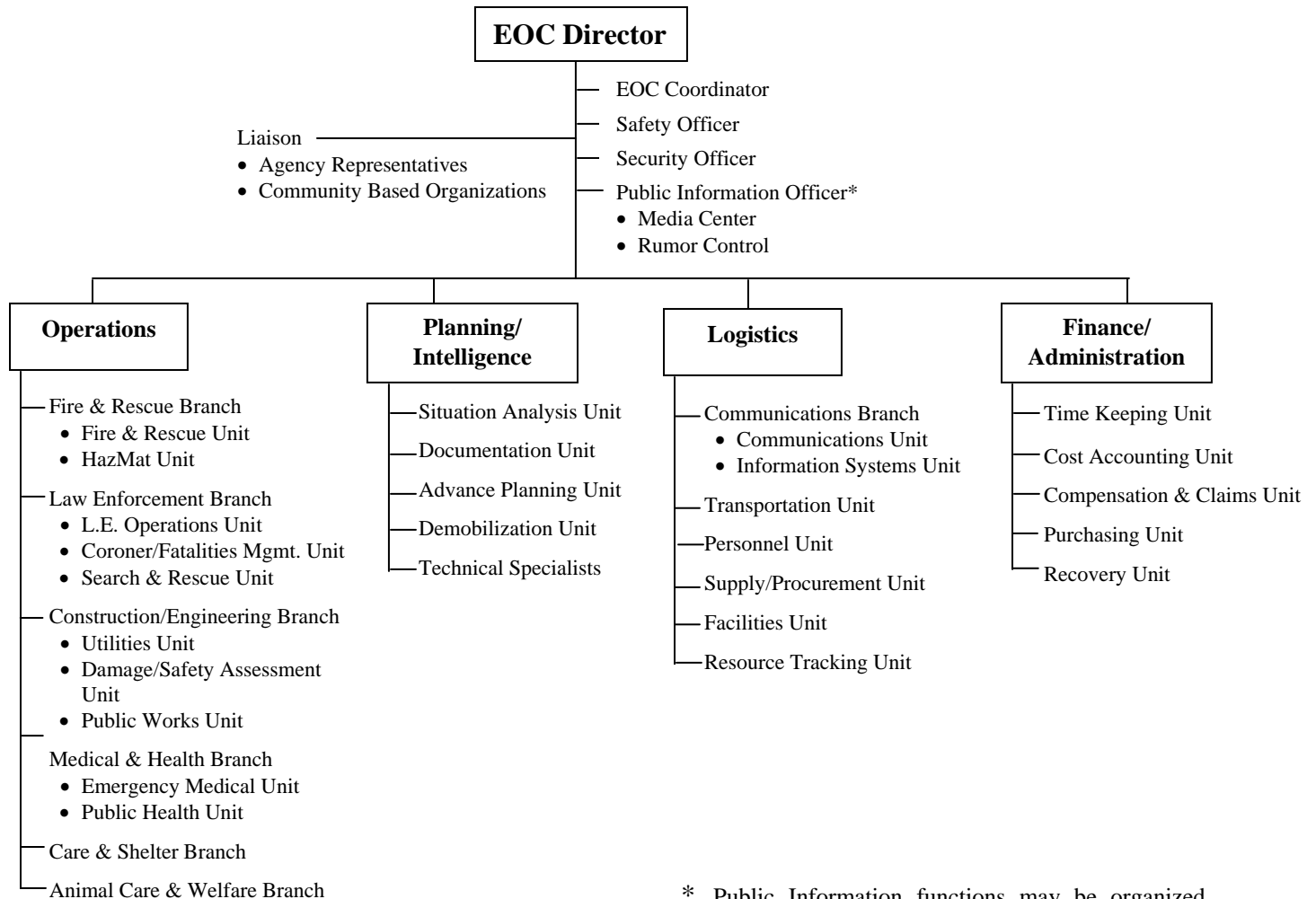
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# OPERATIONAL AREA FINANCE/ADMINISTRATION SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Operational Area EOC Functional Organization Chart



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

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

## II. General Considerations

### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Finance/Administration Section of an Operational Area EOC. The checklists describe minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

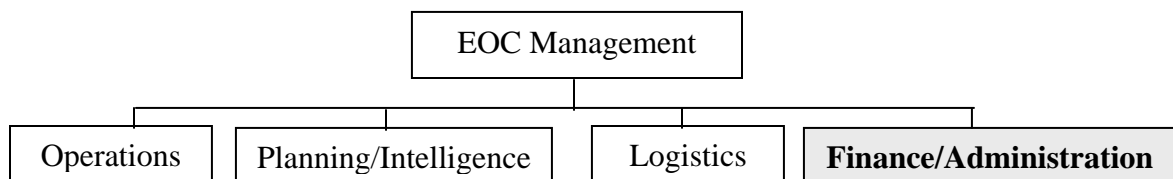
### C. Operational Area EOC

The Operational Area consists of the county and all the political sub-divisions within the county. These would include the county government departments and agencies, municipalities, and special districts, e.g., schools, utilities., etc.

The Operational Area EOC operates as a local government EOC for the county unincorporated area, and at the same time as the Operational Area EOC for coordinating services to the county's political sub-divisions. Many Operational Area functions thus require the staff to wear two hats in the performance of their responsibilities and duties.

The Operational Area also is the intermediate communications and information transfer link between the local government level in SEMS and the Regional (state) level.

### D. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established as Units. However in some jurisdictions the sub-functions may also be established as Branches or Groups.

The functions described here are those activities that may need to be activated during an EOC activation for the Finance/Administration Section at the operational area EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

#### E. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply.

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency. (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub functions.
- One person may have delegated authority for more than one area of responsibility. (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

### III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

#### **Activation Phase:**

- Check in upon arrival at the EOC.
- Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- Set up your workstation and review your position responsibilities.
- Establish and maintain a position log that chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.

- Ensure RIMS (Response Information Management System) is operational.

### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the EOC Director.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- Be prepared to provide input to the after-action report.
- If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.
- Leave a forwarding phone number where you can be reached.

## **IV. Finance/Administration Section Functional Descriptions**

The EOC Director has the authority and responsibility to direct all EOC activity. The EOC Director may delegate authority to a General Staff.

Finance/Administration positions will vary depending upon the need of the EOC Director for support. The positions listed below are the more common Finance/Administration positions found in an Operational Area EOC. Note that in some EOCs these positions may be activated at a one-person level, or at a unit level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The Finance/Administration Section positions are important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.

# Finance/Administration Section Coordinator

## Function Description:

The Finance/Administration function in the EOC manages all financial, administrative and cost analysis aspects of the emergency. Initially, this work may be done in the EOC, but in later stages of the emergency this function may be accomplished at other locations.

## Responsibilities:

1. Ensure that all financial records are maintained throughout the emergency.
2. Ensure that all on-duty time is recorded for all emergency response personnel.
3. Ensure that all on-duty time sheets are collected from EOC assigned personnel and that departments are collecting this information from Field Level Supervisors or Incident Commanders and their staffs.
4. Ensure there is a continuum of the payroll process for all employees responding to the emergency.
5. Determine purchase order limits for the procurement function in Logistics.
6. Ensure that workers' compensation claims, resulting from the response are processed within a reasonable time, given the nature of the situation.
7. Ensure that all travel and expense claims are processed within a reasonable time, given the nature of the situation.
8. Provide administrative support to all EOC Sections as required, in coordination with the Personnel Unit.
9. Activate units within the Finance/Administration Section as required; monitor section activities continuously and modify the organization as needed.
10. Ensure that all recovery documentation is accurately maintained during the response and submitted on the appropriate forms to the Federal Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.
11. Supervise the Finance/Administration Section.

## Activation Phase:

- Follow the generic Activation Phase Checklist.

- Ensure that the Finance/Administration Section is set up properly and that appropriate personnel, equipment, and supplies are in place.
- Based on the situation, activate units within section as needed and designate Unit Coordinators for each element:
  - Time Keeping Unit
  - Cost Accounting Unit
  - Purchasing Unit
  - Compensation & Claims Unit
  - Recovery Unit
- Ensure that sufficient staff are available for a 24-hour schedule, or as required.
- Meet with the Logistics Section Coordinator and review financial and administrative support requirements and procedures; determine the level of purchasing authority to be delegated to Logistics Section.
- Meet with all Unit Leaders and ensure that responsibilities are clearly understood.
- In conjunction with Unit Leaders, determine the initial Action Planning objectives for the first operational period.
- Notify the EOC Director when the Finance/Administration Section is operational.
- Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

### **Operational Phase:**

- Ensure that Finance/Administration Section position logs and other necessary files are maintained.
- Ensure that displays associated with the Finance/Administrative Section are current, and that information is posted in a legible and concise manner.
- Participate in all Action Planning meetings.
- Brief all Unit Leaders and ensure they are aware of the EOC objectives as defined in the Action Plan.
- Keep the EOC Director, General Staff, and elected/other officials aware of the current fiscal situation and other related matters, on an on-going basis.
- Ensure that the Recovery Unit maintains all financial records throughout the emergency.



- Ensure that the Time Keeping Unit tracks and records all agency staff time.
- In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.
- Ensure that the Compensation & Claims Unit processes all workers' compensation claims, resulting from the emergency, in a reasonable time-frame, given the nature of the situation.
- Ensure that the Time-Keeping Unit processes all time-sheets and travel expense claims promptly.
- Ensure that the Finance/Administration Section provides administrative support to other EOC Sections as required.
- Ensure that all recovery documentation is accurately maintained by the Recovery Unit during the response, and submitted on the appropriate forms to Federal Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Time Keeping Unit Leader

## Responsibilities:

1. Track, record, and report all on-duty time for personnel working during the emergency.
2. Ensure that personnel time records, travel expense claims and other related forms are prepared and submitted to budget and payroll office.
3. Supervise the Time Keeping Unit.

## Activation Phase:

- Follow the generic Activation Phase Checklist.

## Operational Phase:

- Establish and maintain a position log and other necessary files.
- ρ Initiate, gather, or update time reports from all personnel, to include volunteers assigned to each shift; ensure that time records are accurate and prepared in compliance with policy.
- ρ Obtain complete personnel rosters from the Personnel Unit. Rosters must include all EOC personnel as well as personnel assigned to emergency duties in county agencies.
- ρ Provide instructions for all supervisors to ensure that time sheets and travel expense claims are completed properly and signed by each employee prior to submitting them.
- ρ Establish a file for each employee or volunteer within the first operational period; to maintain a fiscal record for as long as the employee is assigned to the response.
- ρ Keep the Finance/Administration Section Coordinator informed of significant issues affecting the Time-Keeping Unit.

## Demobilization Phase:

- ρ Follow the generic Demobilization Phase Checklist.

# Cost Accounting Unit Leader

## Responsibilities:

1. Responsible for collecting cost information, performing cost-effectiveness analyzes and providing cost estimates and cost savings recommendations.
2. Supervise the Cost Accounting Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Establish (or implement) an accounting system and special cost codes associated with this emergency.
- ρ Monitor all emergency expenditures.
- ρ Ensure that all sections and units are documenting cost related information.
- ρ Collect, and compile cost information at the end of each shift.
- ρ Obtain and record all cost data to cover:
  - Personnel
  - Equipment
  - Rental/Contract Equipment
  - Supplies from outside vendors
  - Contracts for special or emergency services
- ρ Coordinate with the Documentation Unit on content and format of cost related files to be transferred.
- ρ Review existing documentation to determine if there are additional cost items that may have been overlooked.

- ρ Prepare cost estimates related to EOC objectives and strategies. Be prepared to discuss these at EOC Planning Meetings if required.
- ρ Compile cumulative cost records on a daily basis.
- ρ Ensure that departments are compiling cost information using any special agency/jurisdiction cost codes.
- ρ Ensure that estimate costs are replaced with actual costs where known.
- ρ Provide verbal or written reports to the Finance/Administration Section Coordinator upon request.
- ρ Prepare and maintain a cost report to include cumulative analysis, summaries and total expenditures related to the emergency.
- ρ Organize and prepare records for audits as necessary.
- ρ Act as the liaison for the EOC with county and other disaster assistance agencies to coordinate the cost recovery process.
- ρ Prepare all required state and federal documentation as necessary to recover allowable costs.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Compensation and Claims Unit Leader

## Responsibilities:

1. Oversee the investigation of injuries and property/equipment damage claims arising out of the emergency.
2. Complete all forms required by worker's compensation program.
3. Maintain a file of injuries and illnesses associated with the emergency which includes results of investigations.
4. Supervise the Compensation and Claims Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Maintain a chronological log of injuries and illnesses, and property damage reported during the emergency.
- ρ Investigate all injury and damage claims as soon as possible.
- ρ Prepare appropriate forms for all verifiable injury claims and forward them to Workmen's Compensations within the required time-frame consistent with jurisdiction's policy & procedures.
- ρ Coordinate with the Safety Officer regarding the mitigation of hazards.
- ρ Keep the Finance/Administration Coordinator informed of significant issues affecting the Compensation and Claims Unit.
- ρ Forward all equipment or property damage claims to the Recovery Unit.

## Demobilization Phase:

- ρ Follow the generic Demobilization Phase Checklist.

# Purchasing Unit Leader

## Responsibilities:

1. Coordinate vendor contracts not previously addressed by existing approved vendor lists.
2. Coordinate with Supply/Procurement Unit on all matters involving the need to exceed established purchase order limits.
3. Supervise the Purchasing Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Review the emergency purchasing procedures.
- ρ Prepare and sign contracts as needed; be sure to obtain concurrence from the Finance/Administration Section Coordinator.
- ρ Ensure that all contracts identify the scope of work and specific site locations.
- ρ Negotiate rental rates not already established, or purchase price with vendors as required.
- ρ Admonish vendors as necessary, regarding unethical business practices, such as inflating prices or rental rates for their merchandise or equipment during emergencies.
- ρ Finalize all agreements and contracts, as required.
- ρ Complete final processing and send documents to Budget and Payroll for payment.
- ρ Verify costs data in the pre-established vendor contracts and/or agreements.
- ρ In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.

- ρ Keep the Finance/Administration Section Coordinator informed of all significant issues involving the Purchasing Unit.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Recovery Unit Leader

## Responsibilities:

1. Determine impacts of the emergency requiring recovery planning.
2. Initiate recovery planning meetings with appropriate individuals and agencies.
3. Develop the initial recovery plan and strategy for the jurisdiction.
4. Ensure that all appropriate agencies are kept informed and have the opportunity to participate in the recovery planning process.
5. Develop the strategy to transition from recovery planning in the EOC to a wider post-emergency recovery effort.
6. Supervise the Recovery Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Monitor the current situation report to include recent updates and determine overall impacts of the emergency.
- ρ Based on available information, prepare an initial estimate of likely recovery issues that must be addressed. Document these in a preliminary report.
- ρ Coordinate with the Advance Planning Unit to determine major mid-to-long range social, economic, environmental and political impacts.
- ρ Assist the Operational Area as necessary in determining appropriate sites for Disaster Application Centers.
- ρ Facilitate recovery planning meetings involving appropriate Management and General Staff personnel and other agencies as needed.
- ρ Develop a recovery plan and strategy for the jurisdiction or agency.



- ρ Coordinate with Finance/Administration to ensure that FEMA, OES and other public reimbursement source documents and applications are consistent with the recovery strategy.
- ρ In conjunction with Finance/Administration, ensure that specific project timelines are developed to meet the goals and objectives of the recovery plan.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

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**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS CENTER COURSE G611**

**OPERATIONAL AREA  
LOGISTICS SECTION  
Function Specific Handbook**

**CHAPTER THREE  
MARCH 2001**

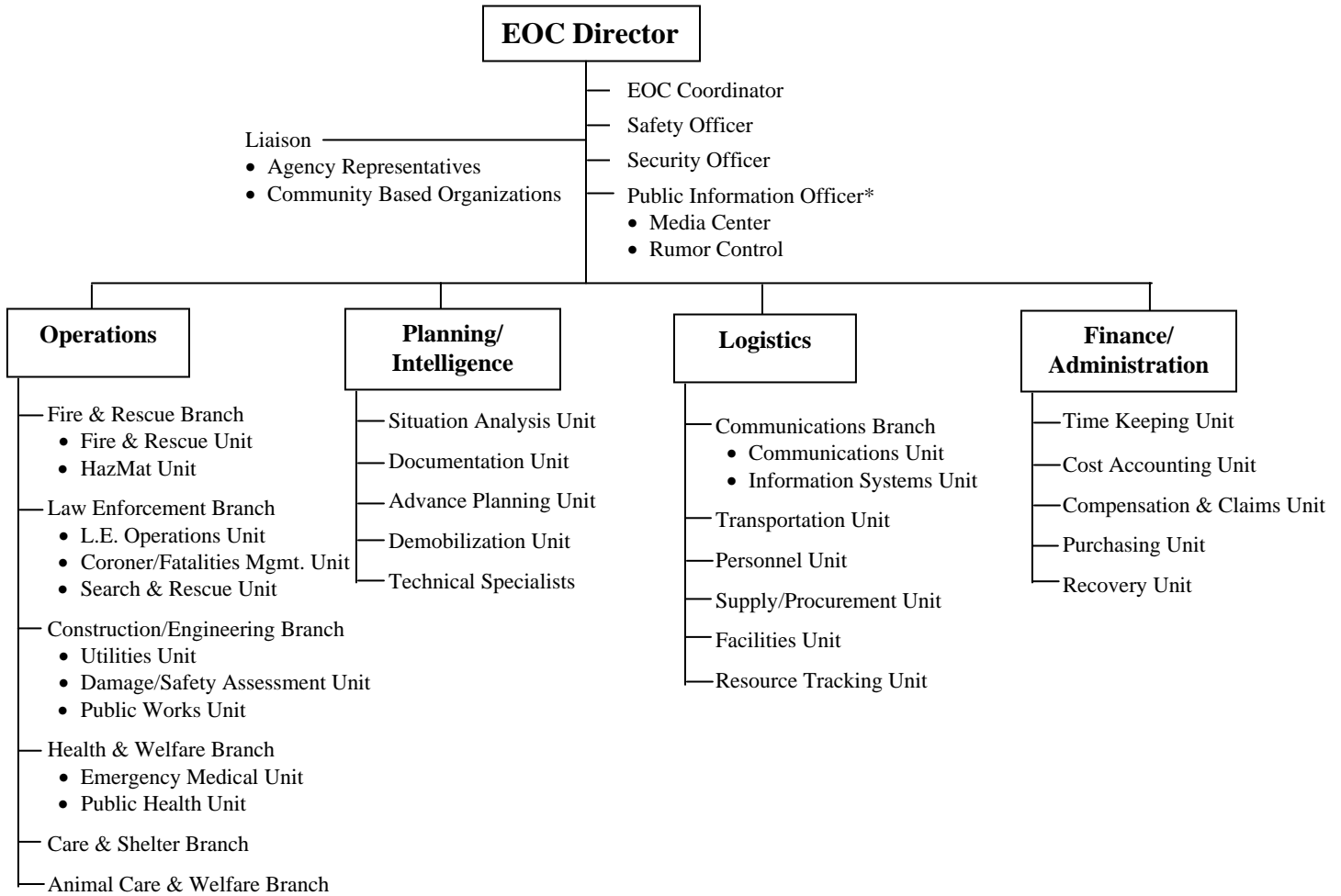
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# OPERATIONAL AREA LOGISTICS SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Operational Area EOC Functional Organization Chart



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

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

## II. General Considerations

### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Logistics Section of an Operational Area EOC. The checklists describe minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

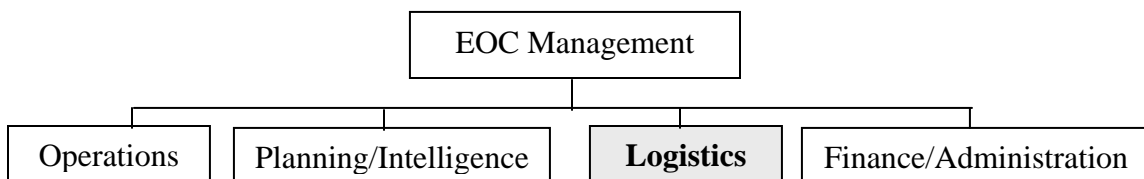
### C. Operational Area EOC

The Operational Area consists of the county and all the political sub-divisions within the county. These would include the county government departments and agencies, municipalities, special districts, e.g., schools, utilities, etc.

The Operational Area EOC operates as a local government EOC for the county unincorporated area, and at the same time as the Operational Area EOC for coordinating services to the county's political sub-divisions. Many operational area functions thus require the staff to wear two hats in the performance of their responsibilities and duties.

The Operational Area is the intermediate communications and information transfer link between the local government level in SEMS and the Region (state) level.

### D. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established as Branches and/or Units.

The functions described here are those activities that may need to be activated during an EOC activation for the Logistics Section at the operational area EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

## E. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply.

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency. (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub-functions.
- One person may have delegated authority for more than one area of responsibility. (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

## III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

### **Activation Phase:**

- ρ Check in upon arrival at the EOC.
- ρ Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- ρ Set up your workstation and review your position responsibilities.
- ρ Establish and maintain a position log that chronologically describes your actions taken during your shift.
- ρ Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- ρ Ensure RIMS (Response Information Management System) is operational.

## **Demobilization Phase:**

- ρ Deactivate your assigned position and close out logs when authorized by the EOC Director.
- ρ Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- ρ Be prepared to provide input to the after-action report.
- ρ If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
- ρ Clean up your work area before you leave.
- ρ Leave a forwarding phone number where you can be reached.

## **IV. Logistics Section Functional Descriptions**

The EOC Director has the authority and responsibility to direct all EOC activity. The EOC Director may delegate authority to perform logistical functions. Logistics Section positions will vary depending upon the need of the EOC Director for support. The positions listed are the more common Logistics Section positions found in the Operational Area EOC. Note that in some EOCs these positions may be activated at a one-person level, or at a unit, group or branch level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The Logistics Section positions are extremely important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.

# Logistics Section Coordinator

## Function Description:

The Logistics Section provides facilities, services, resources and other support services both to county agencies responding to the emergency to local governments in response to requests for resources, and to meet internal EOC operating requirements. Incident, DOC or agency, and local government requests for support directed to the EOC will be channeled through the EOC Operations Section. The Logistics Section Coordinator reports to the EOC Director.

## Responsibilities:

1. Ensure the Logistics function is carried out in support of the EOC. This function includes providing communication services, resource tracking; acquiring equipment, supplies, personnel, facilities, and transportation services; as well as arranging for food, lodging, and other support services as required.
2. Establish the appropriate level of branch and/or unit staffing within the Logistics Section, to support county and local government responsibilities, continuously monitoring the effectiveness of the organization and modifying as required.
3. Ensure section objectives as stated in the EOC Action Plan are accomplished within the operational period or within the estimated time frame.
4. Coordinate closely with the Operations Section Coordinator to establish priorities for resource allocation to meet both county and local government requests.
5. Keep the EOC Director informed of all significant issues relating to the Logistics Section.
6. Supervise the Logistics Section.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.
- ρ Ensure the Logistics Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps, status boards, vendor references, and other resource directories.
- ρ Based on the situation, activate branches/units within section as needed and designate Unit Leaders for each element:

- ρ Communications Branch
- ρ Personnel Unit
- ρ Supply/Procurement Unit
- ρ Transportation Unit
- ρ Facilities Unit
- ρ Resource Tracking Unit



- ρ Mobilize sufficient section staffing for 24 hour operations.
- ρ Establish communications with the Logistics Section at the Operational Area EOC if activated.
- ρ Advise Branches and Units within the section to coordinate with appropriate branches in the Operations Section to prioritize and validate resource requests from DOCs or Incident Command Posts in the field. This should be done prior to acting on the request.
- ρ Meet with the EOC Director and General Staff and identify immediate resource needs.
- ρ Meet with the Finance/Administration Section Coordinator and determine level of purchasing authority for the Logistics Section.
- ρ Assist branch and Unit Leaders in developing objectives for the section as well as plans to accomplish their objectives within the first operational period, or in accordance with the Action Plan.
- ρ Provide periodic Section Status Reports to the EOC Director.
- ρ Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

### **Operational Phase:**

- ρ Ensure that Logistic Section position logs and other necessary files are maintained.
- ρ Meet regularly with section staff and work to reach consensus on section objectives for forthcoming operational periods.
- ρ Provide the Planning/Intelligence Section Coordinator with the Logistics Section objectives at least 30 minutes prior to each Action Planning meeting.
- ρ Attend and participate in EOC Action Planning meetings.
- ρ Ensure that the Supply/Procurement Unit coordinates closely with the Purchasing Unit in the Finance/Administration Section, and that all required documents and procedures are completed and followed.
- ρ Ensure that transportation requirements, in support of response operations, are met.
- ρ Ensure that all requests for facilities and facility support are addressed.

- ρ Ensure that all resources are tracked and accounted for, as well as resources ordered through Mutual Aid.
- ρ Provide section staff with information updates as required.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Communications Branch Coordinator

## Function Description:

This function may be established at the Unit or Branch level depending upon the functions to be performed, and personnel requirements.

The Communications Branch provides for the coordination of county or local government communications services to meet incident, DOC or agency needs. These services will include electronic information processing, telephone, fax, and radio. The Branch also provides internal and external communications services to meet and support EOC operating requirements.

## Responsibilities:

1. Ensure radio, telephone, and computer resources and services are provided to EOC staff as required.
2. Oversee the installation of communications resources within the EOC. Ensure that communications links is established with the State Regional EOC (REOC) and with adjacent EOCs as required.
3. Determine specific computer requirements for all EOC positions.
4. Implement RIMS if available, for internal information management to include message and e-mail systems.
5. Ensure that the EOC Communications Center is established to include sufficient frequencies to facilitate operations, and that adequate communications operators are available for 24-hour coverage.
6. Develop and distribute a Communications Plan that identifies all systems in use and lists specific frequencies allotted for the emergency.
7. Supervise the Communications Branch.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.
- ρ Based on the situation, activate the necessary units within the Communications Branch:
  - ρ Communications Unit
  - ρ Information Systems Unit
- ρ Prepare objectives for the Communications Branch; provide them to the Logistics Section Coordinator prior to the initial Action Planning meeting.

## **Operational Phase:**

- ρ Ensure Branch and Unit position logs and other necessary files are maintained.
- ρ Keep all sections informed of the status of communications systems, particularly those that are being restored.
- ρ Coordinate with all EOC sections/branches/units regarding the use of all communication systems.
- ρ Ensure that the EOC Communications Center is activated to receive and direct all emergency related communications to appropriate destinations within the EOC.
- ρ Ensure that adequate communications operators are mobilized to accommodate each discipline on a 24-hour basis or as required.
- ρ Ensure that RIMS Communications links, are established with the REOC and with local governments which have RIMS installed.
- ρ Ensure that communications links are established with activated EOC within the Operational Area, as appropriate.
- ρ Continually monitor the operational effectiveness of EOC communications systems. Provide additional equipment as required.
- ρ Ensure that technical personnel are available for communications equipment maintenance and repair.
- ρ Mobilize and coordinate amateur radio resources to augment primary communications systems as required.
- ρ Keep the Logistics Section Coordinator informed of the status of communications systems.
- ρ Prepare objectives for the Communications Branch; provide them to the Logistics Section Coordinator prior to the next Action Planning meeting.
- ρ Refer all contacts with the media to the Public Information Branch.

## **Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Communications Unit Leader

## Responsibilities:

1. Install, activate, and maintain telephone and radio systems for the EOC.
2. Assist EOC positions in determining appropriate numbers of telephones and other communications equipment required to facilitate operations.
3. Acquire radio frequencies as necessary to facilitate operations.
4. Assign Amateur Radio Operators as needed to augment primary communications networks.
5. Supervise the EOC Communications Center and the Communications Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Continually monitor and test the activated radio and telephone systems. Keep the Communications Branch Coordinator informed of system failures and restoration activities.
- ρ Develop instructional guidance for use of radios and telephones and conduct training sessions for EOC staff as necessary.
- ρ Meet periodically with the Operations Section Branches to ensure that their radio frequencies are adequate. Make modifications as necessary to maintain their operational capability.
- ρ Coordinate with Telephone Company to obtain portable telephone banks, as necessary.
- ρ Refer all contacts with the media to the Public Information Branch.

## Demobilization Phase:

- ρ Follow the generic Demobilization Phase Checklist.

# Information Systems Unit Leader

## Responsibilities:

1. Install, activate, and maintain information systems for the EOC.
2. Assist EOC positions in determining appropriate types and numbers of computers and computer applications required to facilitate operations.
3. Install RIMS, if available, on all computers for internal information management to include message and e-mail systems.
4. Conduct training as required on use of information management systems.
5. Supervise the Information Systems Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Continually monitor and test RIMS if available, and ensure automated information links with the Operational Area EOC are maintained.
- ρ Keep the Communications Branch Coordinator informed of system failures and restoration activities.
- ρ Develop instructional guidance for use of computers and computer programs such as RIMS. Be prepared to conduct training sessions for EOC staff as necessary.
- ρ Request additional computer equipment as required through the Communications Branch Coordinator.

## Demobilization Phase:

- ρ Follow the generic Demobilization Phase Checklist.

# Transportation Unit Leader

## Responsibilities:

1. In coordination with the Construction/Engineering Branch Coordinator, and the Situation Analysis Unit, develop a transportation plan to support EOC operations.
2. Arrange for the acquisition or use of required transportation resources.
3. Supervise the Transportation Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Routinely coordinate with the Situation Analysis Unit to determine the status of transportation routes in and around the affected area.
- ρ Routinely coordinate with the Construction/Engineering Branch Coordinator to determine progress of route recovery operations.
- ρ Develop a Transportation Plan which identifies routes of ingress and egress; thus facilitating the movement of response personnel, the affected population, and shipment of resources and materiel.
- ρ Establish contact with local transportation agencies and schools to establish availability of equipment and transportation resources for use in evacuations and other operations as needed.
- ρ Keep the Logistics Section Coordinator informed of significant issues affecting the Transportation Unit.

## Demobilization Phase:

- ρ Follow the generic Demobilization Phase Checklist.

# Personnel Unit Leader

## Responsibilities:

1. Provide personnel resources as requested in support of the EOC and Field Operations.
2. Identify, recruit and register volunteers as required.
3. Develop an EOC organization chart.
4. Supervise the Personnel Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ In conjunction with the Documentation Unit, develop a large poster size EOC organization chart depicting each activated position. Upon check in, indicate the name of the person occupying each position on the chart. The chart should be posted in a conspicuous place, accessible to all EOC personnel.
- ρ Coordinate with the Liaison Officer and Safety Officer to ensure that all EOC staff to include volunteers, receive a current situation and safety briefing upon check-in.
- ρ Establish communications with community based organizations and other organizations that can provide personnel resources.
- ρ Coordinate with the State Regional EOC (REOC) to activate the Emergency Management Mutual Aid System (EMMA), if required.
- ρ Process all incoming requests for personnel support. Identify the number of personnel, special qualifications or training, where they are needed and the person or unit they should report to upon arrival. Determine the estimated time of arrival of responding personnel, and advise the requesting parties accordingly.
- ρ Maintain a status board or other reference to keep track of incoming personnel resources.



- ρ Update EOC organization chart for each operational period.
- ρ Coordinate with the Liaison Officer and Security Officer to ensure access, badging or identification, and proper direction for responding personnel upon arrival at the EOC.
- ρ Assist the Fire Rescue Branch and Law Enforcement Branch with ordering of mutual aid resources as required.
- ρ To minimize redundancy, coordinate all requests for personnel resources from the county field level or from local governments through the EOC Operations Section prior to acting on the request.
- ρ In coordination with the Safety Officer, determine the need for crisis counseling for emergency workers; acquire mental health specialists as needed.
- ρ Arrange for child care services for EOC personnel as required.
- ρ Establish registration locations with sufficient staff to register volunteers, and issue them disaster service worker identification cards.
- ρ Keep the Logistics Section Coordinator informed of significant issues affecting the Personnel Unit.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Supply/Procurement Unit Leader

## Responsibilities:

1. Oversee the procurement and allocation of supplies and materiel not normally provided through mutual aid channels.
2. Coordinate procurement actions with the Finance/Administration Section.
3. Coordinate delivery of supplies and materiel as required.
4. Supervise the Supply/Procurement Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Determine if requested types and quantities of supplies and materiel are available in inventory.
- ρ Determine procurement spending limits with the Purchasing Unit in Finance/Administration. Obtain a list of pre-designated emergency purchase orders as required.
- ρ Whenever possible, meet personally with the requesting party to clarify types and amount of supplies and materiel, and also verify that the request has not been previously filled through another source.
- ρ In conjunction with the Resource Tracking Unit, maintain a status board or other reference depicting procurement actions in progress and their current status.
- ρ Determine if the procurement item can be provided without cost from another jurisdiction or through the Operational Area.
- ρ Determine unit costs of supplies and materiel, from suppliers and vendors and if they will accept purchase orders as payment, prior to completing the order.
- ρ Orders exceeding the purchase order limit must be approved by the Finance/Administration Section before the order can be completed.

- ρ If vendor contracts are required for procurement of specific resources or services, refer the request to the Finance/Administration Section for development of necessary agreements.
- ρ Determine if the vendor or provider will deliver the ordered items. If delivery services are not available, coordinate pick up and delivery through the Transportation Unit.
- ρ In coordination with the Personnel Unit, provide food and lodging for EOC staff and volunteers as required. Assist field level with food services at camp locations as requested.
- ρ Coordinate donated goods and services from community groups and private organizations. Set up procedures for collecting, inventorying, and distributing usable donations.
- ρ Keep the Logistics Section Coordinator informed of significant issues affecting the Supply/Procurement Unit.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Facilities Unit Leader

## Responsibilities:

1. Ensure that adequate essential facilities are provided for the response effort, including securing access to the facilities and providing staff, furniture, supplies, and materials necessary to configure the facilities in a manner adequate to accomplish the mission.
2. Ensure acquired buildings, building floors, and or workspaces are returned to their original state when no longer needed.
3. Supervise the Facilities Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Work closely with the EOC Coordinator and other sections in determining facilities and furnishings required for effective operation of the EOC.
- ρ Coordinate with branches and units in the Operations Section to determine if assistance with facility acquisition and support is needed at the local government level.
- ρ Arrange for continuous maintenance of acquired facilities, to include ensuring that utilities and restrooms are operating properly.
- ρ If facilities are acquired away from the EOC, coordinate with assigned personnel and designate a Facility Manager.
- ρ Develop and maintain a status board or other reference which depicts the location of each facility; a general description of furnishings, supplies and equipment at the site; hours of operation, and the name and phone number of the Facility Manager.
- ρ Ensure all structures are safe for occupancy and that they comply with ADA requirements.
- ρ As facilities are vacated, coordinate with the facility manager to return the location to its original state. This includes removing and returning furnishings and equipment, arranging for janitorial services, and locking or otherwise securing the facility.

ρ Keep the Logistics Section Coordinator informed of significant issues affecting the facilities unit.

**Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Resource Tracking Unit Leader

## Responsibilities:

1. Coordinate with the other units in the Logistics Section to capture and centralize necessary resource/location status information.
2. Develop and maintain resource status/location boards in the Logistics Section.
3. Supervise the Resource Tracking Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Coordinate closely with all units in the Logistics Section particularly Supply/Procurement, personnel, and transportation.
- ρ As resource requests are received in the Logistics Section, post the request on a status board and track the progress of the request until filled.
- ρ Status boards should track requests by providing at a minimum, the following information: date & time of the request, items requested, priority designation, time the request was processed and estimated time of arrival or delivery to the requesting party.
- ρ Work closely with other logistics units and assist in notifying requesting parties of the status of their resource request. This is particularly critical in situations where there will be delays in filling the request.
- ρ An additional status board may be developed to track resource use by the requesting party. Information categories might include the following: actual arrival time of the resource, location of use, and an estimate of how long the resource will be needed. Keep in mind that it is generally not necessary to track mutual aid resources unless they are ordered through the Logistics Section.

## Demobilization Phase:

- ρ Follow the generic Demobilization Phase Checklist.

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**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS CENTER COURSE G611**

**OPERATIONAL AREA  
MANAGEMENT SECTION  
Function Specific Handbook**

**CHAPTER THREE  
MARCH 2001**

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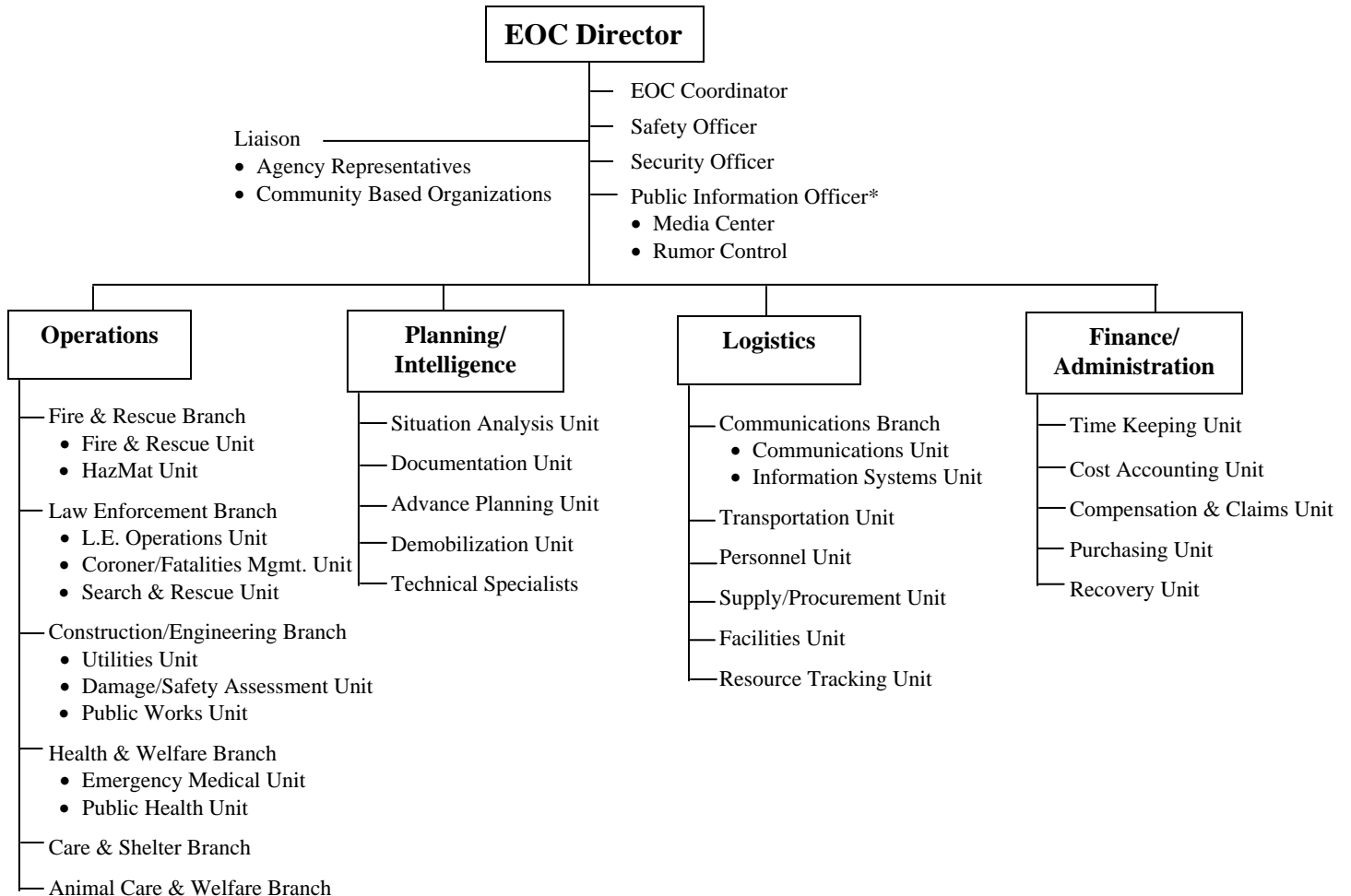
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# OPERATIONAL AREA MANAGEMENT SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Operational Area EOC Functional Organization Chart



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

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

## II. General Considerations

### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Management Section of an Operational Area EOC. The checklists describe minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

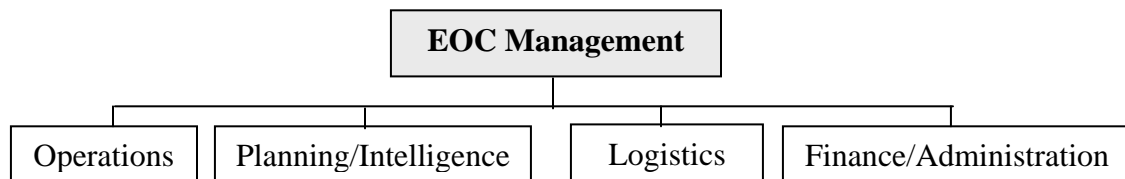
### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

### C. Operational Area EOC

The Operational Area consists of a county and all political sub-divisions within the county area. While not required, the Operational Area EOC normally performs dual activities of coordination for the county local government function (unincorporated areas), and for the overall coordination of emergency activities within the geographic area of the county.

### D. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established. However in some jurisdictions the sub-functions may also be established as Branches or Groups.

The functions described here are those activities that may need to be activated during an EOC activation for the Management Section at the local government EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

### E. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply.

- Staff the organization with the most qualified person in the discipline most closely aligned to the emergency. (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub-functions.
- One person may have delegated authority for more than one area of responsibility. (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

### III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

#### **Activation Phase:**

- ρ Check in upon arrival at the EOC.
- ρ Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- ρ Set up your workstation and review your position responsibilities.
- ρ Establish and maintain a position log that chronologically describes your actions taken during your shift.
- ρ Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- ρ Ensure RIMS (Response Information Management System) is operational at the Operational Area EOC and any local governments that have it installed.

#### **Demobilization Phase:**

- ρ Deactivate your assigned position and close out logs when authorized by the EOC Director.

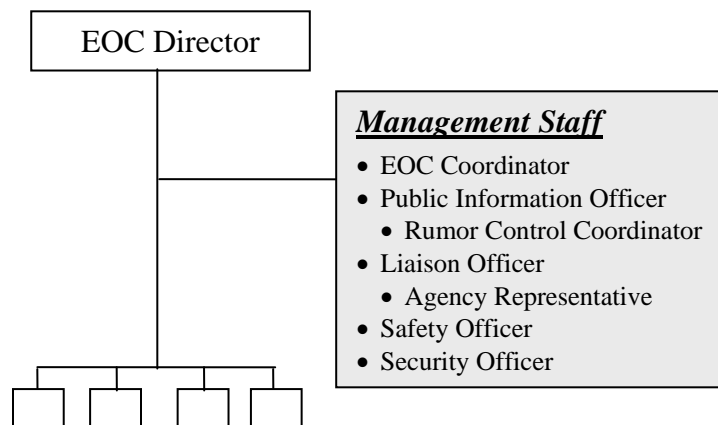
- ρ Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- ρ Be prepared to provide input to the after-action report.
- ρ If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
- ρ Clean up your work area before you leave.
- ρ Leave a forwarding phone number where you can be reached.

#### IV. Management Section Functional Descriptions

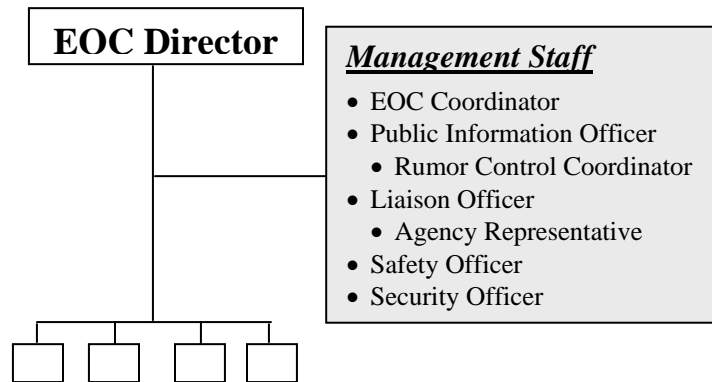
The Operational Area EOC Director has the authority and responsibility to direct all EOC activity. The EOC Director may have support personnel called the Management Staff. They are delegated responsibility to perform management support functions.

Management Staff positions will vary depending upon the need of the EOC Director for support. The positions listed below are the more common Management Staff positions. Note that in some EOCs these positions may be activated at a one-person level, with staff assistants depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The management staff positions are extremely important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.



# EOC Director



## Function Description:

The EOC Director has overall responsibility and authority for the operation of the EOC. He/she will assure that the EOC is staffed and operated at a level commensurate with the emergency. The EOC Director's reporting relationship to higher authority will vary depending upon the SEMS Level. Examples of reporting relationships are described below.

### Local Government Level:

- Mayor, President of the Council, Chairperson of an Emergency Council, Administrative Officer, or other named authority as stated in the local government's emergency ordinance.

### Operational Area:

- Chairperson of the Board of Supervisors, Chairperson of an emergency council, County Chief Administrative Officer or other named authority as stated in the operational areas emergency ordinances.

### Regional:

- OES Region Administrator or designee

### State:

- OES Director or designee

In some jurisdictions, the EOC Director may also be referred to as the EOC Manager. The title Incident Commander should not be used to refer to the person in charge of the EOC. The title Incident Commander should be reserved for use at the SEMS Field level.

The EOC Director will delegate authority as appropriate and necessary to members of the Management Staff and to the General Staff.

Positions reporting to the EOC Director will vary depending upon the SEMS level. Standard functions may include but are not limited to:

- Coordinators of Functional Sections (called the General Staff)
  - Operations Section Coordinator
  - Planning/Intelligence Section Coordinator
  - Logistics Section Coordinator
  - Finance/Administration Section Coordinator
- Management Staff
  - EOC Coordinator
  - Public Information Officer
  - Liaison Officer
  - Safety Officer
  - Security Officer

The position of EOC Director may be pre-established where the same person/agency is always in charge of the EOC regardless of the type of emergency, or as is done in some jurisdictions, a qualified person from the agency that has the greatest field involvement in the emergency will fill the position of EOC Director.

### **Responsibilities:**

1. Establish the appropriate staffing level for the Operational Area EOC and continuously monitor organizational effectiveness ensuring that appropriate modifications occur as required.
2. In conjunction with the General Staff, set jurisdictional priorities for response efforts. Ensure that all department and agency actions are accomplished within the priorities established at the EOC.
3. Exercise overall management responsibility for the coordination between emergency response agencies within the Operational Area. In conjunction with the General Staff, set priorities for response efforts in contract and incorporated areas of the county. Ensure that all county agency actions are accomplished within the priorities established.
4. Ensure that inter-agency coordination is accomplished effectively within the Operational Area EOC.

### **Activation Phase:**

- ρ Determine appropriate level of activation based on situation as known.
- ρ Coordinate with other Operational Area EOCs to ensure appropriate levels of activation are in place.

- ρ Mobilize appropriate personnel for the initial activation of the EOC.
- ρ Respond immediately to EOC site and determine operational status.
- ρ Obtain briefing from whatever sources are available.
- ρ Ensure that the EOC is properly set up and ready for operations.
- ρ Ensure that an EOC check-in procedure is established immediately.
- ρ Ensure that an EOC organization and staffing chart is posted and completed.
- ρ Determine which sections are needed, assign Section Coordinators as appropriate and ensure they are staffing their sections as required.
  - ρ Operations Section Coordinator
  - ρ Logistics Section Coordinator
  - ρ Planning/Intelligence Section Coordinator
  - ρ Finance/Administration Coordinator
- ρ Determine which Management Staff positions are required and ensure they are filled as soon as possible.
  - ρ Liaison Officer
  - ρ EOC Coordinator
  - ρ Public Information Officer
  - ρ Safety Officer
  - ρ Security Officer
- ρ Ensure that telephone and/or radio communications with other EOCs are established and functioning.
- ρ Schedule the initial Action Planning meeting.
- ρ Confer with the General Staff to determine what representation is needed at the EOC from other emergency response agencies, local governments and other agencies.
- ρ Assign a liaison officer to coordinate outside agency response to the EOC, and to assist as necessary in establishing an Inter-agency Coordination Group.

**Operational Phase:**

- ρ Monitor general staff activities to ensure that all appropriate actions are being taken.

- ρ In conjunction with the Public Information Officer, conduct news conferences and review media releases for final approval, following the established procedure for information releases and media briefings.
- ρ Ensure that the Liaison Officer is providing for and maintaining effective inter-agency coordination.
- ρ Based on current status reports, establish initial strategic objectives for the EOC.
- ρ In coordination with Management Staff, prepare EOC objectives for the initial Action Planning Meeting.
- ρ Convene the initial Action Planning meeting. Ensure that all Section Coordinators, Management Staff, and other key agency representatives are in attendance. Ensure that appropriate Action Planning procedures are followed. (refer to Planning/Intelligence Section, "Action Planning Guidelines.") Ensure the meeting is facilitated appropriately by the Planning/Intelligence Section.
- ρ Once the Action Plan is completed by the Planning/Intelligence Section, review, approve and authorize its implementation.
- ρ Conduct periodic briefings with the general staff to ensure strategic objectives are current and appropriate.
- ρ Conduct periodic briefings for elected officials or their representatives.
- ρ Formally issue an Emergency Proclamation as necessary, and coordinate local government proclamations with other emergency response agencies, as appropriate.
- ρ Brief your relief at shift change, ensuring that ongoing activities are identified and follow-up requirements are known.

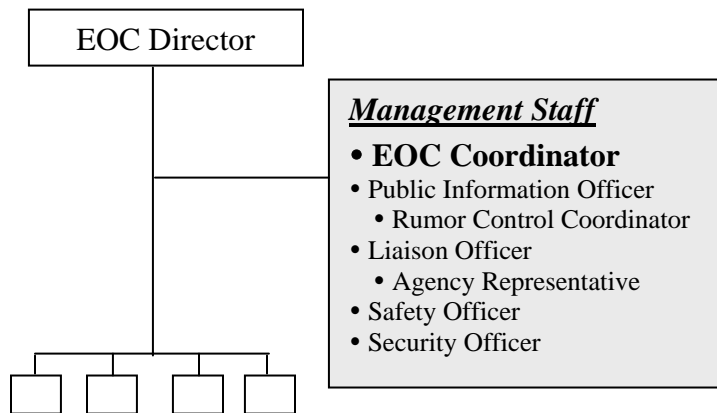
### **Demobilization Phase:**

- ρ Authorize demobilization of sections, branches and units when they are no longer required.
- ρ Notify higher level EOCs and other appropriate organizations of the planned demobilization, as appropriate.
- ρ Ensure that any open actions not yet completed will be handled after demobilization.
- ρ Ensure that all required forms or reports are completed prior to demobilization.



- ρ Be prepared to provide input to the after action report.
- ρ Deactivate the EOC at the designated time, as appropriate.
- ρ Proclaim termination of the emergency response and proceed with recovery operations.

# EOC Coordinator



## Function Description:

The EOC Coordinator is typically the person who has the overall best knowledge of the functioning of the EOC. The EOC Coordinator may be the County Director of Emergency Services or other similar title, and often is the person who is most familiar with emergency services for the agency or jurisdiction. The EOC Coordinator, because of his/her working knowledge of the EOC facility, communications, support services, and the jurisdictions emergency plan can be an invaluable asset to the EOC Director who may not be as well versed in the day-to-day inner workings of the facility.

## Responsibilities:

1. Facilitate the overall functioning of the EOC.
2. Assist and serve as an advisor to the EOC Director and General Staff as needed, providing information and guidance related to the internal functions of the EOC and ensure compliance with operational area emergency plans and procedures.
3. Assist the Liaison Officer in ensuring proper procedures are in place for directing agency representatives and conducting VIP/visitor tours of the EOC.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.
- ρ Assist the EOC Director in determining appropriate staffing for the EOC.
- ρ Provide assistance and information regarding section staffing to all general staff.

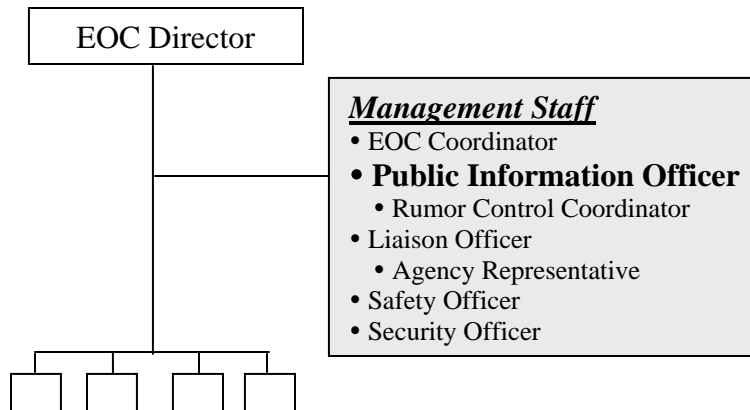
## **Operational Phase:**

- ρ Assist the EOC Director and the General Staff in developing overall strategic objectives as well as section objectives for the Action Plan.
- ρ Advise the EOC Director on proper procedures for enacting emergency proclamations, emergency ordinances and resolutions, and other legal requirements.
- ρ Assist the Planning/Intelligence Section in the development, continuous updating, and execution of the EOC Action Plan.
- ρ Provide overall procedural guidance to General Staff as required.
- ρ Provide general advice and guidance to the EOC Director as required.
- ρ Ensure that all notifications are made to the Operational Area EOC.
- ρ Ensure that all communications with appropriate emergency response agencies is established and maintained.
- ρ Assist the EOC Director in preparing for and conducting briefings with Management Staff, the agency or jurisdiction policy groups, the media, and the general public.
- ρ Assist the EOC Director and Liaison Officer, in establishing and maintaining Inter-agency Coordination Groups as necessary.
- ρ Assist the Liaison Officer with coordination of all EOC visits.
- ρ Provide assistance with shift change activity as required.

## **Demobilization Phase:**

- ρ Follow generic Demobilization Phase Checklist.

# Public Information Officer



## Function Description:

The Public Information Officer serves as the primary point of contact between the EOC and the media and the public. The Public Information Officer will prepare information releases, brief media representatives, and provide for press conferences. Normally, the Public Information function will also oversee the Rumor Control activity.

A primary source of information for the Public Information function will be from the Situation Analysis Unit in Planning/Intelligence. While not all information in the unit may be appropriate for the public, the information in Situation Analysis should be the best available and will have been verified for accuracy. The Public Information Officer will provide guidance as appropriate to other departments/agencies on the release of emergency related information.

## Organizing the Information function in an Operational Area EOC

The Information function within an EOC may have special organizational needs due to the possible size of the organization required to meet the agency or jurisdictional information needs.

Normally, the Information function is handled by the Information Officer who is a member of the Management Staff. Assistant Information Officers may be assigned as needed. The Assistants may represent other jurisdictional departments, agencies, other jurisdictions, and/or they may also be assigned to handle specific Information functions.

In some cases in larger jurisdictions or major agency EOCs, it may be desirable to extend the Information function organization to meet greater needs. When this happens, the Information function may be established in the Management Section as a Group or at the maximum a Branch under the management of the Information Officer. Individual Units could then be established for such sub-functions as:

- Information Gathering
- Media Center

- Rumor Control
- Joint Information Center (JIC)
- Print media dissemination
- Broadcast media dissemination

### **Responsibilities:**

1. Serve as the central coordination point for the Operational Area for all media releases.
2. Ensure that the public within the affected area receives complete, accurate, and consistent information about life safety procedures, public health advisories, relief and assistance programs and other vital information.
3. Coordinate media releases with Public Information Officers at incidents or representing other affected emergency response agencies as required.
4. Develop the format for press conferences, in conjunction with the EOC Director.
5. Maintaining a positive relationship with the media representatives.
6. Supervising the Public Information Branch.

### **Activation Phase:**

- ρ Follow generic Activation Phase Checklists.
- ρ Determine staffing requirements and make required personnel assignments for the Public Information function as necessary.

### **Operational Phase:**

- ρ Obtain policy guidance from the EOC Director with regard to media releases.
- ρ Keep the EOC Director advised of all unusual requests for information and of all major critical or unfavorable media comments. Recommend procedures or measures to improve media relations.
- ρ Coordinate with the Situation Analysis Unit and identify the method for obtaining and verifying significant information as it is developed.
- ρ Develop and publish a media-briefing schedule, to include location, format, and preparation and distribution of handout materials.
- ρ Implement and maintain an overall information release program.

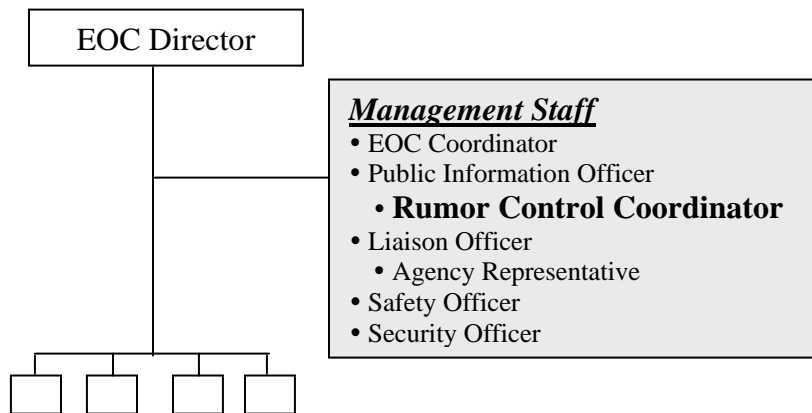
- ρ Establish a Media Information Center, as required, providing necessary space, materials, telephones, and electrical power.
- ρ Maintain up-to-date status boards and other references at the media information center. Provide adequate staff to answer questions from members of the media.
- ρ Interact with other EOC PIOs and obtain information relative to public information operations.
- ρ Develop content for state Emergency Alert System (EAS) releases if available. Monitor EAS releases as necessary.
- ρ In coordination with other EOC sections and as approved by the EOC Director, issue timely and consistent advisories and instructions for life safety, health, and assistance for the public.
- ρ At the request of the EOC Director, prepare media briefings for members of the agencies or jurisdiction policy groups and provide other assistance as necessary to facilitate their participation in media briefings and press conferences.
- ρ Ensure that a rumor control function is established to correct false or erroneous information.
- ρ Ensure that adequate staff is available at incident sites to coordinate and conduct tours of the affected areas.
- ρ Provide appropriate staffing and telephones to efficiently handle incoming media and public calls.
- ρ Prepare, update, and distribute to the public a Disaster Assistance Information Directory, which contains locations to obtain food, shelter, supplies, health services, etc.
- ρ Ensure that announcements, emergency information and materials are translated and prepared for special populations (non-English speaking, hearing impaired etc.).
- ρ Monitor broadcast media, using information to develop follow-up news releases and rumor control.
- ρ Ensure that file copies are maintained of all information released.
- ρ Provide copies of all media releases to the EOC Director.
- ρ Conduct shift change briefings in detail, ensuring that in-progress activities are identified and follow-up requirements are known.

- ρ Prepare final news releases and advise media representatives of points-of-contact for follow-up stories.

**Demobilization Phase:**

- ρ Follow generic Demobilization Phase Checklist.

# Rumor Control Coordinator



## Function Description:

The function of rumor control is to establish within the EOC an activity designed to respond rapidly and with correct and timely information to any and all rumors raised as a result of the emergency.

Rumor Control is generally established as a part of the Public Information function, but may be established as a separate unit within the Management Staff as necessary. The Rumor Control Coordinator must work closely with the Public Information function and with the Planning/Intelligence Section.

## Responsibilities:

1. Provide staffing for rumor control telephone bank.
2. Establish a "Disaster Hotline" with an up-to-date recorded message.
3. Ensure that all rumors are responded to in a timely manner and with factual information.
4. Supervise the Rumor Control Unit.

## Activation Phase:

ρ Follow generic Activation Phase Checklist.

## Operational Phase:

ρ Obtain "confirmed" disaster information.

ρ Operate a telephone bank for receiving incoming inquiries from the general public.

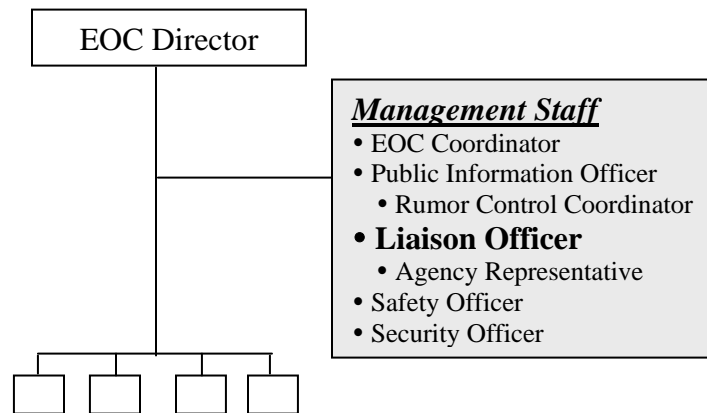


- ρ Correct rumors by providing factual information based on confirmed data.
- ρ Establish a "Disaster Hotline" recorded message and provide updated message information periodically.
- ρ Refer inquiries from members of the media to the lead Public Information Officer or designated staff.

**Demobilization Phase:**

- ρ Follow generic Demobilization Phase Checklist.

# Liaison Officer



## Function Description:

The Operational Area Liaison Officer function is to provide a primary point of contact for all incoming agency representatives assigned to the EOC. The Liaison Officer will ensure that agency representatives are provided with the necessary workspace, communications, information and internal points of contact necessary to perform their responsibilities. The Liaison Officer will also ensure that the EOC Director is informed as to what agencies are represented in the EOC.

During major emergencies, and depending upon the SEMS level, it is not uncommon to find many agencies representatives reporting to the EOC. Local Governments, American Red Cross, Community Based Organizations, National Guard, other state/local agencies, federal agencies etc. all may send representatives. The Liaison Officer will be the primary contact, and relieve the EOC Director from overseeing their activities.

## Responsibilities:

1. Oversee all liaison activities, including coordinating outside agency representatives assigned to the EOC and handling requests from other EOCs for EOC agency representatives.
2. Establish and maintain a central location for incoming agency representatives, providing workspace and support as needed.
3. Ensuring that position specific guidelines, policy directives, situation reports, and a copy of the EOC Action Plan is provided to Agency Representatives upon check-in.
4. In conjunction with the EOC Coordinator, provide orientations for VIPs and other visitors to the EOC.
5. Ensuring that demobilization is accomplished when directed by the EOC Director.

## **Activation Phase:**

- ρ Follow generic Activation Phase Checklist.
- ρ Obtain assistance for your position through the Personnel Unit in Logistics, as required.

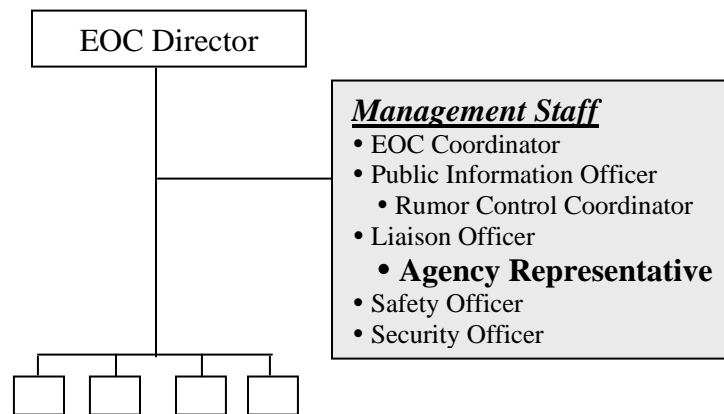
## **Operational Phase:**

- ρ Contact Agency Representatives already on-site, ensuring that they:
  - ρ Have signed into the EOC,
  - ρ Understand their role in the EOC,
  - ρ Know their work locations,
  - ρ Understand the EOC organization and floor plan.
- ρ Determine if additional representation is required from:
  - ρ Community based organizations,
  - ρ Private organizations,
  - ρ Utilities not already represented,
  - ρ Other agencies.
- ρ In conjunction with the EOC Director and EOC Coordinator, establish and maintain an Inter-agency Coordination Group comprised of outside agency representatives, and county and city executives not assigned to specific sections within the EOC.
- ρ Assist the EOC Director and EOC Coordinator in conducting regular briefings for the Inter-agency Coordination Group and with distribution of the current EOC Action Plan and Situation Report.
- ρ Request that Agency Representatives maintain communications with their agencies and obtain situation status reports regularly.
- ρ With the approval of the EOC Director, provide agency representatives from the EOC to other EOCs as required and requested.
- ρ Maintain a roster of agency representatives located at the EOC. Roster should include assignment within the EOC (Section or Inter-agency Coordination Group). Roster should be distributed internally on a regular basis.

## **Demobilization Phase:**

- ρ Follow generic Demobilization Phase Checklist
  
- ρ Release agency representatives that are no longer required in the EOC when authorized by the EOC Director.

# Agency Representative



## Function Description:

Agency Representatives are individuals assigned to the EOC by other agencies/jurisdictions. The Agency Representative serves three principal functions. 1) He/she will bring to the EOC information from the agency they represent, 2) they will normally have some level of authorization to speak or act for their agency, and 3) they will provide their agency with information obtained at the EOC.

## Responsibilities:

1. Agency Representatives should be able to speak on behalf of their agencies, within established policy limits, acting as a liaison between their agencies and the EOC.
2. Agency Representatives may facilitate requests to or from their agencies, but normally do not directly act on or process resource requests.
3. Agency Representatives are responsible for obtaining situation status information and response activities from their agencies for the EOC.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.
- ρ Check in with the Liaison Officer and clarify any issues regarding your authority and assignment, including the functions of other representatives from your agency (if any) in the EOC.
- ρ Establish communications with your home agency; notify the Logistics Section Communications Unit and the Liaison Officer of any communications problems.

- ρ Unpack any materials you may have brought with you and set up your assigned station, requesting necessary materials and equipment through the Liaison Officer and/or Logistics.
- ρ Obtain an EOC organization chart, floor plan, and telephone list from the Liaison Officer.
- ρ Contact the EOC sections or branches that are appropriate to your responsibility; advise them of your availability and assigned work location in the EOC.

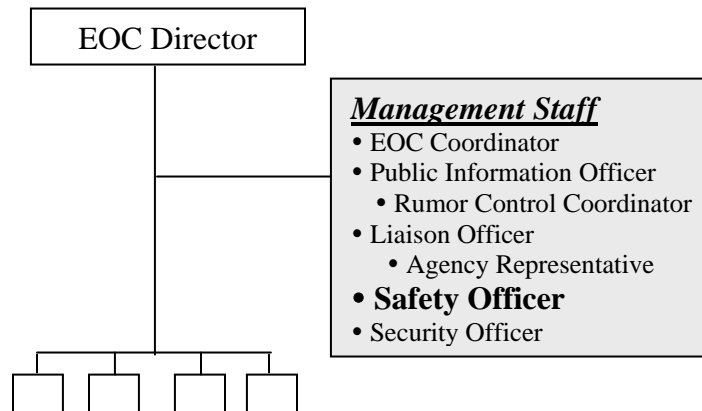
### **Operational Phase:**

- ρ Facilitate requests for support or information that your agency can provide.
- ρ Keep current on the general status of resources and activity associated with your agency.
- ρ Provide appropriate situation information to the Planning/Intelligence Section.
- ρ Represent your agency at planning meetings, as appropriate, providing update briefings about your agency's activities and priorities.
- ρ Keep your agency executives informed and ensure that you can provide agency policy guidance and clarification for the EOC Director as required.
- ρ On a regular basis, inform your agency of the EOC priorities and actions that may be of interest.
- ρ Maintain logs and files associated with your position.

### **Demobilization Phase:**

- ρ Follow generic Demobilization Phase Checklist.
- ρ When demobilization is approved by the EOC Director, contact your agency and advise them of expected time of demobilization and points of contact for the completion of ongoing actions or new requirements.
- ρ Ensure that you complete all final reports, close out your activity log, and transfer any ongoing missions and/or actions to the Liaison Officer or other appropriate individual.
- ρ Ensure copies of all documentation generated during the operation are submitted to the Planning/Intelligence Section.

# Safety Officer



## Function Description:

When activated, the Safety Officer position at the EOC is to ensure that a safe working environment is established and maintained within the facility. The Safety Officer will routinely inspect and correct any deficiencies in the operating environment of the EOC. The Safety Officer will also ensure that personnel working in EOC positions are not over stressed or working for extended periods that may jeopardize their health.

## Responsibilities:

1. Ensure that all buildings and other facilities used in support of the EOC are in a safe operating condition.
2. Monitor operational procedures and activities in the EOC to ensure they are being conducted in a safe manner, considering the existing situation and conditions.
3. Stop or modify all unsafe operations outside the scope of the EOC Action Plan, notifying the EOC Director of actions taken.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Tour the entire EOC facility and evaluate conditions; advise the EOC Director of any conditions and actions that might result in liability, (unsafe layout or equipment set-up, etc.)

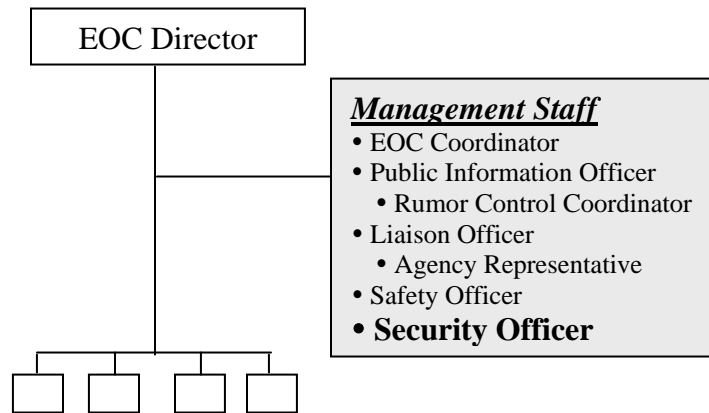
- ρ Study the EOC facility and document the locations of all fire extinguishers, emergency pull stations, and evacuation routes and exits.
- ρ Be familiar with particularly hazardous conditions in the facility; take action when necessary.
- ρ Prepare and present safety briefings for the EOC Director and General Staff at appropriate meetings.
- ρ If the event that caused activation was an earthquake, provide guidance regarding actions to be taken in preparation for aftershocks.
- ρ Ensure that the EOC facility is free from any environmental threats - e.g., radiation exposure, air purity, water quality, etc.
- ρ Keep the EOC Director advised of unsafe conditions; take action when necessary.
- ρ Coordinate with the Finance/Administration Section in preparing any personnel injury claims or records necessary for proper case evaluation and closure.

**Demobilization Phase:**

- ρ Follow generic Demobilization Phase Checklist.



# Security Officer



## Function Description:

When activated, the Security Officer position provides access control for the EOC facility. The EOC Director will establish policy and procedures for access. The Security Officer will normally oversee personnel check-in and checkout rosters.

## Responsibilities:

1. Provide 24-hour security for the EOC.
2. Control personnel access to the EOC in accordance with policies established by the EOC Director.
3. Handle any situation arising from inappropriate personnel actions within the EOC.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Determine the current EOC security requirements and arrange for staffing as needed.
- ρ Determine needs for special access to EOC facilities.
- ρ Provide executive and V.I.P. security as appropriate and required.
- ρ Provide recommendations as appropriate to EOC Director.

- ρ Prepare and present security briefings for the EOC Director and General Staff at appropriate meetings.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

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**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS CENTER COURSE G611**

**OPERATIONAL AREA**  
**OPERATIONS SECTION**  
**Function Specific Handbook**

**CHAPTER THREE**  
**MARCH 2001**

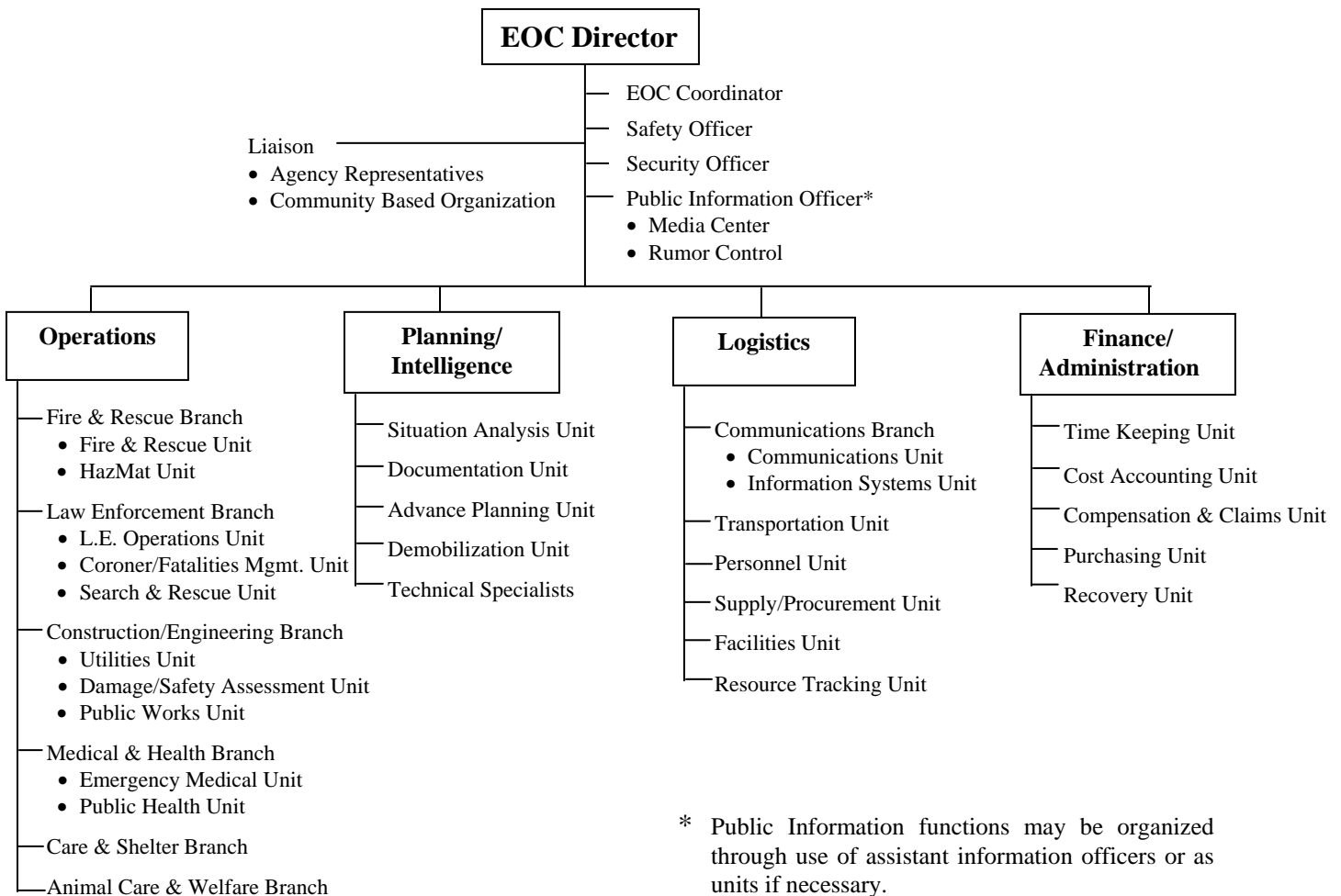
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# OPERATIONAL AREA OPERATIONS SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Operational Area EOC Functional Organization Chart



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

## II. General Considerations

### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Operations Section of an Operational Area EOC. The checklists describe the minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

### B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

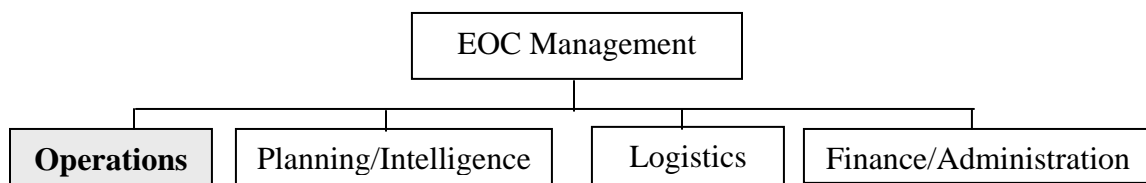
### C. Operational Area EOC

The Operational Area consists of the county and all the political sub-divisions within the county. These would include the county government departments and agencies, municipalities, special districts, e.g., schools, utilities, etc.

The Operational Area EOC operates as a local government EOC for the county unincorporated area, and at the same time as the Operational Area EOC for coordinating services to the county's political sub-divisions. Many Operational Area functions thus require the staff to wear two hats in the performance of their responsibilities and duties.

The Operational Area is the intermediate communications and information transfer link between the local government in SEMS and the Regional (state) level.

### D. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub functions that would normally be established as branches or units depending on their size.

The functions described here are those activities that may need to be activated during an EOC activation for the Operations Section at the local government EOC. Variations in

branch/unit names and responsibilities may be found in operational areas, and at different SEMS levels.

#### E. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply.

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency. (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub-functions.
- One person may have delegated authority for more than one area of responsibility. (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

### III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

#### **Activation Phase:**

- ρ Check in upon arrival at the EOC.
- ρ Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- ρ Set up your workstation and review your position responsibilities.
- ρ Establish and maintain a position log that chronologically describes your actions taken during your shift.
- ρ Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.

- ρ Ensure RIMS (Response Information Management System) is operational.

### **Demobilization Phase:**

- ρ Deactivate your assigned position and close out logs when authorized by the EOC Director.
- ρ Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- ρ Be prepared to provide input to the after-action report.
- ρ If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
- ρ Clean up your work area before you leave.
- ρ Leave a forwarding phone number where you can be reached.

## **IV. Operations Section Functional Descriptions**

The EOC Director has the authority and responsibility to direct all EOC activity. The Director may delegate authority to members of the General Staff. Operations Section positions will vary depending upon the need. The following positions are the more common Operations Section positions, however function titles and organization alignments may vary with operational areas. Note that in some EOCs these positions may be activated at a one-person level, or at a unit, group or branch, level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The Operations Section in the Operational Area EOC acts as the primary point of contact between the EOC and the local government EOCs, county Department Operations Centers (DOCs), and in some jurisdictions may be linked directly to field Incident Commands. Coordinators assigned to the functional branches within the EOC Operations Section receive incoming situation reports, department status, resource requests, and field intelligence. Incoming information will be routed to the appropriate EOC section. They will provide information from the EOC to county DOCs, local government EOCs and in some cases to county field Incident Commands as appropriate to the jurisdiction.

The Operations Section positions are extremely important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.



# Operations Section Coordinator

## Function Description:

The Operations Section Coordinator, a member of the General Staff, is responsible for the management and coordination of all EOC related operational functions. The Operations Section Coordinator will ensure, based on the emergency, that all necessary operational functions have been activated and are appropriately staffed.

## Responsibilities:

1. Ensure that the Operations Function is carried out including coordination of activities for all operational functions assigned to the EOC.
2. Ensure that operational objectives and assignments identified in the EOC Action Plan are carried out effectively.
3. Establish the appropriate level of branch and unit organizations within the Operations Section, to effectively coordinate both county and Operational Area responsibilities.
4. Continuously monitor the organizational effectiveness and modify as necessary.
5. Exercise overall responsibility for the coordination of Branch and Unit activities within the Operations Section.
6. Ensure that the Planning/Intelligence Section is provided with Status Reports and Major Incident Reports (utilizing the RIMS formats if available).
7. Conduct periodic Operations briefings for the EOC Director as required or requested.
8. Supervise the Operations Section.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.
- ρ Ensure that the Operations Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps and status boards.
- ρ Meet with Planning/Intelligence Section Coordinator; obtain a preliminary situation briefing.

ρ Based on the situation, activate appropriate branches within the section. Designate Branch Coordinators as necessary.

ρ Fire & Rescue

ρ Law Enforcement

ρ Medical & Health

ρ Construction & Engineering

ρ Care & Shelter

ρ Animal Care & Welfare

ρ Ensure that sufficient staffing is in place to provide for coordinating services to meet county local government and operational area responsibilities.

ρ Determine if there are mutual aid requests for these functional areas. Initiate coordination with appropriate mutual aid systems as required.

ρ Request additional personnel for the section as necessary for 24-hour operation.

ρ Obtain a current communications status briefing from the Communications Branch Coordinator in Logistics. Ensure that there is adequate equipment and radio frequencies available as necessary for the section.

ρ Determine estimated times of arrival of section staff from the Personnel Branch in Logistics.

ρ Confer with the EOC Director to ensure that the Planning/Intelligence and Logistics Sections are staffed at levels necessary to provide adequate information and support for operations.

ρ Coordinate with the Liaison Officer regarding the need for Agency Representatives in the Operations Section.

ρ Coordinate with the Planning/Intelligence Section Coordinator to determine the need for any Technical Specialists.

ρ Establish radio or phone communications with county Department Operations Centers (DOCs), local government in the Operational Area, and/or with Incident Commander(s) as directed, and coordinate accordingly.

ρ Determine activation status of other EOCs in the Operational Area or adjacent areas and establish communication links with their Operations Sections if necessary.

ρ Based on the situation known or forecasted, determine likely future needs of the Operations Section.

ρ Identify key issues currently affecting the Operations Section; meet with section personnel and determine appropriate section objectives for the first operational period.

- ρ Review responsibilities of branches in section; develop an Operations Plan detailing strategies for carrying out Operations objectives.
- ρ Adopt a pro-active attitude. Think ahead and anticipate situations and problems before they occur.

### **Operational Phase:**

- ρ Ensure Operations Section position logs and other necessary files are maintained.
- ρ Ensure that situation and resources information is provided to the Planning/Intelligence Section on a regular basis or as the situation requires, including Status Reports and Major Incident Reports (utilize RIMS format if available).
- ρ Ensure that all media contacts are referred to the Public Information Officer.
- ρ Conduct periodic briefings and work to reach consensus among staff on objectives for forthcoming operational periods.
- ρ Attend and participate in EOC Director's Action Planning meetings.
- ρ Provide the Planning/Intelligence Section Coordinator with the Operations Section's objectives prior to each Action Planning meeting.
- ρ Work closely with each Branch Coordinator to ensure that the Operations Section objectives, as defined in the current Action Plan, are being addressed.
- ρ Ensure that the branches coordinate all resource needs through the Logistics Section.
- ρ Ensure that intelligence information from Branch Coordinators is made available to the Planning/Intelligence Section in a timely manner.
- ρ Ensure that fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of emergency expenditures and daily time sheets).
- ρ Brief the EOC Director on all major incidents.
- ρ Complete a Major Incident Report for all major incidents; forward a copy to the Planning/Intelligence Section.
- ρ Brief Branch Coordinators periodically on any updated information you may have received.
- ρ Share status information with other sections as appropriate.

## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Fire & Rescue Branch Coordinator

## Function Description:

The Fire and Rescue Branch in the EOC Operations Section is responsible for linking the EOC to Fire Department Operations Centers, Dispatch Centers, the fire and rescue mutual aid system and, as appropriate to the jurisdiction Incident Command on incidents under the management of the fire services. The Branch Coordinator reports to the Operations Section Coordinator. The Branch will obtain situation reports, requests for resource support (outside of the mutual aid system), and be the primary link from the EOC to fire department operations throughout the Operational Area. The Branch will supply local government EOCs, fire DOCs and ICs as appropriate, with information and directives developed in the EOC.

Smaller jurisdictions may not activate separate units for fire operations, fire & rescue and hazmat.

## Responsibilities:

1. Coordinate fire, hazardous materials, and urban search and rescue operations in the jurisdictional area.
2. Assist Fire & Rescue Mutual Aid System Coordinator in acquiring mutual aid resources, as necessary.
3. Coordinate the mobilization and transportation of all resources through the Logistics Section.
4. Complete and maintain status reports (in RIMS format if available) for major incidents requiring or potentially requiring operational area, state and federal response, and maintains status of unassigned fire & rescue resources.
5. Coordinate with the Law Enforcement Branch Coordinator on jurisdiction Search & Rescue activities.
6. Implement the objectives of the EOC Action Plan assigned to the Fire & Rescue Branch.
7. Supervise the Fire & Rescue Branch.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

- ρ Based on the situation, activate the necessary Units within the Fire & Rescue Branch:
  - ρ Fire & Rescue Unit
  - ρ HazMat Unit
- ρ If the mutual aid system is activated, coordinate use of fire resources with the Operational Area Fire & Rescue Mutual Aid Coordinator.
- ρ Prepare and submit a preliminary status report and major incident reports as appropriate to the Operations Section Coordinator.
- ρ Prepare objectives for the Fire & Rescue Branch; provide them to the Operations Section Coordinator prior to the first Action Planning meeting.

### **Operational Phase:**

- ρ Ensure that Branch and Unit position logs and other necessary files are maintained.
- ρ Obtain and maintain current status on Fire & Rescue missions being conducted in the Operational Area.
- ρ Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Fire & Rescue Branch operations periodically or as requested during the operational period.
- ρ On a regular basis, complete and maintain the Fire & Rescue Status Report on RIMS forms if available.
- ρ Refer all contacts with the media to the Public Information Branch.
- ρ Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).
- ρ Prepare objectives for the Fire & Rescue Branch for the subsequent operational period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning meeting.
- ρ Provide your relief with a briefing at shift change; inform him/her of all on going activities, branch objectives for the next operational period, and any other pertinent information.

## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Fire & Rescue Unit Leader

## Responsibilities:

1. Provide coordination for mutual aid requests to and from the Operational Area Fire / Rescue Mutual Aid Coordinator, as appropriate.
2. Respond to requests for non-fire support resources from the county fire departments DOC and local governments in a timely manner, following established priorities (life safety, protection of the environment, and protection of property).
3. Monitor and track fire resources utilized during the event.
4. Assist in mobilizing urban search & rescue teams at the request of local governments, county Department Operations Centers (DOCs) or Incident Commands as appropriate.
5. Provide general support to county field personnel as required.
6. Supervise the Fire & Rescue Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Establish and maintain radio or phone communication with local government EOCs, the county Fire Department Operations Center, or with county Fire Incident Commands if appropriate.
- ρ Determine the status of all county department emergency operations.
- ρ Obtain regular status reports on the fire situation from local government, the county Department Operations Center or as appropriate from Incident Commands.
- ρ Determine the impact of the emergency on the local governments and county Fire Department's operational capability.
- ρ Establish the objectives of the Fire & Rescue Unit based on the nature and severity of the emergency, and provide them to the Fire & Rescue Branch Coordinator prior to the first Action Planning meeting.



- ρ Work closely with all Operations Section Branch Coordinators to determine the scope of any urban search and rescue assistance required.
- ρ Coordinate with the Fire & Rescue Branch Coordinator to determine missions for urban search and rescue teams based on established priorities.
- ρ Assist in mobilizing urban search and rescue teams consistent with established policies and priorities.
- ρ Work closely with the Logistics Section to determine the status and availability of urban search and rescue resources specifically larger jurisdictions who have organized USAR teams.
- ρ Coordinate with the Law Enforcement Branch to determine availability of search dog units and other SAR resources.
- ρ Provide fire status updates to the Fire & Rescue Branch Coordinator on a regular basis.
- ρ Evaluate and process all requests for fire Mutual Aid resources through the Operational Area Fire & Rescue Mutual Aid Coordinator.
- ρ In conjunction with Planning/Intelligence, determine if current and forecasted weather conditions will affect fire and rescue operations.
- ρ Inform the Fire & Rescue Branch Coordinator of all significant events that occur.
- ρ Coordinate with the Law Enforcement Branch to determine status of SAR missions, evacuations and shelter locations.
- ρ Determine availability of shelter facilities (or commercial lodging) through the Logistics Section.
- ρ Reinforce the use of proper procedures for media contacts.

### **Demobilization Phase:**

- ρ Follow generic Demobilization Phase Checklist.

# HazMat Unit Leader

## Responsibilities:

1. Determine the scope of hazardous materials incidents.
2. Assist in mobilizing hazardous materials teams at the request of local governments, county Department Operations Centers or Field Incident Commanders as appropriate.
3. Request assistance from and/or provide hazardous materials support as required to Operational Area Emergency Response Agencies consistent with established priorities and objectives.
4. Ensure that deployed teams are provided with adequate support.
5. Supervise the HazMat Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Work closely with all Operations Section Branch Coordinators to determine the scope of HazMat incident response required.
- ρ Coordinate with the Fire & Rescue Branch Coordinator to determine missions for HazMat teams based on established priorities.
- ρ Mobilize and deploy available HazMat teams in a manner consistent with the HazMat Mutual Aid System and established priorities.
- ρ Establish radio or phone communication with all deployed HazMat teams to determine the scope of support required.
- ρ Work closely with the Logistics Section to determine the status and availability of HazMat Response Teams in the Operational Area.
- ρ Coordinate with Construction/Engineering to provide on-site assistance with HazMat operations at the request of team leaders.

- ρ Coordinate with the Emergency Medical Unit to determine medical facilities where victims of HazMat incidents can be transported following decontamination.
- ρ Coordinate with the Coroner/Fatalities Management Unit to provide on-site assistance in managing fatalities at HazMat scenes.
- ρ Monitor and track the progress and status of each HazMat team.
- ρ Ensure that HazMat Team Leaders report all significant events.
- ρ Assist the Operational Area local governments in establishing camp facilities (or commercial lodging) for HazMat teams through the Logistics Section.
- ρ Inform the Fire & Rescue Branch Coordinator of all significant events.
- ρ Reinforce the use of proper procedures for media contacts. This is particularly critical in instances where the media is seeking technical information on the hazardous material, statistical information, or personal identities of injured victims or fatalities.

### **Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Law Enforcement Branch Coordinator

## Function Description:

The Law Enforcement Branch in the EOC Operations Section is responsible for linking the EOC to local government EOCs and/or law enforcement agencies Department Operations Centers, Dispatch Centers, the law enforcement mutual aid system, and, as appropriate to the jurisdiction, with Incident Command on incidents under the management of county law enforcement agencies.

The Law Enforcement Branch Coordinator reports to the Operations Section Coordinator. The Branch will obtain situation reports, requests for resource support (outside of the mutual aid system), and be the primary link from the EOC to law enforcement operations throughout the Operational Area. The Branch will supply law enforcement agency DOCs and ICs as appropriate, with information and directives developed in the EOC.

Smaller jurisdictions may not activate separate units for coroner or search and rescue.

## Responsibilities:

1. Coordinate movement and evacuation operations during an emergency.
2. Alert and notify the public of the impending or existing emergency.
3. Coordinate operational area law enforcement, search and rescue, and traffic control operations during the emergency.
4. Coordinate site security at incidents.
5. Coordinate Law Enforcement Mutual Aid requests from emergency response agencies through the Operational Area Law Enforcement Mutual Aid Coordinator.
6. Supervise the Law Enforcement Branch.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.
- ρ Based on the situation, activate the necessary Units within the Law Enforcement Branch:
  - ρ Law Enforcement Operations Unit
  - ρ Coroner/Fatalities Management Unit
  - ρ Search and Rescue Unit

- ρ Ensure that staffing is adequate to meet the combined coordination needs of the Operational Area local government EOCs and county law enforcement.
- ρ Contact and assist the Operational Area EOC Law Enforcement and Coroner's Mutual Aid Coordinators as required or requested.
- ρ Provide an initial situation report to the Operations Section Coordinator.
- ρ Based on the initial EOC strategic objectives, prepare objectives for the Law Enforcement Branch and provide them to the Operations Section Coordinator prior to the first Action Planning meeting.

**Operational Phase:**

- ρ Ensure that Branch and Unit position logs and other necessary files are maintained.
- ρ Maintain current status on Law Enforcement missions being conducted.
- ρ Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Law Enforcement Branch operations periodically or as requested during the operational period.
- ρ On a regular basis, complete and maintain the Law Enforcement Status Report. (Use RIMS Forms if available).
- ρ Refer all contacts with the media to the Public Information Branch.
- ρ Determine need for Law Enforcement Mutual Aid.
- ρ Determine need for Coroner's Mutual Aid.
- ρ Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).
- ρ Prepare objectives for the Law Enforcement Branch for the subsequent Operational period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning Meeting.
- ρ Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch objectives for the next operational period, and any other pertinent information.

## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Law Enforcement Operations Unit Leader

## Responsibilities:

1. Coordinate requests for Law Enforcement Mutual Aid Resources through the Operational Area Law Enforcement Mutual Aid Coordinator.
2. Establish and maintain communication with Law Enforcement Branch Directors at the local government or at the county Department Operations Center (DOC) if activated.
3. Respond to requests for law enforcement resources from local governments in a timely manner, using the law enforcement mutual aid system, and following established priorities (life safety, protection of the environment, and protection of property).
4. Monitor and track law enforcement resources utilized during the event.
5. Provide general support to field personnel as required.
6. Supervise the Law Enforcement Operations Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Establish and maintain radio or phone communication with local government EOCs, and the county law enforcement DOC.
- ρ Obtain regular status reports on the law enforcement situation from local governments, the county Department Operations Center or county Law Enforcement Incident Commands as appropriate.
- ρ Assess the impact of the emergency on the department's operational capability.
- ρ Establish the objectives of the Law Enforcement Operations Unit based on the nature and severity of the emergency, and provide them to the Law Enforcement Branch Coordinator prior to the first Action Planning meeting.

- ρ If the County Law Enforcement Department Operations Center is not activated, ensure that the assignment of law enforcement resources are closely monitored and coordinated, and that on-scene time is logged at the field level.
- ρ In conjunction with Planning/Intelligence, determine if current and forecasted weather conditions will affect law enforcement operations.
- ρ Coordinate major evacuation activity with the Fire Operations Branch, as required.
- ρ Coordinate with the Care and Shelter Unit to establish suitable shelter locations and appropriate shelter facilities for evacuated population.
- ρ Determine availability of camp facilities (or commercial lodging) for law enforcement personnel, through the Logistics Section.
- ρ Reinforce the use of proper procedures for media contacts.
- ρ Provide law enforcement status updates to the Law Enforcement Branch Coordinator on a regular basis.
- ρ Evaluate and process all requests for law enforcement resources through the Operational Area Law Enforcement Mutual Aid Coordinator.

### **Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.



# Coroner/Fatalities Management Unit Leader

## Responsibilities:

1. At the direction of the Sheriff/Coroner, establish and/or implement oversee an Operational Area system for managing fatalities resulting from the emergency.
2. At the direction of the Sheriff/Coroner, establish and oversee the operation of temporary morgue facilities and maintain detailed records of information relative to each fatality.
3. Supervise the Coroner/Fatalities Management Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Ensure that all Operational Area locations where fatalities are discovered are secured.
- ρ Ensure that fatality collection points are established and secured as necessary.
- ρ Ensure that temporary morgue facilities are established in accordance with guidelines established by the Sheriff/Coroner.
- ρ Request Coroner's Mutual Aid as required.
- ρ Procure, through Logistics, all necessary fatalities management equipment and supplies, such as temporary cold storage facilities or vehicles, body bags, etc.
- ρ Coordinate with the Fire & Rescue Unit or Law Enforcement Search & Rescue (SAR) Unit to determine location and number of extricated fatalities.
- ρ Ensure that human remains are transported from fatality collection points to temporary morgue(s), if so advised by the Sheriff/Coroner.
- ρ Assist the Sheriff/Coroner with identification of remains and notification of next of kin as required.

- ρ In conjunction with local mortuaries and cemeteries, assist with the reburial of any coffins that were surfaced and/or disturbed as a result of an emergency.
- ρ Keep the Law Enforcement Branch Coordinator informed of Coroner/Fatalities Management Unit activities on a regular basis.
- ρ Inform the Law Enforcement Branch Coordinator and the Public Information Officer of the number of confirmed fatalities resulting from the emergency. **(NOTE: This information must be verified with the Sheriff/Coroner prior to release).**
- ρ Ensure that all media contacts are referred to the Public Information Officer.

### **Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Search & Rescue (SAR) Unit Leader

## Responsibilities:

1. Determine the scope of the search and rescue mission.
2. Assist in mobilizing Search and Rescue Teams at the request of Department Operations Centers or Field Incident Commanders.
3. Provide search and rescue support as required to other emergency response agencies consistent with established priorities and objectives.
4. Ensure that deployed teams are provided with adequate support.
5. Supervise the Search & Rescue Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Work closely with all Operations Section Branch Coordinators to determine the scope of search and rescue assistance required.
- ρ Coordinate with the Law Enforcement Branch Coordinator to determine missions for search and rescue teams based on established priorities.
- ρ Mobilize and deploy available search and rescue teams to locations or to other emergency response agencies, consistent with established policies and priorities.
- ρ Establish radio or phone communication with all deployed search and rescue team leaders to determine the scope of support required.
- ρ Work closely with the Logistics Section to determine the status and availability of search and rescue resources specifically larger jurisdictions who have organized SAR teams.
- ρ Coordinate with Construction/Engineering to provide on-site assistance with rescue operations at the request of team leaders.

- ρ Coordinate with the Emergency Medical Unit to provide on-site assistance to extricated victims requiring medical treatment.
- ρ Coordinate with the coroner/fatalities management unit to provide on-site assistance in managing fatalities at search locations.
- ρ Ensure that each team leader develops a safety plan for each assigned mission.
- ρ Monitor and track the progress and status of each search and rescue team.
- ρ Ensure that team leaders report all significant events.
- ρ Assist in establishing camp facilities (or commercial lodging) for Search and Rescue Teams through the Logistics Section.
- ρ Inform the Law Enforcement Branch Coordinator of all significant events.
- ρ Reinforce the use of proper procedures for media contacts. This is particularly critical in instances where the media is seeking statistical information or personal identities of injured victims or fatalities.

### **Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Construction/Engineering Branch Coordinator

## Function Description:

The Construction/Engineering Branch in the Local Government EOC coordinates all infrastructure related activities during an emergency. The Branch Coordinator reports to the Operations Section Coordinator. The Branch title may vary depending on the jurisdictional organization. Typically it may include coordination of utility services (public and private), public works, engineering, and damage and safety inspections and assessments.

Smaller jurisdictions may not activate separate units for utilities, damage assessment and public works.

## Responsibilities:

1. Survey all utility systems serving the operational area, and restore systems that have been disrupted, including coordinating with utility service providers in the restoration of disrupted services.
2. Survey all public and private facilities, assessing the damage to such facilities, and coordinating the repair of damage to public facilities.
3. Survey all other infrastructure systems, such as streets and roads within the jurisdictional area.
4. Assist other sections, branches, and units as needed.
5. Supervise the Construction/Engineering Branch.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.
- ρ Based on the situation, activate the necessary units within the Construction/Engineering Branch:

- ρ Utilities Unit

- ρ Damage/Safety Assessment Unit

- ρ Public Works Unit

Ensure that adequate staffing is available to cover both county and local government responsibilities in the Operational Area.

- ρ Contact and assist the Operational Area Public Works Mutual Aid Coordinator with the coordination of mutual aid resources as necessary.
- ρ Provide an initial situation report to the Operations Section Coordinator.

- ρ Based on the initial EOC strategic objectives, prepare objectives for the Construction/ Engineering Branch and provide them to the Operations Section Coordinator prior to the first Action Planning meeting.

### **Operational Phase:**

- ρ Ensure that Branch and Unit position logs and other necessary files are maintained.
- ρ Maintain current status on all emergency construction/engineering activities being conducted within the operational area.
- ρ Ensure that damage and safety assessments are being carried out for both public and private facilities.
- ρ Request mutual aid as required through the Operational Area Public Works Mutual Aid Coordinator.
- ρ Determine and document the status of transportation routes into and within affected areas.
- ρ Coordinate debris removal services as required.
- ρ Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Construction/Engineering Branch activities periodically during the operational period or as requested.
- ρ Ensure that all Utilities and Construction/Engineering Status Reports, as well as the Initial Damage Estimation are completed and maintained. (Utilize RIMS forms if available).
- ρ Refer all contacts with the media to the Public Information Branch.
- ρ Ensure that all fiscal and administrative requirements are coordinated through the Finance/ Administration Section (notification of any emergency expenditures and daily time sheets).
- ρ Prepare objectives for the Construction/Engineering Branch for the subsequent operations period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning meeting.
- ρ Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch objectives for the next operational period, and any other pertinent information.

## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Utilities Unit Leader

## Responsibilities:

1. Assess the status of utilities, provide Utility Status Reports as required.
2. Coordinate restoration of damaged utilities with utility representatives in the EOC if present, or directly with Utility companies.
3. Supervise the Utilities Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Establish and maintain communications with the utility providers.
- ρ Determine the extent of damage to utility systems.
- ρ Coordinate with the Liaison Officer to ensure that agency representatives from affected utilities are available to respond to the Operational Area EOC.
- ρ Ensure that all information on system outages is consolidated and provided to the Situation Analysis Unit in the Planning/Intelligence Section.
- ρ Ensure that support to utility providers is available as necessary to facilitate restoration of damaged systems.
- ρ Keep the Medical & Health Branch Coordinator informed of any damage to sewer and sanitation systems, as well as possible water contamination problems.
- ρ Keep the Construction/Engineering Branch Coordinator informed of the restoration status.
- ρ Complete and maintain the Utilities Status Report (Utilize RIMS forms if available).
- ρ Refer all contacts with the media to the Public Information Officer.



## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Damage/Safety Assessment Unit Leader

## Responsibilities:

1. Collect initial damage/safety assessment information from other branches/units within the Operations Section.
2. If the emergency is storm, flood, or earthquake related, ensure that inspection teams have been dispatched to assess the condition of all facilities that might be affected.
3. Provide detailed damage/safety assessment information to the Planning/Intelligence Section, with associated loss damage estimates.
4. Maintain detailed records on damaged areas and structures.
5. Initiate requests for Engineers, to inspect structures and/or facilities.
6. Supervise the Damage/Safety Assessment Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Obtain initial damage/safety assessment information from Fire & Rescue Branch, Law Enforcement Branch, Utilities Unit, local government EOCs and other branches/units as necessary.
- ρ Coordinate with the American Red Cross, utility service providers, and other sources for additional damage/safety assessment information.
- ρ Prepare detailed damage/safety assessment information, including estimate of value of the losses, and provide to the Planning/Intelligence Section.
- ρ Clearly label each structure and/or facility inspected in accordance with ATC-20 standards and guidelines.
- ρ Maintain a list of structures and facilities requiring immediate inspection or engineering assessment.

- ρ Initiate all requests for engineers and building inspectors through the Operational Area EOC.
- ρ Keep the Construction/Engineering Branch Coordinator informed of the inspection and engineering assessment status.
- ρ Refer all contacts with the media to the Public Information Officer.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Public Works Unit Leader

## Responsibilities:

1. Assist other Operation Section Branches by providing construction equipment and operators as necessary.
2. Provide heavy equipment assistance to the Damage/Safety Assessment Unit as required.
3. Provide emergency construction and repair to damaged roadways. Assist with the repair of utility systems as required.
4. Providing flood-fighting assistance, such as sandbagging, rerouting waterways away from populated areas, and river, creek, or stream bed debris clearance.
5. Supervise the Public Works Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Ensure that appropriate staff are available to assist other emergency responders with the operation of heavy equipment, in coordination with the Logistics Section.
- ρ Ensure that engineering staff are available to assist the Damage/Safety Assessment Unit in inspecting damaged structures and facilities.
- ρ As requested, direct staff to provide flood fighting assistance, clear debris from roadways and water ways, assist with utility restoration, and build temporary emergency structures as required.
- ρ Work closely with the Logistics Section to provide support and materiel as required.
- ρ Keep the Construction/Engineering Branch Coordinator informed of unit status.
- ρ Refer all contacts with the media to the Public Information Officer.

## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Medical & Health Branch Coordinator

## Function Description:

The Medical & Health Branch at the Operational Area EOC is responsible for jurisdictional coordination of medical & health facilities and resources needed to serve people affected by the emergency. The Branch will also provide Operational Area coordination for the provision of emergency medical services, and public mental health facilities and services. The Branch will coordinate the care giving activities through medical & health resources available within the jurisdiction, or by obtaining such services as required through agreements with other governmental agencies, community based organizations and/or established mutual aid programs.

Smaller jurisdictions may not activate separate units for the functions covered under medical & health.

## Responsibilities:

1. Safeguard the public health of citizens within the operational area by ensuring there is an ample supply of potable water, a functioning sanitation system, and vector controls are established, as required.
2. Ensure that emergency medical services adequate to the needs of the emergency are in place and functioning properly.
3. Supervise the Medical & Health Branch.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Ensure Branch and Unit position logs and other necessary files are maintained.
- ρ Based on the situation, activate the necessary units within the Medical & Health Branch:
  - ρ Emergency Medical Unit
  - ρ Public Health Unit
- ρ Ensure that all potable water supplies remain safe, and free from contaminants.
- ρ Ensure that sanitation systems are operating effectively and not contaminating water supplies.

- ρ Ensure that a vector control plan is established and implemented for the affected area(s) within the Operational Area.
- ρ Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Medical & Health Branch operational status periodically during the operations period or as requested.
- ρ Ensure that the Public Health Unit is available to assist the Coroner/Fatalities Management Unit in mitigating and managing mass fatality situations.
- ρ Prepare objectives for the Medical & Health Branch for the subsequent operational period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning meeting.
- ρ Refer all contacts with the media to the Public Information Branch.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Emergency Medical Unit Leader

## Responsibilities:

1. Ensure that all available emergency medical resources are identified and mobilized as required.
2. Provide assistance as required to local government EOCs, and county Department Operations Centers in establishing triage teams.
3. Determine the status of medical facilities within the affected area.
4. Ensure adequate transportation resources are available for the transportation of injured victims to appropriate medical facilities.
5. Supervise the Emergency Medical Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Work closely with all Operations Section Branch Coordinators to determine the scope of emergency medical assistance required.
- ρ Determine the status and availability of medical mutual aid resources in the operational area; specifically paramedics and ambulances.
- ρ Establish radio or telephone communication with area hospitals and other medical facilities to determine their capability to treat disaster victims.
- ρ Determine status and availability of specialized treatment such as burn centers.
- ρ Assist in obtaining and providing triage services for extricated victims.
- ρ Coordinate with the Logistics Section to acquire suitable transportation for injured victims as required or requested.
- ρ Establish and maintain communication with the local government EOCs and determine status and availability of medical resources.



- ρ Coordinate with the Logistics Section to obtain necessary supplies and equipment to support operational area emergency medical operations.
- ρ Inform the Medical & Health Branch Coordinator of all significant events.
- ρ Reinforce the use of proper procedures for media contacts. This is particularly critical in a emergency medical situation where statistical information is requested by the media.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Public Health Unit Leader

## Responsibilities:

1. Assess the status and availability of potable water throughout the Operational Area.
2. Assess the status of the sanitation system serving the Operational Area.
3. Inspect and assess emergency supplies such as food and other consumables for purity and utility.
4. Assess the need for a vector control plan for the affected emergency areas.
5. Supervise the Public Health Unit.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Coordinate with the Utilities Unit Leader to determine current status of water and sanitation systems throughout the Operational Area.
- ρ If systems are damaged, request assistance from County Public Health to assess drinking water quality and potential health risks from ruptured sewer/sanitation systems.
- ρ Develop a distribution system for drinking water as required.
- ρ Contact and coordinate with the Logistics Section, to obtain chemical (portable) toilets and other temporary facilities for the disposal of human waste and other infected waste.
- ρ Inspect emergency supplies to be used in the EOC or by field emergency responders, such as food, drugs, and other consumables for purity and utility.
- ρ Determine the need for vector control, and coordinate with County Public Health for vector control services as required.
- ρ Inform the Medical & Health Branch Coordinator on all activities of the Public Health Unit periodically during the operational period, or as requested.
- ρ Refer all contacts with the media to the Public Information Branch.

## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Care & Shelter Branch Coordinator

## Function Description:

The Care & Shelter Branch at the operational area EOC coordinates the sheltering, feeding, potable water, and clothing for evacuated or displaced personnel at the time of the emergency. The coordination of these services may include other county services, the American Red Cross, private agencies, churches and other community based organizations as necessary.

## Responsibilities:

1. Coordinate directly with the American Red Cross and other community based organizations to provide food, potable water, clothing, shelter, mass care and other basic needs as required to disaster victims.
2. Assist the American Red Cross with inquiries and registration services to reunite families or respond to inquiries from relatives or friends.
3. Assist the American Red Cross with the transition from mass care to separate family/individual housing.
4. Supervise the Care & Shelter Branch.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Coordinate with the Liaison Officer to request an Agency Representative from the American Red Cross. Work with the Agency Representative to coordinate all shelter and congregate care activity.
- ρ Establish communications with other operational area community based services to provide clothing and other basic life sustaining needs.
- ρ Ensure coordination of all mass care activities occurs with the American Red Cross and other community based organizations as required.
- ρ Ensure that each activated shelter meets the requirements as described under the Americans With Disabilities Act.

- ρ Assist the American Red Cross in staffing and managing the shelters to the extent possible.
- ρ In coordination with the American Red Cross, activate an inquiry registry service to reunite families and respond to inquiries from relatives or friends.
- ρ Assist the American Red Cross with the transition from operating shelters for displaced persons to separate family/individual housing.
- ρ Complete and maintain the Care and Shelter Status Report Form (utilize RIMS forms if available).
- ρ Refer all contacts with the media to the Public Information Officer.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Animal Care & Welfare Branch Coordinator

## Function Description:

The Animal Care & Welfare Branch at the Operational Area EOC determines the need for care and shelter of animals displaced or put at risk as a result of an emergency, particularly those belonging to persons who are in a shelter situation. Animals at risk may include domestic pets, farm livestock, and wild animals that may require emergency services. The Branch will, in coordination with the Medical & Health Branch, develop and implement a plan for providing services to endangered animals during an emergency.

## Responsibilities:

1. Assess the status of animal care needs within all local governments in the operational area.
2. Determine status of available shelters and establish locations for additional sheltering.
3. Determine the need for county animal care and veterinary services.
4. Develop a plan for meeting jurisdictional animal welfare needs for the duration of the emergency.
5. Coordinate as necessary with other EOC positions on Animal Care & Welfare issues and requirements.
6. Supervise the Animal Care & Welfare Branch.

## Activation Phase:

- ρ Follow generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Contact jurisdictional animal welfare facilities and determine their status and ability to function.
- ρ Ensure that animal control measures are in effect and animal care and sheltering services are appropriate for the emergency.
- ρ Determine location and time of any animal welfare facilities that are activated.

- ρ Obtain phone numbers/pager numbers for all essential animal care locations and/or personnel that may have contact with the EOC.
- ρ Determine status of available communications systems.
- ρ Obtain current level of staffing and anticipated needs for additional personnel (include volunteer personnel in estimate).
- ρ Determine location and status of major incidents involving a threat to or from animals.
- ρ Determine extent of damage to, and the operational capacity of all animal shelter facilities in the operational area.
- ρ Provide above information to the Situation Analysis Unit.
- ρ Participate in EOC planning meetings, as required.
- ρ As requested, provide estimate of the emergency's impact on area animals, and the need for animal control and care.
- ρ Communicate plans developed at the EOC that affect animal control and care to appropriate outside locations.
- ρ Assign specific duties to support staff, and supervise staff.
- ρ As needed, request additional resources through established ordering procedures.

### **Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

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**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**

**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS CENTER COURSE G611**

**OPERATIONAL AREA  
PLANNING/INTELLIGENCE  
SECTION  
Function Specific Handbook**

**CHAPTER THREE  
MARCH 2001**

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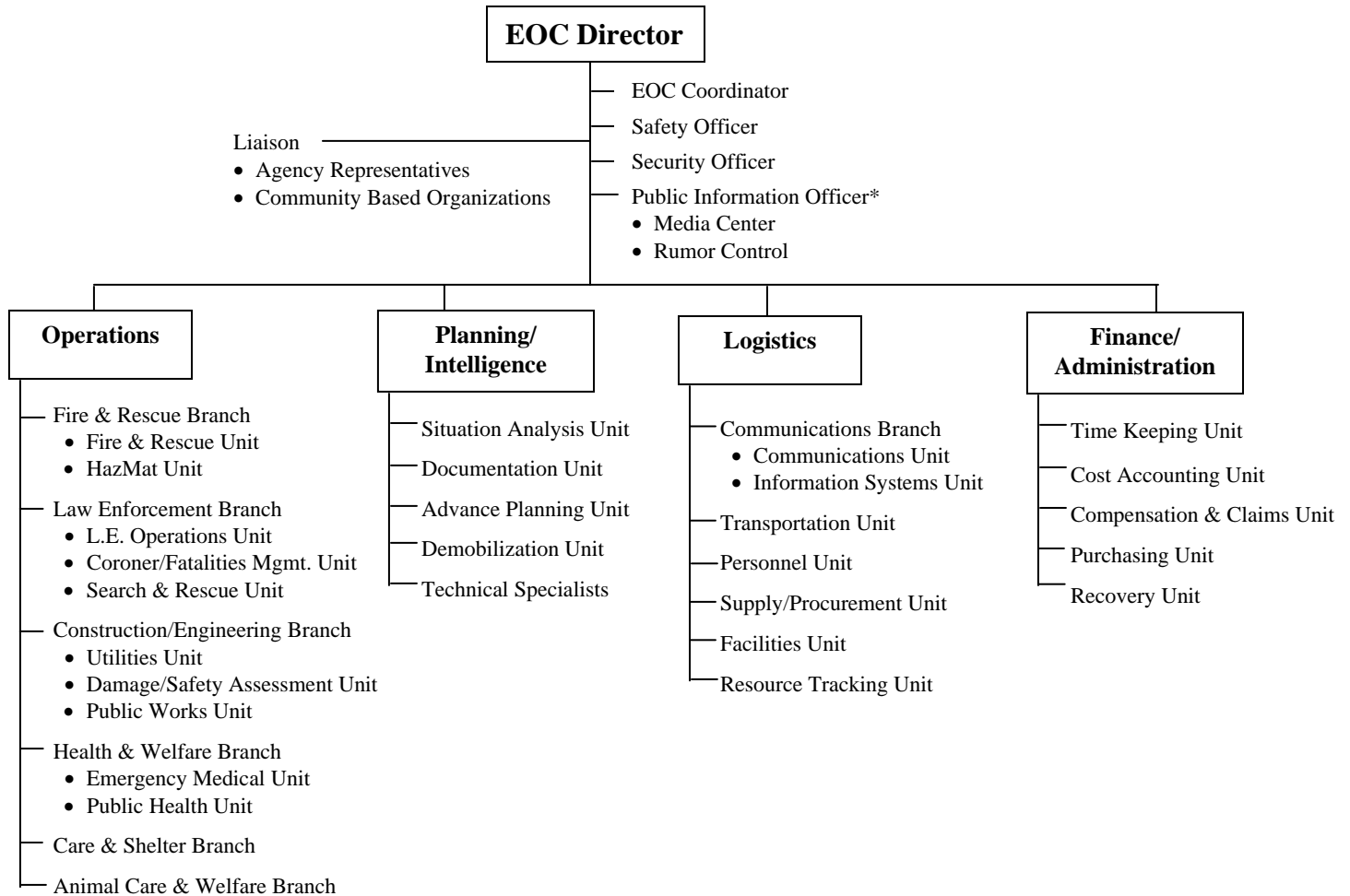


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# OPERATIONAL AREA PLANNING/INTELLIGENCE SECTION FUNCTION SPECIFIC HANDBOOK

## I. Large Operational Area EOC Functional Organization Chart



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

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

## II. General Considerations

### A. Contents

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Planning/Intelligence Section of an operational area EOC. The checklists describe minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

### B. Standardized Emergency Management System (SEMS)

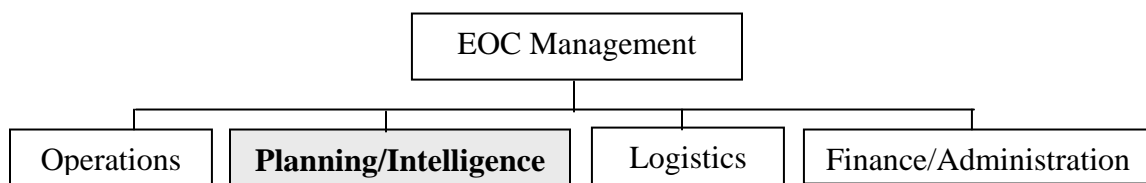
The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

### C. Operational Area EOC

The Operational area consists of the county and all the political sub-divisions within the county. These would include the county government departments and agencies, municipalities, and special districts, e.g., schools, utilities, etc.

The Operational Area EOC operates as a local government EOC for the county unincorporated area, and at the same time as the Operational Area EOC for coordinating services to the county's political sub-divisions. Many operational area functions thus require the staff to wear two hats in the performance of their responsibilities and duties.

### D. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established.

The functions described here are those activities that may need to be activated during an EOC activation for the Planning/Intelligence Section at the local government EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

## E. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply.

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency. (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub-functions.
- One person may have delegated authority for more than one area of responsibility. (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

## III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

### **Activation Phase:**

- ρ Check in upon arrival at the EOC.
- ρ Report to EOC Director, Section Coordinator, or other assigned Supervisor.
- ρ Set up your workstation and review your position responsibilities.
- ρ Establish and maintain a position log that chronologically describes your actions taken during your shift.
- ρ Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- ρ Ensure RIMS (Response Information Management System) is operational.

## **Demobilization Phase:**

- ρ Deactivate your assigned position and close out logs when authorized by the EOC Director.
- ρ Complete all required forms, reports, and other documentation, as appropriate, prior to your departure.
- ρ Be prepared to provide input to the after-action report.
- ρ If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
- ρ Clean up your work area before you leave.
- ρ Leave a forwarding phone number where you can be reached.

## **IV. Planning/Intelligence Section Functional Descriptions**

The EOC Director has the authority and responsibility to direct all EOC activity. The Director may delegate authority to members of the General Staff. Planning/Intelligence Section positions will vary depending upon the need. The positions listed below are the more common Planning/Intelligence Section positions found in an operational area EOC. Note that in some EOCs these positions may be activated at a one-person level, or at a unit level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

The Planning/Intelligence Section positions are extremely important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.

# Planning/Intelligence Section Coordinator

## Function Description:

The Planning/Intelligence Section is a primary function for any operational area EOC. The Section will gather information from a variety of sources, including all activated local government EOCs, analyze and verify information, and prepare and update internal EOC information and map displays. The Situation Analysis function will be activated under any EOC activation. The Section has an important function in overseeing the Planning Meetings and in preparing the EOC Action Plan. The Section will collect and process internal EOC documentation, and prepare advance planning information as necessary. Technical Specialists assigned to the EOC will initially be part of the Planning/Intelligence Section. The Section Coordinator reports directly to the EOC Director.

## Responsibilities:

1. Ensure that the following responsibilities of the Planning/Intelligence Section are addressed as required:
  - ρ Collecting, analyzing, and displaying situation information,
  - ρ Preparing periodic Situation Reports,
  - ρ Preparing and distributing the EOC Action Plan and facilitating the Action Planning meeting,
  - ρ Conducting Advance Planning activities and report,
  - ρ Providing technical support services to the various EOC sections and branches, and documenting and maintaining files on all EOC activities.
2. Establish the appropriate level of organization for the Planning/Intelligence Section.
3. Exercise overall responsibility for the coordination of unit activities within the section.
4. Keep The EOC Director informed of significant issues affecting the Planning/Intelligence Section.
5. In coordination with the other Section Coordinators, ensure that Status Reports are completed and utilized as a basis for Situation Analysis Reports, and the EOC Action Plan.
6. Supervise the Planning/Intelligence Section.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.
- ρ Ensure that the Planning/Intelligence Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps and status boards.

- ρ Based on the situation, activate units within the section as needed and designate Unit Leaders for each element:
  - ρ Situation Analysis Unit
  - ρ Documentation Unit
  - ρ Advance Planning Unit
  - ρ Demobilization Unit
- ρ Request additional personnel for the section as necessary to maintain a 24-hour operation.
- ρ Establish contact with the State Regional EOC (REOC) when activated, and coordinate Situation Analysis Reports with their Planning/Intelligence Section.
- ρ Meet with Operations Section Coordinator; obtain and review any major incident reports.
- ρ Review responsibilities of units in the section; develop plans for carrying out all responsibilities.
- ρ Make a list of key issues to be addressed by Planning/Intelligence; in consultation with section staff, identify objectives to be accomplished during the initial Operational Period.
- ρ Keep the EOC Director informed of significant events.
- ρ Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

**Operational Phase:**

- ρ Ensure that Planning/Intelligence Section position logs and other necessary files are maintained.
- ρ Ensure that The Situation Analysis Unit is maintaining current information for the situation analysis report.
- ρ Ensure that major incidents reports and status reports are completed by the Operations Section and are accessible by Planning/Intelligence (Utilize RIMS forms if available).
- ρ Ensure that a situation analysis report is produced and distributed to EOC Sections and the State Regional EOC (REOC) at least once, prior to the end of the operational period.
- ρ Ensure that all status boards and other displays are kept current and that posted information is neat and legible.
- ρ Ensure that the Public Information Branch has immediate and unlimited access to all status reports and displays.

- ρ Conduct periodic briefings with section staff and work to reach consensus among staff on section objectives for forthcoming operational periods.
- ρ Facilitate the EOC Director's Action Planning meetings approximately two hours before the end of each operational period.
- ρ Ensure that objectives for each section are completed, collected and posted in preparation for the next Action Planning meeting.
- ρ Ensure that the EOC Action Plan is completed and distributed prior to the start of the next operational period.
- ρ Work closely with each unit within the Planning/Intelligence Section to ensure the section objectives, as defined in the current EOC Action Plan are being addressed.
- ρ Ensure that the Advance Planning Unit develops and distributes a report which highlights forecasted events or conditions likely to occur beyond the forthcoming operational period; particularly those situations which may influence the overall strategic objectives of the EOC.
- ρ Ensure that the Documentation Unit maintains files on all EOC activities and provides reproduction and archiving services for the EOC, as required.
- ρ Provide technical specialists to all EOC sections as required.
- ρ Ensure that fiscal and administrative requirements are coordinated through the Finance/Administration Section.

### **Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.



# Situation Analysis Unit Leader

## Responsibilities:

1. Oversee the collection, organization, and analysis of situation information related to the emergency.
2. Ensure that information collected from all sources is validated prior to posting on status boards.
3. Ensure that situation analysis reports are developed for dissemination to EOC staff and also to the State Regional EOC (REOC) and other EOCs as required.
4. Ensure that an EOC Action Plan is developed for each operational period.
5. Ensure that all maps, status boards and other displays contain current and accurate information.
6. Supervise Situation Analysis Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.
- ρ Make contact with local government EOCs in the operational area and establish a schedule for obtaining situation reports.
- ρ Ensure there are adequate staff available to collect and analyze incoming information, maintain the Situation Analysis Report and facilitate the Action Planning process.
- ρ Prepare Situation Analysis Unit objectives for the initial Action Planning meeting.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Oversee the collection and analysis of all emergency related information.
- ρ Oversee the preparation and distribution of the Situation Report. Coordinate with the Documentation Unit for manual distribution and reproduction as required.
- ρ Ensure that each EOC Section provides the Situation Analysis Unit with Status Reports on a regular basis.
- ρ Meet with the Public Information Officer to determine the best method for ensuring access to current information.

- ρ Prepare a situation summary for the EOC Action Planning meeting.
- ρ Ensure each section provides their objectives at least 30 minutes prior to each Action Planning meeting.
- ρ In preparation for the Action Planning meeting, ensure that all EOC objectives are posted on chart paper, and that the meeting room is set up with appropriate equipment and materials (easels, markers, situation analysis reports, etc.)
- ρ Following the meeting, ensure that the Documentation Unit publishes and distributes the EOC Action Plan prior to the beginning of the next operational period. (See attachment.)
- ρ Ensure that adequate staff are assigned to maintain all maps, status boards and other displays.

**Demobilization Phase:**

- ρ Follow the generic Demobilization Phase Checklist.

# Documentation Unit Leader

## Responsibilities:

1. Collect, organize and file all completed emergency related forms, to include: all EOC position logs, situation analysis reports, EOC Action Plans and any other related information, just prior to the end of each operational period.
2. Provide document reproduction services to EOC staff.
3. Distribute the EOC situation analysis reports, EOC Action Plan, and other documents, as required.
4. Maintain a permanent electronic archive of all situation reports and Action Plans associated with the emergency.
5. Assist the EOC Coordinator in the preparation and distribution of the After Action Report.
6. Supervise the Documentation Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Meet with the Planning/Intelligence Section Coordinator to determine what EOC materials should be maintained as official records.
- ρ Meet with the Recovery Unit Leader to determine what EOC materials and documents are necessary to provide accurate records and documentation for recovery purposes.
- ρ Initiate and maintain a roster of all activated EOC positions to ensure that position logs are accounted for and submitted to the Documentation Unit at the end of each shift.
- ρ Reproduce and distribute the Situation Reports and Action Plans. Ensure distribution is made to the Operational Area EOC.
- ρ Keep extra copies of reports and plans available for special distribution as required.
- ρ Set up and maintain document reproduction services for the EOC.

## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Advance Planning Unit Leader

## Responsibilities:

1. Development of an Advance Plan consisting of potential response and recovery related issues likely to occur beyond the next operational period, generally within 36 to 72 hours.
2. Review all available status reports, Action Plans, and other significant documents. Determine potential future impacts of the emergency; particularly issues which might modify the overall strategic EOC objectives.
3. Provide periodic briefings for the EOC Director and General Staff addressing Advance Planning issues.
4. Supervise the Advance Planning Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Monitor the current situation report to include recent updates.
- ρ Meet individually with the general staff and determine best estimates of the future direction & outcomes of the emergency.
- ρ Contact local government EOCs and determine issues and concerns related to the operational area advance planning effort.
- ρ Develop an Advance Plan identifying future policy related issues, social and economic impacts, significant response or recovery resource needs, and any other key issues likely to affect EOC operations within a 36 to 72 hour time frame.
- ρ Submit the Advance Plan to the Planning/Intelligence Coordinator for review and approval prior to conducting briefings for the General Staff and EOC Director.
- ρ Review Action Planning objectives submitted by each section for the next operational period. In conjunction with the general staff, recommend a transition strategy to the EOC Director when EOC activity shifts predominately to recovery operations.

## **Demobilization Phase:**

ρ Follow the generic Demobilization Phase Checklist.

# Demobilization Unit Leader

## Responsibilities:

1. Develop a Demobilization Plan for the EOC based on a review of all pertinent planning documents, and status reports.
2. Supervise the Demobilization Unit.

## Activation Phase:

- ρ Follow the generic Activation Phase Checklist.

## Operational Phase:

- ρ Establish and maintain a position log and other necessary files.
- ρ Review EOC personnel roster to determine size and scope of any demobilization efforts.
- ρ Meet individually with the general staff to determine their need for assistance in any Demobilization Planning.
- ρ Advise Planning/Intelligence Section Coordinator on the need for a formal written Demobilization Plan.
- ρ If a Demobilization Plan is required, develop the plan using detailed specific responsibilities, release priorities and procedures.
- ρ Establish with each Section Coordinator which units/personnel should be demobilized first.
- ρ Establish time tables for deactivating or downsizing units.
- ρ Determine if any special needs exist for personnel demobilization (e.g. transportation).
- ρ Develop a checkout procedure if necessary, to ensure all deactivated personnel have cleared their operating position.
- ρ Submit any formalized Demobilization Plan to the Planning/Intelligence Section Coordinator for approval.

- ρ Meet with each assigned Agency Representative and Technical Specialist to determine what assistance may be required for their demobilization from the EOC.
  
- ρ Monitor the implementation of the Demobilization Plan and be prepared to handle any demobilization issues as they occur.



# Technical Specialists

## Responsibilities:

1. Provide technical observations and recommendations to EOC staff in specialized areas as required.
2. Advise on legal limitations use of particular resources.
3. Work with inter-agency coordination groups as necessary providing expertise.

## Activation Phase:

- ρ Follow appropriate portions of the Activation Phase Checklist.

## Operational Phase:

- ρ Provide technical services as required to requesting EOC staff.
- ρ Contribute to EOC planning meetings and inter-agency coordination groups as requested.
- ρ Ensure that all recommendations are appropriately documented.
- ρ Advise Planning/Intelligence Section when duties are completed.
- ρ Obtain release from Planning/Intelligence Section Coordinator prior to leaving the EOC.

## Demobilization Phase:

- ρ Follow applicable portions of the generic Demobilization Phase Checklist.

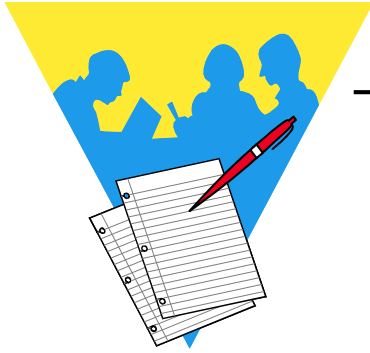
# GUIDE FOR CONDUCTING ACTION PLANNING MEETINGS (LOCAL GOVERNMENTS AND OPERATIONAL AREAS)

## V. EOC Action Planning Responsibilities:

- ❖ **EOC Director:** Ensure that EOC Action Planning is accomplished within the EOC.
- ❖ **Planning Intelligence Coordinator:** Is directly responsible for the EOC Action Planning process.
- ❖ **Situation Analysis Unit Leader:** Conducts the EOC Action Planning meeting and prepares or assigns staff to prepare the Action Plan.
- ❖ **Documentation Unit Leader:** Distributes and archives the EOC Action Plan.

### Purpose of the EOC Action Plan:

- ❖ Establishes **Direction and Priorities** for EOC operations in the form of overall objectives.
- ❖ Establishes **Operational Objectives for each SEMS function** in the EOC, and tracks the progress.
- ❖ Establishes the **Operational Period**. (Time-frame for completion of operational objectives)
- ❖ Provides for **Accountability** and reduces **Redundancy**.
- ❖ Provides **valuable documentation** for After Action Reports.



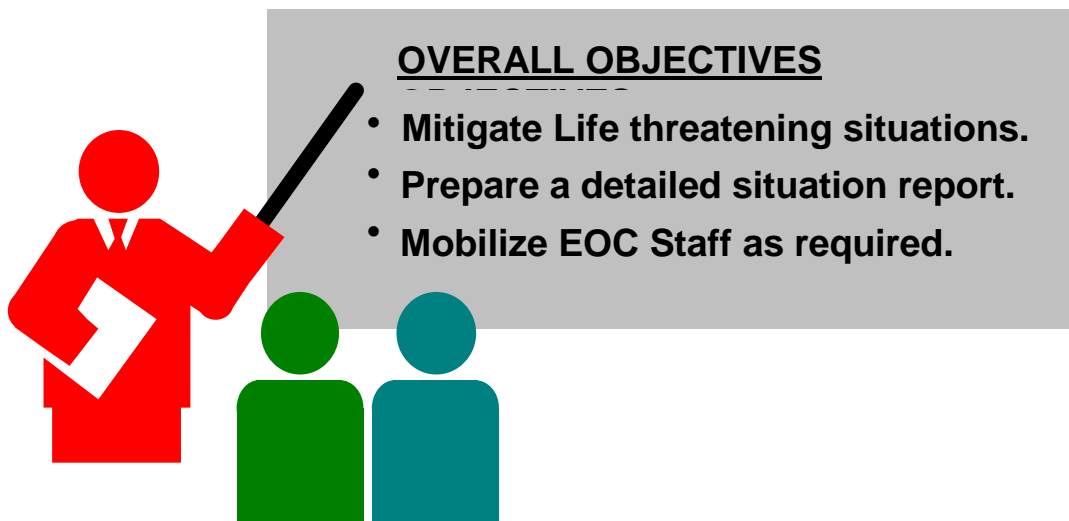
# The Action Planning Process:

## Step # 1:

### Conducting the Initial Planning Meeting:

- ❖ EOC Director reviews the initial situation immediately upon activation of the EOC.
- ❖ EOC Director meets with available general staff and establishes overall (broad) objectives.

### Example:



## Initial Planning Meeting Outcomes:

1. Overall objectives identified. Objectives must represent the **INITIAL PRIORITIES FOR EOC OPERATIONS!**
2. Key management and general staff members must know the overall objectives.
3. The first **formal** EOC Action Planning Meeting is scheduled. (Usually 1 hour after the overall objectives have been established)

**Important:**

The Initial Planning Meeting should be **BRIEF**  
– No more than 10 Minutes!

- ❖ The EOC Director concludes the meeting by directing all management and general staff members to prepare their operational objectives and be ready to present them at the first EOC Action Planning Meeting.

## Step # 2:

### Preparing for the Action Planning Meeting:

#### Purpose?

1. Review the Overall Objectives
2. Present Operational Objectives by SEMS Function
3. Update Progress and Completion Estimates for Objectives

#### Who Should Attend?

1. EOC Director
2. Key Management Staff
3. Section Coordinators and Key Unit and Branch Leads

#### Who Facilitates?

1. Situation Analysis Unit Leader (Primary)
2. Planning Intelligence Coordinator (Secondary)

#### Duration? Frequency?

***This meeting should not last more than 30 minutes!***

1. Meeting should be scheduled 2 hours prior to the end of the Operational Period.

**NOTE:** If the overall objectives are changed during the operational period, the EOC Director may convene an Action Planning Meeting accordingly to address the new situation.

**Tools & Facilities?  
(Manual Process)**



1. Quiet meeting room with wall space for chart paper.
2. Two easels with chart tablets.
3. Felt tip markers and masking tape.
4. Copies of the most recent Situation Report.

**Tools & Facilities?  
(RIMS)**



1. Quiet meeting room with space for a projector screen.
2. Laptop or desktop computer.
3. LCD Projector.
4. One easel with chart tablet, felt tip markers and masking tape.
5. Copies of the most recent Situation Report.

**Report  
Format:**

The EOC Action Plan format is maintained on RIMS.  
Should it become necessary, the template may be printed from RIMS and completed manually.

**Important:**

If Chart Paper is used, format each sheet prior to the meeting as shown below:

Example: (Chart Paper Layout: Overall Objectives)

<b>Action Planning Meeting</b> September 20, 2000	
EBMUD E.O.C. Disaster / Event Name: _____  Operational Period: From: _____ To: _____	<b>Overall Objectives:</b>  <ol style="list-style-type: none"><li>1. Mitigate life-threatening situations.</li><li>2. Prepare a detailed situation report.</li><li>3. Mobilize EOC Staff as required.</li><li>4. Restore service area utility infrastructure.</li></ol>

Example: (Chart Paper Layout: Operational Objectives)

<b>OPERATIONS SECTION OBJECTIVES</b>			
<u>OBJECTIVE:</u>	<u>BRANCH – UNIT RESPONSIBLE:</u>	<u>% COMPLETE:</u>	<u>EST. TIME COMPLETED:</u>
1. Prepare a branch status report outlining repair activities and priorities.	Response Branch	25%	1600 hrs 9/20/2000
2. Prepare a branch status report on water quality in the affected service	Water Quality Branch	50%	1700 hrs 9/20/2000

## Before The Meeting....

1. Situation Analysis staff meets with Management and all Section Coordinators or designees, and obtains all Section objectives to be presented at the meeting.
2. Objectives are entered into RIMS for projection on the screen, or written out on chart paper for posting.
3. It is mandatory that all objectives be prepared for presentation **Before the meeting is convened.**



## Step # 3:

### Conducting the Action Planning Meeting:

#### The Facilitator:



1. Starts the meeting ON TIME!
2. States the purpose of the meeting.
3. Reviews the “ground-rules:”
  - ❖ Pagers and cell-phones OFF!
  - ❖ No unnecessary “side-discussions!”
  - ❖ Participants must keep focused and take notes.
  - ❖ **The meeting is over in 30 minutes or less!**
4. Briefly highlights the Situation Status Report:
  - ❖ Operational Priorities (significant incidents in progress).
  - ❖ Weather report if critical to the response.
5. Presents the Overall Objectives (updating as necessary).

**Important:**

**Ask the EOC Director to emphasize the importance of the Overall Objectives. Everyone must understand the priorities.**

6. Calls on Management Staff to present and update their objectives. The following order is recommended:
  - ❖ Public Information
  - ❖ Liaison
  - ❖ Safety
  - ❖ Security
  - ❖ Others as appropriate
  
7. Calls on each Section Coordinator to present and update their objectives. The following order is recommended:
  - ❖ Operations Section
  - ❖ Planning Intelligence Section
  - ❖ Logistics Section
  - ❖ Finance Administration Section

**Important:**

**If using the computer, corresponding screen images from the Action Plan can be projected during each Section Report.**

**If done manually, refer to the posted chart paper as Section Reports are given.**



**Important:**

**Progress reports on existing objectives should be given by indicating the % completed, as appropriate.**



**Important:**

**When a Section Objective is completed, it is closed out in the Action Planning Meeting. It will be listed as “completed” in the next Action Plan. It will then be removed from subsequent Plans.**



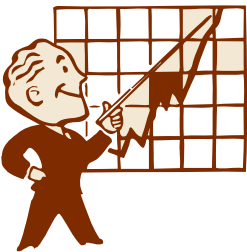
# Important:

**DEVELOPING OPERATIONAL STRATEGY** Should NOT occur as part of the Action Planning Meeting! These strategy sessions should be conducted in the Section workplace with respective staffs present. They are NOT part of the Action Planning Meeting. The facilitator should encourage inter/intra-sectional strategic or operational planning subsequent to the Action Planning Meeting.

## Step # 4:

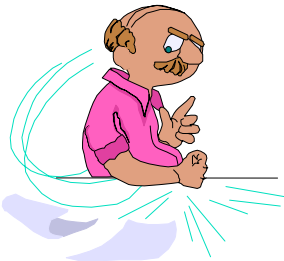
### Concluding and Adjourning the Meeting:

#### The Facilitator:



#### When all reports are completed, the facilitator should:

1. Ensure objectives are clearly stated and understood by all participants.
2. Encourage follow-up strategy sessions AFTER the meeting is adjourned.
3. Announce the time for the next meeting.
4. Announce the deadline for submitting new or updated objectives
5. **ADJOURN THE MEETING!**



#### REMEMBER!

- ❖ The Action Planning Meeting is BRIEF! 30 MINUTES OR LESS!
- ❖ Detailed “game-plan” development occurs AFTER THE MEETING IS ADJOURNED, NOT DURING THE MEETING!
- ❖ Do not allow the meeting to drift off course...STAY FOCUSED!

## Step # 5:

### Preparing and Distributing the Action Plan:

#### **MANUAL PREPARATION:**

1. Situation / Documentation staff transfers information from chart paper in the RIMS Action Plan Format.
2. Plan is approved by the Planning Intelligence Coordinator and EOC Director.
3. The Documentation staff conducts hard copy or automated distribution.
4. Extra copies should be kept by Documentation.
5. Archive on CD or Disk.

#### **RIMS PREPARATION:**

1. The Action Plan should be nearly complete as a result of the meeting.
2. The Planning Intelligence Coordinator and the EOC Director approve the Plan.
3. Distribution of the Action Plan may be done electronically through RIMS, or replicated by other information management software.
4. Archiving should occur through periodic program back up or other archiving procedures.

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**STANDARDIZED EMERGENCY MANAGEMENT SYSTEM**  
**APPROVED COURSE OF INSTRUCTION**

**EMERGENCY OPERATIONS**  
**CENTER COURSE**

**G611**

**DRAFT PARTICIPANT**  
**REFERENCE**  
**MANUAL**  
**MARCH 2001**

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# SEMS EMERGENCY OPERATIONS CENTER COURSE

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# **STANDARDIZED EMERGENCY MANAGEMENT SYSTEM (SEMS)**

## **EMERGENCY OPERATIONS CENTER COURSE**

### **PARTICIPANT REFERENCE MANUAL COURSE DESCRIPTION**

#### **I. Instructional Goal**

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

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

#### **II. General Target Audience**

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

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

#### **III. Performance Objectives**

1. Understand essential SEMS terms related to an Emergency Operations Center (EOC), as well as the five SEMS response levels and their relationship to the four SEMS EOC levels.
2. Understand the essential principles associated with disaster management, including knowledge of the fundamental differences and similarities between an emergency vs. a disaster, the role of the Emergency Services Director, the goals of emergency/disaster management, and keys to successful emergency/disaster management.
3. Understand how an Emergency Operations Center (EOC) relates to disaster management and SEMS, the diversity in purpose and scope of California EOCs, and the basic principles for an effective EOC.

4. Understand the principles of ICS applicable to EOCs, EOC functions and responsibilities, and the use of inter-agency coordination in EOCs.
5. Understand the functions, responsibilities and procedures for EOCs at all SEMS levels including checklists for activation, operational and demobilization phases during an emergency.
6. Understand how coordination takes place between SEMS levels during an inter-agency disaster response, including similarities, differences and key principles associated with a field and EOC SEMS response.

# **CHAPTER ONE: SEMS AND EOCs**

## **Chapter Description:**

Chapter One is made up of three sections:

Section 1 – Background on California Emergency Management Related to EOCs

Section 2 – Principles of Disaster Management in EOCs

Section 3 – EOC Operational Considerations

Chapter One can be used as a stand-alone chapter with its accompanying visuals, or used in conjunction with either or both of the two other chapters making up this course.



## **SECTION 1: BACKGROUND ON CALIFORNIA EMERGENCY MANAGEMENT RELATED TO EOCS**

### **I. California Emergency Services Act**

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

The Emergency Services Act provides for the following:

1. Confers emergency powers on the Governor and chief executives and governing bodies of political subdivisions of the state.
2. Provides for state assistance in the organization and maintenance of political subdivision emergency programs.
3. Provides for a state Office of Emergency Services (OES) within the Governor's Office and gives OES certain powers and duties.
4. Provides for the assignment of duties to state agencies to be performed during an emergency.
5. Provides for rendering of mutual aid by the state government, departments and agencies and political subdivisions.
6. Provides for three conditions or degrees of emergency within the state.

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

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

Sections 8637 – 8644 of the act describe the need for establishing a line of succession and provides a list of duties for standby officers. One of these duties is to report for duty in the event of an emergency at the place and in the method previously designated by the political subdivision.

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

## II. SEMS Law and Regulation

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

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

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

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

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

## III. SEMS Levels and Functions

### A. SEMS Levels

There are five designated levels in the SEMS organization.

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

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

## B. SEMS Functions

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

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

Chapter Three will discuss each function.

## IV. Definitions and Terms Related to EOCs

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

- Emergency Operations Center (EOC)

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

- Department Operations Center (DOC)

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

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

- Action Plan

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

- Inter-agency Coordination

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

- Mutual Aid

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

## **SECTION 2: PRINCIPLES OF DISASTER MANAGEMENT IN EOCS**

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

The following topics will be covered:

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

### **I. Contrast Between Incidents, Emergencies and Disasters**

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

#### **Incident**

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

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

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

Examples of incidents could be wide-ranging:

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

## Emergency

The term emergency is used in three ways:

1. A condition that may result in extreme peril to the safety of persons and damage to property. In this context, an emergency and an incident could mean the same thing, although an emergency has a broader meaning and could have several incidents associated with it.
2. Emergency is also used in SEMS to describe agencies or facilities e.g., Emergency Response Agency, Emergency Operations Center, etc.
3. Emergency is also used to define a conditional state such as proclamation of “Local Emergency”. The California Emergency Services Act describes three states of Emergency:
  - State of War Emergency
  - State of Emergency
  - Local Emergency

Examples of emergencies include:

- River flooding
- Earthquake
- Major wildland fire

## Disaster

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

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

### Characteristics of Incidents and Disasters

<u>Incidents</u>	<u>Disasters</u>
<ul style="list-style-type: none"><li>• Usually a single event – may be small or large.</li><li>• Has a defined geographical area.</li><li>• Will use local resources and mutual aid may be applied.</li><li>• Usually only on or a few agencies involved.</li><li>• Ordinary threat to live and/or property – limited population and geographic area.</li><li>• Usually a local emergency will not be declared and jurisdictional EOC will not be activated for a single or multiple small incidents.</li></ul>	<ul style="list-style-type: none"><li>• Single or multiple events (can have many separate incidents associated with it).</li><li>• Resource demand is beyond local capabilities and extensive mutual aid and support needed.</li><li>• Many agencies and jurisdictions involved (multiple layers of government).</li><li>• Extra ordinary threat to live and/or property.</li><li>• Generally a widespread population and geographic area affected.</li></ul>

### Incidents (cont)

### Disasters (cont)

- |  |  |
|--|--|
| <ul style="list-style-type: none"><li>• Usually a fairly short duration measured in hours or a few days.</li><li>• Primary command decisions are made at the scene Incident Command Post(s).</li><li>• Strategy, tactics and resource assignments are determined on scene.</li></ul> | <ul style="list-style-type: none"><li>• Will last over a substantial period of time (days to weeks) and local government will proclaim a Local Emergency.</li><li>• Emergency Operations Centers are activated to provide centralized overall coordination of jurisdiction assets, department and incident support functions, and initial recovery operations.</li></ul> |
|--|--|

## II. Management Problems During a Disaster

The following problems are often seen at all EOC levels:

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

## III. Common Goals of Emergency Management

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

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

## IV. Phases of Comprehensive Emergency Management

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

- Mitigation
- Preparedness
- Response
- Recovery

## **Mitigation**

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

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

## **Preparedness**

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

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

## **Response**

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

## **Recovery**

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

## **V. Role of Field Level Response and EOCs in Emergency Management**

### **A. Field Level has Command:**

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



the strategy and tactics to be used within the realm of available resources to meet those objectives.

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

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

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

## B. EOCs Provide Coordination

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

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

## VI. Emergency Management Process

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

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

- Improving

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

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

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

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

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

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

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

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

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

## VII. Lessons Learned from Past Emergencies

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

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

## VIII. Keys For Effective Emergency Management

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

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

## **SECTION 3: EOC OPERATIONAL CONSIDERATIONS**

### **I. Introduction**

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

### **II. Purpose of an EOC**

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

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

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

### **III. Basic Considerations for a Well-Planned/Designed EOC**

#### **A. Planning Factors**

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

- Top-level commitment to the successful operation of the EOC, and teamwork to achieve this success.
- A clear mission statement for the EOC staff.
- Well-designed facility that allows for efficient operations.
- Organization and staffing based on the five SEMS functions.
- Well documented standard operating procedures, including checklists for each functional position.
- Good communications internal and external.
- All necessary support systems in place and operating.

- A plan in place for training and exercises in EOC operations.

## B. Position Checklists

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

## C. Standard Operating Procedures

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

- Setting up the EOC.
- Information Processing Systems.
- Use of position logs and personal journals.
- Communications to outside entities such as department operations centers, field level, other local governments, and the operational area.
- Information Systems for reporting information.
- Status boards and displays.
- Documentation.
- Resources and Contacts Lists.
- Managing Resource Requests.

## D. EOC Layout and Support Requirements

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

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

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

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

- EOC Management and the policy group should be provided with adequate private space for staff meetings.
- Operations and Planning/Intelligence section activities should be together or with immediate access to each other.
- A central display area should be provided.
- Logistics and Finance/Administration can be in separate rooms but should be in close proximity to each other.
- Equipment and supplies should be sufficient for prolonged operation of the fully staffed EOC. Typical EOC supplies include:
  - Furniture-desks/tables and chairs for all positions, conference tables and chairs
  - Computers and printers
  - Copiers
  - Communications equipment
  - EOC Forms and log books
  - Emergency generator
  - Flashlights/emergency lighting
  - Uninterruptible Power Supply (UPS) for critical equipment
  - TV, VCR, AM/FM Radio
  - Displays, maps, and white boards
  - Administrative supplies and office equipment (pens, pencils, staplers and staples, etc.)
  - Food Supply
  - Kitchen equipment and supplies
  - First Aid and Sanitary supplies
  - Blankets and other items for sleeping area
  - Janitorial supplies

#### IV. General Criteria to Activate an EOC

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

- Resources beyond local capabilities are required.
- The emergency is of long duration.
- Major policy decisions will or may be needed.
- A local or state emergency is declared.

- Activation of an EOC will be advantageous to the successful management of an emergency.

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

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

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

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

1. Level One – Minimum Activation

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

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

2. Level Two Activation

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

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

### 3. Level Three Activation

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

## V. EOC Requirements

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

1. The EOC will be activated for any major emergency or important event that requires multiple (more than two) department simultaneous operations over some period of time. Activation guidelines will be part of the EOC procedures. SEMS Guidelines require activation of EOCs under certain conditions. These will be discussed in Chapter Two.
2. Staff must ensure that the EOC facility is capable of activation within one hour and able to maintain full operation status under all emergency conditions. In those cases where the EOC can be collocated with a jurisdiction's joint dispatch facility, the activation period can be significantly reduced.
3. Safe access into the facility for operating personnel must be assured, as well as providing a secure facility from all potential hazards.
4. Internal EOC operations will follow the five primary SEMS functions of Management, Operations, Planning/Intelligence, Logistics, Finance/Administration.
5. Provisions must be made within the EOC for inclusion of other agency representatives, and communications they may require.
6. The EOC will operate primarily in an information processing, policy and priority setting and coordination role. The EOC does not provide tactical direction to field elements of the various departments unless that is established by a jurisdictional policy.
7. The EOC will assist in coordinating the allocation of designated and/or critical resources between departments, and be the central location for locating and requesting supplemental and out-of-jurisdiction resources when necessary. Resources obtained through mutual aid systems will continue to be processed through procedures established by those systems.
8. Functional work stations within the EOC organization should have the capability to directly communicate by telephone and or radio to designated external DOCs, or field command posts as required for information exchange.
9. The EOC will be the primary point for developing situation and damage assessment information, setting public information standards and guidelines for departments or agencies, and/or approving official information for distribution to media and the public.



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

## VI. ICS Principles Used at Other SEMS Levels

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

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

### A. Management by Objectives

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

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

1. Set the overall EOC objectives to be achieved and the organization or jurisdictions priorities related to meeting those objectives.
2. Define as necessary the authority of the EOC and policy issues as they apply to the emergency.
3. Ensure that current policy, objectives and priorities are made known to all responding organizations.
4. Develop, maintain, and make available, a current overall information base related to the emergency.
5. Ensure an adequate field response organization is in place, and provide necessary support to field response elements.
6. Obtain and allocate essential resources to field organizations.
7. Consider future overall requirements and plan ahead.

### B. Management Unity and Delegation of Authority

The EOC organization must have the flexibility to shape itself to the emergency. That means that it should not be so rigid or inflexible that it cannot be easily modified, expanded or

diminished, as the situation requires. The concept of “form follows function” clearly applies in establishing an EOC organization. Some of the tenets of management unity as applied in SEMS are:

1. The person at the top, or in charge of the organization, has the overall responsibility for accomplishing the EOC mission. At the EOC, this person is the EOC Director.
2. Authority to manage parts of that responsibility may be delegated. In an EOC the primary delegations are for the coordination of four major functions:
  - Operations
  - Planning/Intelligence
  - Logistics
  - Finance/Administration

When assigned, the persons responsible for these functions are known as the EOC Directors General Staff. Other authority may be delegated for:

- Public Information
- Liaison
- Safety
- Security

When assigned these persons are known as the Management Staff.

3. Unless the authority for functional responsibility has been delegated, the EOC Director will retain and be responsible for direct management of previously listed functions.
4. Within operations, planning/intelligence, logistics and finance/administration, authority may be further delegated as needed.
5. The EOC Director has freedom to only activate elements of the organization that are required. For example, it is not necessary to activate a Logistics Section Coordinator prior to activation of the Communications Unit that falls under the logistics function. The only requirement is to maintain an effective span of control.
6. The size of the current organization and that of the next operational period is determined through the EOC action planning process.
7. A number of organizational elements may be activated in the various sections. Each activated element must have a person in charge of it. In some cases a single supervisor may be in charge of more than one unit. As a general rule, units should not be merged, as this may cause difficulty and confusion if they are separated at a later time.
8. Elements, which have been activated and are clearly no longer needed, should be deactivated to decrease organizational size.

### C. Span of Control

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

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

### D. Use of EOC Action Plans

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

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

1. Basic information identifying the agency, the emergency and the Operational period being planned for.
2. A summary of the current situation.
3. A statement of overall EOC objectives related to the emergency or event. Objectives should be realistic and measurable and should include who is responsible.
4. Statements of operational period objectives for each of the major sections. These objectives should be measurable and be as specific as possible, to include when appropriate, the expected time of completion.
5. Action items to carry out section objectives should be listed along with the responsible party and current status or comments.
6. A current organization chart for the EOC.
7. A listing of Agency Representatives shown by agency and their functional assignment in the EOC.
8. Supporting information as required.

## VII. Inter-agency Coordination in EOCs

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

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

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

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

### A. Importance of Inter-agency Coordination in an EOC

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

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

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

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

### B. Establishing an Inter-agency Coordination Group

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

working in conjunction with the EOC Director is primarily responsible for establishing Inter-agency Coordination Groups.

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

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

## VIII. Mutual Aid Systems and EOCs

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

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

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

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

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

## CALIFORNIA MUTUAL AID PROGRAM

### MUTUAL AID SYSTEMS AND CHANNELS OF STATEWIDE MUTUAL AID COORDINATION

COORDINATED BY STATE OES			COORDINATED BY EMSA
Fire and Rescue	Law Enforcement	Emergency Services	Disaster Medical/Health
Fire Mutual Aid System	Coroners Mutual Aid System	All other emergency services mutual aid not included in other systems	Disaster Medical/Health Mutual Aid System
Urban Search and Rescue System	Law Enforcement Mutual Aid System	Volunteer Engineers Mutual Aid System <sup>1</sup>	
	Search and Rescue Mutual Aid System (non urban)	Emergency Managers Mutual Aid System	
		Water Agency Response Network (WARN)	

<sup>1</sup> Mutual Aid concepts are used by other agencies and disciplines.

*(Figure 1-1)*

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

## **CHAPTER TWO: EOC FEATURES AT EACH SEMS LEVEL**

### Chapter Description:

Chapter Two is made up of three sections:

Section 1 – Local Government EOCs

Section 2 – Operational Area EOCs

Section 3 – Region EOCs

Section 4 – State EOCs

## **SECTION 1: LOCAL GOVERNMENT EOCs**

### **I. Introduction**

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

- A. Local government EOCs will coordinate activities among departments and in some situations may have direct communications with Incident Commanders at Incident Command Posts (ICPs).
- B. The use of EOCs is a standard practice in emergency management, and all local governments should have a designated EOC. The physical size, staffing, and equipping of the local government EOC will depend on the size and complexity of the local government and its scope of responsibility in managing emergency response and recovery activities. The level of EOC staffing will also vary with the specific emergency situation.
- C. A local government's EOC facility should be capable of serving as the central point for:
  - Coordination of all the jurisdiction's emergency operations.
  - Information gathering and dissemination.
  - Coordination with other local governments and the operational area.

### **II. Functions and Requirements**

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

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

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



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

#### A. Management within the Local Government EOC

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

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

#### B. Activation of Local Government EOCs

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

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

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

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

(Figure 2-1)

The SEMS regulation requires that SEMS be used when the local government EOC is activated or when a local emergency is declared or proclaimed. The EOC is usually activated when a local emergency is declared or proclaimed. However, there may be situations such as an agricultural emergency or drought emergency that necessitates a local emergency declaration or proclamation, but does not require EOC activation.

SEMS is considered to be “In Use”:

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

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

### III. Role of the Department Operations Centers

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

DOCs should provide for the five primary SEMS functions of Management, Operations, Planning/Intelligence, Logistics, and Finance/Administration. In a small department, the five functions may be performed by a single person or a very few persons. A very large department may have a highly structured DOC organization with sections, branches and units.

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

### IV. EOC Organization

#### A. The five SEMS Functions in the Local Government EOC

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

**Primary SEMS Function**

**Role at Local Government Level**

Management

Responsible for overall emergency policy and coordination through the joint efforts of governmental agencies and private organizations.

Management staff may include separate positions for an EOC Coordinator, Public Information, Liaison, Safety and Security as required.

Operations

Responsible for coordinating all jurisdictional operations in support of the emergency response through implementation of the local government's action plan.

Planning/Intelligence

Responsible for collecting, evaluating, and disseminating information; developing the local government's action plan in coordination with other functions; and maintaining documentation.

Logistics

Responsible for providing facilities, services, personnel, equipment, and materials.

Finance/Administration

Responsible for financial activities and other administrative aspects.

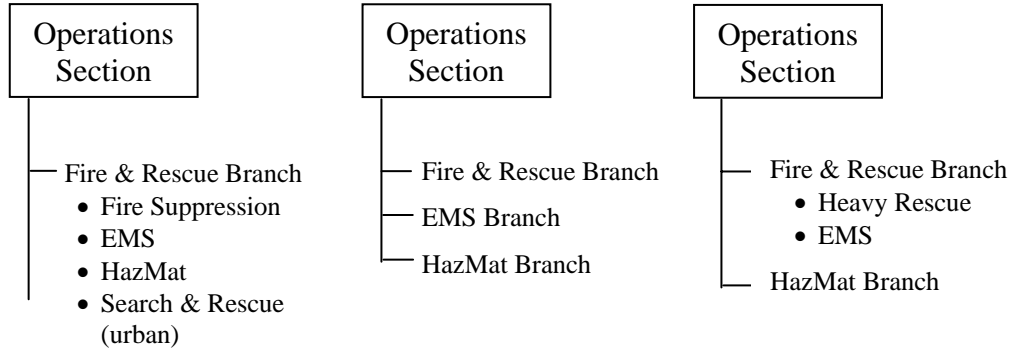
**B. EOC Terminology**

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

- Section
- Branch
- Group
- Unit

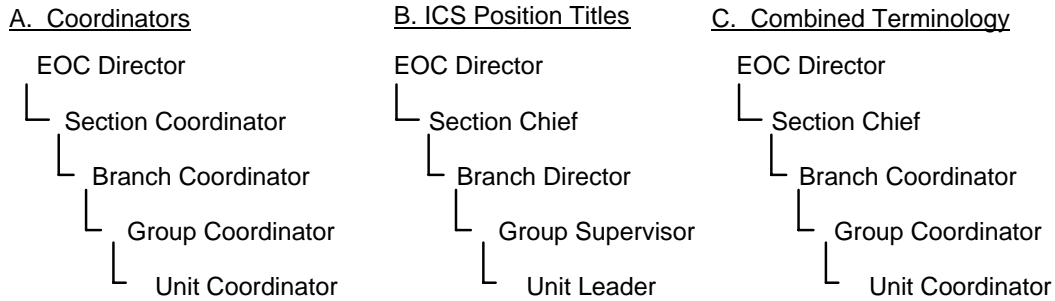
The five essential SEMS functions would be established as sections within the EOC using the above terminology. Other functions, would be included as branches, groups, or units under the appropriate section. It is not necessary to use all four hierarchical levels in the EOC. For example, many EOCs use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

**Example**  
**Alternative Ways to Incorporate Functions**  
**Into the Local Government EOC Organization**



(Figure 2-2)

For purposes of this course, we use the position title "coordinator" to refer to the lead person of each of organizational elements in the EOC. The term coordinator is used because the role of EOC elements is to coordinate. Local governments may use other position titles within their EOC organization. Three options are shown in Figure 2-3.



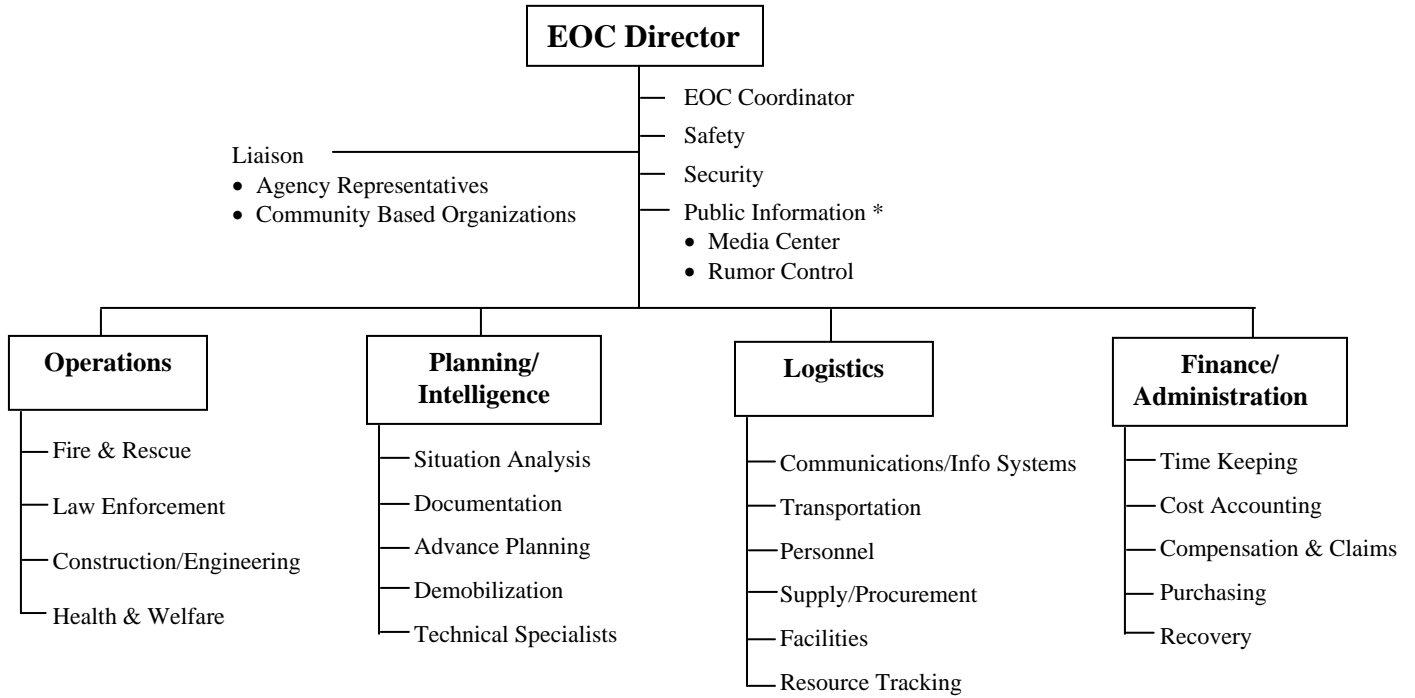
(Figure 2-3)

**C. Example Local Government EOC Organizations**

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

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

## Example Small Local Government EOC Functional Organization

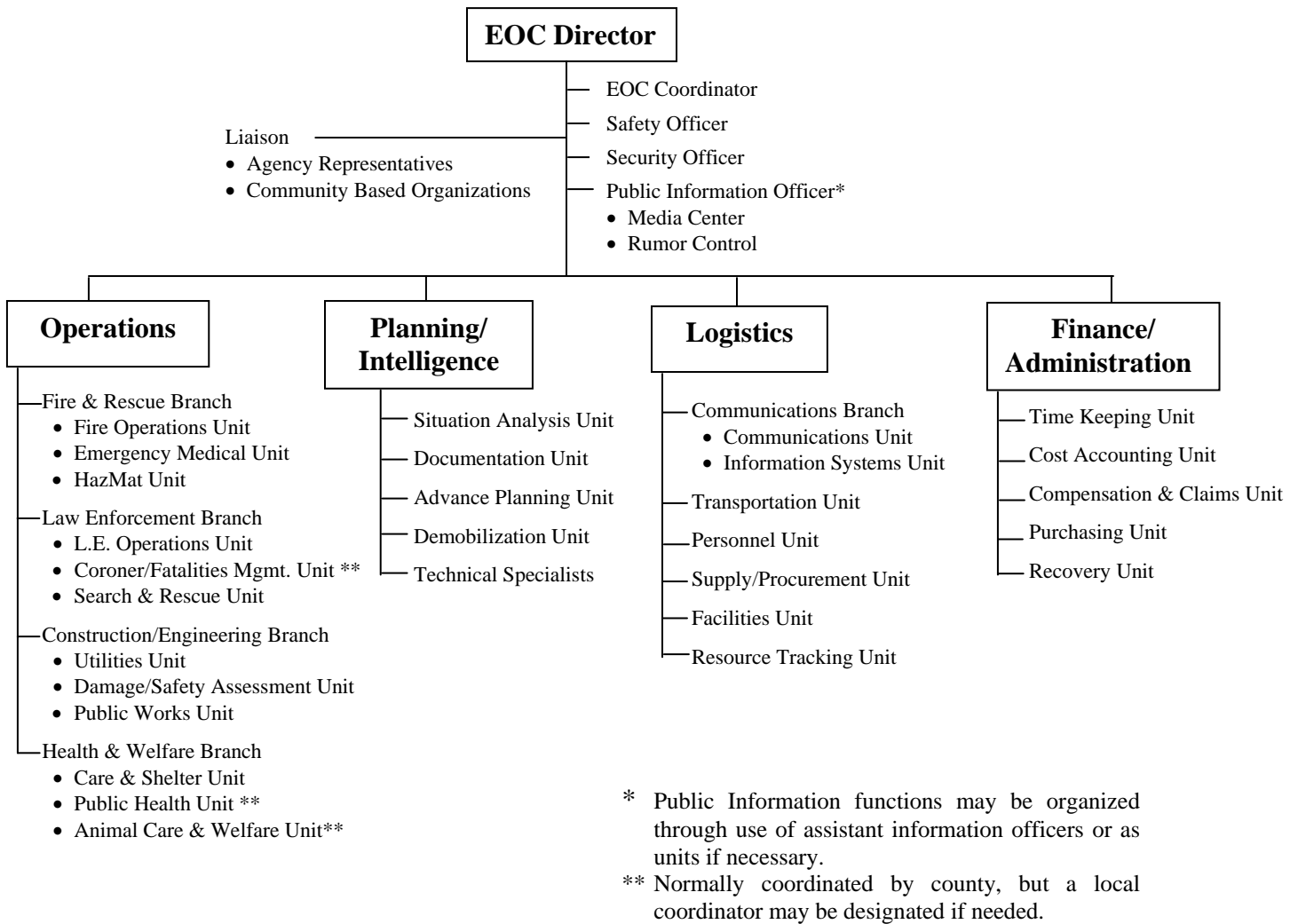


\* Public Information functions may be organized through use of assistant information officers or as units if necessary.

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

*(Figure 2-4)*

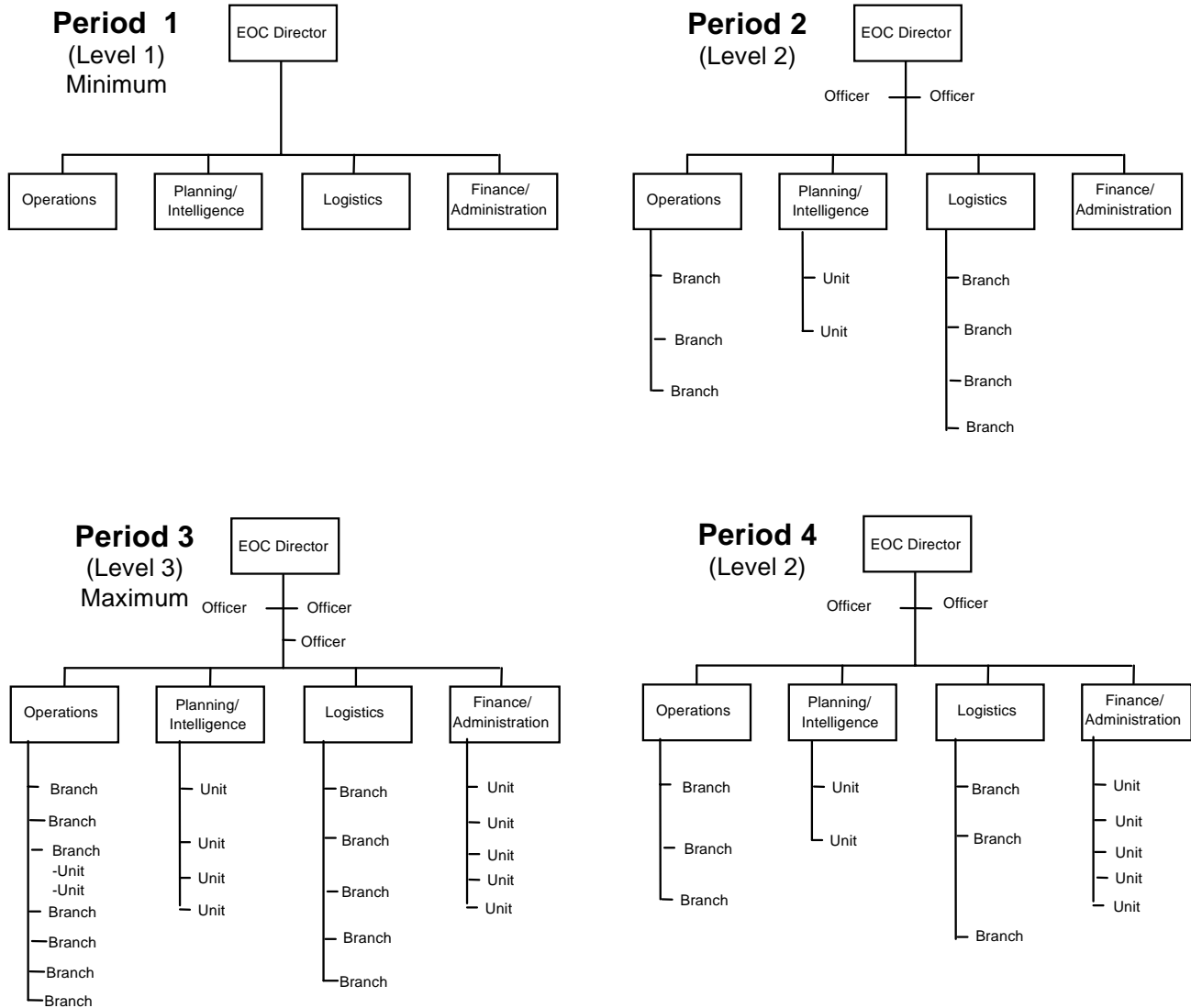
## Example Large Local Government EOC Functional Organization



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

(Figure 2-5)

## Configuration of EOC Organization May Vary During An Emergency



(Figure 2-6)

### D. EOC Director and General Staff

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



agency groups may also provide coordination assistance, intelligence information and resource support to various sections within the EOC.

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

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

## V. EOC Supporting Functions

### A. Inter-agency Coordination at the Local Government Level

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

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

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

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

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

### B. Special District Involvement

Special districts are defined as local governments in SEMS. The emergency response role of special districts is generally focused on restoring and maintaining the services each district provides. During disasters, some types of special districts will be more extensively involved in the emergency response by assisting other local governments.

Coordination and communications should be established among special districts that are involved in the emergency response, other local governments, and the operational area. This may be accomplished in various ways depending on the local situation. Relationships among special districts, cities, county government, and the operational area are complicated by overlapping boundaries and by the multiplicity of special districts. Special districts need to work with the local governments in their service areas to determine how best to establish coordination and communications in emergencies.

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

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

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

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

### C. Community Based Organizations

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

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

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

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

### D. Relationship to Mutual Aid Systems

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

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

### E. Coordination between the Local Government Levels and the Field Response

There are several ways in which the Local Government Level can link effectively with the Field Response.

#### 1. Coordination Requirements

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

- a. through departmental operations centers to the EOC, or;
- b. between Incident Commanders and the EOC.

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

## 2. Field to Local Government Level Linkages

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

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

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

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

## 3. Field to Local Government Coordination with Unified Command

At the SEMS Field Response level, Unified Command may be established for some multi-jurisdictional or multi-agency incidents. Unified Command may be used when more than one agency has some significant jurisdiction over that incident. Under Unified Command each agency with significant jurisdictional responsibility will assign an Incident Commander and appropriate resources to the incident.

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

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

- Policy and Authority Interactions
- Resource Ordering Interactions

a. Policy and Authority Interactions

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

b. Resource Ordering Interactions

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

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

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

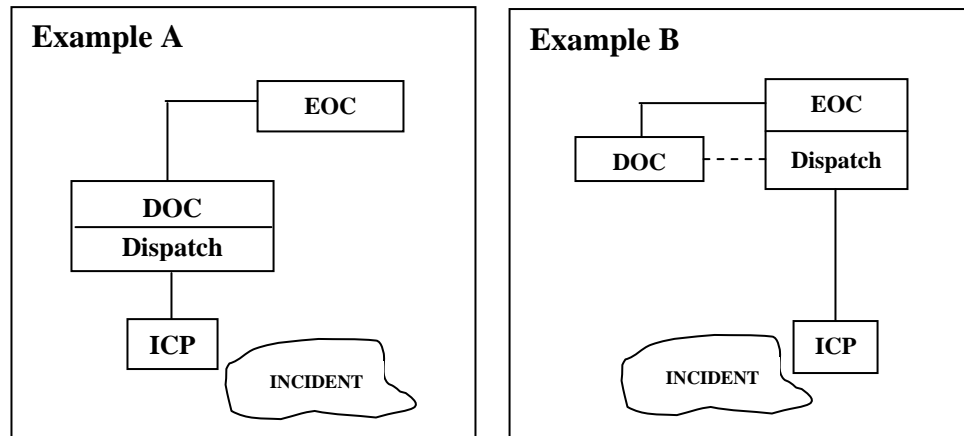
4. Example Linkages for Common Situations

a. Single Jurisdiction-Single Discipline Incident Situation

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

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

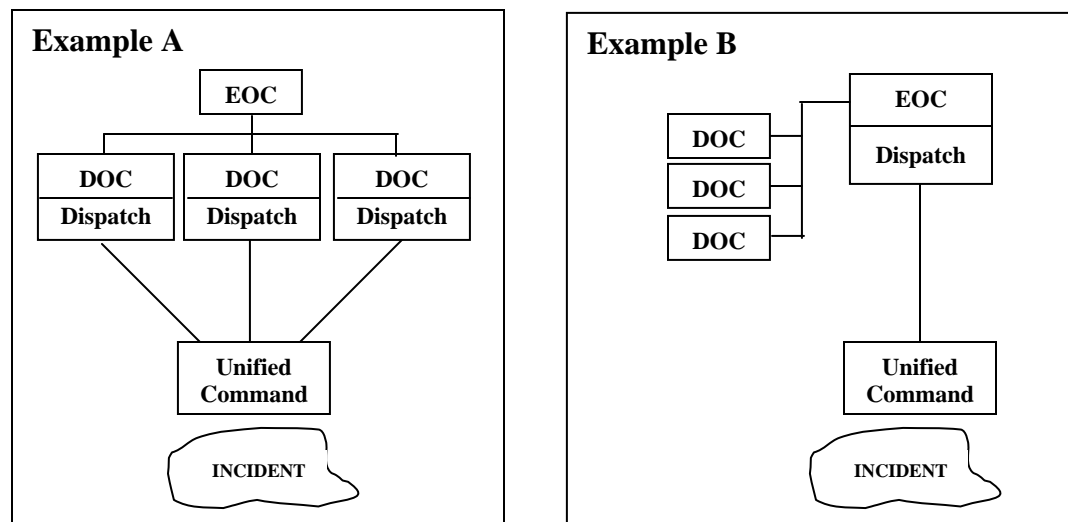
Local policies, communications systems, and the nature of the incident will determine the appropriate reporting channels. Where there are departmental dispatch centers, the Incident Commander will most likely report to a DOC. Where there are central dispatch centers collocated with the EOC facility, the Incident Commander may directly report to the EOC. Figure 2-7 shows two reporting examples.



(Figure 2-7)

b. Single Jurisdiction-Unified Command Situation

Unified Command may be established for a major multi-disciplinary incident within a jurisdiction. The members of the Unified Command may report to their respective DOCs through dispatch centers. When the local government EOC is activated, the members of the Unified Command may continue reporting to their respective DOCs or may coordinate directly with the EOC depending on jurisdiction policy and communications systems. For direct field - EOC coordination, the members of the Unified Command and their department contacts at the EOC may designate a single primary line of communications. Figure 2-8 shows reporting examples when using Unified Command.

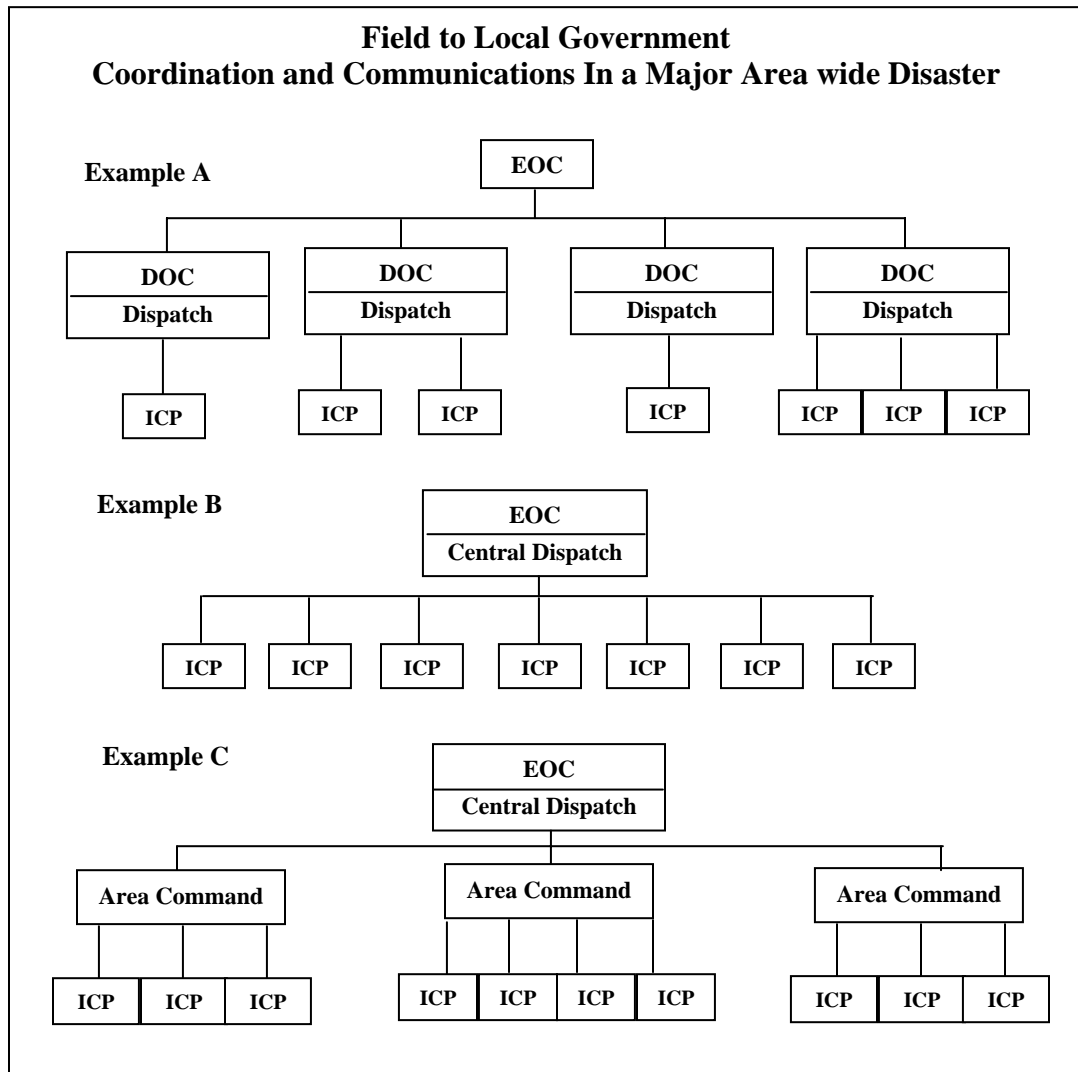


(Figure 2-8)

c. Single Jurisdiction-Major Disaster Situation

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

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



(Figure 2-9)

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

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

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

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

e. Multi-jurisdiction Coordination

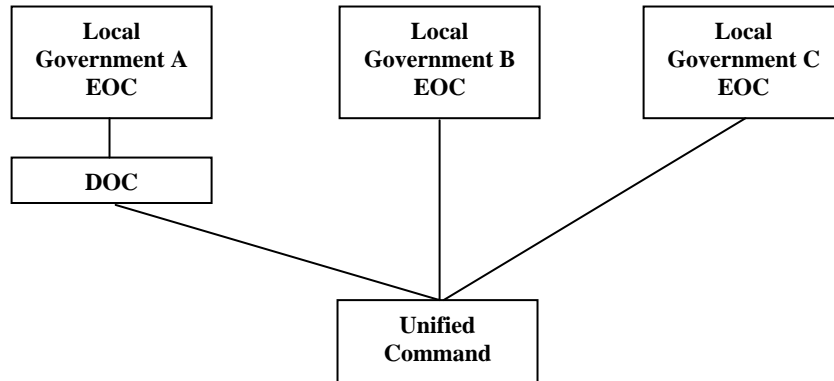
When an incident crosses multiple jurisdictions, coordination needs to be established with all the affected jurisdictions. In a Unified Command, the jurisdictional representatives would coordinate with their jurisdictions, either through a DOC or the EOC as shown in Figure 2-10.

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



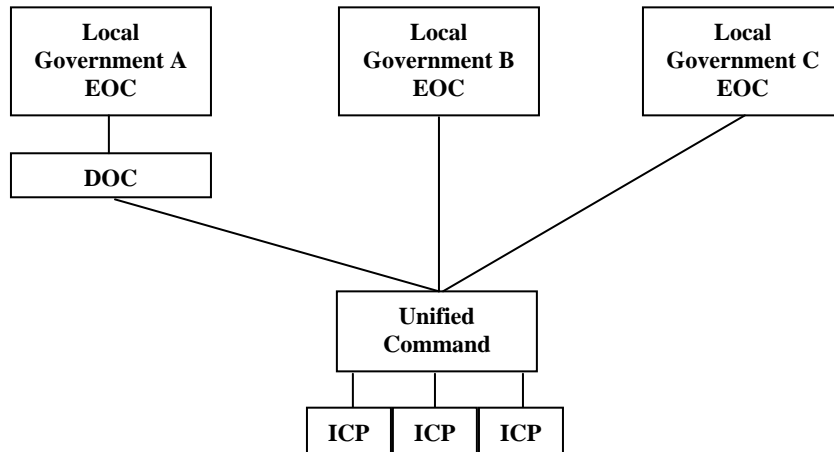
## Multi-Jurisdictional Incident Coordination – Example 1

### Multi-jurisdiction Incident with Unified Command



## Example 2

### Multiple Incidents with Unified Area Command



(Figure 2-10)

## 5. Functional Interactions

### a. Field-DOC Interactions

Interactions between the incident and the DOC will generally occur on a function to function basis. The Incident Commander will report to the individual having DOC management responsibility. Other incident functions may coordinate with their counterpart element in the DOC. Planning/Intelligence at the Field may exchange information with the DOC Planning/Intelligence function. Resource requests from the field to the DOC should be made through the DOC Operations Section. When there are multiple incidents, the DOC operations will prioritize resource requests and will coordinate with the DOC Logistics Section.

It should be noted that in some DOCs, all of the SEMS functions may be performed by only one or a few individuals. This may be sufficient to support small incidents. For larger incidents, the DOC staffing may need to expand. If the department cannot provide additional personnel to expand the DOC organization sufficiently, it should shift responsibility and staff to the EOC.

b. DOC-EOC Interactions

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

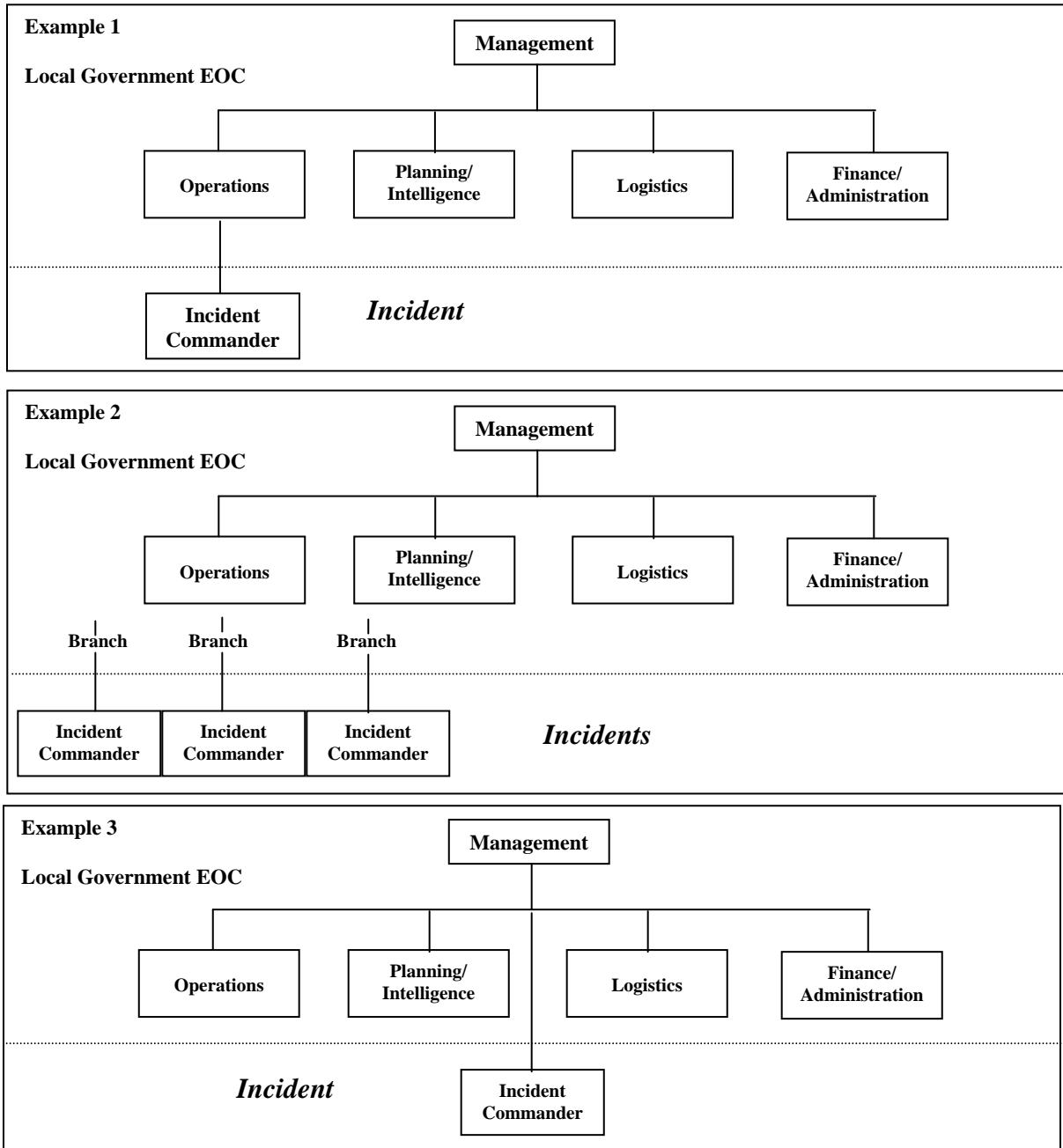
c. Field-EOC Interactions

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

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

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

## Incident Commander – Local Government EOC Primary Interactions



(Figure 2-11)

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

In some jurisdictions, local policies may provide for direct Incident Commander to EOC Management interaction. This may occur when there is a single large incident that has a major impact on the community. Direct Incident Commander to EOC

Management interaction would not be advisable in major disasters where there are multiple incidents as this could easily exceed the span of control of EOC Management.

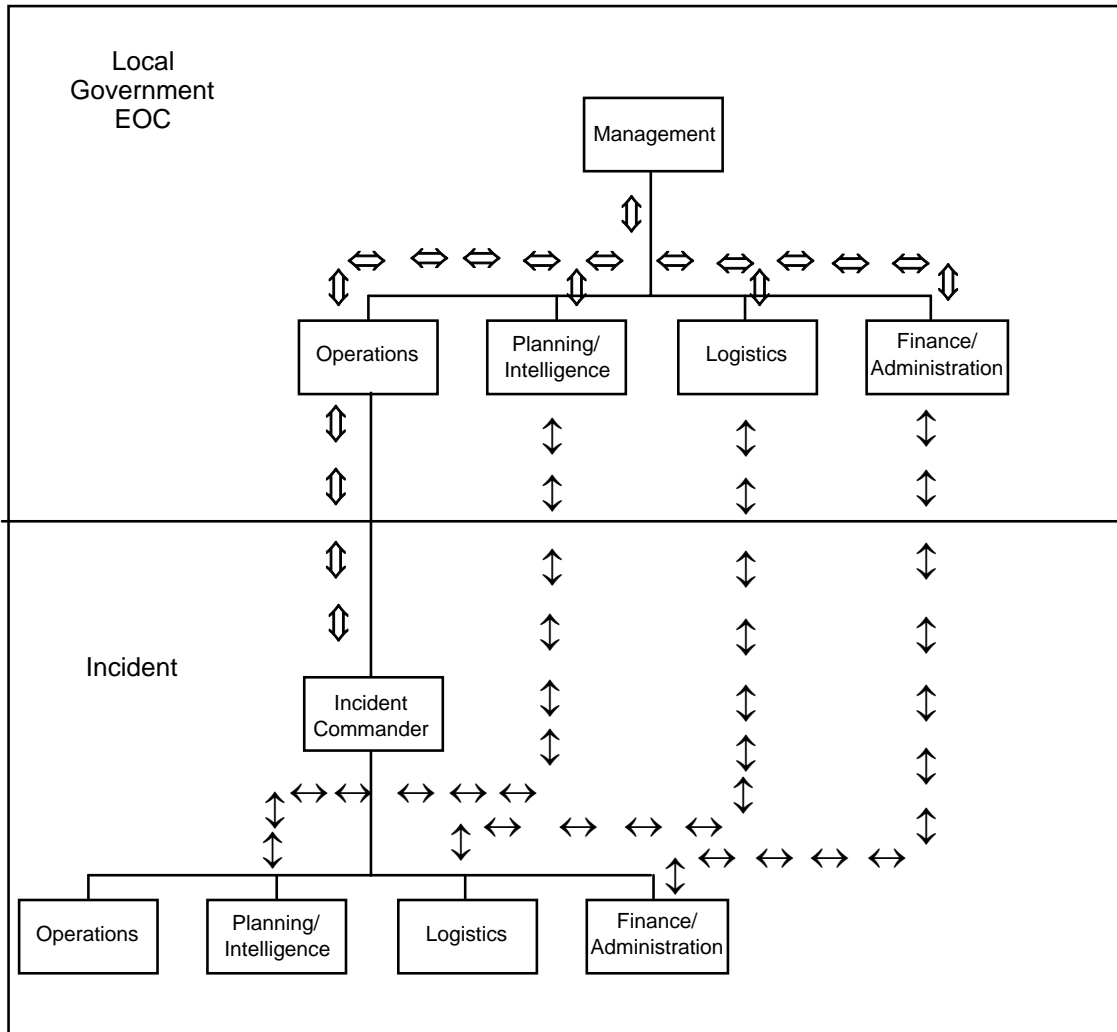
In most cases where there is direct coordination and communications from the field to the EOC, the primary flow of coordination and information will be between the Incident Commander and the EOC Operations Section, either to the Section Coordinator or to a branch.

The EOC Operations Section will be responsible for interacting with EOC Management and other functions as illustrated in Figure 2-12.

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

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

## Incident Command System-Local Government EOC Functional Interactions



- ↔ ↔ Primary Field - EOC Coordination and Information Flow
- ↔ ↔ Lines of secondary communications and coordination
- Lines of Management Authority

(Figure 2-12)

## **SECTION 2: OPERATIONAL AREA EOCs**

### **I. Introduction**

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

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

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

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

### **II. Operational Area EOCs**

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

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

While it is feasible that the county local government and operational area missions could be separated and run from different EOCs, in reality, they are usually co-located in one EOC. It is generally not cost effective to attempt to operate two separate facilities.

#### **A. SEMS Requirements for Operational Areas**

The SEMS regulation specifies three requirements for each county government:

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

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

#### B. Activation of the Operational Area

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

1. A local government within the operational area has activated its EOC and requested activation of the operational area EOC to support their emergency operations.
2. Two or more cities within the operational area have declared or proclaimed a local emergency.
3. The county and one or more cities have declared or proclaimed a local emergency.
4. A city and/or county has requested a governor's proclamation of a state of emergency.
5. A state of emergency is proclaimed by the governor for the county or two or more cities within the operational area.
6. The operational area is requesting resources from outside its boundaries. This does not include resources used in normal day-to-day operations that are obtained through existing mutual aid agreements.
7. The operational area has received resource requests from outside its boundaries. This does not include resources used in normal day-to-day operations which are obtained through existing mutual aid agreements.

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

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

<b>Example Operational Government EOC Activation Guide</b>		
<b>Event/Situation<sup>1</sup></b>	<b>Activation Level</b>	<b>Minimum Staffing<sup>2</sup></b>
Severe Weather Advisory Small incidents involving 2 or more county departments Earthquake Advisory Flood Watch Activation requested by a local government with activated EOC Resource request received from outside the operational area <sup>3</sup>	One	EOC Director Planning/Intelligence Section Coordinator Logistics Coordinator Representatives of responding departments
Moderate Earthquake Major wildfire affecting developed area Major wind or rain storm Two or more large incidents involving 2 or more departments Imminent Earthquake Alert Local emergency declared or proclaimed by: Two or more cities The county and one or more cities A city or the county requests a governor's proclamation of a state of emergency A state of emergency is proclaimed by the governor for the county or two or more cities Resources are requested from outside the operational area <sup>3</sup>	Two	EOC Director All Section Coordinators Branches and Units as appropriate to situation Agency Representatives as appropriate
Major county wide or regional emergency, Multiple departments with heavy resource involvement Major Earthquake	Three	All EOC Positions
<sup>1</sup> Local governments and the operational area should work together to develop consistent activation criteria and levels for hazards that are common within the operational area. <sup>2</sup> Minimum staffing may vary with the size of the operational area. <sup>3</sup> Does not include resources used in normal day-to-day operations obtained through existing mutual aid agreements.		

(Figure 2-13)



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

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

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

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

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

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

### D. EOC Facilities

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

The operational area EOC facility should be capable of serving as the central point for:

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

## E. Operational Area Emergency Management Organization

### 1. Functional Organization

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

<b><u>Primary SEMS Function</u></b>	<b><u>Role at the Operational Area Level</u></b>
Management	<p>Responsible for overall emergency policy and coordination through the joint efforts of governmental agencies and private organizations.</p> <p>Management staff may include separate positions for an EOC Coordinator, Public Information, Liaison, Safety and Security as required.</p>
Operations	Responsible for coordinating support to local government's emergency response, coordinating inter-jurisdictional responses, and coordinating county-wide activities through implementation of the operational area action plan.
Planning/Intelligence	Responsible for collecting, evaluating, and disseminating information; developing the operational area action plan in coordination with other functions; and maintaining documentation.
Logistics	Responsible for providing facilities, services, personnel, equipment, and materials to support the emergency response.
Finance/Administration	Responsible for financial and other administrative activities.

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

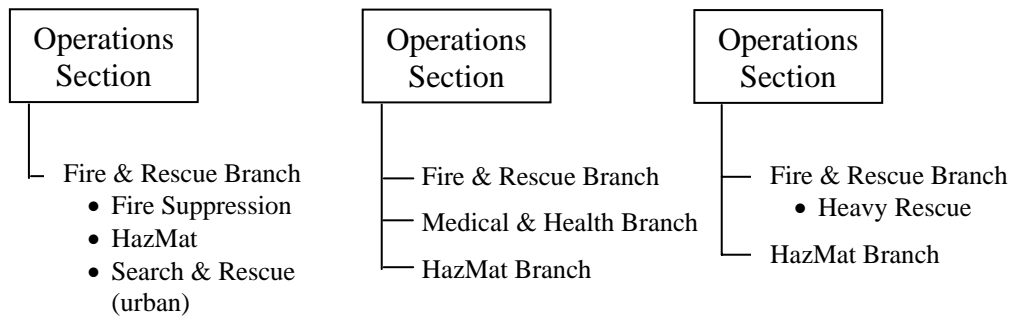
The organizational structure for the operational area EOC should provide for:

- Representatives from local governments within the operational area.
- An OES Field Representative sent by REOC.
- Operational Area Mutual Aid Coordinators or their representatives from discipline-specific mutual aid systems.

- Coordinators for other major functions needed for mutual aid and inter-jurisdictional coordination.
- Other functions as needed to carry out the local government responsibilities of the lead agency (in a combined operational area and county or other lead agency EOC).

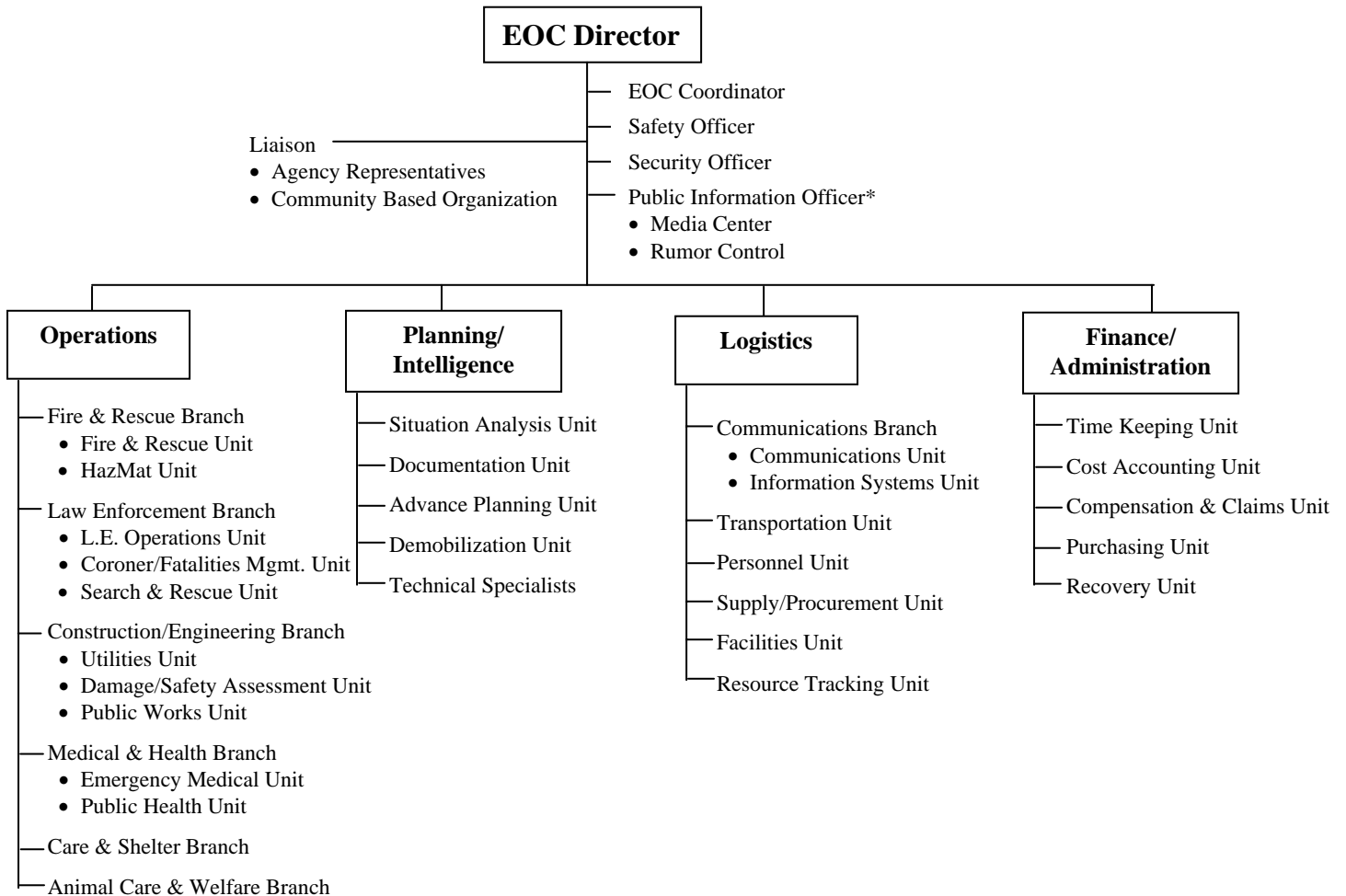
Other functions may be clustered in various ways under the five SEMS functions as illustrated in Figure 2-14. It is important that the responsibility for major functions be clearly identified to facilitate coordination with the local government and regional levels. Figure 2-15 provides an example of an operational area EOC organization.

**Example**  
**Alternative Ways to Incorporate Functions**  
**Into the Operational Area EOC Organization**



*(Figure 2-14)*

## Example Operational Area EOC Functional Organization



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

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

(Figure 2-15)

## 2. EOC Terminology

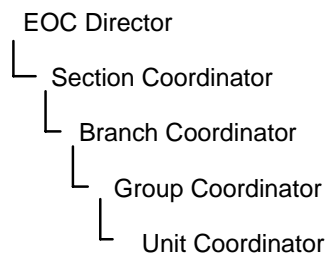
Use of Incident Command System terminology is recommended, but not required, for the hierarchy of functional elements within the EOC:

- Section
- Branch
- Group
- Unit

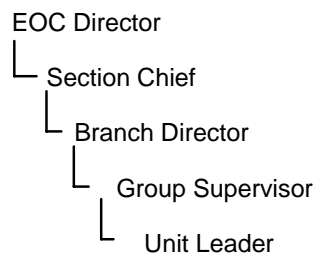
The five required SEMS functions would normally be established as sections within the EOC using the above terminology. Other functions would be included as branches, groups, or units under the primary functions as appropriate. It is not necessary to use all four hierarchical levels in the EOC. For example,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

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

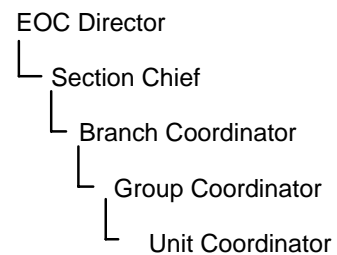
### A. Coordinators



### B. ICS Position Titles



### C. Combined Terminology



(Figure 2-16)

## 3. EOC General Staff

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

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

### III. Relationship of Operational Area Mutual Aid Coordinators

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

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

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

### IV. Resource Management at the Operational Area Level

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

- Discipline-specific mutual aid systems: requests for resources that are normally within the inventories of the mutual aid system will go from local coordinator to Operational Area Mutual Aid Coordinator to Regional Mutual Aid Coordinator.
- All other resource requests will be made through appropriate branches in the Operations Section who will then initiate the resource request through the Logistics Section at each level with emphasis on the need for lateral coordination with other EOC functions.

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

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

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

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

## V. Inter-agency Coordination at the Operational Area Level

Inter-agency coordination is important for:

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

### A. Inter-agency Coordination in the Operational Area EOC

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

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

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

### B. Establishing an Inter-agency Coordination Group

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

### C. Coordination with Community Based Organizations

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

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

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

## VI. Response Information Management System (RIMS)

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

## VII. Operational Area and Local Governments Linkages

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

### A. Linkages with Cities and County Governments

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

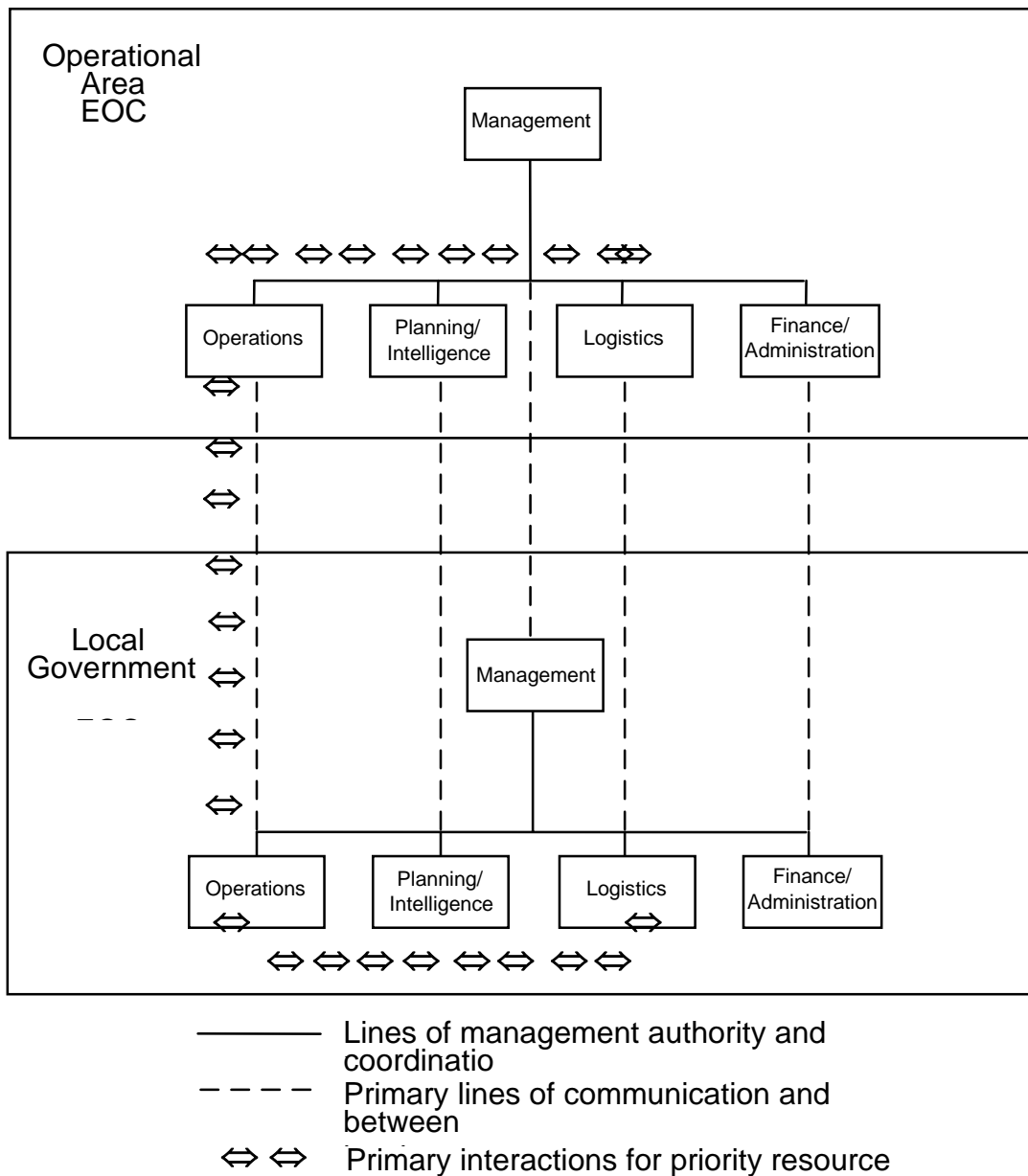
Direct communications and coordination should be established between any activated city EOC and the operational area EOC when activated. Direct communications and coordination also should be established between the county government EOC and the operational area EOC if they are physically separate. Communications and coordination should occur along functional lines as illustrated in Figure 2-17.

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

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



## Local Government EOC - Operational Area EOC Primary Interactions



(Figure 2-17)

### B. Special District Links to the Operational Area

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

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

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

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

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

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

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

## **SECTION 3: REGION EOCs**

### **I. Introduction**

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

### **II. Region**

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

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

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

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

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

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

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

Note that some state agencies may also have some form of "region" administrative and/or operational headquarters. Caltrans, California Highway Patrol, California Department of Forestry and Fire Protection are examples. They may operate regions, districts, divisions, and the boundaries may not coincide with each other or those of state mutual aid regions.

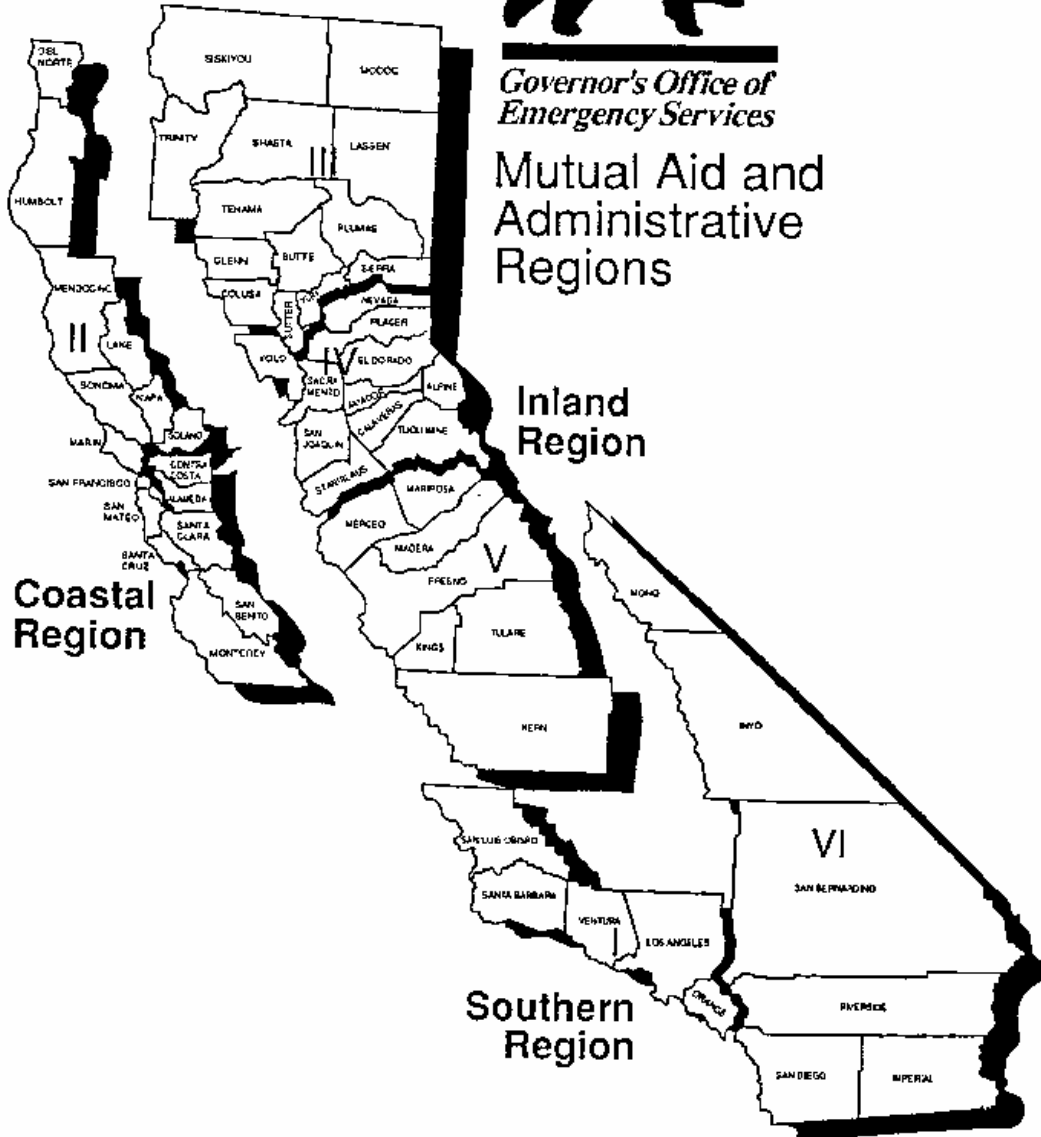
All state agencies involved in emergency response activities at the "region" level should provide for the five primary SEMs functions within their DOCs at "regions" as well as at State levels.

**O E S**  
CALIFORNIA



*Governor's Office of  
Emergency Services*

## Mutual Aid and Administrative Regions



## A. Region EOCs (REOC)

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

### 1. SEMS Requirements for the Regional Level

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

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

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

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

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

## B. Activating the Region EOC (REOC)

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

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

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

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

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

Three levels of activation are recommended.

#### Level One – Minimum Activation

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

#### Level Two – Mid Level Activation

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

#### Level Three – Full Activation

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

### C. Responsibilities and Roles of OES REOCs

#### 1. Responsibilities

- Ensure that an overall coordinating and information management system is in place for providing state support to local governments during an emergency. During emergencies, this is done by working through operational areas.
- Function as an organizational structure and the necessary communications to coordinate, and to provide information transfer between regional mutual aid systems which function in other state and non-state agencies and facilities.
- Facilitate communications and coordination between affected operational areas within the region.

- Provide the communications and coordination link between operational areas and the state level of SEMS.
- Ensure and encourage consistency of operations between state agencies and local governments through the utilization of SEMS.

## 2. Operational Role

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

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

## 3. Purchasing Authority, Procurement Policy and Mission Numbers

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

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

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

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

#### D. REOC Organization

##### 1. Functional Organization

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

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

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

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

##### 2. REOC General Staff

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

- Overseeing the internal functioning of their section, and;



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

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

Primary functional responsibility is as follows:

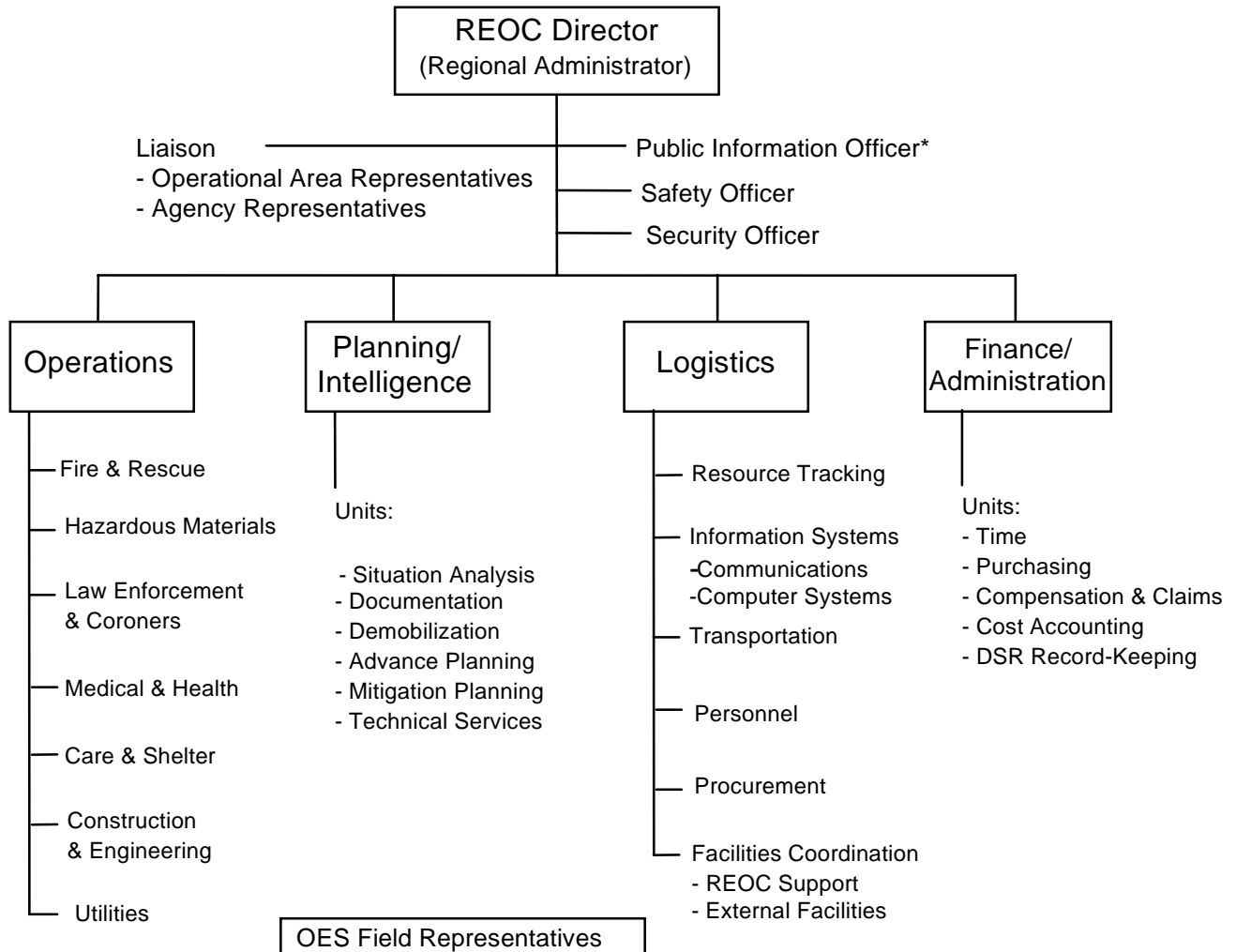
- REOC Director (Management) - Implements policy of the OES Director and coordinates joint efforts of governmental agencies and public and private organizations functioning at the REOC.
- Public Information - Develops regional level public information releases, and coordinates public information and public affairs activities with the state EPI manager at the State Operations Center (SOC).
- Liaison - Provides coordination among agency representatives and ensures adequate support is provided to incoming operational area and other agency representatives. Liaison will also assist the REOC Director in coordinating the assignment of OES Field Representatives sent to operational areas and/or other locations as necessary.
- Safety - Ensures that the inside and outside working environment is free from hazards. Develops and distributes a Safety Plan outlining safety procedures and protocols. Coordinates with General Staff to ensure proper shift relief is planned thus minimizing employee fatigue and stress.
- Security - Ensures that the REOC facility is secure and that entry is restricted to authorized personnel. Coordinates with General Staff and Liaison to ensure that rosters and visitor lists are current. Responsible for issuance and retrieval of Visitor Passes as required.
- Operations Section - Coordinates in conjunction with the local agency response, the activities of various functional branches which may be activated at the REOC to support operational areas.
- Planning/Intelligence Section - Collects, evaluates, and disseminates information; develops the REOC action plan in coordination with the other functions, and maintains documentation.
- Logistics Section - Procures and provides facilities, services, personnel, equipment, and materials to meet the needs of operational area requests and to support REOC operations.

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

These are the primary functional elements to be established within the REOC. If Liaison and Public Information functions are not established, the responsibility for those functions stay with the REOC Director. A fully activated REOC organization is shown in Figure 2-18.

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

# REOC Organization



**OES Field Representatives**

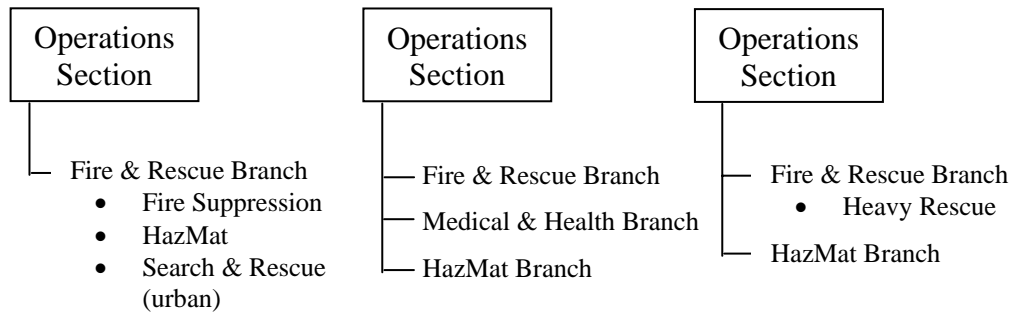
OES Field Representatives will be deployed to operational areas. They will report situation information to the REOC Planning Section and interact with other elements as needed to facilitate coordination and information exchange.

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

(Figure 2-18)

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

**Example**  
**Alternative Ways to Incorporate Functions**  
**Into the REOC Organization**



*(Figure 2-19)*

## 2. Organizational Span of Control

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

- Director
- Section
- Branch
- Group
- Unit

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

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

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

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

### 3. Information Transfer

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

- There is freedom within the organization to exchange information. Any person in any unit or organization may make contact with any other person to exchange information.
- Orders, directives, resource requests, and status changes must follow the REOC organization unless otherwise indicated in the REOC Action Plan.

### 4. REOC Staffing

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

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

### E. Inter-agency Coordination at the Regional Level

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

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

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

## F. Coordination and Communication with Regional Mutual Aid Coordinators

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

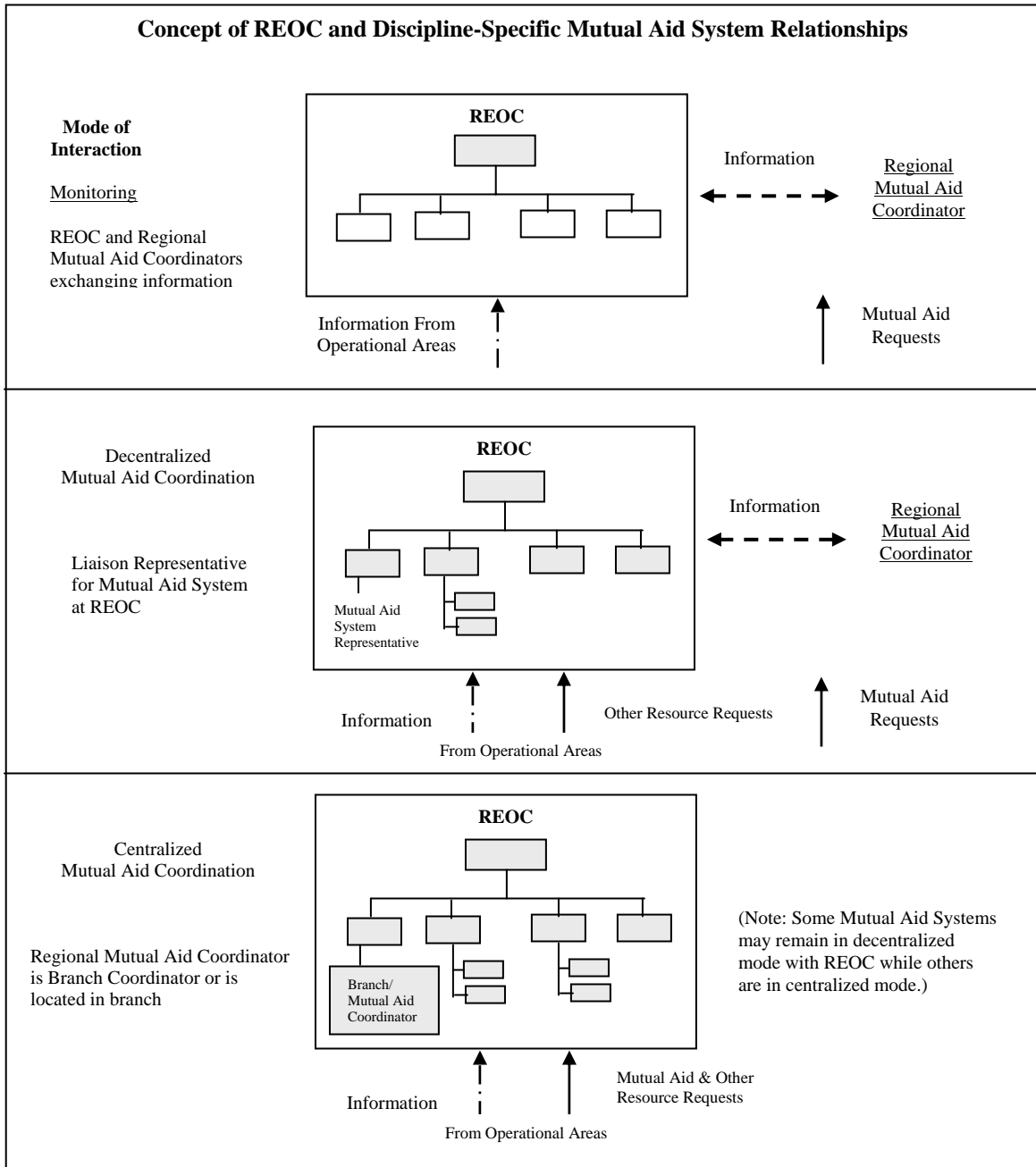
- REOC and other regional mutual aid coordinators exchange information as required but are not located together at the same Operations Facility.
- Mutual Aid Systems send liaison representatives to the REOC. This assures a closer working relationship.
- Mutual Aid liaison coordination is centralized at the REOC with functional branches established for some mutual aid coordination.

The modes of interaction between the REOC and mutual aid coordinators are shown in Figure 2-20.

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

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

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



(Figure 2-20)

## G. OES Regional EOC Relationship to the Federal Response Plan

The REOC is the primary point of contact within SEMS for operational areas to communicate information and to request resources from the State. The REOC must be immediately able to respond to operational area requests. In some instances, joint State-Federal interaction will be necessary. This interaction is best accomplished by the SOC and REOC working closely with Federal counterpart liaisons.

The following chart, Figure 2-21, provides a cross reference which associates SEMS REOC Functions with the corresponding Emergency Support Functions as defined in the Federal Response Plan.

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

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

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

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



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

(continued)

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

(Figure 2-21)

#### H. Coordination between Operational Area and Regional Levels

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

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

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

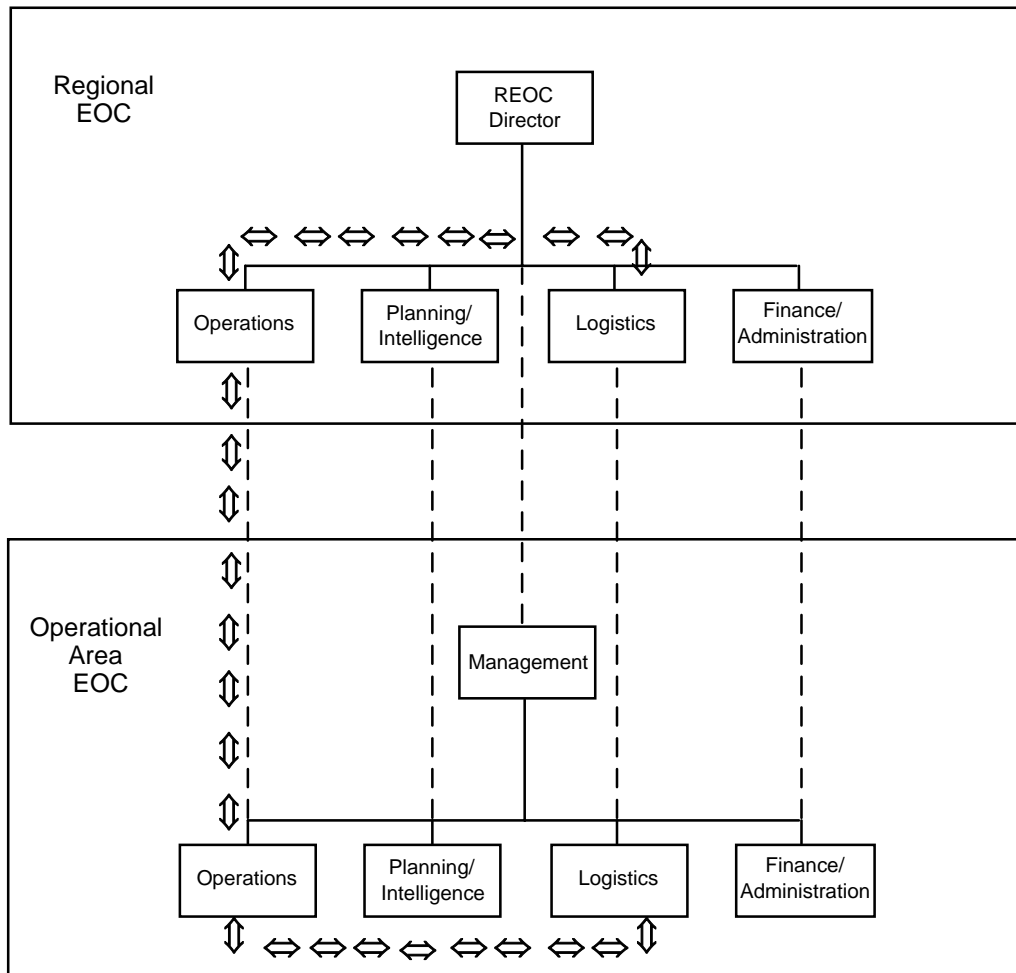
Coordination and communications between operational area and REOCs will occur as illustrated in Figure 2-22. Coordination and communications will occur between the five SEMS functions at the operational area level and their counterparts at the regional level. In addition coordination and communication may occur between organizational elements under a SEMS function and counterpart elements at the other level as illustrated in Figure 2-23. The OES Field Representative assigned to the Operational Area performs an information and

coordination role to ensure effective communication is taking place between functions. Field Representatives do not replace or perform roles assigned to functions.

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

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

## Operational Area EOC - Regional EOC Primary Interactions

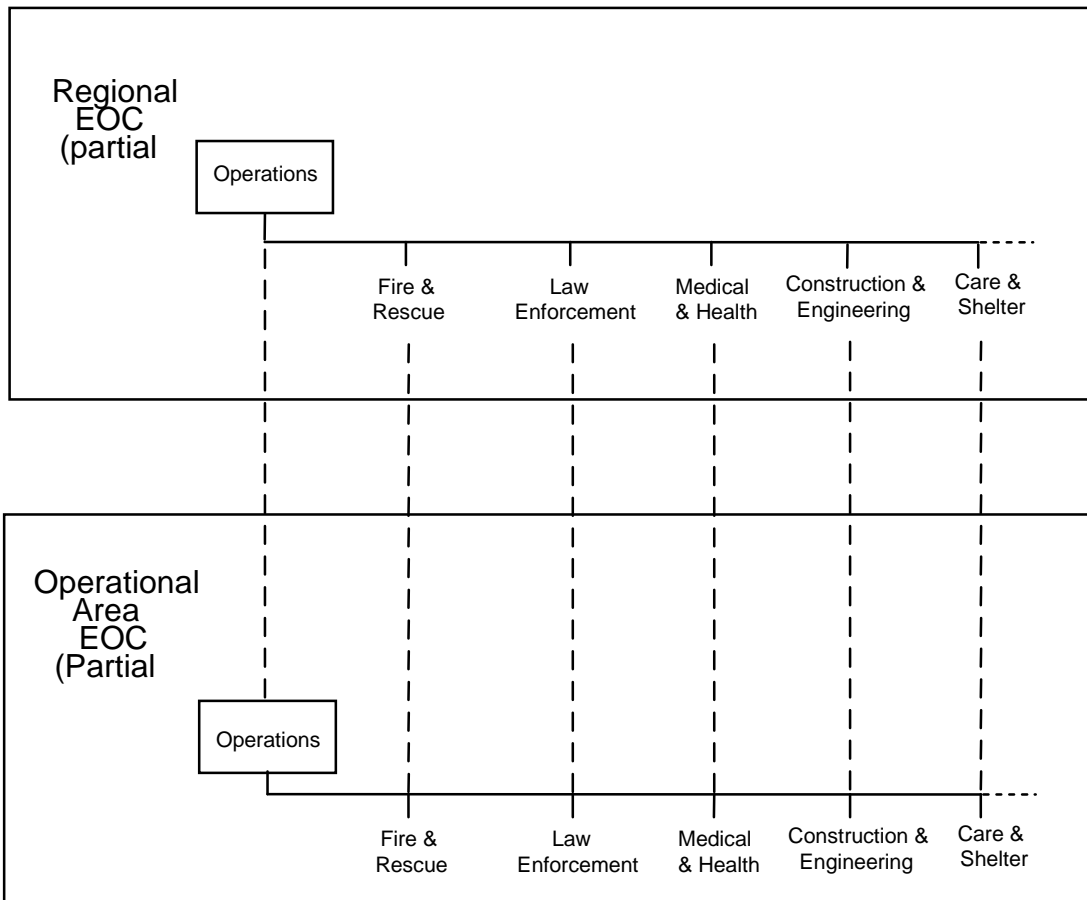


- Lines of management authority and internal coordination
- - - - Primary lines of communication and coordination between levels
- ↔ ↔ Primary interactions for priority resource allocation for resources coordinated through the operational area EOC and REOC. Coordination must also be established with Operational Area and Regional Mutual Aid Coordinators.

Agency Representatives also will facilitate communications and coordination as needed.

(Figure 2-22)

**Example**  
**Operational Area EOC- Regional EOC**  
**Functional Interactions within a SEMS Function**



----- Lines of communication and coordination

**Notes:**

Agency Representatives also will facilitate communications and coordination as needed.

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

*(Figure 2-23)*

## **SECTION 4: STATE EOCS**

### **I. Introduction**

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

### **II. SEMS Requirements for the State Level**

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

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

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

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

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

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

When the SOC is activated, communications and coordination shall be established with the REOC, state level department operations centers, and federal emergency response agencies. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.

### III. Role of the State Level in SEMS

#### A. General Role

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

#### B. State Operations Center and Department Operations Centers

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

#### C. General Concept of Operations

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

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

#### D. Major Responsibilities of the State Operations Center

1. Ensure that all State and Regional response elements of the State's Standardized Emergency Management System are activated as the emergency situation requires, function effectively, and are maintained at the level necessary for the response.
2. Support the Regions, state agencies, and other entities in establishing short-term recovery operations following disasters.

#### E. Primary Response Functions of the State Operations Center

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

2. Compile, authenticate, and make available summary disaster status information obtained from all sources, in the form of Situation Reports to the Governor's office, the legislature, state agency headquarters, media and others as appropriate.
3. Act as the state's initial response entity until the appropriate REOCs are activated and assume local management of their operational response functions. Maintain control and status of mission numbers and purchasing authority until these functions are delegated to the REOC in the affected area.
4. Provide on-going inter-agency coordination with the DOC headquarters of all state agencies involved in the response effort to ensure adequate statewide mobilization and allocation of state assets. This is typically accomplished through state Agency Representatives assigned to the SOC.
5. Provide necessary coordination with and between established statewide mutual aid systems at the state headquarters level.
6. Manage the state's Emergency Public Information program.
7. Provide and maintain state headquarters linkage and inter-agency coordination with the Federal Response System. This includes requesting appropriate assignments of federal ESFs at both the SOC and REOC to ensure maximum effectiveness.
8. Assist in the planning for short-term recovery, and assist State agencies, and REOCs in developing and coordinating recovery action plans.

#### IV. Activation of The State Operations Center

##### A. Requirement for Activation

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

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

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

##### B. Levels of Activation

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

- The nature, scope and expected duration of the emergency.



- The extent of activation at other SEMS levels.
- Functions needed to support REOCs and State Level activities.

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

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

Three levels of activation are recommended at the State SOC.

#### Level One - Minimum Activation

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

Level One Activation:

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

#### Level Two - Mid Level Activation

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

#### Level Three - Full Activation

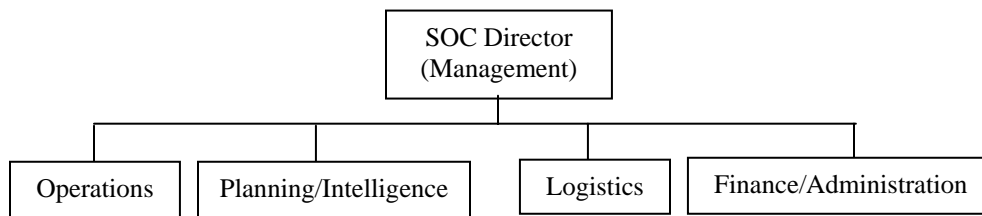
All functional elements are represented at full staffing. A Level Three activation would also include State and Federal declarations with appropriate Federal Emergency Support Function (ESF) representation at the REOC.

## V. Organization of the State Operations Center

### A. Functional organization

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

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



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

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

Primary functional responsibility is as follows:

- SOC Director (Management) - Implements the policy of the OES Director and appropriate government code. Coordinates the joint efforts of governmental agencies and public and private organizations functioning at the state level.
- Information and Public Affairs Branch - Manages the state's Emergency Public Information program, and coordinates public information and public affairs activities between involved agencies.
- Liaison Coordinator - Ensures that SOC coordination, and support is provided to incoming State, Federal and other agency representatives.
- Safety – Ensures that the working environment is free from workspace hazards. Develops and distributes a Safety Plan outlining safety procedures and protocols. Coordinates with General Staff to ensure proper shift relief is planned thus minimizing employee fatigue and stress.

- Security – Ensures that the SOC facility is secure and that entry is granted only for authorized personnel. Coordinates with General Staff and Liaison to ensure that shift rosters, VIP and other visitor lists are updated. Responsible for issuance and retrieval of Visitor Passes as required.
- Operations Section - Coordinates the activities of various functional branches which may be activated at the SOC, that have an operational response role to support REOCs. Coordinates the assignment and commitment of scarce resources.
- Planning/Intelligence Section - Collects, evaluates, and disseminates information; develops the state level Situation Report and Governor’s briefings, develops the SOC Action Plan in coordination with the other functions, and maintains documentation.
- Logistics Section - Procures and provides facilities, services, personnel, equipment, and materials to meet the needs of REOC requests to the SOC and to support SOC and REOC logistic activities.
- Finance/Administration Section - Administers SOC and State regional level purchasing authority, cost accounting and other financial activities and administrative tasks not assigned to other functions.

These are the primary functional elements to be established at the SOC. If the Liaison Coordinator function is not established, the responsibility for that function performance rests with the SOC Director. A fully activated SOC organization is shown in the Figure 2-24.

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

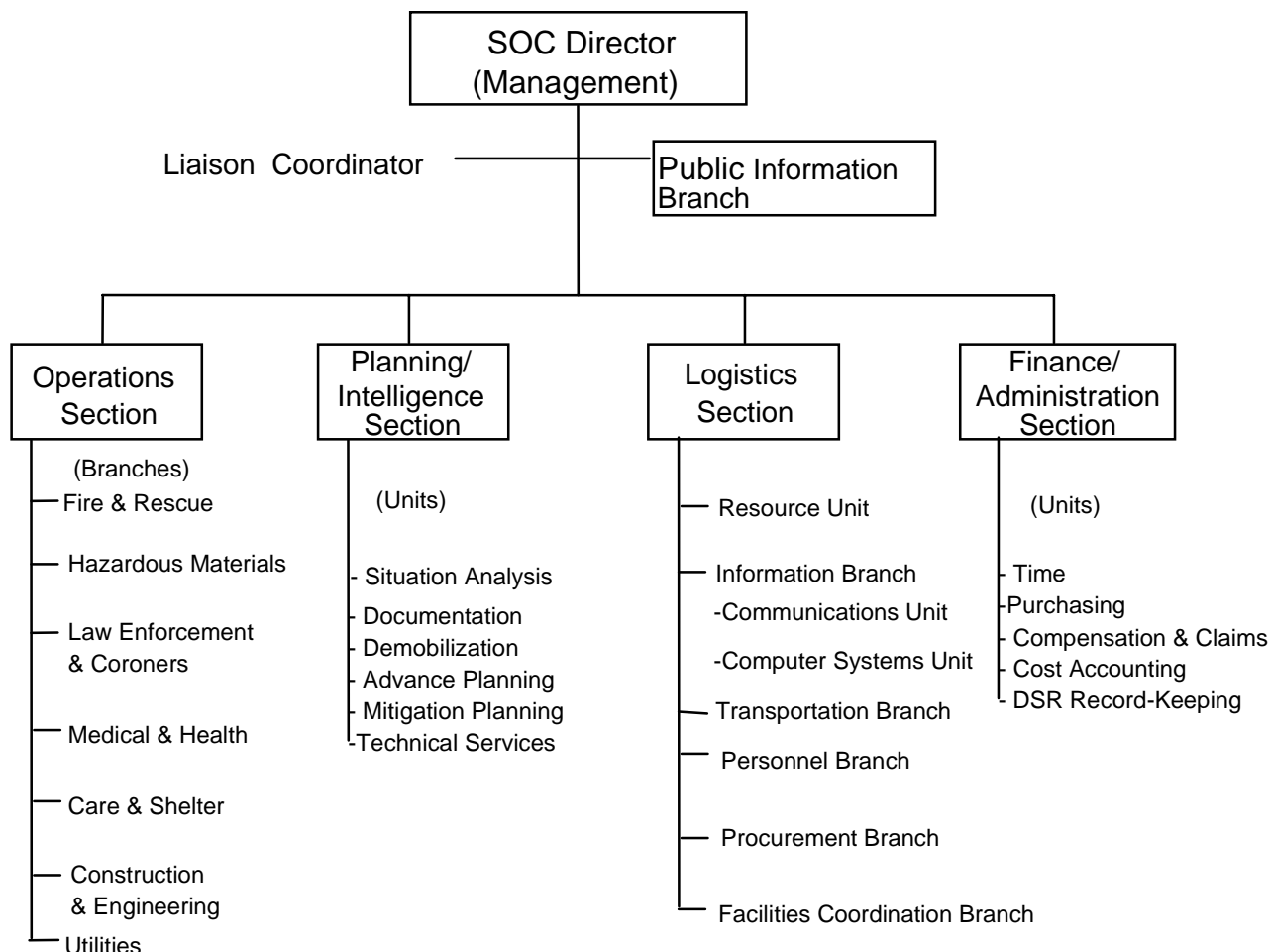
## B. Organizational Span of Control

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

- Director
- Section
- Branch
- Group
- Unit

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

## SOC Organization



*(Figure 2-24)*

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

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

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

## VI. State Operations Center Staffing

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

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

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

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

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

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

## VII. Coordination at the State Level

### A. Coordination between Region and State Levels

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

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

The State level will have an overall coordination role with REOCs in the event of simultaneous multi-regional disasters such as earthquakes, fires or floods. In this situation, the State SOC will provide inter-regional policy direction and coordination for emergencies

involving more than one REOC activation. The SOC will monitor and facilitate as necessary inter-regional communications and coordination issues.

The level of coordination required with the REOC will be determined by the type of emergency, the ability of the REOC to perform assigned functions, and the level of required interaction between the two state levels.

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

1. Prepare and release the State Situation Report. Information for this report will be obtained from regional situation reports, conference calls, reports from other state agencies, and information received from any other valid information sources as determined by OES. It will be the responsibility of the SOC to collect and authenticate material from all available sources, and to compile and release Situation Reports on a schedule to be established. Extensive coordination with functional elements within the REOC serving the affected area will be required as well as information received from activated but non-affected REOCs.
2. Develop state level public information announcements. In any major disaster which involves multiple state agencies, it is essential that there be coordination of the release of public information on the state response. Much of this information will be obtained from REOC Situation Reports, from coordination with REOC Information Sections, and from information and public affairs officers of assisting state agencies.
3. Coordinate the involvement of all activated mutual aid systems to ensure they are functioning effectively, sharing information, and to ensure there are no duplications of resource ordering taking place through the several mutual aid channels.
4. Ensure REOC SOC coordination takes place in the event that federal Emergency Support Functions are established at more than one REOC location or are required at both SOC and REOCs. Coordinate the State Federal interactions to ensure most effective application and use of federal response system.

#### B. Inter-agency Coordination

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

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

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

## VIII. Coordination with the Federal Emergency Response

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

The Regional EOC (REOC) will be the primary point of contact within SEMS for operational areas. The REOC must be able to immediately respond to operational area resource requests and information needs. In some cases, accomplishing this will require a joint state-federal interaction which can best be accomplished if state and federal counterpart organizations are working together at the same location.

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

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

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

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

## **CHAPTER THREE: SEMS FUNCTION SPECIFIC HANDBOOKS**

### **Chapter Description:**

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

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

They have been prepared for:

Management Section

Operations Section

Planning/Intelligence Section

Logistics Section

Finance/Administration Section