L0930 Integrated Emergency Management Course: Yolo Operational Area Finance & Admin Section

Student Manual

May 2017
Version 1.1

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FINANCE AND ADMIN TRACK TABLE OF CONTENTS

May 17, 2017

May 18, 2017

May 19, 2017

UNIT 1
ADMINSTRATIVE ANNOUCEMENTS, COURSE INTRODUCTIONS, AND COURSE OVERVIEW

May 17, 2017

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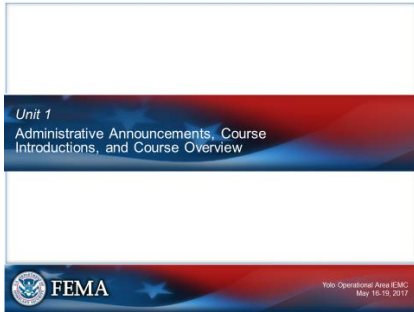
Visual 1.1

VISUAL 1.1 - UNIT 1:

ADMINISTRATIVE ANNOUNCEMENTS, COURSE INTRODUCTIONS, AND COURSE OVERVIEW

Visual 1.2

VISUAL 1.2 - WELCOME

Emergency Management Insitute (EMI) Course Staff

Class Manager	Exercise Director
Doug Kahn, PACEM	Doug Kahn, PACEM
Training Specialist	Training Specialist
Integrated Emergency	Integrated Emergency
Management Branch	Management Branch
301-447-7645	301-447-7645

IEM Branch Email: fema-emi-iemb@fema.dhs.gov

Branch Phone: 301-447-1381

Visual 1.3

VISUAL 1.3 WELCOME TO THE EMERGENCY MANAGEMENT INSTITUTE (EMI)

Integrated Emergency Management Concepts Course for the Yolo Operational Area

Visual 1.3 Photo Caption: Seals of Davis California, City of Woodland, County of Yolo, City of West Sacramento, Yolo County Housing, Yocha Dehe Wintun Nation, City of Winters California and County of Yolo Office of Emergency Services

Visual 1.4

VISUAL 1.4 - CLASS ROSTER

- On the table as you enter classroom

- Check your information for accuracy

  - Make changes as necessary (i.e., make sure your name is listed, spelled correctly, etc.)

- Do NOT enter personal addresses or personal e-mail addresses (except FEMA Reservists)

- Initial by your name to verify review

- If your name is not listed, add it, and initial next to your name

Visual 1.5

VISUAL 1.5 - COURSE ADMIN

- Attendance

  - If you get sick or have to leave for an emergency, contact the Class Manager

- Course Materials/Handouts

- Breaks/Lunch

Visual 1.6

VISUAL 1.6 – EMI COURSE EVALUATIONS

EMI has several levels of evaluation for our courses. Information gathered from the evaluations identifies areas for improvement (i.e., course materials, instructors, processes).

- EMI's Scantron evaluation form should be completed daily during class

  - Take time to provide written comments under Remarks Section

  - Rate both content and quality of instruction in Block 18 (1 lowest – 5 highest) and overall course in Block 19

- Follow-up evaluation survey will be mailed to students 90 days after course completion

  - Complete the questionnaire and return it ASAP (postage-paid return envelope provided)

Visual 1.7

VISUAL 1.7 - OUT OF COURTESY FOR OTHERS IN THE CLASSROOM, PLEASE:

- Turn off all electronic devices or place in silent mode.

- Do not text or send e-mails during class.

- Return calls and text messages ONLY during breaks.

- Refrain from sidebar conversations.

Visual 1.8

VISUAL 1.8 – LUNCH

During this IEMC offering, lunch will be predominately on your own with the exception of the date of the exercise.

Date	Option
May 16	On Your Own – Woodland
May 17	On Your Own – Woodland
May 18	Provided at Your Home EOC
May 19	On Your Own – Home Jurisdiction

Visual 1.8 Photo Alternative Text: *Photo of the EMI Dining Facility.*

Visual 1.9

VISUAL 1.9 – STUDENT/VISITOR PARKING

Please park in the OES Parking lot in front of 120 West Main Street.

Limited parking is available **in front of the OES building** with overflow parking available in the **bowling alley parking lot.**

Visual 1.9 Photo Alternative Text: Aerial image showing the primary parking lot (OES building) and the secondary parking lot (Bowling Alley).
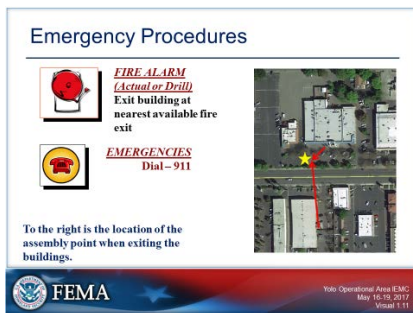
Visual 1.10

VISUAL 1.10 – EMERGENCY PROCEDURES

Fire Alarm (Actual or Drill): Exit building at available fire exit.
nearest

Emergencies – Dial 911

Below is a map with the location of the assembly point when exiting the buildings.

Visual 1.10 Image Alternative Text: Aerial image consisting of the two building locations used for training. The assembly area in case of emergency is located in the southwestern section of the OES Parking lot.

Visual 1.11

VISUAL 1.11 – WANT MORE INFORMATION ON EMI PROGRAMS?

- The Emergency Management Institute (EMI) encourages you to sign up for its e-mail subscription service.

- It allows you to subscribe to topics of interest and receive e-mails containing information pertinent to your profession.

- Visit the EMI Homepage (link available at the following URL: http://training.fema.gov/emi/) and look for the orange envelope.

Visual 1.12

VISUAL 1.12 – ACCESSING WI-FI

Yolo County Housing	Yolo County EOC
- **SSID:** YCH Public - **Password**: None	- **SSID:** Public - **Password:** provided by instructor (or check charts around classroom)

Visual 1.13

VISUAL 1.13 – STAY CONNECTED WITH THE FEMA APP

- Download the App: Google Play, App Store, or BlackBerry App World.

- You can also download the app via text messaging:
  - If you have an Apple device: Text APPLE to 43362 (4FEMA).
  - If you have an Android device: Text ANDROID to 43362 (4FEMA).

> ▪ If you have a Blackberry device: Text BLACKBERRY to 43362 (4FEMA).

Visual 1.13 Image Alternative Text: Photo of a cell phone showing the FEMA App. Cell phone screen displays – FEMA Logo – Weather Alerts, Prepare, Disaster Resources, Submit Disaster Photos, Contenido en Espanol, How to Help, Blog, Supporting Disaster, Communications from Space.

Text in photo: (Red lightning bolt) Receive alerts from the National Weather Service for up to five locations. (Green checkmark) Get safety reminders, read tips to survive natural disasters, and customize your emergency checklist. (Blue plus) Locate open shelters and where to talk to FEMA in person (or on the phone). (Camera icon) Upload and share your disaster photos to help first responders.
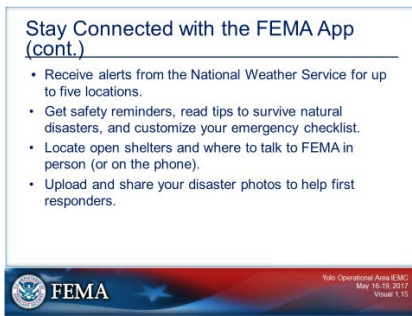
Visual 1.14

VISUAL 1.14 – STAY CONNECTED WITH THE FEMA APP (CONT.)

- Receive alerts from the National Weather Service for up to five locations.

- Get safety reminders, read tips to survive natural disasters, and customize your emergency checklist.

- Locate open shelters and where to talk to FEMA in person (or on the phone).

- Upload and share your disaster photos to help first responders.
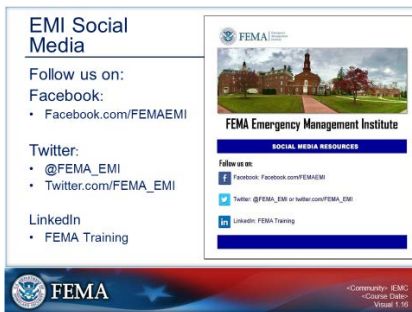
Visual 1.15

VISUAL 1.15 – EMI SOCIAL MEDIA

Follow us on:

Facebook:

- Facebook.com/FEMAEMI

Twitter:

- @FEMA_EMI

- Twitter.com/FEMA_EMI

LinkedIn:

- FEMA Training

Visual 1.15 Photo Alternative Text: *FEMA Emergency Management Institute Social Media Resources. Photo of FEMA Campus. Text in photo: Follow us on: Facebook: Facebook.com/FEMAEMI; Twitter: @FEMA_EMI or twitter.com/FEMA_EMI; LinkedIn: FEMA Training*
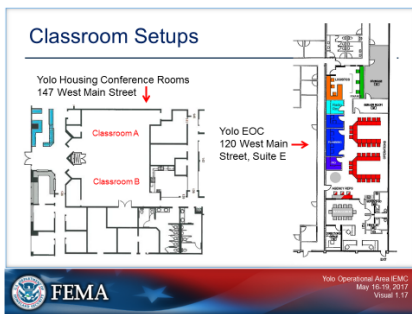
Visual 1.16

VISUAL 1.16 – CLASSROOM SETUPS

Yolo Housing Conference Rooms

147 West Main Street
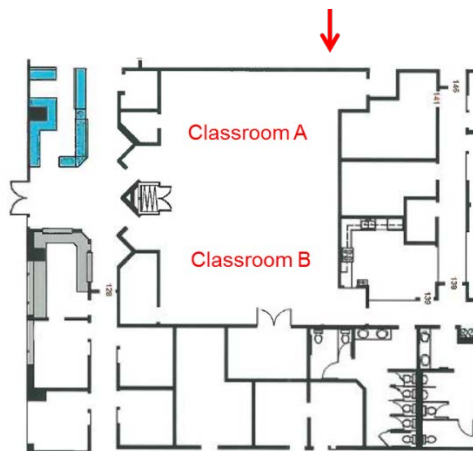
Yolo EOC
120 West Main Street, Suite E
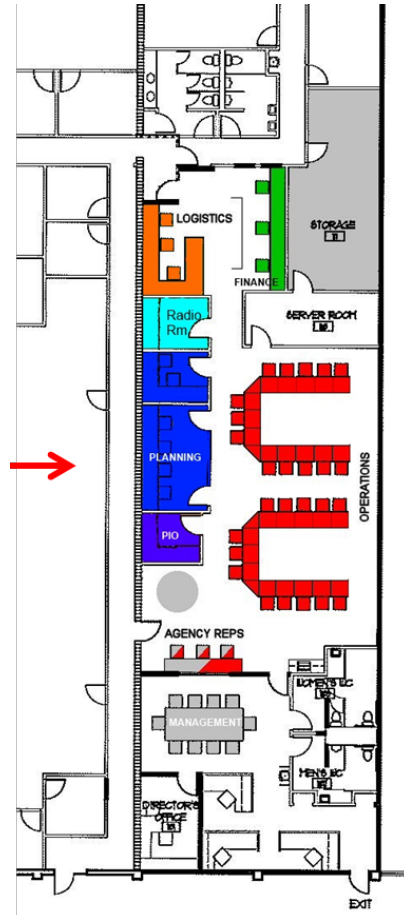
VISUAL 1.17 – COURSE GOAL

Develop a greater understanding of emergency management responsibilities as defined in the National Preparedness Goal. (*Second Edition dated September 2015)*

Visual 1.17

Course Objectives *Build upon the <u>awareness</u> and the <u>skills</u> needed to develop and implement disaster policies, plans and procedures to protect life and property using an <u>Integrated</u> or <u>Whole Community</u> approach.* FEMA Visual 1.18	**VISUAL 1.18 – COURSE OBJECTIVES** Build upon the <u>awareness</u> and the <u>skills</u> needed to develop and implement disaster policies, plans and procedures to protect life and property using an <u>Integrated</u> or <u>Whole Community</u> approach.

VISUAL 1.19 – WHOLE COMMUNITY

Whole Community
- Shared understanding of community needs and capabilities
- Greater empowerment and integration of resources from across the community
- Stronger social infrastructure
- Greater resiliency at the community and national levels

FEMA

Visual 1.19

- Shared understanding of community needs and capabilities

- Greater empowerment and integration of resources from across the community

- Stronger social infrastructure

- Greater resiliency at the community and national levels

VISUAL 1.20 – WHOLE COMMUNITY (CONT.)

Whole Community (cont.)
- Establishment of relationships that facilitates more effective prevention, protection, mitigation, response, and recovery activities
- Increased individual and collective preparedness

FEMA

Visual 1.20

- Establishment of relationships that facilitates more effective prevention, protection, mitigation, response, and recovery activities

- Increased individual and collective preparedness

- Locate open shelters and where to talk to FEMA in person (or on the phone).

VISUAL 1.21- WHOLE COMMUNITY AND IEMCS

Whole Community and IEMCs
- Classroom presentations
- Hands-on learning experience
- Exercise configurations
- Feedback

FEMA

Visual 1.21

- Classroom presentations

- Hands-on learning experience

- Exercise configurations

- Feedback
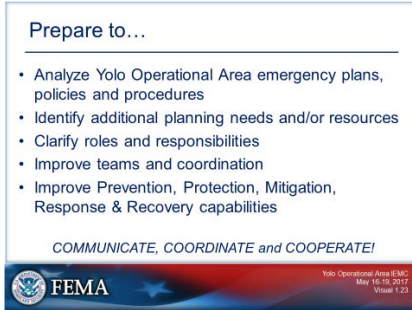
Visual 1.22

VISUAL 1.22 – PREPARE TO…

- Analyze Yolo Operational Area emergency plans, policies and procedures

- Identify additional planning needs and/or resources

- Clarify roles and responsibilities

- Improve teams and coordination

- Improve Prevention, Protection, Mitigation, Response & Recovery capabilities

COMMUNICATE, COORDINATE and COOPERATE!

Visual 1.23

VISUAL 1.23 – COURSE SCHEDULE

May 16, 2017	PIO, Logistics, & Planning Training Tracks
May 17, 2017	Policy, Operations & Finance Training Tracks
May 18, 2017	Exercise
May 19, 2017	Exercise Hotwash & Final Instruction
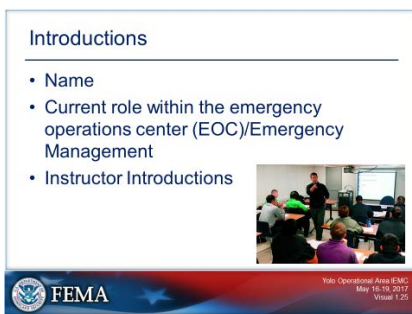
Visual 1.24

VISUAL 1.24 – INTRODUCTIONS

- Name

- Current role within the Emergency Operations Center (EOC)/Emergency Management

- Instructor Introductions

Visual 1.24 Image Description: *An instructor pointing in a classroom to the class.*

Visual 1.25

VISUAL 1.25 - QUESTIONS, COMMENTS, OR CONCERNS?

UNIT 2
FINANCE & ADMINISTRATION

May 17, 2017

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Visual 2.1

VISUAL 2.1 - UNIT 2

FINANCE & ADMINISTRATION
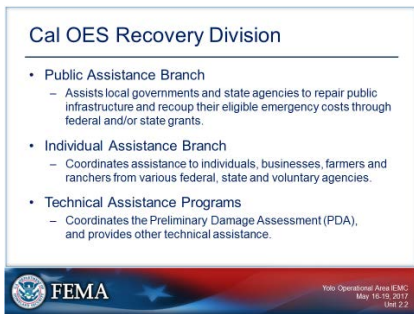
Visual 2.2

VISUAL 2.2 – CAL OES RECOVERY DIVISION

- Public Assistance Branch

  - Assists local governments and state agencies to repair public infrastructure and recoup their eligible emergency costs through federal and/or state grants.

- Individual Assistance Branch

  - Coordinates assistance to individuals, businesses, farmers and ranchers from various federal, state and voluntary agencies.

- Technical Assistance Programs

  - Coordinates the Preliminary Damage Assessment (PDA),
    and provides other technical assistance.

Student Notes:

Applicant (Subgrantee) Role

• State agency or local government, Indian Tribe or Alaskan native village, private nonprofit organization, or other legal entity to which Public Assistance funds are awarded.
• Attends the Applicants' Briefing to learn about the Public Assistance Program.
• Responsible for providing documentation and personnel to work with OES in the damage assessment and project application processes.
• Responsible for completing its recovery actions.
• Accountable to the OES for the use of the funds provided by FEMA

Visual 2.3

VISUAL 2.3 – APPLICANT (SUBGRANTEE) ROLE

• State agency or local government, Indian Tribe or Alaskan native village, private nonprofit organization, or other legal entity to which Public Assistance funds are awarded.

• Attends the Applicants' Briefing to learn about the Public Assistance Program.

• Responsible for providing documentation and personnel to work with OES in the damage assessment and project application processes.

• Responsible for completing its recovery actions.

• Accountable to the OES for the use of the funds provided by FEMA

Student Notes:

Force Account Documentation

• Who
• What
• When
• Where
• How long
• At what rate
(including fringe benefits)

Visual 2.4

VISUAL 2.4 – FORCE ACCOUNT DOCUMENTATION

• Who

• What

• When

• Where

• How long

• At what rate (including fringe benefits)

Visual 2.4 Photo Caption - Question mark in the center of a bubble diagram with What, Why, Where, Who, How, and When

Student Notes:

Force Account Labor

- Work performed by applicant's employees, including temporary or paid volunteer employees
- Salaries and wages, including:
  – Actual pay
  – Shift differentials
  – Incentive pay
  – Fringe benefits

FEMA

Visual 2.5

VISUAL 2.5 – FORCE ACCOUNT LABOR

- Work performed by applicant's employees, including temporary or paid volunteer employees

- Salaries and wages, including:

- Actual pay

- Shift differentials

- Incentive pay

- Fringe benefits

Categories A and B: only overtime is eligible with the exception of temporary labor

Categories C through G: regular time, overtime and temporary labor are eligible

Visual 2.5 Photo Caption – *Photo of construction workers.*

Student Notes:

Force Account Equipment

- Costs of applicant owned equipment
- Regular and overtime are eligible, standby time is not eligible
- Rate types used (State or Local) include:
  – Cost of operation
  – Insurance and depreciation
  – Maintenance and fuel

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              Unit 2.6
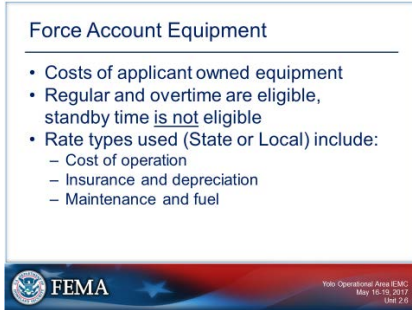
Visual 2.6

VISUAL 2.6 – FORCE ACCOUNT EQUIPMENT

- Costs of applicant-owned equipment

- Regular and overtime are eligible,
  standby time <u>is not</u> eligible

- Rate types used (State or Local) include:

  ▪ Cost of operation

  ▪ Insurance and depreciation

  ▪ Maintenance and fuel

Title 19 Section 2910(d)

Cost of operation: Operator costs covered under FA labor

Where local rate has been developed, reimbursement is based on the local rate or Caltrans rate if no local rate has been developed

Student Notes:

Force Account Materials

Costs of supplies:
- Purchased
- Take from stock
- Used during the performance of eligible work

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              May 16-19, 2017
              Unit 2.7
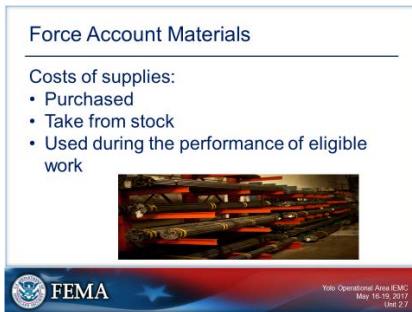
Visual 2.7

VISUAL 2.7 – FORCE ACCOUNT MATERIALS

Costs of supplies:

- Purchased

- Take from stock

- Used during the performance of eligible work

Title 19 Section 2900(x) and 2900(bb)

Visual 2.7 Photo Caption: *Photo of stacked construction materials*

Student Notes:

Rental Equipment

Applicant must identify:
• What was done
• When
• Where
• How long
• What kind of equipment was used
• Chargers per project

Visual 2.8

VISUAL 2.8 – RENTAL EQUIPMENT

Applicant must identify:

• What was done

• When

• Where

• How long

• What kind of equipment was used

• Chargers per project

Visual 2.23 Photo Caption – Responders from different agencies.

Student Notes:

Contracts

• Reasonable and competitively bid
• Prevailing wage
• Comply with current procurement standards
• Not contingent on State funding
• Time and Materials Contracts should be avoided
• Payment bond required when expenditures exceed $25,000

Visual 2.9

VISUAL 2.9 – CONTRACTS

• Reasonable and competitively bid

• Prevailing wage

• Comply with current procurement standards

• Not contingent on State funding

• Time and Materials Contracts should be avoided

- Payment bond required when expenditures exceed $25,000

Title 19 Section 2915
Prevailing wage: Section 1782 Labor Code   SB 7, Chapter 794

Contracts must be of reasonable cost, competitively bid, and must comply with State and local procurement standards. Typically, four methods of procurement acceptable:

Small purchase procedures: an informal method for securing services or supplies that do not cost more than $100,000 by obtaining several price quotes from different sources.

Sealed bids: a formal method where bids are publicly advertised and solicited, and the contract is awarded to the bidder whose proposal is the lowest in price (this method is the preferred method for procuring construction).

Competitive proposals: a method similar to sealed bid procurement in which contracts are awarded on the basis of contractor qualifications instead of on price (this method is used for procuring architectural or engineering professional services)

Noncompetitive proposals: a method whereby a proposal is received from only one source because the competition is inadequate to seek additional sources or the public urgency for the work will not permit the delay that would result from using one of the other three methods.

In general, the following three types of contracts can be reimbursed:

- Lump sum: contract for work within a prescribed boundary with a clearly defined scope and a total price.

- ***Unit price:*** contract for work done on an item-by-item basis with cost determined per unit.

- ***Cost plus fixed fee:*** either a lump sum or unit price contract with a fixed contractor fee added into the price.

IMPORTANT: Time and materials contracts should be avoided, but may be allowed for work that is necessary immediately after the disaster has occurred when a clear scope of work cannot be developed. Applicants must carefully document contractor expenses, and a cost ceiling or "not to exceed" provision must be included in the contract. If a time and materials contract has been used, the Applicant should contact the State to ensure proper guidelines are followed. Cost plus a percentage of cost contracts and contingency contracts are ***not*** eligible.

Payment Bond is required when expenditures exceed $25,000 Title 19, Section 291(4), pursuant to Civil Code Sections 3247 and 3248

Visual 2.9 Photo Caption – *Document with magnifying glass showing Contract in big letters.*

Student Notes:

Visual 2.10

VISUAL 2.10 – DONATED RESOURCES

Unpaid services and resources provided to a local agency. The valuation will be calculated as:

- Volunteer labor valued at rates for similar work in applicant's organization or in same labor market

- Donated equipment /space at its fair rental rate

- Materials at fair market value at time of donation

Student Notes:

Record Retention Requirement
- Keep records for three years from date of Cal OES Audit Waiver letter
- Beware of routine destruction cycles

Visual 2.11

VISUAL 2.11 – RECORD RETENTION REQUIREMENT

- Keep records for three years from date of Cal OES Audit Waiver letter

- Beware of routine destruction cycles

Visual 2.11 Photo Caption: Photo of a records retention warehouse with stacks of file boxes.

Student Notes:

Project Accounting
- Segregate disaster related work from normal activities
- Actual costs and expenditures should be accumulated AS THEY OCCUR
- Keep all documentation…
    DETAILS,
        DETAILS,
            DETAILS

Visual 2.12

VISUAL 2.12 – PROJECT ACCOUNTING

- Segregate disaster-related work from normal activities

- Actual costs and expenditures should be accumulated AS THEY OCCUR

- Keep all documentation…

- DETAILS,

    DETAILS,
        DETAILS

Visual 2.12 Photo Caption: Photo of a ledger with a pen and calculator

Student Notes:

Visual 2.13

VISUAL 2.13 – CATEGORIES/TYPES OF WORK

- A – Debris Removal

- B – Emergency Work

- C – Roads and Bridges

- D – Water Control Facilities

- E – Buildings and Equipment

- F – Utilities

- G – Parks, Recreational, and Other

Student Notes:

Visual 2.14

VISUAL 2.14 – UNIT 2.B

PROCUREMENT

Visual 2.15

VISUAL 2.15 – SUMMARY OF PROCUREMENT STANDARDS

State	Other Non-Federal Entities (local governments, tribal governments, IHE, hospitals, and other nonprofit organizations)
2 C.F.R § 200.317	2 C.F.R § 200.318 through 326
Synopsis: Must follow same policies and procedures it uses for procurements from its non-Federal funds, comply with 200.322 (procurement of recovered materials.), and ensure that every purchase order or other contract includes any clauses required by 200.326 (contract provisions)	Synopsis: Must follow their own documented procurement procedures which reflect applicable state, local, and tribal laws and regulations, provided that the procurements conform to applicable federal law and the standards identified in 2 C.F.R § 200.318 through 326.

Note: The recipient and sub-recipient must comply with all applicable federal laws, regulations, and executive orders.

Student Notes:

Visual 2.16

VISUAL 2.16 – OVERVIEW OF STANDARDS

The procurement standards can be broken down into the following categories:

- General procurement standards (2 CFR § 200.318

- Competition (2 CFR § 200.319)

- Methods of procurement (2 CFR § 200.320)

- Contracting with small and minority businesses, women's business enterprises, and labor surplus area firms (2 CFR § 200.321)

Student Notes:

Visual 2.17

VISUAL 2.17 – OVERVIEW OF STANDARDS (CONT.)

- Procurement of recovered materials (2 CFR § 200.322)

- Contract cost and price (2 CFR § 200.323)

- Awarding agency and pass-through entity review (2 CFR § 200.324)

- Bonding requirements (2 CFR § 200.325)

- Contract provisions (2 CFR § 200.326 and Appendix II)

Student Notes:

Visual 2.18

VISUAL 2.18 – GENERAL PROCUREMENT STANDARDS

- The regulation at 2 CFR 200.318 identifies <u>eleven</u> general procurement standards, some of which are mandatory and others encouraged.

- <u>Contractor Oversight</u> – A non-Federal entity must maintain oversight to ensure that contractors perform

in accordance with the terms, conditions, and specifications of their contracts or purchase orders (2 CFR 200.318(b))

- Necessity – A non-Federal entity must have procedures that avoid acquisition of unnecessary or duplicative supplies or services, and consideration should be given to breaking out procurements to obtain a more economical purchase (2 CFR 200.318(d)).

Student Notes:
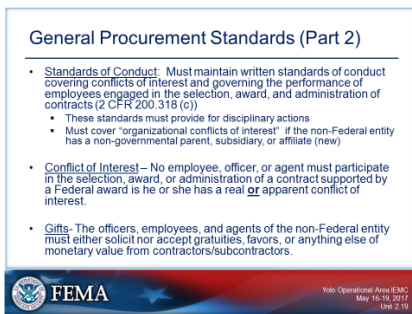
Visual 2.19

VISUAL 2.19 – GENERAL PROCUREMENT STANDARDS (PART 2)

- Standards of Conduct: Must maintain written standards of conduct covering conflicts of interest and governing the performance of employees engaged in the selection, award, and administration of contracts (2 CFR 200.318 (c))

    - These standards must provide for disciplinary actions

    - Must cover "organizational conflicts of interest" if the non-Federal entity has a non-governmental parent, subsidiary, or affiliate **(new)**

- Conflict of Interest – No employee, officer, or agent must participate in the selection, award, or administration of a contract supported by a Federal award is he or she has a real **or** apparent conflict of interest.

- Gifts- The officers, employees, and agents of the non-Federal entity must either solicit nor accept gratuities, favors, or anything else of monetary value from contractors/subcontractors.

Student Notes:

Visual 2.20

VISUAL 2.20 – GENERAL PROCUREMENT STANDARDS (PART 3)

- Settlement of Issues – A non-Federal entity alone must be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual issues (2 CFR 200.318 (k)) (change)

- The Uniform Rules also "encourages" various standards (use of federal excess property, intergovernmental agreements, and value engineering) (2 CFR 200.318 (e), (f), and (g))

Student Notes:

Visual 2.21

VISUAL 2.21 – TIME AND MATERIALS CONTRACT (2 CFR 200.318 (J))

- A non-Federal entity may use time and materials (T&M) contracts only after a determination that no other contract is suitable and the contract includes a ceiling price that the contractor exceeds at its own risk.

- A time and materials type contract means a contract whose cost to a non-Federal entity is the sum of (1) the actual cost of materials; and (2) direct labor

charged at fixed hourly rates that reflect wages, general and administrative expenses, and profit.

Student Notes:

Visual 2.22

VISUAL 2.22 – MICRO-PURCHASE PROCEDURES (2 CFR 200.320(A))(NEW)

- The acquisition of supplies or services, the aggregate dollar amount of which does not exceed the micro-purchase threshold - $3500

- To the extent practicable, must distribute micro-purchases equitably among qualified suppliers

- May be awarded without soliciting competitive quotations if the non-Federal entity considers the price to be reasonable

Student Notes:

Visual 2.23

VISUAL 2.23 – SMALL PURCHASE PROCEDURES (2 CFR 200.320)

- Are those relatively simple and informal procurement methods for securing services, supplies, or other property that does not cost more than the simplified acquisition threshold - $150,000

- Price or rate quotations are to be obtained from an "adequate number" of qualified sources

Student Notes:

Sealed Bidding (2 CFR 200.320 (c))
- Bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the "responsible" bidder whose bid, conforming with all the material terms and conditions of the invitation for bids (IFB), is the lowest in price
- Bids must be solicited from an "adequate number of known suppliers" providing them sufficient response time before date for the opening of bids
- Local and tribal governments must publicly advertise the invitation for the bids (change)

FEMA   Yolo Operational Area IEMC
                        May 16-19, 2017
                        Unit 2.24

Visual 2.24

VISUAL 2.24 – SEALED BIDDING (2 CFR 200.320 (C))

- Bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the "responsible" bidder whose bid, conforming with all the material terms and conditions of the invitation for bids (IFB), is the lowest in price

- Bids must be solicited from an "adequate number of known suppliers" providing them sufficient response time before date for the opening of bids

- <u>Local and tribal governments</u> must publicly advertise the invitation for the bids (change)

Student Notes:

Sealed Bidding (cont.)
- All bids will be opened at the same time and place prescribed in the invitation for bids, and for local and tribal governments, the bids must be opened publicly (change)
- This method is "preferred" construction when sealed bidding is "feasible," which is when certain conditions are present
- Other procedural requirements at 2 CFR 200.320 (c)(2)

FEMA   Yolo Operational Area IEMC
                        May 16-19, 2017
                        Unit 2.25

Visual 2.25

VISUAL 2.25 – SEALED BIDDING (CONT.)

- All bids will be opened at the same time and place prescribed in the invitation for bids, and for local and tribal governments, the bids must be opened publicly (change)

- This method is "preferred" construction when sealed bidding is "feasible," which is when certain conditions are present

- Other procedural requirements at 2 CFR 200.320 (c)(2)

Student Notes:

Visual 2.26

VISUAL 2.26 – COMPETITIVE PROPOSALS (2 CFR 200.320 (D))

- Generally used when conditions are not appropriate for the use of sealed bids.

- Appropriate methods when more than one source is expected to submit an offer and fixed-price or cost-reimbursement type contract is awarded

- Requests for proposals **must be publicized** and identify all evaluation factors and their relative importance

Student Notes:

Visual 2.27

VISUAL 2.27 – COMPETITIVE PROPOSALS (CONT.)

- Proposals must be solicited from an adequate number of qualified sources

- Must have written method for conducting technical evaluations of the proposals received and for selection of the contractor

- Awards will be made to responsible firm whose proposal is most advantageous to the program, with **price** and other factors considered.

Student Notes:

Noncompetitive Proposals (2 CFR 200.320(f)) (change)
- Procurement through solicitation of a proposal from only one source and may be used only when one or more of the following circumstances apply
  - **One Source**: The item is available only from a single source
  - **Exigency/Emergency**: An exigency or emergency will not permit a delay resulting from a competitive solicitation
  - **Awarding Agency Approval:** The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity
  - **Inadequate Competition:** After the solicitation of a number of sources, competition is determined inadequate.

Visual 2.28

VISUAL 2.28 – NONCOMPETITIVE PROPOSALS (2 CFR 200.320(F)) (CHANGE)

- Procurement through solicitation of a proposal from only one source and may be used only when one or more of the following circumstances apply

  - **One Source**: The item is available only from a single source

  - **Exigency/Emergency**: An exigency or emergency will not permit a delay resulting from a competitive solicitation

  - **Awarding Agency Approval:** The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity

  - **Inadequate Competition:** After the solicitation of a number of sources, competition is determined inadequate.

Student Notes:

Visual 2.29

VISUAL 2.29 – PROCUREMENT METHODS

- The award of a contract no longer has to be "infeasible" under one of the competitive methods of procurement (which was another condition) precedent under 44 CFR 13.36(d)(4))

Student Notes:

Visual 2.30

VISUAL 2.30 – COST AND PRICE

- A non-Federal entity must perform a price or cost analysis in connection with every procurement action above the simplified acquisition threshold, including contract modifications (2 CFR 200.323) (change)

- The method and degree of analysis is dependent on the facts and circumstances surrounding the particular procurement but, as a starting point, the non-Federal entity must make independent estimates before receiving bids or proposals (change)

- A non-Federal entity **shall** negotiate profit as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed.

Student Notes:
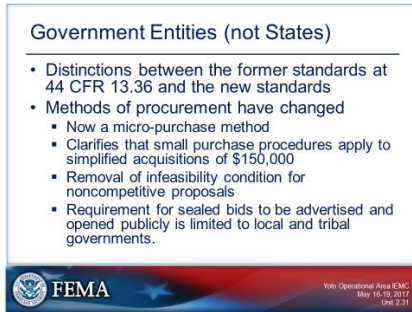
Visual 2.31

VISUAL 2.31 – GOVERNMENT ENTITIES (NOT STATES)

- Distinctions between the former standards at 44 CFR 13.36 and the new standards

- Methods of procurement have changed
    - Now a micro-purchase method
    - Clarifies that small purchase procedures apply to simplified acquisitions of $150,000
    - Removal of infeasibility condition for noncompetitive proposals
    - Requirement for sealed bids to be advertised and opened publicly is limited to local and tribal governments.

Student Notes:

Visual 2.32

VISUAL 2.32 – GOVERNMENT ENTITIES (NOT STATES) (PART 2)

- Regulation expressly prohibits contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or proposals from competing for such requirements

Student Notes:

Visual 2.33

VISUAL 2.33 – GOVERNMENT ENTITIES (NOT STATES) (PART 3)

- The cost or price analysis regulation has changed

    - Only required for procurements exceeding the simplified acquisition threshold (used to be requirement for all procurements)

    - No longer requirement to conduct cost analysis when adequate price competition is lacking; and for sole source procurements, including contract modifications or change orders

    - All non-Federal entities required to perform independent estimate

Student Notes:

Visual 2.34

VISUAL 2.34 – GOVERNMENT ENTITIES (NOT STATES) (PART 4)

- There is new content required in a non-Federal entity's written standard of conduct for organizational conflicts of interest arising due to related organizations.

- Removal of content requiring non-Federal entities to have protest procedures to handle and resolve disputes related to procurements and also content explaining when the Federal awarding agency will review protests

Student Notes:
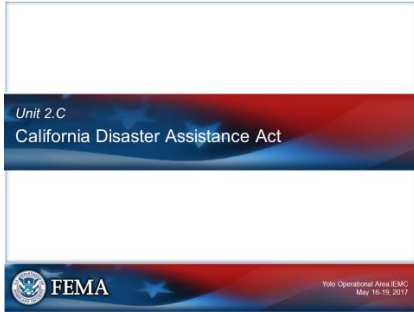
Visual 2.35

VISUAL 2.35 – UNIT 2.C

CALIFORNIA DISASTER ASSISTANCE ACT
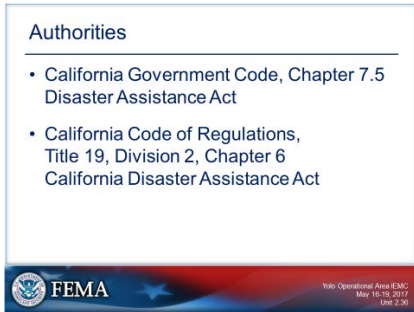
Visual 2.36

VISUAL 2.36 – AUTHORITIES

- California Government Code, Chapter 7.5 Disaster Assistance Act

- California Code of Regulations, Title 19, Division 2, Chapter 6 California Disaster Assistance Act

Student Notes:
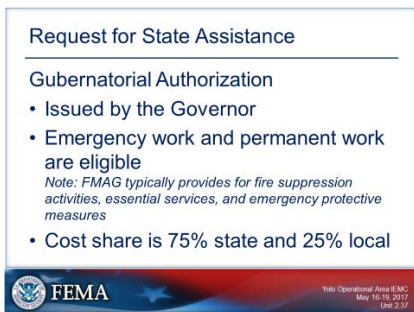
Visual 2.37

VISUAL 2.37 – REQUEST FOR STATE ASSISTANCE

Gubernatorial Authorization

- Issued by the Governor

- Emergency work and permanent work are eligible
  Note: FMAG typically provides for fire suppression activities, essential services, and emergency protective measures

- Cost share is 75% state and 25% local

Student Notes:
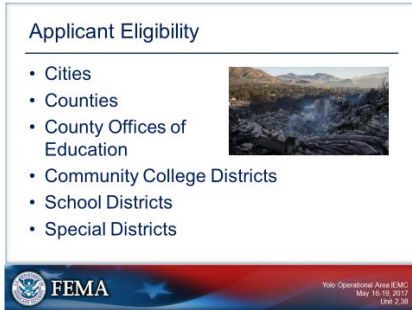
Visual 2.38

VISUAL 2.38 – APPLICANT ELIGIBILITY

- Cities

- Counties

- County Offices of Education

- Community College Districts

- School Districts

- Special Districts

Visual 2.38 Photo Caption: *Erskine fire aftermath*

Student Notes:
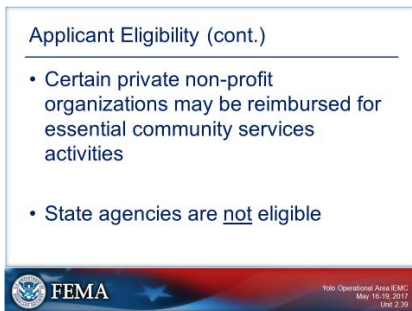
Visual 2.39

VISUAL 2.39 – APPLICANT ELIGIBILITY (CONT.)

- Certain private non-profit organizations may be reimbursed for essential community services activities

- State agencies are <u>not</u> eligible

PNP Title 19, section 2991

No self-deployment

Must be requested by local agency (described in the previous slide)

Services include food, water, and shelter

No permanent restoration to private nonprofit facilities

Student Notes:

Visual 2.40

VISUAL 2.40 – CDAA FUNDING
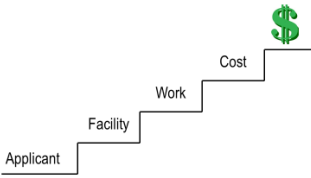
- The State shall make no allocation for any project application resulting in a State-share of less than two thousand five-hundred dollars ($2,500), in accordance with Title 19 section 2970(e).

Title 19 Section 2970(e)

Example: An Applicant must have a minimum of $3,334.00 in total eligible costs to qualify for State Cost Share of 75% to meet the $2,500 minimum threshold.

Student Notes:

Visual 2.41

VISUAL 2.41 – STEPS TO DETERMINING ELIGIBILITY

Visual 2.41 Alternative Text: Flowchart displaying the steps to determine eligibility. Starting at the bottom of the chart is the applicant, facility, work, and cost. At the top of the chart is an image with a dollar sign.

Four Steps to Determine Eligibility: We can look at Public Assistance Program eligibility as a step-by-step process.

These steps go from bottom to top:
1. **Applicant**: This section determines WHO is eligible for Public Assistance.
2. **Facility**: We will then talk about WHAT kinds of things are eligible for financial assistance.
3. **Work**: This section describes WHAT types of work are eligible for a particular event.
4. **Cost**: We will then give a broad description of WHAT costs can be reimbursed for the work that is or will be completed.

Note: A project can be funded only if each component is eligible and it's determined if the various components are eligible for disaster assistance. For example: if the Applicant is not eligible, then none of the Applicant's facilities, work, or incurred costs can be eligible. Therefore, it is necessary to establish eligibility in each of these areas.

Student Notes:

Visual 2.42

VISUAL 2.42 – PROJECT FORMULATION

After forms are received by Cal OES:

- Kickoff Meeting (provide LOP prior to/during this meeting)

- On-site Review of Project(s)

- Project Formulation

After receipt of application and list of projects, schedule a kickoff meeting with each applicant and an on-site review of all submitted items, which will be then detailed on separate DSRs (Title 19, §2970 (a)(5)).

- The meetings and site visits begin the project formulation process: Developing items on the applicant's LOP into DSRs.

- Permitting, construction irregularities and environmental/historic issues should be discussed and addressed.

Project formulation:

- Usually, involves an on-site review of all submitted items on the Applicant's List of Projects (LOP). DAPS will use this information and site inspections to create DSRs. At damaged sites, the DAPS will prepare a Damage Description and verify for reasonableness a proposed Scope of Work (SOW) or verify for reasonableness a SOW completed by the Applicant, and provide a cost estimate for each project. The DSR must supply Cal OES with all of the information necessary to approve the project (Title 19, §2970 (a)(5)

Once DSRs are written and the applicant concurs: (Title 19, §2970 (a)(6)(7)).

- All paperwork will be processed and eligibility of the applicant's costs incurred because of the disaster event verified.

- The applicant will receive a notification letter of the approved costs.

Visual 2.42 Photo Caption: *Photo of individuals reviewing a drawing.*

Student Notes:

Visual 2.43

VISUAL 2.43 – ELIGIBLE FACILITY CRITERIA

- Buildings, systems, equipment, maintained natural features

- Legal responsibility of an eligible applicant

- Located in a designated disaster area

- In active use at the time of the disaster

Visual 2.43 Photo Caption: *Image of a flooded roadway.*

Student Notes:

Visual 2.44

VISUAL 2.44 – ELIGIBLE COSTS

- Reasonable and necessary

- Comply with standards of procurement

- Exclude credits

    - Insurance recoveries

    - Litigation recoveries

    - Other funding sources

Reasonable cost is both fair and equitable for the type of work performed

Credits are deducted

Student Notes:

Visual 2.45

VISUAL 2.45 – ELIGIBLE COSTS (CONT.)

- Donated Resources (Categories A and B only)

- Labor

- Equipment

- Rental Equipment

- Materials

- Contract

- Engineering and Design Service

Visual 2.45 Photo Caption: *Top Photo – Individual in lift working on construction. Bottom Photo – Hard hat and construction drawings.*

Student Notes:

Visual 2.46

VISUAL 2.46 – INELIGIBLE COSTS

- Expenditures for

  - Personal property

  - Normal or deferred maintenance

  - Insurance required by Cal OES

  - Betterment beyond current codes and standards or approved mitigation projects

Student Notes:

Visual 2.47

VISUAL 2.47 – INELIGIBLE COSTS (CONT.)

- Damages caused by negligence

- Loss of revenue or income

- Losses with legal means of recoupment

- Legal services, fees, penalties, settlements

- Rights-of-way, easements, land acquisition

Student Notes:
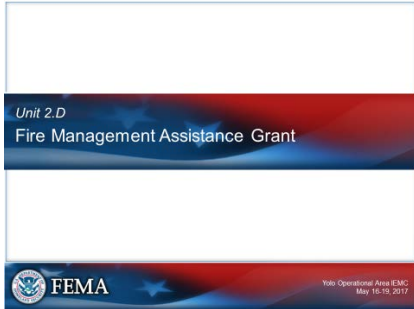
Visual 2.48

VISUAL 2.48 – UNIT 2.D

FIRE MANAGEMENT ASSISTANCE GRANT
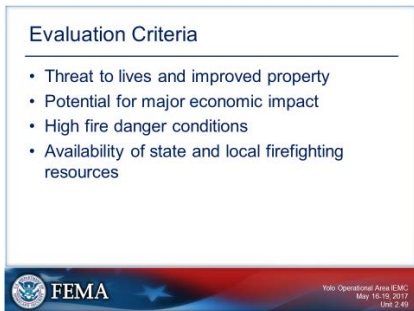
Visual 2.49

VISUAL 2.49 – EVALUATION CRITERIA

- Threat to lives and improved property

- Potential for major economic impact

- High fire danger conditions

- Availability of state and local firefighting resources

Student Notes:

Visual 2.50

VISUAL 2.50 – VERBAL REQUEST BY CAL OES

The Governor's Authorized Representative submits a request by telephone to FEMA while the fire is:

- Burning uncontrolled, and

- Threatens such destruction as would constitute a major disaster

Student Notes:

Visual 2.51

VISUAL 2.51 – WRITTEN REQUEST

Cal OES Recovery completes a written Request for Fire Management Assistance Declaration. This formalizes the verbal request and makes it official.

Visual 2.51 Photo Caption: *Image of a vehicle with fire in the background.*

Student Notes:

Visual 2.52

VISUAL 2.52 – INCIDENT PERIOD

FEMA Regional Administrator, in consultation with Cal OES, Governor's Authorized Representative (GAR) and USFS Principal Advisor, establish the incident period

- Threat

- Containment

- Control

- Generally, costs must be incurred during the incident period to be considered eligible.

Incident period must reasonably be associated with the time the fire threatened to become a major disaster

Student Notes:

Visual 2.53

VISUAL 2.53 – FIRE THRESHOLDS

Grant Approval:

- Meet or exceed the individual fire cost threshold
  - 20XX: $2,626,404

- Meet or exceed the cumulative fire cost threshold
  - 20XX: $7,879,212

Student Notes:

Visual 2.54

VISUAL 2.54 – APPLICANT ELIGIBILITY

The following entities are eligible to apply through Cal OES (the Recipient) for a sub award:

- State Agencies

- Local Governments

- Special Districts

- Indian Tribal Governments

Local governments can include public utilities, special school districts, city, and county governments.

Student Notes:

Visual 2.55

VISUAL 2.55 – APPLICANT ELIGIBILITY (CONT.)

The activities performed must be:

- The legal responsibility of the applying entity

- Required as the result of the fire

- Located within the sphere of influence of the fire

- No Self-Deployment

- Services must have been requested by the Incident Commander or comparable State Official

Student Notes:

Visual 2.56

VISUAL 2.56 – FIRE MANAGEMENT ASSISTANCE GRANT ELIGIBLE COSTS

Costs must have been incurred during the incident period

- Overtime and Contract Labor

- Equipment

- Materials

- Repair of damaged or lost equipment, less insurance recovery

- Replacement of expended supplies

- Personal safety items

- Essential Assistance

Student Notes:

Visual 2.57

VISUAL 2.57 – FORCE ACCOUNT LABOR ELIGIBLE HOURS

- Overtime

- For permanent or reassigned employees performing eligible activities

    - FEMA Public Assistance Program and Policy Guide

        - V. (A) pages. 22 - 25 Labor Emergency Work

        - As of November 19, 2015, significant change:

        - For instance, the Applicant may be required to pay firefighter costs from portal-to-portal, which may result in paying for 24-hour shifts with periods of rest. FEMA will reimburse costs based on such requirements. However, FEMA limits its reimbursement to that which is reasonable and necessary, not to exceed 14 calendar days from the start of the incident period.

Student Notes:

Visual 2.58

VISUAL 2.58 – UNIT 2.E

PUBLIC ASSISTANCE
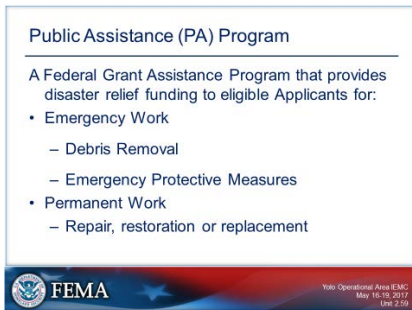
Visual 2.59

VISUAL 2.59 – PUBLIC ASSISTANCE (PA) PROGRAM

A Federal Grant Assistance Program that provides disaster relief funding to eligible Applicants for:

- Emergency Work
  - Debris Removal
  - Emergency Protective Measures
- Permanent Work
  - Repair, restoration or replacement

Under the PA program – FEMA awards GRANTS to eligible Applicants for RESPONSE & RECOVERY. This includes**:**

- EMERGENCY WORK – debris & emergency protective measures

- PERMANENT WORK – repair/restore or replace

Federal share – typically 75%

PA program also encourages protection from future disasters.

BUT for any reimbursement, the WORK and COSTS must meet the PA Program Eligibility Criteria.
This program is authorized under the Robert T. Stafford Act.

Student Notes:

Visual 2.60

VISUAL 2.60 – RESPONSIBILITIES

FEMA

- Coordinates with all Federal, State, Local agencies

- Sets up Joint Field Office

- Collects project and cost data

- Approves grants and obligates funds

- Provides Technical Assistance

GRANTEE (STATE)

- Educates applicants

- Works with FEMA to manage PA Program

- Collects project and cost data

- Disburses grants to applicants

- Monitors and manages use of grants by applicants

SUBGRANTEE (APPLICANT)

- Requests assistance

- Identifies damaged facilities

- Provides information to support request

- Maintains accurate documentation

- Performs necessary work (repairs, debris, etc.)

Student Notes:

PA Governing Documentation

- **STATUTE** – Laws by Congress & President
    - Robert T. Stafford Act
- **REGULATIONS –** Rules to Implement
    - Title 44 Code of Federal Regulations (CFR)
- **POLICIES** – Issued by FEMA Headquarters
    - Public Assistance Program and Policy Guide (PAPPG) (Link available via following URL: https://www.fema.gov/public-assistance-policy-and-guidance)

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Visual 2.61

VISUAL 2.61 – PA GOVERNING DOCUMENTATION

- **STATUTE** – Laws by Congress & President
    - Robert T. Stafford Act
- **REGULATIONS –** Rules to Implement
    - Title 44 Code of Federal Regulations (CFR)
- **POLICIES** – Issued by FEMA Headquarters
    - Public Assistance Program and Policy Guide (PAPPG) (Link available via following URL: https://www.fema.gov/public-assistance-policy-and-guidance)
- **As you know, disasters may strike at any time:**
- OFTEN assistance is needed – FEMA provides that
- PA Program Based on a hierarchy of STATUTES, REGULATIONS, and POLICIES
- **STATUES** – Passed by US Congress & signed by President
    - Robert T. Stafford Act authorizes the PA program for the states and FEMA to publish regulations
- **REGULATIONS** – FEDERAL RULES designed to implement the PA Program – 44 CFR Part 206 – Same effect as law
- **POLICIES** – Issued by FEMA headquarters these -
    - CLARIFY or PROVIDE direction for SPECIFIC SITUATIONS that arise

Student Notes:
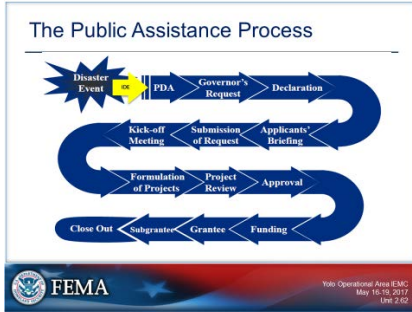
Visual 2.62

VISUAL 2.62 – THE PUBLIC ASSISTANCE PROCESS

Visual 2.62 Image Caption: Public Assistance Flowchart. Disaster Event – IDE – PDA – Governor's Request – Declaration – Applicant's Briefing – Submission of Request – Kick-off Meeting – Formulation of Projects – Project Review – Approval – Funding – Grantee – Subgrantee – Close Out

Student Notes:
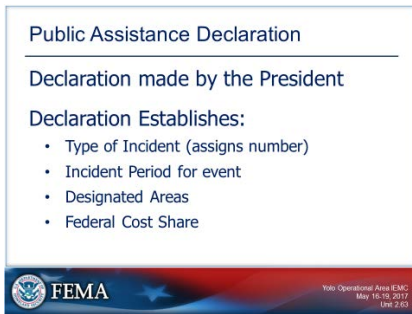
Visual 2.63

VISUAL 2.63 – PUBLIC ASSISTANCE DECLARATION

- Declaration made by the President
- Declaration Establishes:
    - Type of Incident (assigns number)
    - Incident Period for event
    - Designated Areas
    - Federal Cost Share

Student Notes:
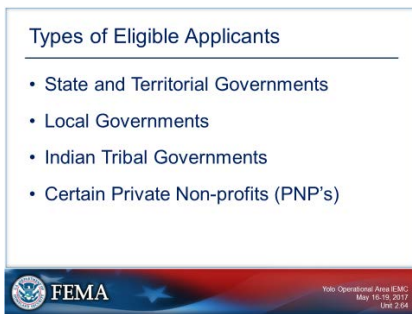
Visual 2.64

VISUAL 2.64 – TYPES OF ELIGIBLE APPLICANTS

- State and Territorial Governments
- Local Governments
- Indian Tribal Governments
- Certain Private Non-profits (PNP's)

Student Notes:
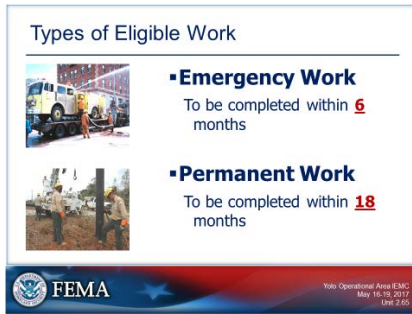
Visual 2.65

VISUAL 2.65 – TYPES OF ELIGIBLE WORK

Emergency Work

- To be completed within <u>6</u> months
  - Debris Removal
  - Emergency Protective Measures

Permanent Work

- To be completed within <u>18</u> months
  - Restoring a facility back to its Pre-Disaster
    - Design
    - Function
    - Capability
    - Including Codes and Standards

Student Notes:
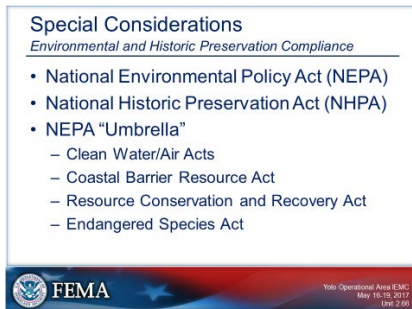
Visual 2.66

VISUAL 2.66 – SPECIAL CONSIDERATIONS – ENVIRONMENTAL AND HISTORIC PRESERVATION COMPLIANCE

- National Environmental Policy Act (NEPA)
- National Historic Preservation Act (NHPA)
- NEPA "Umbrella"
  - Clean Water/Air Acts

- ▪ Coastal Barrier Resource Act
- ▪ Resource Conservation and Recovery Act
- ▪ Endangered Species Act

NEPA

- Compliance is required for Federal funding
  - ▪ grants, permits, loans, licenses, construction
- The funding agency is responsible for ensuring compliance
- Project size/type determines level of review

NEPA "Umbrella"

- Clean Water Act – effects on water quality/wetlands
- Clean Air Act – effects on air quality
- CBRA - restricts federal assistance in Coastal Barrier Resource System (CBRS) units
- RCRA - Requires the safe disposal of waste material, promotes the recycling of waste materials and encourages cooperation with local agencies
- Endangered Species Act - Requires that Federal agencies consider the effect that their actions may have on threatened and endangered species and their habitat

Student Notes:

Special Considerations
Other Federal Laws
• Coastal Zone Management Act
• Farmland Protection Policy Act
• Fish and Wildlife Conservation Act
• Wild and Scenic Rivers Act

FEMA
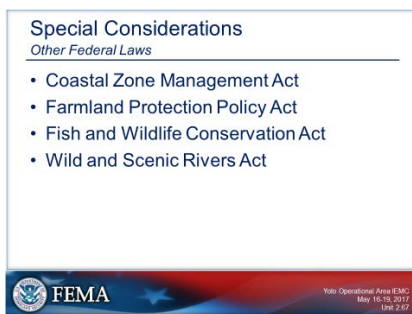
Visual 2.67

VISUAL 2.67 – SPECIAL CONSIDERATIONS – OTHER FEDERAL LAWS

- Coastal Zone Management Act
- Farmland Protection Policy Act
- Fish and Wildlife Conservation Act
- Wild and Scenic Rivers Act

Other Federal laws to be considered:

- Coastal Zone Management Act – applies to areas covered by a Coastal Zone Management Plan

- Farmland Protection Policy Act – applies to proposed projects which cause loss/irreversible conversion of farmlands (NRCS)

- Fish and Wildlife Coordination Act – applies to an evaluation of proposed projects that will destroy a wildlife or modify a natural stream/body of water (NEPA)

- Wild and Scenic Rivers Act – applies to projects located on rivers designated as wild and scenic

Student Notes:

Visual 2.68

VISUAL 2.68 – SMALL PROJECT MINIMUM

$3,050
Annually updated – FY 2015/16
Threshold amount

The term large project and small project relates to the cost to complete the work. This cost threshold is defined by federal legislation and is adjusted annually.

For the federal fiscal year 2008, the threshold for small projects has been set at less than $60,900.

Small and large projects are processed differently under the Public Assistance Program.

Student Notes:

Visual 2.69

VISUAL 2.69 – SMALL PROJECTS

- Federal cost share for small projects are available from FEMA to applicants upon Project Worksheet approval.

- Applicant may be reimbursed Federal Share even if work is not completed

- FEMA normally does not perform a final inspection

- State must certify all work is completed and applicant complied with all laws, regulations, and policies.

Funds for small projects – project worksheets with a federal cost share of less than $60,900 - can be disbursed by the State immediately following project approval.

Student Notes:

Visual 2.70

VISUAL 2.70 – LARGE PROJECTS

$121,800+
Annually updated – FY 2015/16 threshold amount

The term large project and small project relates to the cost to complete the work. This cost threshold is defined by federal legislation and is adjusted annually.

All projects with a total cost of $60,900 or greater is a considered a large project.

Small and large projects are processed differently under the Public Assistance Program.

Student Notes:

Large Projects (cont).

- Final accounting of all costs when ALL WORK is completed, based on **ACTUAL** costs
- Applicant provides STATE with documentation of work completed and costs
- When Project completed STATE reconciles with applicant work and costs and forwards to FEMA
- FEMA may conduct a final site inspection if permanent work was conducted

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Visual 2.71

VISUAL 2.71 – LARGE PROJECTS (CONT.)

- Final accounting of all costs when ALL WORK is completed, based on **ACTUAL** costs

- Applicant provides STATE with documentation of work completed and costs

- When Project completed STATE reconciles with applicant work and costs and forwards to FEMA

- FEMA may conduct a final site inspection if permanent work was conducted

After FEMA approves large projects the State will disburse funds to the applicant as the work is accomplished.

Final funding will be based on the actual costs to complete the approved scope of work. This final funding will be calculated using the applicant's documentation of labor, equipment, material, or contractual agreement costs during what is called Final Inspection

Student Notes:

Visual 2.72

VISUAL 2.72 – UNIT 2.F

INDIVIDUAL ASSISTANCE

Student Notes:
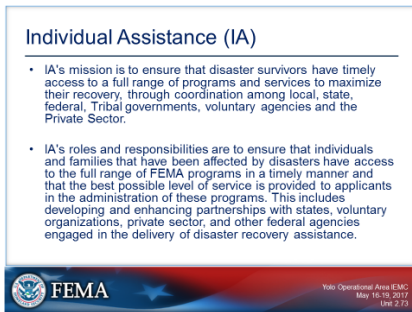
Visual 2.73

VISUAL 2.73 – INDIVIDUAL ASSISTANCE (IA)

- IA's mission is to ensure that disaster survivors have timely access to a full range of programs and services to maximize their recovery, through coordination among local, state, federal, Tribal governments, voluntary agencies and the Private Sector.

- IA's roles and responsibilities are to ensure that individuals and families that have been affected by disasters have access to the full range of FEMA programs in a timely manner and that the best possible level of service is provided to applicants in the administration of these programs. This includes developing and enhancing partnerships with states, voluntary organizations, the private sector, and other federal agencies engaged in the delivery of disaster recovery assistance.

Student Notes:
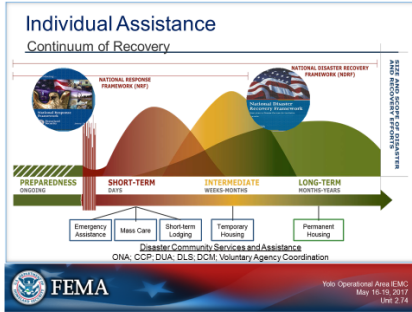
Visual 2.74

VISUAL 2.74 – INDIVIDUAL ASSISTANCE

CONTINUUM OF RECOVERY

Disaster Community Services and Assistance
ONA; CCP; DUA; DLS; DCM; Voluntary Agency
Coordination

Visual 2.74 Diagram Alt Text: This figure illustrates that recovery activities which occur along varying time frames (short, intermediate and long-term) overlap with one another over time. The timeline begins with a period of ongoing preparedness, just before we see the disaster on the timeline. Immediately following the disaster is the short-term period, usually contained within a few days. This period overlaps with both the intermediate (weeks to months) and long-term (months to years) timeframes. Continuing down the timeline we see the intermediate timeframe overlapping into both the short and long-term timeframes, and finally, the long-term timeframe overlapping both the two timeframes before it. The graphic also depicts the work of the National Response Framework taking place from preparedness to approximately half way through the intermediate timeframe whereas the National Disaster Recovery Framework extends across the whole timeline.

During Short-Term Recovery assistance focuses on Emergency Assistance, Mass Care, and Short-term Lodging. During the intermediate Recovery phase – assistance focuses on Temporary Housing. Long-term recovery focuses on Permanent Housing

Student Notes:

Visual 2.75

VISUAL 2.75 – INDIVIDUALS AND HOUSEHOLDS PROGRAM (IHP)

• Individuals and Households Program (IHP) provides financial and/or direct assistance to eligible applicants who, as a result of a major disaster or emergency, have necessary expenses and serious needs that are unmet by insurance or other means.

• The IHP consists of two provisions: Housing Assistance and Other Needs Assistance.

  ▪ Housing Assistance (Financial / Direct)

  ▪ Repair

  ▪ Replacement

  ▪ Permanent or Semi-Permanent Housing Construction

  ▪ Other Needs Assistance (Medical, Dental, Child Care, Other, Personal Property, Transportation, Moving and Storage)

Student Notes:

Visual 2.76

VISUAL 2.76 – CRISIS COUNSELING PROGRAM (CCP)

• Supplemental funding to assist individuals and communities in recovering from the effects of natural and human-caused disasters through the provision of community-based outreach and psycho-educational services.

• Administered through an interagency agreement between FEMA and Substance Abuse and Mental Health Services Administration (SAMHSA) Center for Mental Health Services (CMHS).

• Provides short-term behavioral health support when response needs exceed the State's capacity.

Student Notes:

Visual 2.77

VISUAL 2.77 – DISASTER UNEMPLOYMENT ASSISTANCE (DUA)

- The purpose of DUA is to provide unemployment benefits and reemployment services to individuals who have become unemployed as a result of a Presidential disaster declaration and who are not eligible for regular State UI.

- Administered by State's Workforce Agency.

- Provides unemployment benefits to individuals who are unemployed as a direct result of disasters and are unable to secure regular unemployment benefits.

- Administered by State's Workforce Agency.

Student Notes:

Visual 2.78

VISUAL 2.78 – DISASTER LEGAL SERVICES (DLS)

- Disaster Legal Services provides legal assistance to low-income individuals who prior to or as a result of the disaster cannot secure legal services to meet their disaster-related need.

- Agreement between FEMA and the Young Lawyers Division of the American Bar Association provides free legal help for disaster survivors.

- Intended for low-income individuals.

- Legal advice is limited to cases that will not produce a fee.

Student Notes:

Visual 2.79

VISUAL 2.79 – DISASTER CASE MANAGEMENT (DCM)

- Disaster Case Management (DCM) is a time-limited process that involves a partnership between a case manager and a disaster survivor to develop and carry out a Disaster Recovery Plan.

- DCM augments state, local, tribal and territorial governments' capacity to provide DCM services in the event of a major Presidential disaster declaration which includes Individual Assistance.

Student Notes:

Visual 2.80

VISUAL 2.80 – VOLUNTARY AGENCY LIASION (VAL)

- Voluntary Agency Liaisons (VAL) coordinate with local governments and voluntary agencies collaboratively on an ongoing basis to identify shortfalls, develop capacity, and strengthen partnerships. Collaboration allows voluntary organizations and local governments to support the community before a declaration.

- In the absence of a declaration, VALs can provide technical assistance and guidance to the community affected by marshal resources to support response activities. VALs collaborate with voluntary organizations, the region, the state, and FEMA programs starting at the National Response Coordination Center during an event.

Student Notes:

Visual 2.81

VISUAL 2.81 – VOLUNTARY AGENCY LIASION (CONT.)

- Provide a source for two-way communication between government and voluntary agency partners by identifying and reporting shortfalls, informing of services being provided, and presenting opportunities for collaboration to solve issues.

- Coordinates with the Office of Disability Integration and Coordination, Individual Assistance Programs, and voluntary agencies to assist survivors who may be at risk immediately following an event. Monitor voluntary agency activities, and provide voluntary organizations valuable information to develop a "Whole Community" strategy for long-term recovery.

- Empower the community by providing education, subject matter expertise, and technical assistance, to build a long-term recovery group capable of providing a number of services to assist recovery for the disaster survivor.

Student Notes:

Visual 2.82

VISUAL 2.82 – DISASTER RECOVERY CENTERS

- Provide timely disaster recovery services within communities affected by disasters by meeting and exceeding survivors' expectations with attentive, friendly, and professional staff.

- Standardize operations and effectively build whole community partnerships through best practices and problem solving.

Student Notes:

Visual 2.83

VISUAL 2.83 – QUESTIONS, COMMENTS, OR CONCERNS.

UNIT 3: DOCUMENTING EXPENDITURES FOR RECOVERY EXERCISE

May 17, 2017

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This unit has no materials for the Student Manual. Facilitated exercise.

UNIT FE: FUNCTIONAL EXERCISE

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Refer to the exercise player handbook supplied for this class.

UNIT 5
ALL SECTION TRAINING

May 19, 2017

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Visual 5.1

VISUAL 5.1 – UNIT 5

ALL SECTION TRAINING

Visual 5.2

VISUAL 5.2 - UNIT 5.A

ALL HAZARDS PLANNING
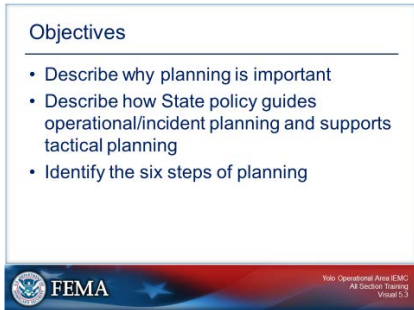
Visual 5.3

VISUAL 5.3 – OBJECTIVES

- Describe why planning is important

- Describe how State policy guides operational/ incident planning and supports tactical planning

- Identify the six steps of planning
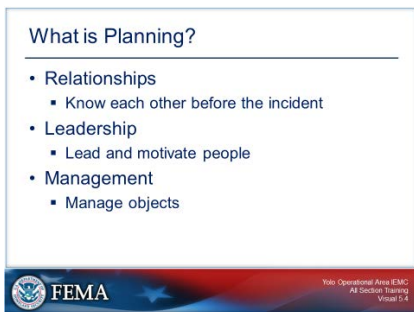
Visual 5.4

VISUAL 5.4 – WHAT IS PLANNING?

- Relationships

Know each other before the incident

- Leadership

Lead and motivate people

- Management

Manage objects

Student Notes:
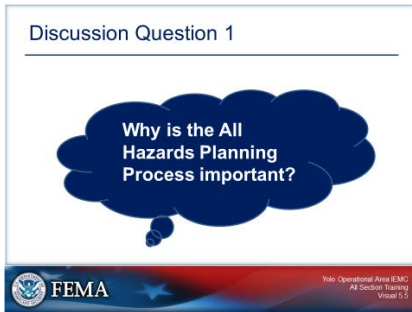
Visual 5.5

VISUAL 5.5 - DISCUSSION QUESTION 1

Why is the All Hazards Planning Process important?

Student Notes:
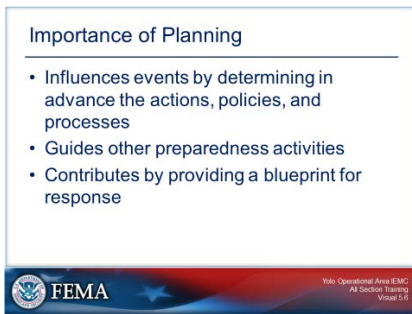
Visual 5.6

VISUAL 5.6 – IMPORTANCE OF PLANNING

- Influences the course of events in an emergency by determining in advance the actions, policies, and process that will be followed

- Guides other preparedness activities

- Contributes to unity of effort by providing a common blueprint for response in the event of an emergency

Student Notes:
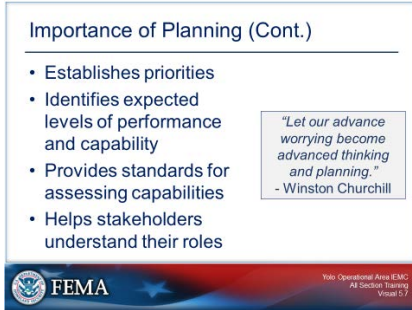
Visual 5.7

VISUAL 5.7 – IMPORTANCE OF PLANNING (CONT.)

- Establishes priorities

- Identifies expected levels of performance and capability

- Provides standards for assessing capabilities

- Helps stakeholders understand their roles

"Let our advance worrying become advanced thinking and planning." – Winston Churchill

Planning makes it possible to manage the entire life cycle of a potential crisis. Strategic and operational planning establishes priorities, identifies expected levels of performance and capability requirements, provides the standard for assessing capabilities and helps stakeholders learn their roles.

- Resources for planning are:

NRF

Comprehensive Preparedness Guide (CPG 101) v2

CPG 502 (fusion center and EOC coordination)

Student Notes:
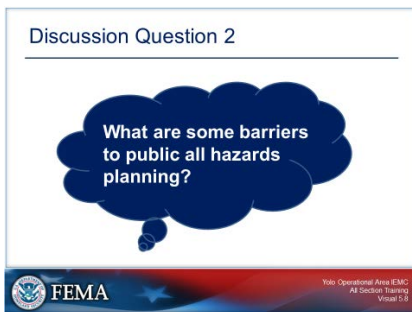
Visual 5.8

VISUAL 5.8 – DISCUSSION QUESTION 2

What are some barriers to public all hazards planning?

Student Notes:

Planning Concepts

- Effective plans convey the goals and objectives of the response and the intended actions needed to achieve them
- Successful response occurs when organizations know their roles, accept them, and understand how they fit into the overall plan

FEMA
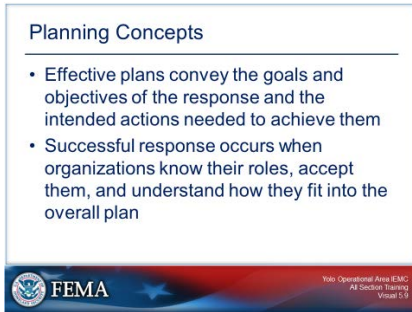
Visual 5.9

VISUAL 5.9 – PLANNING CONCEPTS

- Effective plans convey the goals and objectives of the response and the intended actions needed to achieve them

- Successful response occurs when organizations know their roles, accept them, and understand how they fit into the overall plan

Goals and objectives must be carefully crafted to ensure they support accomplishing the plan mission and operational priorities. They must also clearly indicate the desired result or end-state they are designed to yield. This approach enables unity of effort and consistency of purpose among the multiple organizations and activities involved in executing the plan.

Using a team or group approach helps organizations define their perception of the role they will play during an operation.

Student Notes:
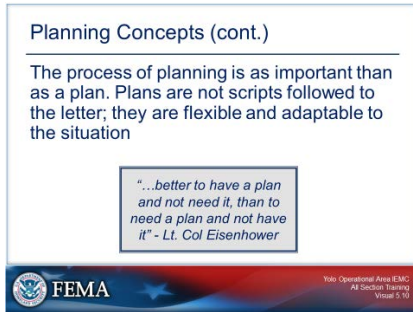
Visual 5.10

VISUAL 5.10 – PLANNING CONCEPTS (CONT.)

The process of planning is as important as a plan. Plans are not scripts followed to the letter; they are flexible and adaptable to the situation.

The most realistic and complete plans are prepared by a diverse planning team, including representatives from the jurisdiction's departments and agencies, civic leaders, businesses, and organizations (e.g., civic, social, faith-based, humanitarian, educational, advocacy, professional) who are able to contribute critical perspectives and/or have a role in executing the plan.

"…better to have a plan and not need it, than to need a plan and not have it" – Lt. Col Eisenhower

Student Notes:
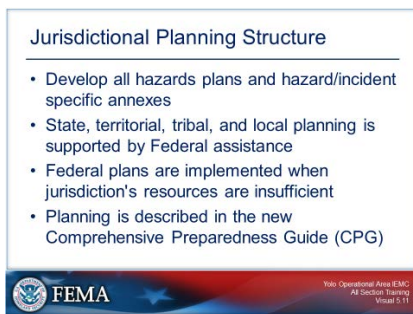
Visual 5.11

VISUAL 5.11 – JURISDICTIONAL PLANNING STRUCTURE

- Develop all-hazards plans and hazard/incident specific annexes

- State, territorial, tribal, and local planning is supported by Federal assistance

- Federal plans are implemented when a jurisdiction's resources are insufficient

- Planning is described in the new Comprehensive Preparedness Guide (CPG)

State, territorial, tribal, and local governments have responsibility to develop detailed, robust all-hazards plans and hazard- or incident-specific annexes with supporting procedures and protocols to address their locally identified hazards and risks. Hazard identification and risk assessment (HIRA) serves as a foundation for planning, resource management, capability

development, public education, and training and exercises.

State, territorial, tribal, and local planning is supported by Federal preparedness assistance, which supports the Framework and the Federal planning structure by building capabilities that contribute to National response capacity.

In most instances, Federal plans are implemented when a State/territorial/tribal resources are not sufficient to cope with an incident and the Governor has requested Federal assistance.

The intersection of the Federal and State, territorial, tribal, and local plans and planning is described in the CPG 101, "Developing and Maintaining Emergency Operations Plans"

Student Notes:
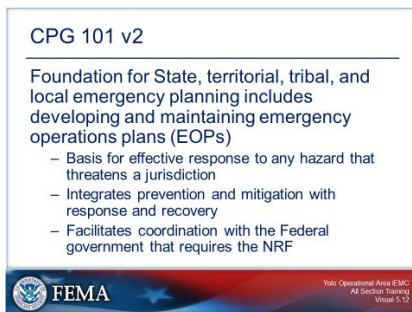
Visual 5.12

VISUAL 5.12 – CPG 101 V2

Foundation for State, territorial, tribal, and local emergency planning includes developing and maintaining emergency operations plans (EOPs)

- Basis for effective response to any hazard that threatens a jurisdiction

- Integrates prevention and mitigation with response and recovery

- Facilitates coordination with the Federal government that requires the NRF

CPG 101 provides guidelines on developing emergency operations plans (EOP). It promotes an understanding of the fundamentals of risk-informed planning and decision making to help planners examine a hazard or threat and produce integrated, coordinated, and synchronized plans. The goal of CPG 101 is to make the planning

process routine across all phases of emergency management and for all homeland security mission areas. It also helps planners at all levels of government to develop and maintain viable all hazards and threats EOPs. Accomplished properly, planning provides a methodical way to engage the whole community in thinking through the life cycle of a potential crisis, determining required capabilities, and establishing a framework for roles and responsibilities.

Student Notes:
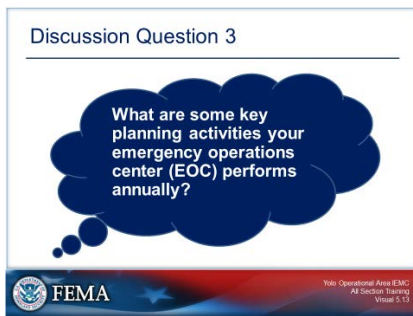
Visual 5.13

VISUAL 5.13 - DISCUSSION QUESTION 3

What are some key planning activities your emergency operations center (EOC) performs annually?

Student Notes:
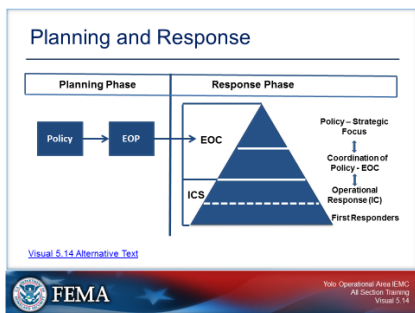
Visual 5.14

VISUAL 5.14 – PLANNING AND RESPONSE
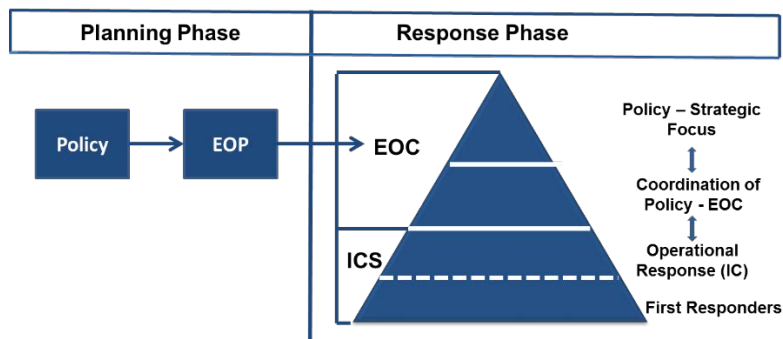
The left side of the graphic shows how policy incorporates into the EOP during the planning phase.

EOC Level: (Top two lines of the triangle)
The planning process guides policy development, which becomes part of the EOP. Policy in the EOP contains pre-determined decisions that are necessary to implement during a disaster or emergency. When a response is necessary, the EOC will coordinate policy level actions using the EOP as well as implement the incident support plan (ISP). To ensure policy level decisions made in the EOC are implemented, information sharing must occur between the EOC and ICS/Field levels. The Incident Command System (ICS)/field level must also share information with the EOC to coordinate policy decisions. The EOC must also inform the ICS/field level what policy level decisions were implemented.

ICS/Field Level: (Bottom two lines of the triangle)
At the ICS/field level, they are implementing the operational and tactical plans, which we discuss later in the module. Policy in the EOP will impact/guide operational and tactical plans at the ICS/field level.

Visual 5.14 Alternative Text:
The left side of the graphic shows how policy incorporates into the EOP during the Planning Phase. After the incident occurs the EOP is implemented in the Response Phase by the EOC. On the right side of the graphic is a pyramid. The top two levels of the pyramid is the EOC. Policy within the EOC consists of the pre-determined decisions that are necessary to implement

during the disaster/emergency which come from the EOP which was developed during the Planning Phase. During the response phase, the incident planning consists of Policy – Strategic Focus. Coordination of policy is conducted by the EOC. The EOC, however, must share information with the Policy Group (delineated by the double arrow connection) is order to help ensure that the strategic focus is in line with the needs for the incident. The EOC will also inform the Incident Command/First Responders of the EOP and Policy.

The Bottom two levels of the pyramid make up the ICS. The ICS consists of the Incident Command (top section) and First Responders (bottom section). Operational Response (IC) received Policy information from both the EOP and the EOC and in turn, must share information back to the EOC and Policy.

Student Notes:
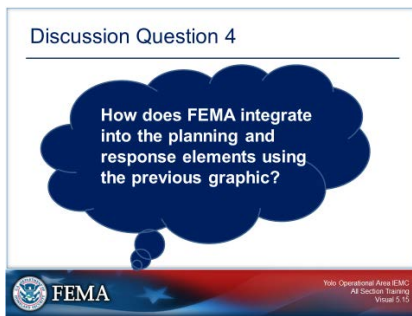
Visual 5.15

VISUAL 5.15 – DISCUSSION QUESTION 4

How does FEMA integrate into the planning and response elements using the previous graphic?

Student Notes:

Visual 5.16

VISUAL 5.16 – TYPES OF PLANNING

- Strategic

Based on policy

- Operational

Describes roles and responsibilities

- Tactical

Manages personnel, equipment, and resources

Strategic Planning

Strategic plans describe how a jurisdiction wants to meet its emergency management or homeland security responsibilities over the long-term. A strategic plan aligns the organization and budget structure with Federal priorities, missions, and objectives These plans are driven by policy from senior officials (e.g. EOP) and establish planning priorities.

Catastrophic planning is also part of strategic planning. The focus is on life-saving, sustainment, and stabilizing catastrophic effects for up to 72 hours after an incident. Catastrophic plans differ from traditional plans and address no-notice or short-notice incidents of catastrophic magnitude, where the need for Federal assistance is obvious and immediate, where anticipatory planning and resource pre-positioning were precluded,

and where the exact nature of needed resources and assets is not known.

Just as coordinated operations depend on teamwork, good planning requires a team effort. The most realistic and complete plans are prepared by a team that includes representatives of the government; the private sector; and NGOs that will participate in executing the plan.

In the event of a catastrophic event, the State must generate a request to FEMA for resources.

Operational Planning

Operational plans provide a description of roles and responsibilities, tasks, integration, and actions required by a jurisdiction or its departments and agencies during emergencies. Jurisdictions use plans to provide the goals, roles, and responsibilities that a jurisdiction's departments and agencies are assigned, and to focus on coordinating and integrating the activities of the many response and support organizations within a jurisdiction. An example of an operational plan is a CEMP.

They also consider private sector planning efforts as an integral part of community-based planning, and to ensure efficient allocation of resources. Department and agency plans do the same for the internal elements of those organizations.

Operational plans tend to focus more on the broader physical, spatial, and time-related dimensions of an operation; thus, they tend to be more complex and comprehensive than a strategic plan, yet less defined, than tactical plans. Operational plans also provide a framework for tactical planning.

Tactical Planning

Tactical planning focuses on managing personnel, equipment, and resources that play a direct role in the incident response. Pre-incident tactical planning, based upon existing operational plans, provides the opportunity to pre-identify personnel, equipment, exercise, and training requirements. Any gaps identified during tactical planning can be filled through various means including

mutual aid, technical assistance, updates to policy, procurement, and contingency leasing. Tactical planning results in the development of a tactical plan. An example of a tactical plan is an Incident Action Plan (IAP). An IAP provides a single, unified roadmap for responders and decision makers to follow during an operational period and helps guide priorities for the next operational period. The combined efforts of all agencies are optimized as they perform their respective assignments under a single IAP.

When an incident or potential incident occurs, responders assess the situation, identify and prioritize requirements, and activate available resources and capabilities and develop an IAP. The IAP is developed to work within the parameters of existing plans, personnel, and resources outlined in a jurisdiction's operational plan which supports the overall strategic plan. A clear, concise IAP is essential to guide the initial incident management decision process and the continuing collective planning activities. An IAP provides concise, coherent means of capturing and communicating the overall incident priorities, objectives, strategies, and tactics in the context of both operational and support activities.

Planning also involves plan integration. Plan integration means that planning must be vertically integrated to ensure that all response levels have a common operational focus. Below are types of plan integration.

Visual 5.16 Alternative Text:
Three tiered pyramid that delineates the three types of planning and how they related to each other. At the top of the pyramid is Strategic Planning which is the policy objectives and overall guidance. The middle section of the pyramid is Operational Planning. Operational Planning consists of the Roles and responsibilities, tasks, integration, and actions. The bottom of the period (largest section) is Tactical Planning. Tactical Planning consists of the personnel, equipment, and resource management.

Student Notes:

Discussion Question 5

- How does policy guide strategic, operational, and tactical planning?
- How does recovery integrate into your planning?

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Visual 5.17

VISUAL 5.17– DISCUSSION QUESTION 5

- How does policy guide strategic, operational, and tactical planning?

- How does recovery integrate into your planning?

Student Notes:

Six Steps of Planning

1. Form the planning team
2. Understand the situation
3. Determine priorities, goals, and objectives
4. Develop the plan
5. Write, review, and plan approval
6. Implement and maintain the plan

FEMA

Visual 5.18

VISUAL 5.18 – SIX STEPS OF PLANNING

1. Form the planning team

2. Understand the situation

3. Determine priorities, goals, and objectives

4. Develop the plan

5. Write, review, and plan approval

6. Implement and maintain the plan

Emergency planning is not a one-time event. Rather, it is a continual cycle of planning, training, exercising, and revision that takes place throughout the five phases of the emergency management cycle (preparedness, prevention, mitigation, response, and recovery).

The planning process does have one purpose—the development and maintenance of an up-to-date emergency operations plan (EOP). An EOP can be defined as a document maintained by various jurisdictional levels describing the plan for responding to a wide variety of potential hazards.
Although the emergency planning process is cyclic, EOP development has a definite starting point.

There are six steps in the emergency planning process:

1. **Form a collaborative planning team.** Using a team or group approach helps organizations define their perception of the role they will play during an operation. One goal of using a planning team is to build and expand relationships that help bring creativity and innovation to planning during an event. This approach helps establish a planning routine so that processes followed before an event occurs are the same as those used during an event.

2. **Understand the situation.** Hazards and threats are the general problems that jurisdictions face. Researching and analyzing information about potential hazards and threats a jurisdiction may face brings specificity to the planning process. If hazards and threats are viewed as problems and operational plans are the solution, then hazard and threat identification and analysis are key steps in the planning process.

3. **Determine goals and objectives.** By using information from the hazard profile developed as part of the analysis process, the planning team thinks about how the hazard or threat would evolve in the jurisdiction and what defines a successful operation. Starting with a given intensity for the hazard or threat, the team imagines an event's development from prevention and protection efforts, through initial warning (if available), to its impact on the jurisdiction (as identified through analysis) and its generation of specific consequences (e.g., collapsed buildings, loss of critical services or infrastructure, death, injury, or displacement).

4. **Develop the plan.** The same scenarios used during problem identification are used to develop potential courses of action. For example, some prevention and protection courses of action can be developed that may require a significant initial action (such as hardening a facility) or creation of an ongoing procedure (such as checking identity cards.). Planners consider the needs and demands, goals, and objectives to develop several response alternatives.

5. **Prepare, review, and approve the plan.** The planning team develops a rough draft of the base plan, functional or hazard annexes, or other parts of the plan as appropriate. As the planning team works through successive drafts, the members add necessary tables, charts, and other graphics. A final draft is prepared and circulated to organizations that have responsibilities for implementing the plan to obtain their comments.

6. **Implement and maintain the plan.** Exercising the plan and evaluating its effectiveness involve using training and exercises and evaluation of actual events to determine whether the goals, objectives, decisions, actions, and timing outlined in the plan led to a successful response. Similarly, planners need to be aware of lessons and practices from other communities. The planning process is all about stakeholders bringing their resources and strengths to the table to develop and reinforce a jurisdiction's emergency management and homeland security programs. Properly developed, supported, and executed operational plans are a direct result of an active and evolving program.

Student Notes:

Visual 5.19

VISUAL 5.19 – DISCUSSION QUESTION 6

How do you apply the six steps of planning?

Visual 5.19 Alternative Text: Identifies the six steps of planning: Step 1 - Form a Collaborative Planning Team, Step 2 - Understand the Situation, Step 3 - Determine Goals & Objectives, Step 4 - Plan Development, Step 5- Plan Preparation, Review & Approval, Step 6 - Plan Implementation & Maintenance
Student Notes:

Visual 5.20

VISUAL 5.20 – PARTICIPANT ACTIVITY

As a class, use the tabletop (TTX) scenario to respond to the following discussion questions:

• What are your planning considerations (from the ESF perspective)?

• What drove your planning considerations?

• What could change your planning considerations?

<u>**Student Notes:**</u>

Participant Activity (cont.)

- How do you know what policy makers want?

- What roles will Federal agencies play during your incident planning?

FEMA

Visual 5.21

VISUAL 5.21 – PARTICIPANT ACTIVITY (CONT.)

- How do you know what policy makers want?

- What roles will Federal agencies play during your incident planning?

<u>**Student Notes:**</u>

Unit Summary

You should be able to:
- Describe why planning is important
- Describe how State policy guides operational/incident planning and supports tactical planning
- Identify the six steps of planning

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Visual 5.22

VISUAL 5.22 – UNIT SUMMARY:

You should now be able to:

- Describe why planning is important

- Describe how State policy guides operational/incident planning and supports tactical planning

- Identify the six steps of planning

Student Notes:
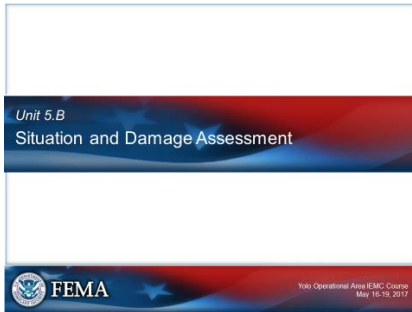
Visual 5.23

VISUAL 5.23 – UNIT 5.B

SITUATION AND DAMAGE ASSESSMENT
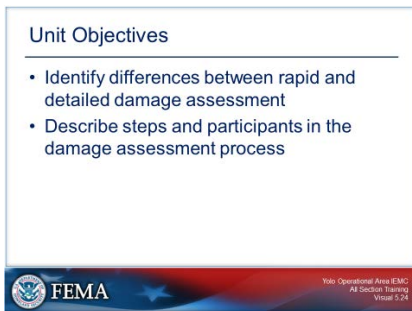
Visual 5.24

VISUAL 5.24 – UNIT OBJECTIVES

- Identify differences between rapid and detailed damage assessment

- Describe steps and participants in the damage assessment process
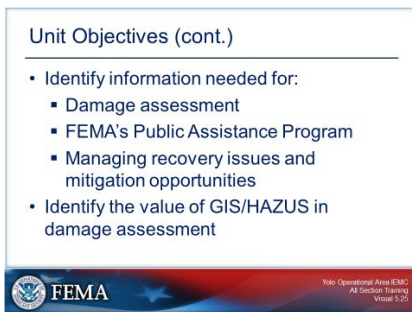
Visual 5.25

VISUAL 5.25 – UNIT OBJECTIVES (CONT.)

- Identify information needed for:

Damage assessment

FEMA's Public Assistance Program

Managing recovery issues and mitigation opportunities

- Identify the value of GIS/HAZUS in damage assessment

Visual 5.26

VISUAL 5.26 – DAMAGE ASSESSMENTS

Purpose of Data Collected:

- Response/S&R operations
- Recovery/mitigation planning
- Applications for assistance
- Public information and media relations
- Information for decision-makers

Student Notes:
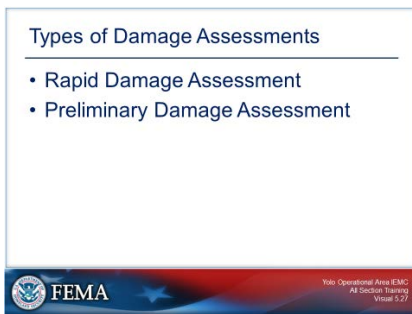
Visual 5.27

VISUAL 5.27 – TYPES OF DAMAGE ASSESSMENTS

- Rapid Damage Assessment
- Preliminary Damage Assessment
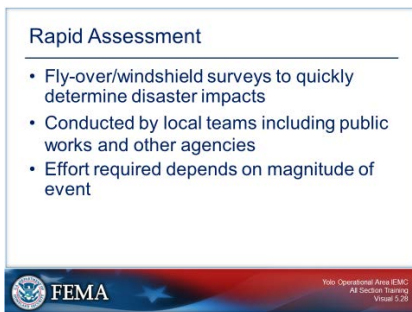
Student Notes:

Visual 5.28

VISUAL 5.28 – RAPID ASSESSMENT

- Fly-over/windshield surveys to quickly determine disaster impacts
- Conducted by local teams including public works and other agencies
- Effort required depends on magnitude of event

Student Notes:

Goals of Rapid Assessment

• Aid in life-threatening situations
• Describe magnitude of damage
• Specify needed resources
• Prioritize response efforts
• Initiate requests for aid

FEMA
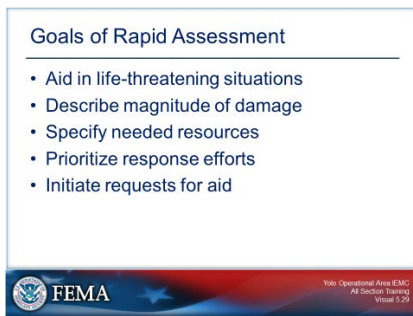
Visual 5.29

VISUAL 5.29 – GOALS OF RAPID ASSESSMENT

• Aid in life-threatening situations

• Describe magnitude of damage

• Specify needed resources

• Prioritize response efforts

• Initiate requests for aid

Student Notes:

Who is involved?

• Local government has primary responsibility
• Teams are assigned task- and area-specific duties
• Accurate and comprehensive documentation is critical

FEMA
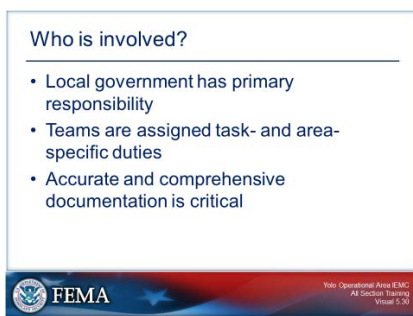
Visual 5.30

VISUAL 5.30 – WHO IS INVOLVED?

• Local government has primary responsibility

• Teams are assigned task- and area-specific duties

• Accurate and comprehensive documentation is critical

Student Notes:
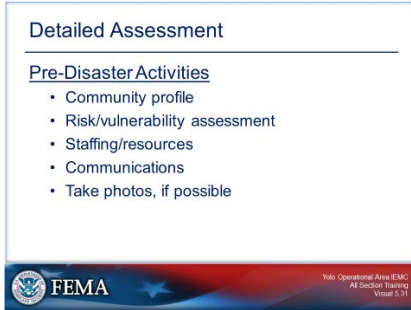
Visual 5.31

VISUAL 5.31 – DETAILED ASSESSMENT

Pre-Disaster Activities

- Community profile

- Risk/vulnerability assessment

- Staffing/resources

- Communications

- Take photos, if possible

Student Notes:
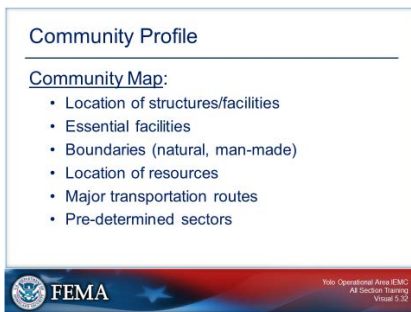
Visual 5.32

VISUAL 5.32 – COMMUNITY PROFILE

Community Map:

- Location of structures/facilities

- Essential facilities

- Boundaries (natural, man-made)

- Location of resources

- Major transportation routes

- Pre-determined sectors

Student Notes:

Visual 5.33

VISUAL 5.33 – COMMUNITY PROFILE (CONT.)

Population Information:

- General demographic data

- Special needs (schools, hospitals, prisons, etc.)

- Time-of-day changes

- Time-of-year changes

Student Notes:

Visual 5.34

VISUAL 5.34 – RISK/VULNERABILITY ASSESSMENT

- Hazard (type, probability, location, magnitude, warning)

- Hazardous facilities

- Location of resources

- High-risk populations

- Lifelines/infrastructure

- Community specific vulnerabilities

Student Notes:

Visual 5.35

VISUAL 5.35 – STAFFING AND RESOURCES

- Responders vs. non-responders

- Use of community groups

- Assignments/positioning of staff

- Call-up roster

- Equipment needs

Student Notes:

Visual 5.36

VISUAL 5.36 – COMMUNICATIONS

- Damage data must be collected, processed and reported to State

- Personnel must be trained in:

  - Communications flow

  - Methods: radio, cell phone, etc.

  - Roles and procedures

  - Urgency/accuracy of information

Student Notes:

Visual 5.37

VISUAL 5.37 – COMMUNICATIONS (CONT.)

- Many groups play a part

  - Dispatch center/911

  - Command post

  - EOC

- Coordination is critical

- State must be kept informed

Student Notes:

Information Systems Requirements

- Clear flow of information
  - Collection & Receiving assignment
- Established data processing and reporting procedures
- Systematic, consistent forms

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Visual 5.38

VISUAL 5.38 – INFORMATION SYSTEMS REQUIREMENTS

- Clear flow of information
  - Collection & Receiving assignment

- Established data processing and reporting procedures

- Systematic, consistent forms

Student Notes:

HAZUS-MH (Multiple Hazard)

- Uses GIS and Census data
  - Generate reports
- Can be used in hurricanes, floods, earthquakes
- FEMA will accept as initial damage assessment
- Free software from FEMA

FEMA

Visual 5.39

VISUAL 5.39 – HAZUS-MH (MULTIPLE HAZARD)

- Uses GIS and Census data
  - Generate reports
- Can be used in hurricanes, floods, earthquakes
- FEMA will accept as initial damage assessment
- Free software from FEMA

Student Notes:
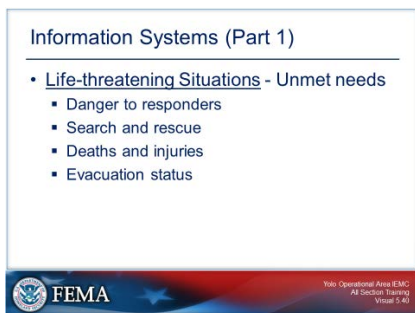
Visual 5.40

VISUAL 5.40 – INFORMATION SYSTEMS (PART 1)

- Life-threatening Situations - Unmet needs
    - Danger to responders
    - Search and rescue
    - Deaths and injuries
    - Evacuation status

Student Notes:
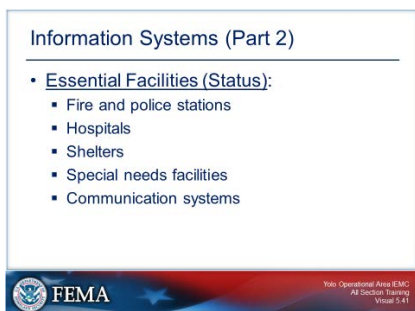
Visual 5.41

VISUAL 5.41 – INFORMATION SYSTEMS (PART 2)

- Essential Facilities (Status):
    - Fire and police stations
    - Hospitals
    - Shelters
    - Special needs facilities
    - Communication systems

Student Notes:

Information Systems (Part 3)

- Lifelines (Status):
  - Utilities
  - Transportation/highways
- Other information:
  - Major local problems
  - Resource needs
  - Imminent/secondary hazards

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Visual 5.42
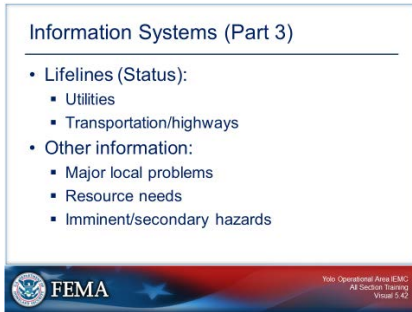
Visual 5.42

VISUAL 5.42 – INFORMATION SYSTEMS (PART 3)

- Lifelines (Status):
  - Utilities
  - Transportation/highways
- Other information:
  - Major local problems
  - Resource needs
  - Imminent/secondary hazard

Student Notes:

Federal Requirements

- Request for Public Assistance
  - Applicant information
  - Primary and alternate contacts
- Preliminary Damage (PDA) surveys
  - Joint Federal/state/local teams
  - Review of applicable records
  - Inspection of facilities

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Visual 5.43
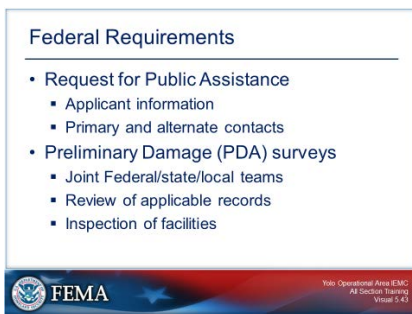
Visual 5.43

VISUAL 5.43 – FEDERAL REQUIREMENTS

- Request for Public Assistance
  - Applicant information
  - Primary and alternate contacts
- Preliminary Damage (PDA) surveys
  - Joint Federal/state/local teams
  - Review of applicable records
  - Inspection of facilities

Student Notes:

Visual 5.44

VISUAL 5.44 – FEDERAL REQUIREMENTS (CONT.)

- Project Formulation Worksheet:
  - General project information
  - Damage and proposed repairs
  - Estimated costs/unit prices
- Large and small projects

Student Notes:

Visual 5.45

VISUAL 5.45 – TRAINING/EXERCISING

- Orientation/training
- Tabletop exercise
- Full exercise
- Exercise evaluation/ debriefing
- Plan/procedure revision

Student Notes:

Visual 5.46

VISUAL 5.46 – UNIT SUMMARY

You should be able to:

- Identify differences between rapid and detailed damage assessment

- Describe steps and participants in the damage assessment process

Student Notes:

Visual 5.47

VISUAL 5.47 – UNIT SUMMARY (CONT.)

- Identify information needed for:
    - Damage assessment
    - FEMA's Public Assistance Program
    - Managing recovery issues and mitigation opportunities
- Identify the value of GIS/HAZUS in damage assessment

Student Notes:

Visual 5.48

VISUAL 5.48 – UNIT 5.C

CRITICAL INFRASTRUCTURE / KEY RESOURCES

Visual 5.49

VISUAL 5.49 – OBJECTIVES

- Describe the relationship between the National Response Framework (NRF) and critical infrastructure and key resources (CIKR) prevention, protection, response, and recovery activities.

- Describe how the NRF promotes engaged partnerships to enhance our Nation's incident management capabilities.

Student Notes:

Visual 5.50

VISUAL 5.50 – OBJECTIVES (CONT.)

- Identify the processes defined in the NRF for ensuring that CIKR considerations are integrated into incident response efforts.

- Define the role of the Infrastructure Liaison in supporting coordination with the CIKR sectors and all levels of partners.

- Identify actions that you can take to build capabilities for implementing the NRF CIKR Support Annex.

Student Notes:
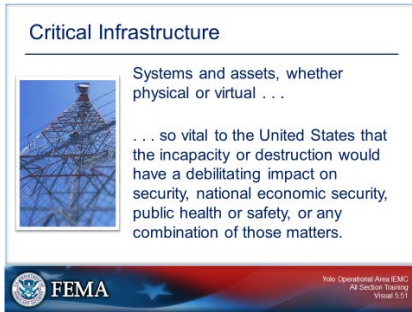
Visual 5.51

VISUAL 5.51 – CRITICAL INFRASTRUCTURE

Systems and assets, whether physical or virtual . . .

. . . so vital to the United States that the incapacity or destruction would have a debilitating impact on security, national economic security, public health or safety, or any combination of those matters.

Visual 5.51 Photo Caption: *Photo of a communication tower.*

Student Notes:
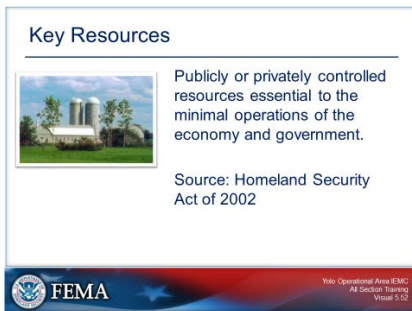
Visual 5.52

VISUAL 5.52 – KEY RESOURCES

Publicly or privately controlled resources essential to the minimal operations of the economy and government.

Source: Homeland Security Act of 2002

The National Infrastructure Protection Plan (NIPP), 2009, Glossary of Key Terms, is the source for the definitions of critical infrastructure and key resources. These definitions are derived from the provisions of the Homeland Security Act of 2002 and Homeland Security Presidential Directive 7 (HSPD-7).

Visual 5.52 Photo Caption: *Photo of a farm.*

Student Notes:

Visual 5.53

VISUAL 5.53 – THREATS TO CIKR

- The Terrorist Threat
- All-Hazards Approach

Visual 5.53 Photo Caption: *Photo on the left shows an image of a collapsed building with an American Flag placed in the rubble. The photo on the right shows an image of first responders climbing on a roof of a flooded house.*

Student Notes:
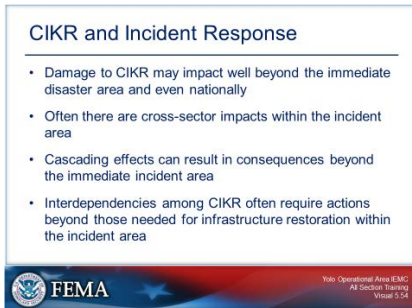
Visual 5.54
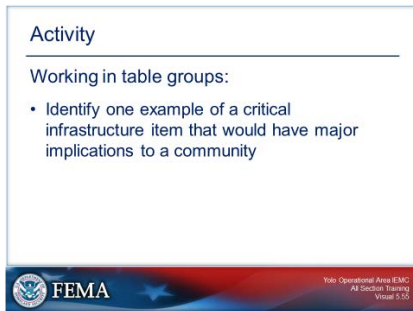
VISUAL 5.54 – CIKR AND INCIDENT RESPONSE

- Damage to CIKR may impact well beyond the immediate disaster area and even nationally
- Often there are cross-sector impacts within the incident area
- Cascading effects can result in consequences beyond the immediate incident area
- Interdependencies among CIKR often require actions beyond those needed for infrastructure restoration within the incident area

The vast majority of CIKR is owned and operated by the private sector.

Owners and operators are responsible for the protection, response, and restoration of their facilities and services.

Student Notes:

Activity

Working in table groups:

• Identify one example of a critical infrastructure item that would have major implications to a community

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Visual 5.55

Visual 5.55

VISUAL 5.55 – ACTIVITY

Working in table groups:

• Identify one example of a critical infrastructure item that would have major implications to a community

Instructor Notes:
Identifying one example of critical infrastructure in your jurisdiction.

Describing:

• Potential threats or risks.

• Likely consequences of a terrorist attack, natural disaster, or other emergency.

Be prepared to present your team's answers in 5 minutes.

Remember that damage to critical infrastructure often has a wider impact than just within the incident area. Therefore, protection of CIKR, as well as well-planned and integrated CIKR-related response activities when incidents do occur, are essential to the Nation's security, public health and safety, economic vitality, and way of life.

Student Notes:
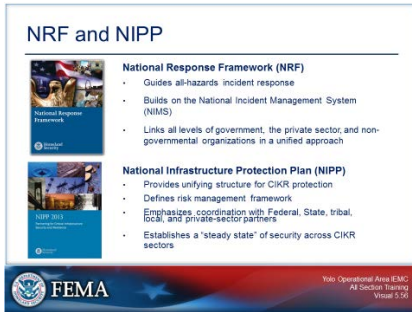
Visual 5.56

VISUAL 5.56 – NRF AND NIPP

National Response Framework (NFR)

- Guides all-hazards incident response

- Builds on the National Incident Management System (NIMS)

- Links all levels of government, the private sector, and non-governmental organizations in a unified approach

National Infrastructure Protection Plan (NIPP)

- Provides unifying structure for CIKR protection

- Defines risk management framework

- Emphasizes coordination with Federal, State, tribal, local, and private-sector partners

- Establishes a "steady state" of security across CIKR sectors

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

National Infrastructure Protection Plan (NIPP): The overarching goal of the NIPP is to build a safer, more secure, and more resilient America by:

- Enhancing protection of the Nation's CIKR to prevent, deter, neutralize, or mitigate the effects of deliberate efforts by terrorists to destroy, incapacitate, or exploit them; and

- Enabling national preparedness, timely response, and rapid recovery in the event of an attack, natural disaster, or other emergency.

- The NIPP and its associated CIKR Sector-Specific Plans (SSPs) work in conjunction with the NRF and its supporting annexes to provide a foundation for CIKR preparedness, protection, response, and recovery efforts in an all-hazards context.

In fact, day-to-day public-private coordination structures, information-sharing networks, and risk management frameworks used to implement NIPP steady-state CIKR protection efforts continue to function and enable coordination and support for CIKR protection and restoration for incident management activities under the NRF.

Visual 5.56 Photo Caption:

Top Photo: Image of the FEMA National Response Framework. Image Hyperlink to Document.

Bottom Photo: Image of Department of Homeland Security National Infrastructure Protection Plan, 2009. Image hyperlink linked to document.

Student Notes:

Visual 5.57

VISUAL 5.57 – FEDERAL CIKR RESPONSE ACTIVITIES

- Identify, prioritize, and coordinate Federal action in support of the protection of CIKR

- Integrate CIKR protective programs with the all-hazards approach to domestic incident management described in HSPD-5

- Integrate national efforts for the protection and recovery of CIKR

- Document and share lessons learned

The Department of Homeland Security (DHS) responsibilities for CIKR support that are most applicable during incident response include:

- Identifying, prioritizing, and coordinating Federal action in support of the protection of nationally critical assets, systems, and networks, with a particular focus on CIKR that could be exploited to cause catastrophic health effects or mass casualties comparable to those produced by a weapon of mass destruction.

- Establishing and maintaining a comprehensive, multitiered, dynamic information-sharing network designed to provide timely and actionable threat information, assessments, and warnings to public- and private-sector CIKR partners. This responsibility includes protecting sensitive information voluntarily provided by the private sector and facilitating the development of sector-specific and cross-sector information-sharing and analysis systems, mechanisms, and processes.

- Coordinating, facilitating, and supporting comprehensive risk assessment programs for high-risk CIKR, identifying protection priorities across sectors and jurisdictions, and integrating CIKR protective programs with the all-hazards approach to domestic incident management described in HSPD-5.

- Identifying and implementing plans and processes for threat-based increases in protective measures that align to all-hazards warnings, specific threat vectors as appropriate, and each level of the Homeland Security Advisory System (HSAS).

- Conducting modeling and simulations to analyze sector, cross-sector, and regional dependencies and interdependencies, to include cyber-related issues, and sharing the results with CIKR partners as appropriate.

- Integrating national efforts for the protection and recovery of CIKR, including analysis, warning,

information sharing, vulnerability reduction, and mitigation activities and programs.

- Documenting and sharing lessons learned from exercises, actual incidents, and predisaster mitigation efforts and applying those lessons, where applicable, to CIKR protection efforts.

- Working with the Department of State, Sector-Specific Agencies (SSAs), and other NIPP partners to ensure that U.S. CIKR protection efforts are fully coordinated with international partners.

Student Notes:
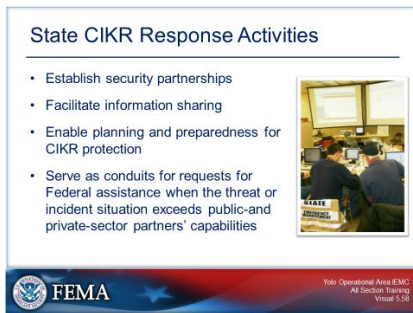
Visual 5.58

VISUAL 5.58 – STATE CIKR RESPONSE ACTIVITIES

- Establish security partnerships

- Facilitate information sharing

- Enable planning and preparedness for CIKR protection

- Serve as conduits for requests for Federal assistance when the threat or incident situation exceeds public- and private-sector partners' capabilities

State, tribal, and local government entities establish security partnerships, facilitate information sharing, and enable planning and preparedness for CIKR protection within their jurisdictions.

State governments are responsible for:

- Developing and implementing statewide or regional CIKR protection programs integrated into homeland security and incident management programs.

- Serving as crucial coordination hubs, bringing together prevention, preparedness, protection, response, and recovery authorities, capacities, and

resources among local jurisdictions, across sectors, and across regional entities.

- Acting as conduits for requests for Federal assistance when the threat or incident situation exceeds the capabilities of public- and private-sector CIKR partners in their jurisdictions.

- Coordinating with the State, Local, Tribal, and Territorial Government Coordinating Council (SLTTGCC) to ensure full integration with national- and regional-level CIKR prevention, protection, response, and restoration efforts.

Visual 5.58 Photo Caption: State emergency management personnel at an emergency operations center.

Student Notes:
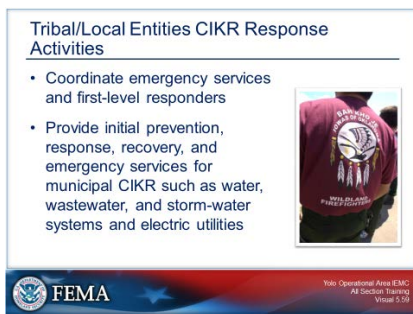
Visual 5.59

VISUAL 5.59 – TRIBAL/LOCAL ENTITIES CIKR RESPONSE ACTIVITIES

- Coordinate emergency services and first-level responders

- Provide initial prevention, response, recovery, and emergency services for municipal CIKR such as water, wastewater, and storm-water systems and electric utilities

Tribal governments are responsible for public health, welfare, safety, CIKR protection, and continuity of essential services within their jurisdictions.

Local governments usually are responsible for emergency services and first-level responses to CIKR incidents. In some sectors, local governments own and operate CIKR such as water, wastewater, and stormwater systems and electric utilities, and are responsible for initial prevention, response, recovery, and emergency services provision.

Visual 5.59 Photo Caption: *A picture of a Tribal firefighter.*
Student Notes:
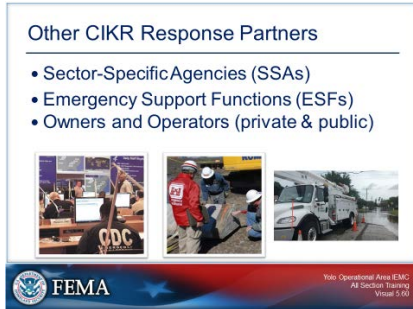
Visual 5.60

VISUAL 5.60 – OTHER CIKR RESPONSE PARTNERS

- Sector-Specific Agencies (SSAs)

- Emergency Support Functions (ESFs)

- Owners and Operators (private & public)

Visual 5.60 Photo Caption: *Photo on left is an image of CDC EOC. Middle photo is image of US Army Corps of Engineer Staff inspecting damages. Right photo shows a power company basket lift truck.*

Student Notes:
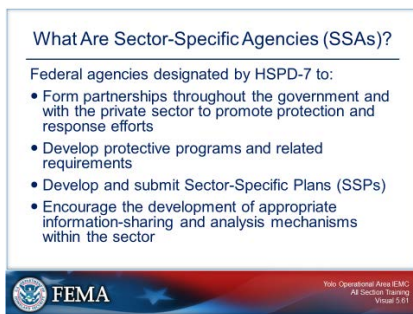
Visual 5.61

VISUAL 5.61 – WHAT ARE SECTOR-SPECIFIC AGENCIES (SSAS)?

Federal agencies designated by HSPD-7 to:

- Form partnerships throughout the government and with the private sector to promote protection and response efforts

- Develop protective programs and related requirements

- Develop and submit Sector-Specific Plans (SSPs)

- Encourage the development of appropriate information-sharing and analysis mechanisms within the sector

HSPD-7 designated responsibility to various Federal Government departments and agencies to serve as Sector-Specific Agencies (SSAs) for each of the CIKR sectors.

SSAs are responsible for working with DHS to:

- Implement the NIPP sector partnership model and risk management framework.

- Develop protective programs and related requirements.

- Provide sector-level CIKR protection guidance.

In addition, SSAs collaborate with partners to:

- Develop and submit Sector-Specific Plans (SSPs) and sector-level performance feedback.

- Encourage the development of appropriate information-sharing and analysis mechanisms within the sector.

Student Notes:

Visual 5.62

VISUAL 5.62 – SSAS & CRITICAL INFRASTRUCTURE SECTORS

Sector-Specific Agency

- Department of Agriculture

- Department of Health and Human Services

- Department of Defense

- Department of Energy

- Department of Treasury

- Environmental Protection Agency

- Department of Homeland Security

- Department of Homeland Security, General Services Administration

- Department of Homeland Security, Department of Transportation

Critical Infrastructure Sector

- Food and Agriculture

- Defense Industrial Base

- Energy

- Healthcare and Public Health

- Financial Services

- Water and Wastewater Services

- Chemical; Commercial Facilities; Communications; Critical Manufacturing; Dams; Emergency Services; Information Technology; Nuclear Reactors, Materials and Waste

- Government Facilities

- Transportation Systems

Student Notes:
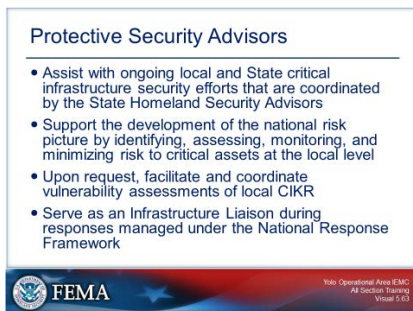
Visual 5.63

VISUAL 5.63 – PROTECTIVE SECURITY ADVISORS

- Assist with ongoing local and State critical infrastructure security efforts that are coordinated by the State Homeland Security Advisors

- Support the development of the national risk picture by identifying, assessing, monitoring, and minimizing risk to critical assets at the local level

- Upon request, facilitate and coordinate vulnerability assessments of local CIKR

- Serve as an Infrastructure Liaison during responses managed under the National Response Framework

Protective Security Advisors also:

- Provide reach-back capability to DHS and other Federal Government resources.

- Assist in verification of critical asset information for accurate inclusion into the National Asset Database.

- Provide local context and expertise to DHS to ensure that community resources are used effectively.

- Facilitate the flow of programmatic information between all parties with a vested interest in CIKR protection.

- Work in State and local emergency operations centers (EOCs) to provide expertise and serve as the DHS/Office of Infrastructure Protection's Infrastructure Liaison, who supports the Principal Federal Official and Federal Coordinating Officer responsible for domestic incident management.

- Support comprehensive risk analyses of local CIKR.

- Assist in the review and analysis of physical/technical security of local CIKR.

- Convey local concerns and sensitivities to DHS and other Federal agencies.

- Relay disconnects between local, regional, and national protection activities.

- Communicate requests for Federal training and exercises.

Student Notes:
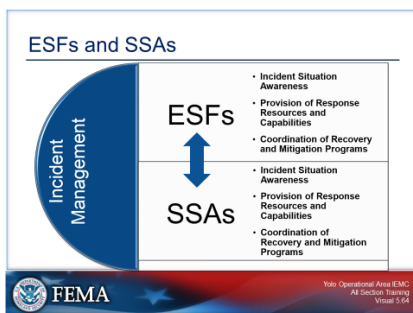
Visual 5.64

VISUAL 5.64 – ESFS AND SSAS

Visual 5.64 Figure Caption: Depicts a chart demonstrating the linkage between Emergency Support Functions (ESFs) and Sector-Specific Agencies (SSAs) during Incident Management. Incident Management encompasses both ESFs and SSAs text boxes in this diagram.

ESFs text box consists of:

- *Incident Situation Awareness*

- *Provision of Response Resources and Capabilities*

- *Coordination of Recovery and Mitigation Programs*

SSAs text box consists of:

- *Incident Situation Awareness*

- *Provision of Response Resources and Capabilities*

- *Coordination of Recovery and Mitigation Programs*

The ESFs' and SSAs' text box are linked by a double arrow.

Student Notes:
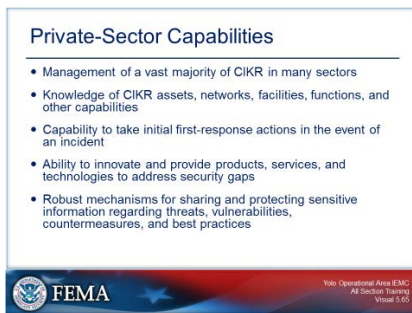
Visual 5.65

VISUAL 5.65 – PRIVATE-SECTOR CAPABILITIES

- Management of a vast majority of CIKR in many sectors

- Knowledge of CIKR assets, networks, facilities, functions, and other capabilities

- Capability to take initial first-response actions in the event of an incident

- Ability to innovate and provide products, services, and technologies to address security gaps

- Robust mechanisms for sharing and protecting sensitive information regarding threats, vulnerabilities, countermeasures, and best practices

The vast majority of CIKR in many sectors is owned and operated by the private sector.

Private-sector owners and operators have a detailed knowledge of the CIKR assets they own and manage including the networks, facilities, functions, and other capabilities. That knowledge is not available to government agencies or other organizations that are not involved in the day-to-day management of these assets.

Private-sector owners and operators are there, on the ground, when an incident occurs and are thus able to take initial first-response actions.

Private-sector owners and operators are accustomed to using innovation to meet their business goals and these same abilities can be applied to provide products, services, and technologies to address security gaps.

Private-sector owners and operators have robust mechanisms in place for protecting sensitive business information while sharing best business practices. These same mechanisms can be used to share and protect sensitive information regarding threats, vulnerabilities, countermeasures, and security best practices.

Student Notes:
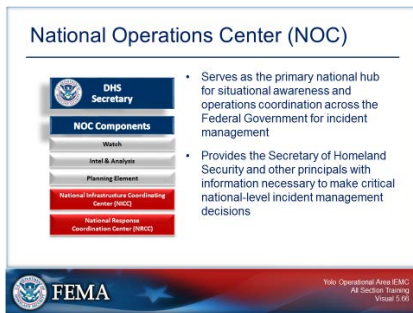
Visual 5.66

VISUAL 5.66 – NATIONAL OPERATIONS CENTER (NOC)

- Serves as the primary national hub for situational awareness and operations coordination across the Federal Government for incident management

- Provides the Secretary of Homeland Security and other principals with information necessary to make critical national-level incident management decisions

The National Operations Center (NOC) is the primary national hub for situational awareness and operations coordination across the Federal Government for incident management. The NOC includes the following components:

NOC – Interagency Watch (NOC-Watch): The NOC-Watch is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private-sector reporting. The NOC-Watch facilitates homeland security information sharing and operational coordination with other Federal, State, tribal,

local, and nongovernmental emergency operations centers (EOCs).

Intelligence and Analysis (NOC-I&A): NOC-I&A is responsible for interagency intelligence collection requirements, analysis, production, and product dissemination for DHS. The NOC-I&A provides threat information, analysis, and intelligence to all levels of government.

Interagency Planning Element (NOC-Planning): NOC-Planning conducts strategic-level operational incident management planning and coordination.

National Infrastructure Coordinating Center (NOC-NICC): The NOC-NICC monitors the Nation's CIKR on an ongoing basis. The NOC-NICC supports government and private-sector partners to protect and restore CIKR.

National Response Coordination Center (NOC-NRCC): As a component of the NOC, the NRCC serves as the DHS/Federal Emergency Management Agency (FEMA) primary operations center responsible for national incident response and recovery as well as national resource coordination. As a 24/7 operations center, the NRCC monitors potential or developing incidents and supports the efforts of regional and field components.

Student Notes:
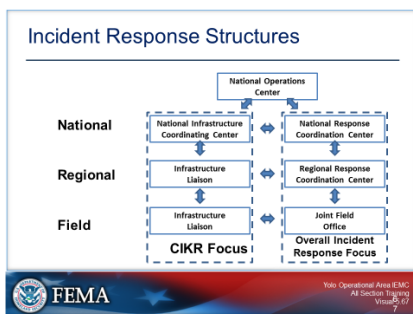
Visual 5.67

VISUAL 5.67 – INCIDENT RESPONSE STRUCTURES

Visual 5.67 Organization Chart. At the top of the Organization Chart is the National Operations Center. Under the National Operations Center (NOC) are two columns a CIKR Focus and an Overall Incident Response Focus. The CIKR focus contains the National Infrastructure Coordinating Center (linked with double arrow to the NOC), the infrastructure liaison, and a second infrastructure liaison. All these entities are linked with a double-sided arrow to each other.

Under the Overall Incident Response Focus is the National Response Coordination Center (linked with a double arrow to the NOC), the Regional Response Coordination Center, and the Joint Field Office. All of these entities are also linked from National to Regional Response Coordination Center and the Joint Field Office by a double arrow.

The entities within the CIKR Focus column and the Overall Incident Response Focus column are also linked together by a double arrow. The National Infrastructure Coordinating Center is linked to the National Response Coordination Center. An Infrastructure Liaison is linked to the Regional Response Coordination Center. The second Infrastructure Liaison is also linked to the Joint Field Office.

- National organizational structures described in the NRF and NIPP provide formal and informal mechanisms for public- and private-sector coordination, situational awareness, impact assessments, and information sharing in regard to CIKR-related concerns on a sector-by-sector and/or a cross-sector basis.

- This coordination allows for broader engagement in one or more affected sectors. It also allows sectors to plan for and quickly react to far-reaching effects from an incident (or multiple incidents) and to alert individual owners and operators of the need to take specific actions to minimize impacts.

Student Notes:
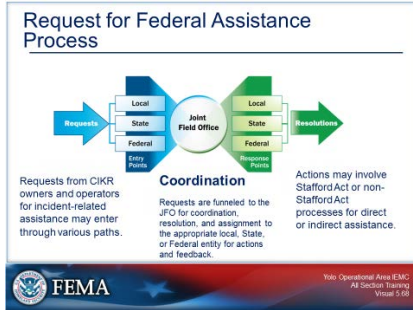
Visual 5.68

VISUAL 5.68 – REQUEST FOR FEDERAL ASSISTANCE PROCESS

Coordination:

Requests from CIKR owners and operators for incident-related assistance may enter through various paths.

Requests are funneled to the JFO for coordination, resolution, and assignment to the appropriate local, State, or Federal entity for actions and feedback.

Actions may involve Stafford Act or non- Stafford Act processes for direct or indirect assistance.

Visual 5.68 Figure Caption - Flow Chart illustrating the flow of requests for Federal assistance.

Requests enter from the left and can enter the process through either the Local, State, or Federal Entry Points. (These entry points are linked together in this process). Requests then flow to the Joint Field Office in the center of the diagram. On the right of the Joint Field office are the response Points (Local, State, or Federal) that are also linked together. From the Response Points, Resolutions flow outside of the diagram.

Student Notes:
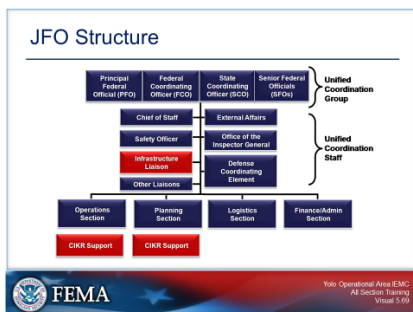
Visual 5.69

VISUAL 5.69 – JFO STRUCTURE

Visual 5.69 JFO Organization Chart. At the top of the chart is the Unified Coordination Group which consists of the Principal Federal Official (PFO), Federal Coordinating Officer (FCO), State Coordinating Officer (SCO), and the Senior Federal Officials (SFOs). The Unified Coordination Group is linked to the Unified Coordination Staff.

The Unified Coordination Staff consists of the Chief of Staff, Safety Officer, Infrastructure Liaison, Other Liaisons, External Affairs, Office of the Inspector General, and the Defense Coordinating Element.

The Unified Coordination Staff is linked to the Operations Section, Planning Section, Logistics Section, and the Finance/Admin Section. Under the Operations Section is CIKR Support. Under the Planning Section is CIKR Support.

The JFO is led by the Unified Coordination Group. The Unified Coordination Group typically consists of the Principal Federal Official (PFO) (if designated), Federal Coordinating Officer (FCO), State Coordinating Officer (SCO), and senior officials from other entities with primary statutory or jurisdictional responsibility and significant operational responsibility for an aspect of an incident (e.g., the Senior Health Official or Senior Federal Law Enforcement Official if assigned). Within the Unified Coordination Group, the FCO is the primary Federal official responsible for coordinating, integrating, and synchronizing Federal response activities.

Refer to the red boxes on the visual. Note that an Infrastructure Liaison may be assigned to the Unified Coordination Staff. CIKR support may also be provided to the Operations and Planning Sections. The Infrastructure Liaison function is task organized and task dependent on the needs of the incident and the requirements of the PFO, the Unified Coordination Group, and the Incident Management Team.

Student Notes:

Infrastructure Liaison Role

- Serves as a liaison between the national- and regional-level CIKR, the private sector, and the JFO
- Coordinates CIKR and ESF issues between the JFO Coordination Group and the DHS/Office of Infrastructure Protection (IP) representatives located at the NOC, the NRCC, and other operation centers or venues
- Provides situational awareness on the affected CIKR and periodic updates to the JFO Coordination Group

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                        All Section Training
                        Visual 5.70

Visual 5.70

VISUAL 5.70 – INFRASTRUCTURE LIAISON ROLE

- Serves as a liaison between the national- and regional-level CIKR, the private sector, and the JFO

- Coordinates CIKR and ESF issues between the JFO Coordination Group and the DHS/Office of Infrastructure Protection (IP) representatives located at the NOC, the NRCC, and other operation centers or venues

- Provides situational awareness on the affected CIKR and periodic updates to the JFO Coordination Group

The Infrastructure Liaison, in collaboration with SSAs and all activated ESFs, provides prioritized recommendations regarding CIKR concerns to the Unified Coordination Group and the PFO (if appointed).

The prioritized CIKR recommendations are developed using a collaborative process involving the cooperating agencies to this annex as well as CIKR owners and operators; State, tribal, and local entities; and others as appropriate. The prioritized recommendations are used by the Unified Coordination Group to support incident-related decision-making processes and the efficient application of limited resources within the affected area.

The Infrastructure Liaison provides knowledge and expertise regarding unique CIKR considerations, including: (a) impacts to nationally and regionally critical CIKR within the incident area; (b) cross-sector impacts within the incident area; (c) cascading effects that can result in consequences beyond the immediate incident area; (d) interdependencies that require actions beyond those needed for infrastructure restoration within the incident area; and (e) potential gaps or overlapping responsibilities among Federal departments and agencies that may function as SSAs, ESF primary or supporting agencies, or statutory or regulatory authorities.

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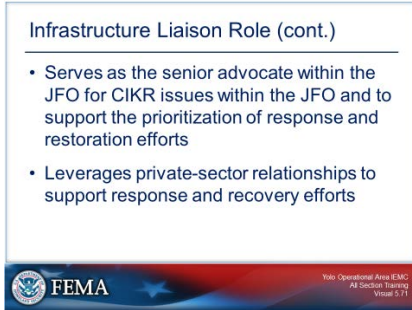
Visual 5.71

VISUAL 5.71 – INFRASTRUCTURE LIAISON ROLE (CONT.)

- Serves as the senior advocate within the JFO for CIKR issues within the JFO and to support the prioritization of response and restoration efforts

- Leverages private-sector relationships to support response and recovery efforts

Student Notes:

Visual 5.72

VISUAL 5.72 – UNIT 5.D

STRESS MANAGEMENT
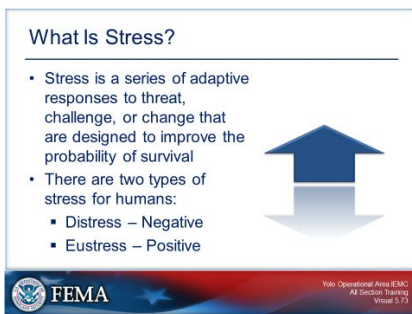
Visual 5.73

VISUAL 5.73 – WHAT IS STRESS?

- Stress is a series of adaptive responses to threat, challenge, or change that are designed to improve the probability of survival

- There are two types of stress for humans:

  - Distress - Negative

  - Eustress – Positive

Stress isn't necessarily a bad thing. Stress is a series of adaptive responses (pumping adrenalin, quickened heartbeat, heightened senses, etc.) to threat, challenge, or change that are designed to improve the probability of survival. It is the basis of the "fight vs. flight" impulse.

There are two types of stress for humans—one negative and one positive.

Distress: Distress leaves you feeling under pressure, anxious, frustrated, and not at your best. It can sap your energy and leave you feeling unhealthy.

Eustress: There is a good form of stress called "eustress" ("eu" is from the Greek, meaning good or positive). This type of stress comes from embracing or seeking change or opportunity—a better outcome. Eustress is a form of stress that is taking you somewhere, the kind of pressure that gets you motivated to accomplish something or that leads you to an act of fulfillment. Eustress can result in peak performance.

Student Notes:

Visual 5.74

VISUAL 5.74 – DISTRESS VS. EUSTRESS
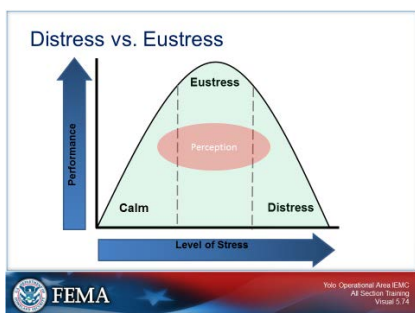
Visual 5.74 Figure Caption: This diagram represents one view of the relationship between level of stress and performance.

When there is a very low level of stress, there is a sense of calm and little impact on performance (unless the person is overtaken by sheer boredom, which could detract from performance).

As the level of stress increases, it can be a positive force, pushing us to achieve and resulting in higher levels of performance. This is <u>eustress</u>. Some say that a "reasonable" amount of pressure, anxiety, or fear in the environment leads to higher performance among employees than if stress is not present.

At some point, if there is a high level of stress, it may become too much for the individual and have a negative impact on performance. This is <u>distress</u>. Distress occurs when the demands placed on the body (physical, emotional, and cognitive) exceed its capacity to expend energy in maintaining balance.

Perception plays an important part in whether stress is experienced as distress or eustress. The individual determines whether the experience is eustress or distress. That is, eustress is primarily a result of positive

perception of stressors, and distress is primarily a result of negative perception of stressors. For example, one person might be energized by a large and complicated task while another might become rattled and less effective.

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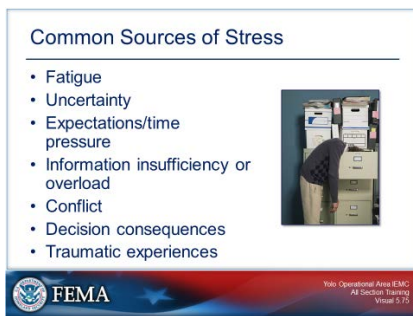
Visual 5.75

VISUAL 5.75 – COMMON SOURCES OF STRESS

- Fatigue

- Uncertainty

- Expectations/time pressure

- Information insufficiency or overload

- Conflict

- Decision consequences

- Traumatic experiences

People involved in emergency management often experience stress in response to:

Fatigue resulting from strenuous work, long hours, heavy workload, high demands over a long period, lack of sleep.

Uncertainty about requirements, procedures, the situation, the future, or whether they will be able to succeed at the task.

High expectations (imposed by self or others) combined with time pressure (much to do in a short period of time). A related stressor is inadequate resources to get the job done.

Information insufficiency or overload. This can occur when there isn't enough information available on which to base important decisions, or there is conflicting or unclear information, or there is so much information that it is difficult to get a clear picture.

Conflict, which may include:

Interpersonal conflict (for example, between colleagues or between manager and staff member).

Conflict between the individual and the group. This type of conflict often presents itself as role conflict (for example, between your role as an emergency manager and your role in the family).

Conflict between one group and another (for example, between county and State or between a government entity and a nongovernmental organization).

Decision consequences—when there is a lot riding on the decisions you make, such as people's safety and welfare.

Traumatic experiences such as exposure to danger or witnessing widespread damage, injury, loss of life, and grief.

Visual 5.75 Image Caption: A man with his head in a filing cabinet.

Student Notes:
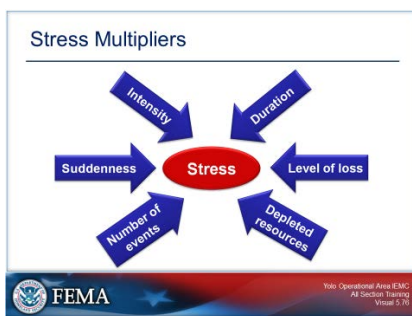
Visual 5.76

VISUAL 5.76 – STRESS MULTIPLIERS

Many things can multiply the impact of stress on an individual. The following are examples:

- Number of events: If you go through multiple stressful events in a row without a chance to recuperate, your ability to cope will be less than during the first event.

- Suddenness: Sudden onset of a stressful situation can increase the level of stress.

- Intensity or degree of stress (perceived or real): Deeper stress naturally has a greater impact than light stress.

- Duration: The longer stress is present, the greater harm it can do.

- Level of loss: Heavy losses (e.g., personal possessions, friends, family) can produce greater levels of grief, which add to the level of stress.

- Depleted coping skills/resources: If your coping skills and resources are depleted—or were at low levels to begin with—the stress you experience will appear greater.

Visual 5.76 Image Caption: Six arrows pointing to a central circle. The circle says Stress and the arrows say: Intensity, Duration, Level of loss, Depleted resources, Number of events, and Suddenness.

Student Notes:

Visual 5.77

VISUAL 5.77 – COMMON SIGNS AND SYMPTOMS (1 OF 3)

Physical

- Headache

- Stomach/intestinal problems

- Back pain, stiff neck

- Fatigue

- Difficulty sleeping

- Change in appetite

Visual 5.77 Photo Caption: A woman with a headache.

Student Notes:

Visual 5.78

VISUAL 5.78 – COMMON SIGNS AND SYMPTOMS (2 OF 3)

Emotional

- Mood swings

- Anger, irritability

- Sadness, easy tearfulness

- Cynicism or negativity

- Self-criticism or self-doubt

- Guilt

- Tension or anxiety

Emotional signs of stress may not be as easy to recognize as physical symptoms.

Mood swings, anger, irritability: High stress can cause mood swings and increased episodes of anger. The purpose of anger is to give us psychic energy to change something. When someone around you has angry outbursts, it is important to acknowledge the emotion. For example, you can ask, "What needs to be changed? (As angry as you are, there must be something pretty important to change.)" Then listen—be silent, let them struggle if needed; growth comes from struggle.

Sadness, easy tearfulness: Another result of stress is sadness (anhedonia, meaning "without joy"). Anhedonia is like a bad case of the blahs over time. It's sadness, not depression, and it's a normal response to stress. (Sadness is normal; depression is not.)

Cynicism, negativity, distrust: Disasters can leave people feeling a lack of control over their lives and their surroundings, and a feeling of betrayal (nature failed them, material things failed them, government couldn't protect them, etc.). These negative emotions can lower one's level of trust and bring on feelings of cynicism.

Self-criticism, self-doubt, guilt: When things go wrong and stress builds up, many people respond with self-criticism, self-doubt, and guilt. "If only I had .

Tension or anxiety: High stress can leave a person feeling tense, anxious, jumpy, or in a prolonged worried state, which in turn can produce cognitive difficulties.

Visual 5.78 Photo Caption: *Image of 2 people displaying different forms of stress - depression and someone yelling.*

Student Notes:

Visual 5.79

VISUAL 5.79 – COMMON SIGNS AND SYMPTOMS (3 OF 3)

Cognitive

- Forgetfulness

- Difficulty concentrating

- Decreased learning speed

- "Flashbulb memories" and memory gaps

- Repetitious thoughts

Visual 5.79 Photo Caption: *A woman who looks like she is thinking.*

Student Notes:

Visual 5.80

VISUAL 5.80 – STRESS RESPONSE

- Acute
  - Quick Response
  - Relates to the Incident
- Delayed
  - Sets in after about 3 days
  - Incident Specific

- Cumulative
  - Builds up over several incidents
  - Usually more problematic than stress from one incident

Stress can lead to cognitive difficulties. Examples include:

Forgetfulness and difficulty concentrating: High stress can be distracting and make you cognitively less efficient. This can show up as "losing" things, being unable to stay focused on what you are doing, and forgetting whether you have or haven't done something (because your mind was elsewhere while you were doing it). It can also lead to mistakes, so the quality of work suffers.

Learning: Difficulty concentrating also affects the ability to learn. Under stress, learning speed slows down about 20 percent. Remember, local volunteers have been through the disaster themselves, and it will likely take them longer to absorb the training than it would under normal conditions.

Memory: When you're highly stressed, your brain works differently. The brain creates "flashbulb memories." Memories are actually compilations of fragments of memories—mostly thoughts or words that we put together as memories. Under stress, we create sensory memories that often contain very vivid imagery—deeper and more elaborate but occupying fewer memory units. The vivid imagery gets replayed as flashbulb memories, and there tend to be memory gaps. (While the brain was registering sensory memories, it was failing to register other types of memories.)

Repetitious thoughts: During stressful times there is a tendency to "replay mental tapes" repeatedly in order to process them. In the end, it helps us accept the experiences, but in the meantime it can interfere with concentration on other things.
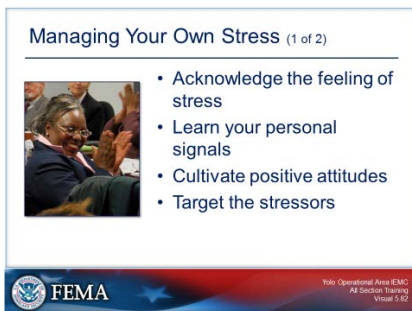
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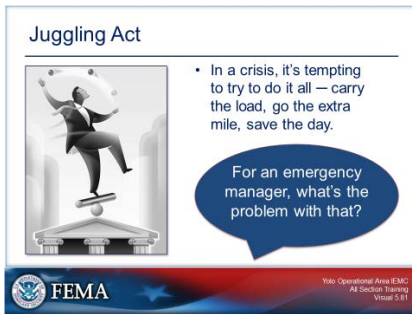
Visual 5.81

VISUAL 5.81 – JUGGLING ACT

- In a crisis, it's tempting to try to do it all ─ carry the load, go the extra mile, save the day.

Discussion Question:

For an emergency manager, what's the problem with that?

Visual 5.81 Image Caption: *A graphic image of a man juggling.*
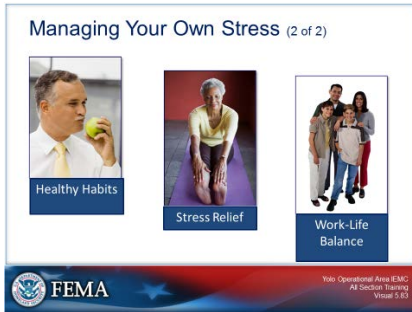
Student Notes:

Visual 5.82

VISUAL 5.82 – MANAGING YOUR OWN STRESS (1 OF 2)

- Acknowledge the feeling of stress
- Learn your personal signals
- Cultivate positive attitudes
- Target the stressors

Visual 5.82 Image Caption: *A woman smiling and clapping.*

Student Notes:

Visual 5.83

VISUAL 5.83 – MANAGING YOUR OWN STRESS (2 OF 2)

- Healthy Habits
- Stress Relief
- Work-Life Balance

Visual 5.83 Photo Caption: *Photo on the left labeled Healthy Habits shows a man eating an apples. Photo in the middle labeled Stress Relief shows a woman doing yoga. Photo on the right labeled Work-Life Balance shows a smiling family.*
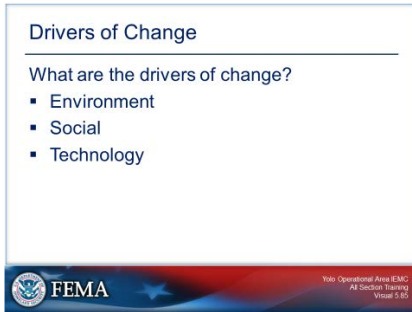
Student Notes:

Visual 5.84

VISUAL 5.84 – UNIT 5.E
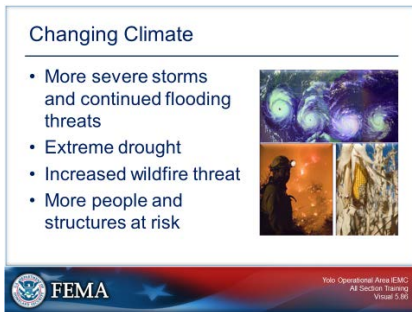
THE FUTURE OF EMERGENCY MANAGEMENT

Visual 5.85

VISUAL 5.85 – DRIVERS OF CHANGE

What are the drivers of change?

- Environment

- Social

- Technology

Student Notes:

Visual 5.86

VISUAL 5.86 – CHANGING CLIMATE

- More severe storms and continued flooding threats

- Extreme drought

- Increased wildfire threat

- More people and structures at risk

Visual 5.86 Photo Caption: A collage of images of hurricanes, forest fires, and crop failures as a result of a drought.
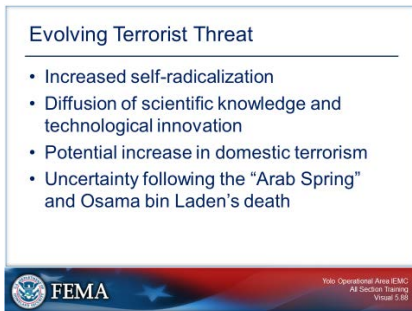
Student Notes:

Visual 5.87

VISUAL 5.87 – AGING INFRASTRUCTURE

- Nearing End of Life Cycle

- In Danger of Failing

What are the implications?

Visual 5.87 Photo Image: Collage of photos: Collapsed bridge with vehicles in water. Collapsed electric towers. Emergency Room entrance.

Student Notes:

Visual 5.88

VISUAL 5.88 – EVOLVING TERRORIST THREAT

- Increased self-radicalization

- Diffusion of scientific knowledge and technological innovation

- Potential increase in domestic terrorism

- Uncertainty following the "Arab Spring" and Osama bin Laden's death
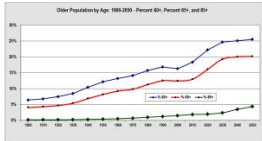
Student Notes:

Visual 5.89

VISUAL 5.89 – CHANGING ROLE OF THE INDIVIDUAL

- Increased empowerment of the individual

- Changing definition of community

- Decreasing trust of official or governmental sources
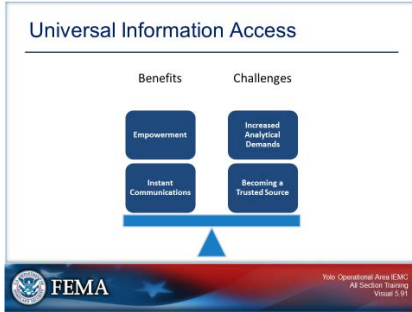
Student Notes:

Visual 5.90

VISUAL 5.90 – SHIFTING DEMOGRAPHICS

- Populations in some States are projected to grow by 30% by 2030.

- 83% of Americans live within a metropolitan area.

Visual 5.90 Chart Caption: Chart shows the increase in the percent of the population 60 and older from 6 percent in 1900 to 16 percent in 2000, projected to 25 percent in 2030, to26 percent in 2050. Shows the percent of the population 65 to 85, and the population 85 and older.

Student Notes:

Visual 5.91

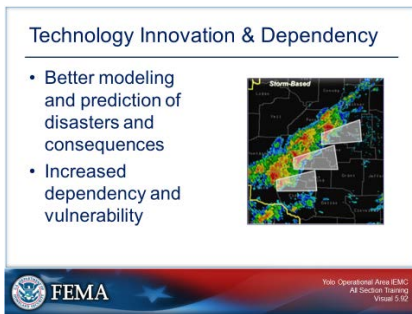## VISUAL 5.91 – UNIVERSAL INFORMATION ACCESS

Benefits

- Empowerment

- Instant Communications

Challenges

- Increased Analytical Demands

- Becoming a Trusted Source

Student Notes:

Visual 5.92

VISUAL 5.92 – TECHNOLOGY INNOVATION & DEPENDENCY

- Better modeling and prediction of disasters and consequences

- Increased dependency and vulnerability

Visual 5.92 Photo Caption: Radar image of a storm system.

Student Notes:

Visual 5.93

VISUAL 5.93 – SHRINKING GOVERNMENT BUDGETS

In 2010 study, emergency management personnel found:

- 31% frozen budgets

- 59% reduced budgets

- 70.8% reduced training

- 71.3% reduced outreach

Source: Jessica Jensen, "2010 Impacts of the Economic Downturn Summary Report." Center for Disaster Studies and Emergency Management, North Dakota State University.

Student Notes:

Visual 5.94

VISUAL 5.94 – QUESTIONS, COMMENTS, OR CONCERNS?

UNIT 6: EXERCISE HOTWASH

May 19, 2017

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This unit does not have any materials. Facilitated discussion.

UNIT 7: EMERGENCY MANAGEMENT PATH FORWARD

May 19, 2017

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This unit does not have any materials. Facilitated discussion.