

Capability Standard – Administration and Finance

Capability Standards – Incident Management, Emergency Operations Center Management, Administrative Management, and Laws and Authorities

The Emergency Operations Center (EOC) and Administrative Management capability provides multi-agency coordination (MAC) for incident management by activating and operating an EOC for a pre-planned or no-notice event. EOC management includes EOC activation, notification, staffing, and deactivation; management, direction, control, and coordination of response and recovery activities; coordination of efforts among neighboring governments at each level and among local, regional, State, and Federal EOCs; coordination public information and warning; and maintenance of the information and communication necessary for coordinating response and recovery activities.

Incident Management is the capability to effectively direct and control incident activities by using the Incident Command System (ICS), consistent with the National Incident Management System (NIMS). An accredited Emergency Management Program should have an incident management system in place to analyze emergency situations and provide for clear and effective response and recovery. The Emergency Management Program formally adopts an incident management system. The system shall include but not be limited to the following concepts: modular organization, unified command, multi-agency coordination, span of control, common terminology, action planning process, comprehensive resource management, integrated communications and pre-designated facilities. The Emergency Management Program shall designate a single point of contact to serve as the coordinator for the incident management system implementation. The Emergency Management Program shall ensure all personnel with an emergency response role receive training on its incident management system. The Emergency Management Program shall ensure that procedures address coordination activities with all personnel with an emergency response role including superior, subordinate and lateral elements as well as neighboring jurisdictions. The incident management system shall include specific organizational roles and responsibilities for each incident management function.

An accredited Emergency Management Program should have legal statutes and regulations establishing authority for development and maintenance of the Program. The Emergency Management Program shall comply with applicable legislation, regulations, directives and policies. Legal authorities provide flexibility and responsiveness to execute emergency management activities in emergency and non-emergency situation. The Emergency Management Program's responsibilities are established in state and local law. Legal provisions identify the fundamental authorities for the Emergency Management Program, planning, funding mechanisms and continuity of government. The Emergency Management Program has established and maintains a process for identifying and addressing proposed legislative and regulatory changes. The program shall comply with applicable legislation, policies, regulatory requirements, and directives. The entity shall establish and maintain a procedure(s) to comply with applicable legislation, policies, regulatory requirements, and directives. The entity shall implement a strategy for addressing the need for revisions to legislation, regulations, directives, policies, and industry codes of practice.

Associated Target Capabilities: [Planning, On-site Incident Management, Emergency Operations Center Management, Communications](#). Additional information on building these capabilities can be found on pages 21 (Planning), 29 (Communications), 197 (On-Site Incident Management), and 209 (Emergency Operations Center Management) of the U.S Department of Homeland Security's September 2007 document: *Target Capabilities List: A Companion to the National Preparedness Guidelines*.

Desired Outcome: The EOC and Administrative operations are effectively managed through multi-agency coordination for a pre-planned or no-notice event. All incidents are managed safely, effectively and efficiently through the common framework of the Incident Command System.

The jurisdiction has created and maintains an Emergency Operations Plan and a Resource Manual that:

Direction, Control, and Coordination

1 2 3

- Identifies the agencies/positions/titles that will command incidents and have overall responsibility to coordinate response operations.
- Identifies who has tactical and operational control of response assets.
- Discusses the jurisdiction's coordination systems and processes used during an emergency.
- Discusses multijurisdictional coordination systems and processes used during an emergency.

Comments and Notes:

Information Collection, Analysis, and Dissemination

1 2 3

- Describes critical information needs and collection priorities.
- Describes information dissemination methods (e.g., verbal, electronic, graphics) and protocols.
- Describes long-term information collection, analysis, and dissemination strategies.
- Describes collaboration with the general public, to include sector-specific watch programs.
- Identifies intelligence position requirements for the EOC's Planning Section.
- Describes plans for coordination between the Planning Section and the fusion center.

Comments and Notes:

Administration

1 2 3

- Describes the administrative actions used during an emergency operation.
- Describes the actions the jurisdiction uses to document the response and recovery from a disaster. (Can also be discussed by emergency response function or by specific hazards.)
- Describes the process and agencies that will document the actions taken during response and recovery operations (incident and damage assessment, incident command logs, cost recovery).
- Describes/summarizes the reasons for documenting the actions taken during both the response and recovery phases of the disaster (creating historical records, recovering costs, addressing insurance needs, developing mitigation strategies).
- Includes copies of required reports and forms.
- Describes the agencies and methods used to create a permanent historical incident record (after-action report) and include information about how actions taken, resources expended, economic and human impacts, and lessons learned from an incident will be recorded.

- Includes After-Action Reporting information - actions the jurisdiction takes to review and discuss their response to identify strengths and weaknesses in the emergency management and response program.
- Describes the actions that will be taken by the jurisdiction to review actions taken, identify equipment shortcomings, improve operational readiness, highlight strengths/ initiatives, etc.
- Identifies and describe the agencies and the actions they will take to organize and conduct AARs, how recommendations will be documented and how they will be used to improve local readiness (changing plans/procedures, acquiring new or replacing outdated resources, training).
- Describes the links and connections between the processes used to critique the response to an emergency/disaster and the processes used to document recommendations for the jurisdiction's exercise program.
- Describes how the jurisdiction will ensure that deficiencies and recommendations identified in the AAR are corrected or completed.

Comments and Notes:

Finance (Associated Target Capability: [Economic and Community Recovery](#))

1 2 3

- Describes finance actions used to recover the costs incurred during the response to a disaster.
- Describes/identifies the various programs that allow the jurisdictions and the response/support agencies to recover costs (Small Business Administration, FEMA Public Assistance Program).
- Describes the actions that will be taken to document costs incurred during response and recovery operations (personnel overtime, equipment used/expended, contracts initiated).
- Describes the methods of pre- and post-state or federal declaration funding for the jurisdiction's household pets and service animals preparedness and emergency response program, including how to capture eligible costs for reimbursement by the Public Assistance Program, eligible donations for volunteer labor and resources, and eligible donations for mutual aid resources (as defined in Disaster Assistance Policy [DAP] 9523.19).
- Identifies and describe the agencies and the actions/programs that will be used to assist survivors in recovering and rebuilding (ARC, VOAD, SBA, FEMA Individual and Household Program, unemployment, worker's compensation).
- Identifies and describe the agencies and the actions they will take to educate responders and local officials about the cost recovery process.
- Describes the impact and role that insurance has in recovering costs (self-insured, participation in the National Flood Insurance Program (NFIP), homeowner policies, etc.).

Comments and Notes:

1 2 3

- Describes the logistics and resource management mechanism used to identify and acquire resources in advance of and during emergency operations, especially to overcome gaps identified in the capability assessment.

- Describes and identifies the actions and agencies that will be involved in the following resource issues: identification, procurement, facility activation, tracking, mobilization, delivery, staging, warehousing, distribution, maintenance, demobilization, and recovery.
- Identifies and describes the actions and agencies that will be involved in using the existing hazard analysis and capability assessment to identify what resources are needed for a response, including using past incident AARs to identify/procure additional resources.
- Identifies and describes the steps that will be taken to overcome identified resource gaps, to include identifying resources that are only available from outside the jurisdiction.
- Provides a summary statement of specialized equipment, facilities, personnel, and emergency response organizations currently available to respond. (A separate resource manual should be used to list the types of resources available, amounts on-hand, locations maintained, and any restrictions on their use. Whenever possible, these resources should be typed based on FEMA resource-typing standards.)
- Describes the process used to identify private agencies/contractors that will support resource management issues (waste haulers, spill contractors, landfill operators, etc.).
- Provides information about specialized equipment, facilities, personnel, and emergency response organizations currently available to support children, individuals with disabilities, and others with access and functional needs.

Comments and Notes:

A fully-functioning EOC and Administrative and Financial Management Capability should address the following measures:

Direction and Control

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| <p>1 2 3</p> | <ul style="list-style-type: none"> <input type="radio"/> <input type="radio"/> <input type="radio"/> Direction, control and coordination of response and recovery activities <input type="radio"/> <input type="radio"/> <input type="radio"/> Coordination of efforts among neighboring governments <input type="radio"/> <input type="radio"/> <input type="radio"/> Coordination between local, regional, State, and Federal EOCs <input type="radio"/> <input type="radio"/> <input type="radio"/> Coordination of public information and warning <input type="radio"/> <input type="radio"/> <input type="radio"/> Information maintenance <input type="radio"/> <input type="radio"/> <input type="radio"/> Communication necessary for coordinating response and recovery activities <input type="radio"/> <input type="radio"/> <input type="radio"/> Fiscal and administrative procedures are in place that support day-to-day and disaster operations – the emergency management program develops/follows financial and administrative procedures before, during, and after an emergency or disaster. <input type="radio"/> <input type="radio"/> <input type="radio"/> Procedures exist to provide for the jurisdiction to effectively request, receive, manage, apply funds, and support the program before, during, and after an incident in emergency situations to ensure timely delivery of assistance and cost recovery. <input type="radio"/> <input type="radio"/> <input type="radio"/> The jurisdiction has crisis management procedures to provide coordinated situation-specific authorization levels and appropriate control measures. <input type="radio"/> <input type="radio"/> <input type="radio"/> The jurisdiction is able to capture financial data for future cost recovery and to identify and access alternative funding sources and manage budgeted and specially-appropriated funds. <input type="radio"/> <input type="radio"/> <input type="radio"/> Identifies and describes the actions that will be taken to ensure that funds are provided expeditiously and that financial operations are conducted in accordance with established law, policies, regulations, and standards. |
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- Procedures exist create and maintain the expediting of fiscal decisions in accordance with established authorization levels, accounting principles, and other fiscal policy, including:
 - Establishment and definition of responsibilities for the program finance authority
 - Program procurement procedures
 - Payroll
 - Accounting systems to track and document costs
 - Management of funding from external sources

- The jurisdiction has developed plans and procedures to disseminate and respond to requests for pre-incident, incident, and post-incident information to-and-from:
 - Internal audiences, including employees
 - External audiences, including the media and special needs populations

- The jurisdiction maintains:
 - A central contact facility
 - A System for gathering, monitoring, and disseminating information
 - Procedures for developing and delivering coordinated messages
 - Pre-scripted information bulletins or templates
 - Protocols to coordinate and clear information for release

Comments and Notes:

Financial Management

- The jurisdiction has established Emergency Fiscal Procedures.
- Fiscal procedures and record retention functions are maintained by the jurisdiction and all involved sub-jurisdictions.
- The jurisdiction has established/created pre-designated budget categories for emergency management-related operations.
- The jurisdiction has established procedures for the suspension of normal procurement procedures.

Comments and Notes:

EOC Operations

- EOC activation
- Notification
- Staffing

- Deactivation
- A Primary and alternate EOC and associated SOP/SOGs have been developed, utilized and exercised.
- The jurisdiction's necessary personnel and resources have the ability to effectively:
 - Activate Needs & Damage Assessment teams
 - Analyze data for appropriate use for response and recovery
 - Implement a disaster declaration process
 - Request supplemental assistance
- Emergency Operations Center Standard Operating Procedures/Standard Operating Guides (SOPs/SOGs) are in place for the following:
 - Activation/Deactivation.
 - Layout of EOC/physical aspects.
 - Staffing/job description/orientation.
 - Shift change (24-hour staffing schedule).
 - Briefings and debriefings.
 - Information handling procedures, message flow and use of message forms.
 - Communications (internal/external).
 - Warning systems (internal/external).
 - Record keeping/archiving.
 - Displays and use of equipment.
 - Stress management arrangements.
 - Security and access arrangements.
- The jurisdiction's EOC was designed with the following considerations:
 - Backup generator emergency power.
 - Food, water and other supplies.
 - Dormitory arrangements.
 - Dual use considerations, i.e., training room, conference room, etc.
 - Designated Alternate EOC(s) with relocation procedures

Comments and Notes:

Grants Management

- The jurisdiction has complied with eligibility requirements, specific program requirements, statutory requirements &/or county requirements for necessary grants.
- The jurisdiction has established grant close-out policies for all Grants/Cooperative Agreements.
- The jurisdiction has adequate closeout procedures for all emergency/non-emergency compiled grants to assure proper performance and expenditure of funds.
- A grants management process exists to track cost questions by auditors and to assure timely and satisfactory resolutions.

- The jurisdiction has Performance Partnership Agreements.
- The jurisdiction’s strategic plan addresses grants for emergency management operations.
- The jurisdiction’s Chief Executives are briefed annually regarding grant procurement and management.

Comments and Notes:

Laws and Authorities

- The jurisdiction has ready access to relevant statutes, laws, codes, and ordinances.
- Necessary emergency powers and authorities have been established to allow the jurisdiction to readily and effectively respond to emergencies and disasters.
- There are established mutual aid agreements with all appropriate/necessary entities which include the following specific provisions (e.g., liabilities, responsibilities, review processes, participants, cancellation provisions, etc.).
- The jurisdiction is able to identify, protect and recover essential public records.
- Legal aspects of emergency management have been included in the jurisdiction’s training programs.
- Local ordinances exist for emergency management response and recovery.
- The jurisdiction has worked with legal counsel to develop strategies to reduce litigation risk associated with emergency response and recovery operations.
- The jurisdiction has developed examples of “Declaration of Emergency” resolutions and other emergency orders.

Comments and Notes:

Capability Assessment - Administration, Finance, and Direction and Control

- 1 2 3 4 5 The jurisdiction has engaged an integrated team to develop this capability.
- 1 2 3 4 5 The jurisdiction has developed an integrated plan for this capability.
- 1 2 3 4 5 The jurisdiction has identified the hazards/threats that would necessitate the application of this capability.
- 1 2 3 4 5 The jurisdiction’s local responders have the necessary training to effectively carry out this capability.

- 1 2 3 4 5 The jurisdiction has access to the necessary resources to effectively carry out this capability (either local or identified through MOUs).
- 1 2 3 4 5 The jurisdiction's local responders have received the necessary training to be able to carry out this capability.
- 1 2 3 4 5 The jurisdiction's local responders have the expertise to carry out this capability.
- 1 2 3 4 5 The jurisdiction has tested this capability within the last year through exercise or activation.

Scale Key:

- 1- The jurisdiction has not started to develop this measure.
- 2- The jurisdiction has started to develop this measure, but we are not far along in the process.
- 3- The jurisdiction has developed this measure, but it needs to be improved.
- 4- The jurisdiction has fully developed this measure.
- 5- The jurisdiction has fully developed and tested this measure.