

Attachment A

Direction and Control

Introduction

Direction and control is a critical emergency management function. During the applicable phases (pre-, trans-, and post-) of the emergency response effort, it allows the jurisdiction to:

- Analyze the emergency situation and decide how to respond quickly, appropriately, and effectively.
- Direct and coordinate the efforts of the jurisdiction's various response forces.
- Coordinate with the response efforts of other jurisdictions.
- Use available resources efficiently and effectively.

The manner in which the situation is managed will determine the effectiveness of the overall operation. Field forces (e.g., fire, law enforcement, public works, medical, etc.) can and usually do perform admirably in emergency situations. Where problems often arise is in the overall management of the operation: the merging of varying disciplines, organizations, and agencies not accustomed to working together on a day-to-day basis. Some jurisdictions may choose to address emergency services' (fire, law enforcement, public works, etc.) responsibilities for managing the response to emergency and disaster situations in separate annexes. Direction and control as presented here addresses **all** of the activities associated with managing the response and incorporates the organizational tasking for these emergency services into a single functional annex. The focus is on the critical **operations** the jurisdiction's emergency response organization should perform in response to an emergency.

Direction and control functions may well be long term in nature, changing significantly as the situation moves from response to recovery. This function may be initiated immediately upon the onset of an event, such as when an earthquake or tornado occurs, or develop gradually as the situation deteriorates, such as when a hurricane or widespread flood

occurs. Composition of the staff assigned to the direction and control function may change significantly, as the situation progresses through the various stages of an emergency, into the recovery phase. Regardless of the phase or phases, direction and control is a vital function that must be performed when a jurisdiction responds to any emergency situation.

Developing a Direction and Control Annex

Suggested content to be addressed in a direction and control annex includes the following items.

Purpose

This section provides overview information on the means the jurisdiction will use to direct and control those activities of government that are essential to saving lives, protecting property, and restoring government services during and following emergency situations.

Situation and Assumptions

This section describes the environment that would trigger notification/activation of response personnel. It also describes the assumptions that are applicable to the emergency response organization. It may address capability limitations, resource shortfall, use of personnel or resources from outside of the jurisdiction (mutual aid) to augment the jurisdiction's response organization, or other things that directly impact on the ability of the jurisdiction to respond to emergency situations. A fundamental assumption is that the EOC will be operational around the clock.

Concept of Operations

This section describes the direction and control relationships of tasked organizations. It describes:

- The command structure, specifying who will be in charge during emergency response operations.
- The authorities of, and limitations on, key response personnel such as an IC.
- How emergency response organizations will be notified when it is necessary to respond.

- The means that will be used to obtain, analyze, and disseminate information (for decision-making, requesting assistance, reporting, etc.).
- The relationship between the EOC and the Incident Command Post (ICP), when used.
- The provisions made to coordinate and communicate among all the jurisdictions and agencies (to include all Federal response agencies) that may be involved in the emergency response.

Direction and Control Types

The emergency response command structure should be established before an emergency occurs. Once the response begins, there should be no confusion about who is in charge and who reports to whom. Agreeing on the command structure beforehand helps to ensure that all people involved understand their responsibilities and are ready to implement them when an emergency occurs.

Normally, jurisdictions use a centralized direction and control system, an on-scene control system, or a combination of the two.

- *Centralized.* This is the use of the EOC as a centralized management center to facilitate policy making, coordination, and overall direction of responding forces in large-scale emergency situations. The “CEO” of the jurisdiction or the appropriate designee directs all response and recovery activities from the EOC. This method is used by many jurisdictions and is very useful in situations where the jurisdiction has received warning that, within a given time period (e.g., 72 hours), it may experience the effects of a specific threat (e.g., hurricane, riverine flood, etc.). In such situations there are a number of operational actions and measures that must be taken **before** the consequences of the disaster directly impact on the jurisdiction or an incident site is established. These include issuance of emergency information to the public, suspension or curtailment of government and public services (health, welfare, public safety, judicial, etc.; school and business closure; cancellation of public events, etc.), evacuation actions, mass care activities (to include set up and staffing of shelters to receive, feed, and care for evacuees). This method is also useful in situations where the jurisdiction is struck by a large-scale disaster (e.g., earthquake) that

severely impacts the entire jurisdiction with little or no warning. In such situations, centralized direction of response organizations provides the “CEO” an opportunity to:

- Get a clear picture of the scope of the situation throughout the jurisdiction based on information received in the EOC.
 - Work closely with the appropriate representatives from the emergency services organizations (fire, police, public works, health and medical) and other supporting agencies so that response actions and activities can be prioritized based on the overall situation in the jurisdiction.
 - Redirect or adjust response actions and use of resources to meet the needs of disaster victims and protect property as the situation warrants.
- *On-Scene Control System.* While central control of the emergency response is critically important, the actions that actually minimize the impacts of the emergency event and save lives are performed by responders in the field. Accordingly, an on-scene control system may be used instead of a centralized system. The on-scene control system vests the responsibility for the direction and control of all response actions with an individual that has responded to the scene of an emergency. This “Incident Commander” or IC has authority to coordinate the use of resources and personnel at the scene of an emergency. In some communities, the highest ranking person from the jurisdiction on the scene, regardless of his or her agency, is responsible for incident command. Under this arrangement, a fire department official may direct fire, police, and personnel from the jurisdiction's other departments. Incident command responsibility may change as higher level personnel arrive on the scene. In other communities, the individual designated to serve as IC may depend on the type of event (i.e., the IC will be from an agency responsible for that kind of event), management fiat, or statute.

Coordination is one of the key goals of planning for the field command structure. The response may involve personnel from several of the jurisdiction's agencies, employees from other nearby

jurisdictions, personnel from other levels of government, as well as volunteers. The mechanisms that will be used to coordinate the efforts of all of these different types of responders should be established before the emergency occurs.

Federal HAZMAT regulations and a growing number of State laws mandate the use of an Incident Command System (ICS). ICS is designed around sound business practices that provide a common framework for emergency response. ICS places a high degree of importance on responder safety. The ICS system provides a standardized means to command, control, and coordinate the use of resources and personnel at the **scene** of an emergency. Concepts and principles for ICS include: common terminology, modular organization, integrated communications, unified command structure, consolidated action plan, manageable span of control, designated incident facilities, and comprehensive resource management. ICS concentrates direction and control actions on the **field operations** of the emergency services organizations that have responded to the scene of an emergency. ICS uses a top-down direction and control structure that includes five functions: Command, Operations, Planning, Logistics, and Finance/Administration.

- *Incident Command.* ICS is “scene specific.” The function of the IC is to provide overall management at the incident site, including public safety and public information actions. The IC directs, controls, and orders resources, including people and equipment. (When more than one scene is involved, the ICs coordinate activities with the EOC.) The IC will develop a management structure based on the needs of the incident as articulated in the incident action plan. A small, simple incident will have a small management structure. As incidents grow in size and complexity, the management structure grows accordingly.
- *Operations.* The operations function is coordinated by the Operations Section Chief who reports to the IC. Operations is responsible for the tactical actions at the incident site. All tactical actions are performed in accordance with the Incident Action Plan.

- *Planning.* The planning function is coordinated by the Planning Section Chief who reports directly to the IC. The Planning function is responsible for the collection, evaluation, documentation, dissemination, and use of information about the incident, as well as the status of resources used or needed at the scene. The Planning Section is also responsible for preparation of the Incident Action Plan. For small incidents of short duration this plan may be oral or written. Written action plans should be used: when resources from multiple agencies are being used, when several jurisdictions are involved, or when the incident will require changes in shifts of personnel and/or equipment.
- *Logistics.* The logistics function is coordinated by the Logistics Chief who reports to the IC. The logistics function is responsible for providing facilities, services, personnel, equipment, and materials for the incident.
- *Finance/Administration.* The finance/administration function is coordinated by the Finance Section Chief who reports to the IC. This function is responsible for the tracking of all incident costs, evaluating the financial considerations of the incident, and for any administrative duties not handled by the other functions.
- *Command Staff and the Command Post.* During response operations the IC and staff are located in the ICP. The IC's staff may include:
 - A Safety Officer who is responsible for assessing the hazards response personnel may be exposed to and developing measures to ensure personnel safety.
 - An Information Officer who is responsible for developing accurate and complete information applicable to the incident, including cause, size, current situation, resources committed, and other matters of general interest. This person also serves as the point of contact for the media and other

governmental agencies which desire information directly from the incident scene.

- A Liaison Officer who is responsible for serving as a point of contact with organizations that are supporting the response effort, but not part of the command structure located at the incident scene.

From the ICP the Incident Commander directs all operations. The ICP can take various forms from a specially designed vehicle to an identified emergency response vehicle and is located as close to the scene as practical.

A detailed description of the Incident Command System can be found in the National Fire Academy's NFA-ICS-SM, The Incident Command System, August 1, 1989 and the Emergency Management Institute's SM 307.1, Overview of the Incident Command System, April 1992.

- *Transition.* It is vital to understand that only one person can be "in charge" during response and recovery operations. Sometimes it is appropriate for an IC to be that person; at other times the critical decisions must be made away from the site or before a defined incident site or sites are established, at the EOC. In the two situations given below, direction and control may **transition** from the scene(s) to the EOC or from the EOC to the scene(s). A direction and control annex should explain the direction and control system to be used. It should clarify the relationship between the centralized command authority and the IC when both ICS and centralized methods of direction and control are used, and anticipate "shifts" in the location (incident site or EOC) and the individual (IC or "CEO") responsible for decision-making.
 - *From EOC to Scene.* For some emergencies, the establishment of an emergency scene (or "incident site") may not be possible or appropriate during the initial response phase. Also, several operationally related actions may be required to be completed before an emergency scene is established. Accordingly, many of the initial "response" actions that must be taken should be accomplished in the

EOC. As the consequences of the emergency situation become clearer and when a specific emergency scene is defined, command may be transitioned to an IC that has responded to the scene. Once command authority is transitioned to the IC, the EOC would provide support, and would not be responsible for operational decision-making.

- *From Multiple Scenes to the EOC.* As emergencies escalate into large-scale disaster proportions, more than one scene (and thus more than one IC) can become involved. As this happens, it is especially important for field operations to be coordinated through the EOC. Each IC is advised of the expanding scope of operations and is cautioned to be aware of the developing competition for resources. It is in setting priorities for the allocation of scarce resources that the EOC may be said to “control” the response.

Interjurisdictional Relationships

The concept of operations section should also address the formal arrangements that have been established to request assistance from or to provide assistance to other jurisdictions during emergency situations. The plan should be based on the concept that initial emergency response will, to the maximum extent possible, be by the jurisdiction. Assistance needed will be obtained by executing mutual aid agreements. Assistance to take care of other unmet needs should be referred to the State Emergency Management Agency (SEMA). If still more assistance is needed beyond State capabilities, SEMA should coordinate requests with the proper Federal agencies, including a request to FEMA for a Presidential declaration of an emergency or major disaster to allow supplemental Federal financial and technical assistance to be provided.

Organization and Assignment of Responsibilities

This section describes the specific direction and control responsibilities that are assigned to the tasked organizations. The following types of tasking may be assigned to the agencies, organization chiefs, and individuals listed in the left margin:

Chief Executive Official (“CEO”)

- Activates EOC (full or partial activation), when appropriate.
- Directs tasked organizations to ensure response personnel report to the appropriate locations (EOC, emergency scene, work center, staging area, etc.) in accordance with the organization's SOP.

- When notified, reports to the EOC.
 - If appropriate, identifies and establishes contact with IC(s) in the field.
 - Provides overall direction of emergency response operations, until an emergency scene is established and an IC assumes this responsibility. (For emergency situations that occur with little or no warning, an IC may already have responded to the scene and taken charge before notification of the “CEO.”)
 - As appropriate, designates an IC to direct tactical operations at each emergency scene.
 - As appropriate, directs implementation of protective actions for public safety.
 - If necessary, directs EOC staff to relocate to the alternate EOC to continue operations.
 - When appropriate, terminates response operations and release personnel.
- Fire Department*
- When notified of an emergency situation, sends response teams/personnel, equipment, and vehicles to the emergency site, staging areas, or other location, as appropriate.
 - Identifies an IC and establishes an ICP, if appropriate; assigns appropriate personnel to IC staff.
 - Performs IC duties at the emergency scene, if appropriate.
 - Sends a senior representative to the EOC, when the EOC has been activated during an emergency.
 - Notifies the EOC of the situation if the original notification did not come from the EOC.

- Manages fire/rescue resources, directs fire operations, rescues injured people during emergency operations, and determines the need, as appropriate, for evacuation of the immediate area in and around the emergency scene.
 - Assists as appropriate in the evacuation of people at risk in the immediate area in and around the emergency scene.
 - Alerts all emergency response organizations of the dangers associated with technological hazards and fire during emergency operations.
- Police
Department*
- When notified of an emergency situation, sends response teams/personnel, equipment, and vehicles to the emergency scene or other location, as appropriate.
 - Identifies an IC and establishes an ICP if appropriate; assigns appropriate personnel to IC staff.
 - Performs IC duties at the emergency scene, if appropriate.
 - Notifies the EOC of the situation if the original notification did not come from the EOC.
 - Sends a senior representative to the EOC, when the EOC has been activated during an emergency.
 - Manages law enforcement resources and directs law enforcement operations. Duties may include:
 - Directing and controlling traffic during emergency operations.
 - Assisting in the evacuation of people at risk in and around the emergency scene.
 - Controlling access to the scene of the emergency or the area that has been evacuated.

- Providing security in the area affected by the emergency to protect public and private property.
- Conducting damage assessment activity (through use of aircraft, helicopter, or other police vehicles as appropriate).

EOC Manager

(Normally, this job is performed by the jurisdiction's Emergency Manager.)

- Immediately notifies the “CEO” of significant emergency situations that could affect the jurisdiction.
- When directed by the “CEO,” or when circumstances dictate, notifies all tasked organizations, informs them of the situation, and directs them to take the action appropriate for the situation (report to EOC, scene of the emergency, stand by, etc.) in accordance with their organization's SOP.
- Activates EOC when directed to do so by the “CEO” or when the situation warrants such action.
- Manages EOC resources and directs EOC operations. Duties may include ensuring the following activities/actions are done:
 - *Information processing.* This task involves the collection, evaluation, display, and dissemination of information about the emergency situation to help support the jurisdiction's response operations. Information collection sources include, but are not limited to: emergency response organizations, media, neighboring jurisdictions, State and Federal governments, volunteer groups, private sector businesses, citizens, etc. Typical tasks associated with information processing may include:
 - Maintaining a significant events log.
 - Message handling.

- Aggregating damage information from all available sources.
- Identifying resource needs.
- Preparing summaries on status of damage.
- Preparing briefings for senior management officials.
- Displaying appropriate information in the EOC.
- Preparing and submitting necessary reports when required (re: situation, critical resource status, etc.), including situation reports to the State EOC, as appropriate.
- Coordinating logistical support for response personnel and disaster victims.
- When directed by the “CEO,” or when conditions warrant such action, relocating staff to the alternate EOC in order to continue response operations.
- When directed by the “CEO,” terminating operations and closing the EOC.

Public Works

- When notified of an emergency situation, sends response teams/personnel, equipment, and vehicles to the emergency scene, staging area, or other location, as appropriate.
- Identifies IC and establishes ICP, if appropriate; assigns appropriate personnel to IC staff.
- Performs IC duties at the emergency scene, if appropriate.
- Notifies the EOC of the situation if the original notification did not come from the EOC.

- Sends a senior representative to the EOC, when the EOC has been activated during an emergency.
- Manages public works resources and directs public works operations. Duties may include:
 - Performing debris removal operations.
 - Assisting in urban search and rescue (US&R) efforts.
 - Conducting damage assessment activities (through the use of vehicles, remote video equipment, etc., as appropriate).
 - Providing emergency generators, fuel, lighting, sanitation to support emergency responders at the emergency scene and at the EOC.
 - Assisting in the evacuation of people at risk in and around the emergency scene.
 - Coordinating with utility companies to restore power to disaster victims.

*Emergency
Manager*

- Ensures appropriate staff members report to the EOC.
- Duties may include:
 - Coordinating EOC operations.
 - Staffing the Information Processing Section.
 - Advising/briefing the “CEO” and other key members of the emergency response organization on the emergency situation.
 - Recommending to the “CEO” actions to protect the public from the life threatening consequences associated with the emergency situations.

- Public Information Officer (PIO)*
- When notified, reports to EOC or incident scene as appropriate.
 - Handles inquiries and informs the public about disaster damage, restricted areas, actions to protect and care for companion animals, farm animals, and wildlife, and available emergency assistance.
 - Refer to Attachment D for additional operational tasking.
- Health and Medical Coordinator*
- When notified of an emergency situation, sends a representative to the EOC, if appropriate.
 - Coordinates the health and medical treatment activities of all response organizations involved in providing medical assistance to disaster victims.
 - Coordinates necessary mortuary services, to include operations of temporary morgues, and identification of victims.
 - Collects information and reports damage/status of health and medical facilities and equipment to the EOC.
 - Refer to Attachment G for additional operational tasking.
- Communications Coordinator*
- Serves as a member of the EOC team.
 - Ensures the emergency communications section in the EOC is equipped with the appropriate communication gear.
 - Refer to Attachment B for additional operational tasking.
- Warning Coordinator*
- (When practical, this individual should be permanently assigned to the EOC).
- Develops and maintains a phone and/or radio frequency list for notifying emergency response personnel, neighboring jurisdictions, and the State EOC of an emergency situation.

- Develops and maintains a phone list or other means for warning special locations, such as schools, hospitals, nursing homes, major industrial sites, institutions, and places of public assembly.
 - Identifies public and private service agencies, personnel, equipment, and facilities that could be called upon to augment the jurisdiction's warning capabilities.
 - Refer to Attachment C for additional operational tasking.
- Evacuation Coordinator*
- When notified of an emergency situation, reports to the EOC, if appropriate.
 - Coordinates implementation of evacuation actions with the appropriate tasked organizations.
 - Refer to Attachment E for additional operational tasking.
- Mass Care Coordinator*
- When notified of an emergency situation, reports to the EOC, if appropriate.
 - Coordinates implementation of mass care actions for the public with the appropriate tasked organizations.
 - Refer to Attachment F for additional operational tasking.
- Resource Manager*
- When notified of an emergency situation, reports to the EOC, if appropriate.
 - Coordinates implementation of resource management activities with the appropriate tasked organizations.
 - Refer to Attachment H for additional operational tasking.
- Legal Department*
- When notified of an emergency situation, sends a representative to the EOC, if appropriate.

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| <i>Education Department (School Superintendent)</i> | <ul style="list-style-type: none">➤ When notified of an emergency situation, sends a representative to the EOC, if appropriate.➤ Protects students in school when an emergency situation occurs.➤ Evacuates students, if appropriate.➤ When directed by appropriate authority, closes school facilities and releases students.➤ When directed by appropriate authority, makes schools available for use as mass care facilities.➤ Conducts damage assessment of school facilities. |
| <i>Jurisdiction Comptroller/ Clerk/Book- keeper/Tax Assessor</i> | <ul style="list-style-type: none">➤ When notified of an emergency situation, reports to the EOC, if appropriate.➤ Provides the Resource Manager and the “CEO” summary briefings on status of financial transactions.➤ Maintains records of all financial transactions during response operations.➤ Handles all procurement requests initiated by response organizations.➤ Establishes a procedure for the jurisdiction to accept "cash donations", where statute permits such action; however, jurisdictions may wish to avoid competing with non-profit organizations’ efforts to fund their activities.➤ Becomes familiar with the protocol and procedures required by the Stafford Act that are applicable to reimbursing the jurisdiction for eligible expenses associated with Presidentially Declared Disasters.➤ Upon termination of the response effort, prepares the appropriate reports that address costs incurred by the jurisdiction during the emergency situations. |

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| <i>Military Department</i> | Provides personnel and equipment to support direction and control actions at the scene and/or the EOC (at the direction of the Governor). |
| <i>Volunteer Organizations</i> | When notified of an emergency situation, send a representative to the EOC, if appropriate. |
| <i>Private Utility Companies</i> | When notified of an emergency situation, send a representative to the EOC, if appropriate. |
| <i>Animal Care and Control Agency</i> | <ul style="list-style-type: none"> ➤ When notified of an emergency situation, sends a representative to the EOC, if appropriate. ➤ Manages public and private sector efforts to meet the animal service needs that arise including: <ul style="list-style-type: none"> • Rescue and capture of animals that have escaped confinement and displaced wildlife. • Evacuation. • Sheltering. • Care of the injured, sick, and stray. • Disposal of dead animals. ➤ Activates emergency response teams (evacuation, shelter, medical treatment, search and rescue, etc.) as needed. ➤ Prepares a resource list that identifies the agencies/organizations that are responsible for providing the supplies (medical, food, and other necessary items) needed to treat and care for injured and sick animals during large-scale emergencies and disasters. ➤ Coordinates response activities with the appropriate representative in the EOC (EOC Manager, Evacuation Coordinator, Mass Care |

Coordinator, ARC, PIO, Health and Medical Coordinator, Resource Manager, etc.).

- Coordinates the rescue of injured or endangered animals with fish and game departments, wildlife organizations, county cooperative extension offices, veterinarians, etc.

Other Organizations

The organization and assignment of responsibilities section should list any other agencies/departments that have not been included in one of the above categories and itemize the services they provide (e.g., coroner's office, airport authority, marine resources council, U.S. Department of Agriculture, emergency board, etc.).

All Tasked Organizations

- Activate a control center to support and facilitate the organization's response activities (dispatch and manage personnel and resources, maintain a significant events log, report information to the Information Processing Section at the EOC, coordinate with organizational personnel at the emergency scene or EOC, etc.).
- If appropriate, send a representative to the EOC.
- Establish a procedure to identify, and report to the Information Processing Section in the EOC, damage to organizational resources and facilities. Additional tasking may include responsibility for reporting damage to, or status of, critical facilities such as:
 - Emergency service facilities and equipment (fire stations; police stations; custodial facilities, such as jails and juvenile detention centers, hospitals, and other health care facilities; rescue squads; public works facilities, etc.).
 - Communications networks (telephones, emergency service radio systems, repeater sites and base stations, television and radio stations, etc.).
 - Water supply system/facilities, to include waste water treatment.

- Utilities (power plants, substations, power lines, etc.)
 - Transportation networks (roads, bridges, airports, rail terminals, maritime ports).
 - Homes, businesses, public facilities, etc.
- Where appropriate, ensure that organization staff member(s) tasked to work in the EOC during emergencies have **authority** to commit resources and set policies.
 - Provide support to the IC, as required.
 - If appropriate, establish a protocol for interfacing with State/Federal responders.
 - Coordinate with the PIO and clear press releases with the “CEO” before releasing information to the media for public consumption.

Administration and Logistics

This section addresses the support requirements of the direction and control function.

Administration

This section specifies the records that are required to be maintained, identifies the organizations and agencies that have reporting responsibilities, indicates the frequency for reporting, and describes the types of reports that are to be submitted. Typical tasking may include:

- Requirement for agency heads to submit reports to the EOC relating to their agency's expenditures and obligations during emergency conditions.
- Requirement for the local government to submit daily situation, resource consumption, resource shortfall, etc. report(s) to the State EOC.
- Requirement for the emergency management agency to report on the status of the mass care services being provided by volunteer agencies and other nongovernmental organizations.
- The format for submission of reports or requests for assistance

should be specified in accordance with the procedures established in an appendix to the jurisdiction's Direction and Control annex.

Logistics

This section should address the arrangements that have been made to provide for the support needs (food, water, emergency power, fuel, equipment/supplies replacement, etc.) of the organizations performing direction and control functions:

- *Self-support.* Each tasked organization is expected to provide its own logistical support during the initial phase (the first 24 hours) of response operations. Additional support should be obtained through the EOC, or the IC, as appropriate.
- *Agreements and Understandings.* When local government resources prove to be inadequate during emergency operations, requests should be made to obtain assistance from other local jurisdictions, higher levels of government, and other agencies in accordance with existing or emergency negotiated mutual aid agreements and understandings. Such assistance may take the form of equipment, supplies, personnel, or other available capabilities. All agreements and understandings should be entered into by duly authorized officials and should be formalized in writing.

Plan Development and Maintenance

This section should describe who is responsible for coordinating revision of the jurisdiction's Direction and Control Annex, keeping attachments current, and ensuring that SOPs and other necessary implementing documents are developed.

Authorities and References

Authorities and references should be listed as appropriate.