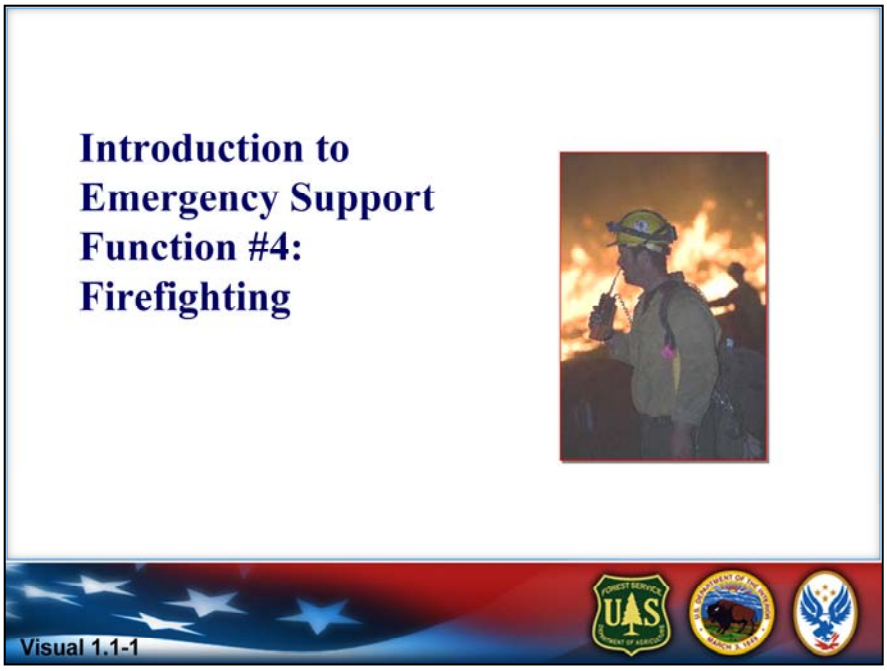
Introduction to Emergency Support Function #4: Firefighting

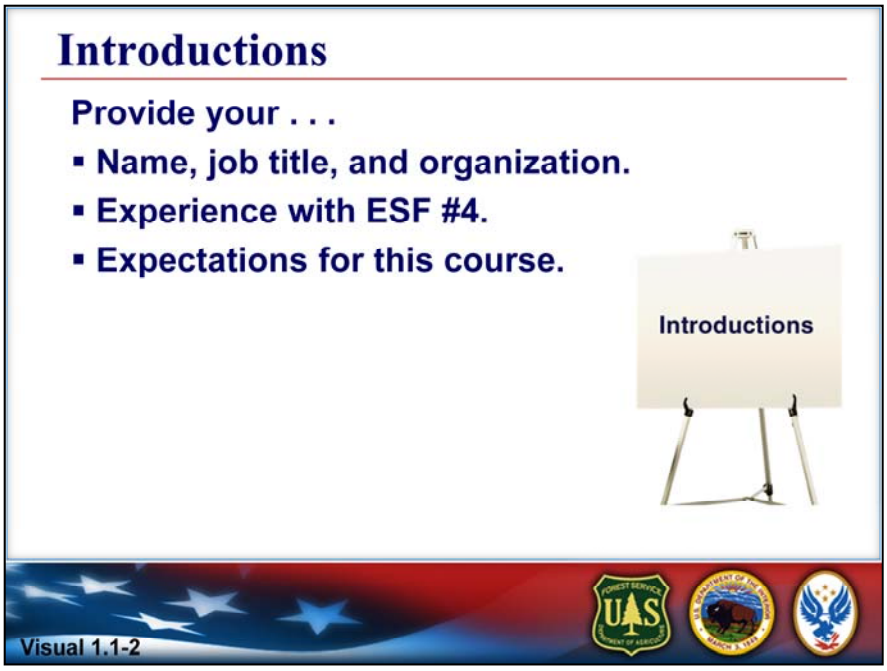
Student Manual

February 2011



Unit 1 – Course Overview

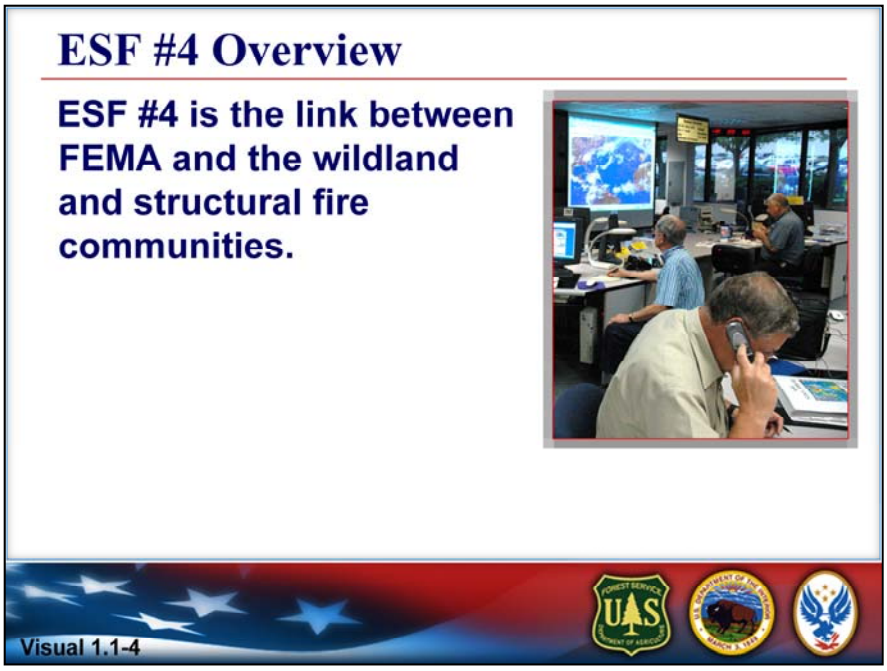
Lesson Terminal Objective: At the completion of this lesson, you will be able to describe the ESF #4 course goal and structure.



When asked, please introduce yourself by providing the following information:

- Name, job title, and organization
- Experience with ESF #4
- Expectations for this course

The primary objective of this session is to prepare you to fulfill your ESF #4 responsibilities.



ESF #4 – Firefighting is the identified link in the National Response Framework (NRF) between FEMA and the wildland and structural fire communities.

Review the course objectives presented on the visual.

Emergency Support Function (ESF) #4 – Firefighting provides Federal support for the detection and suppression of wildland, rural, and urban fires resulting from, or occurring coincidentally with, an incident requiring a coordinated Federal response for assistance.

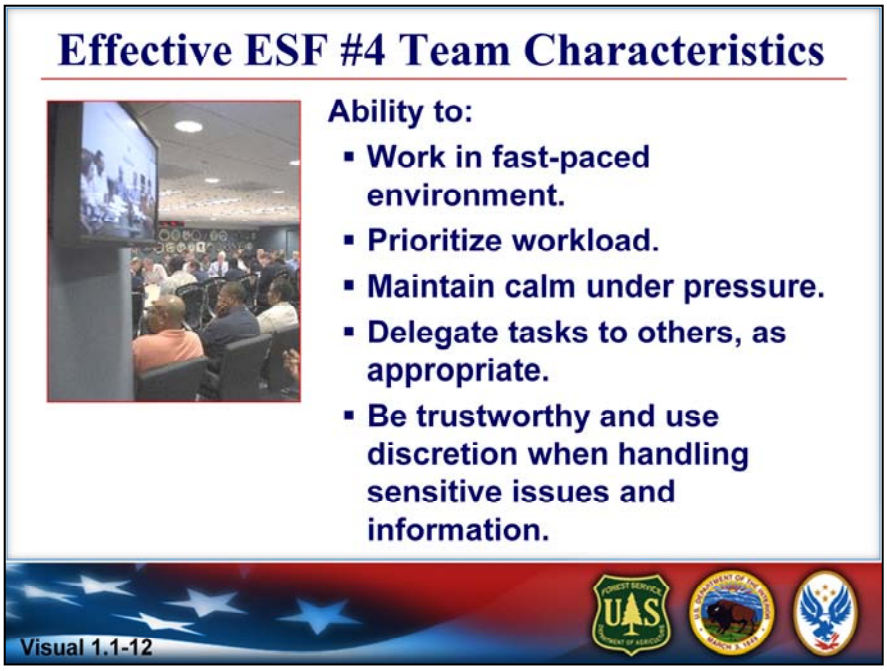
ESF #4 manages and coordinates firefighting activities and provides personnel, equipment, and supplies in support of State, tribal, and local agencies involved in wildland, rural, and urban firefighting operations.

ESF #4 may be activated for any type of natural, technological or human-caused disaster. Recent ESF #4 activations (regional and/or national) include:

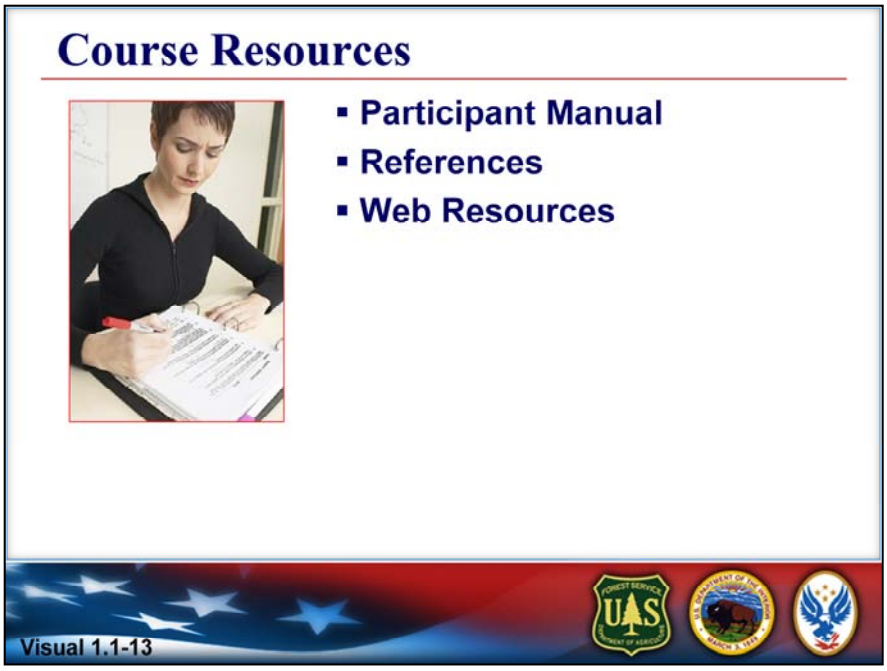
2011
Northeast Ice Storm
Tsunami from Japan Earthquake
North Dakota Flooding
Northern Rockies/Rocky Mountain Flooding
Hurricane Irene
Flooding from Tropical Storm Lee
Texas Wildfires
Tropical Storm Nate

2010
Arizona Winter Storms
North Dakota Flooding
Hurricane Earl

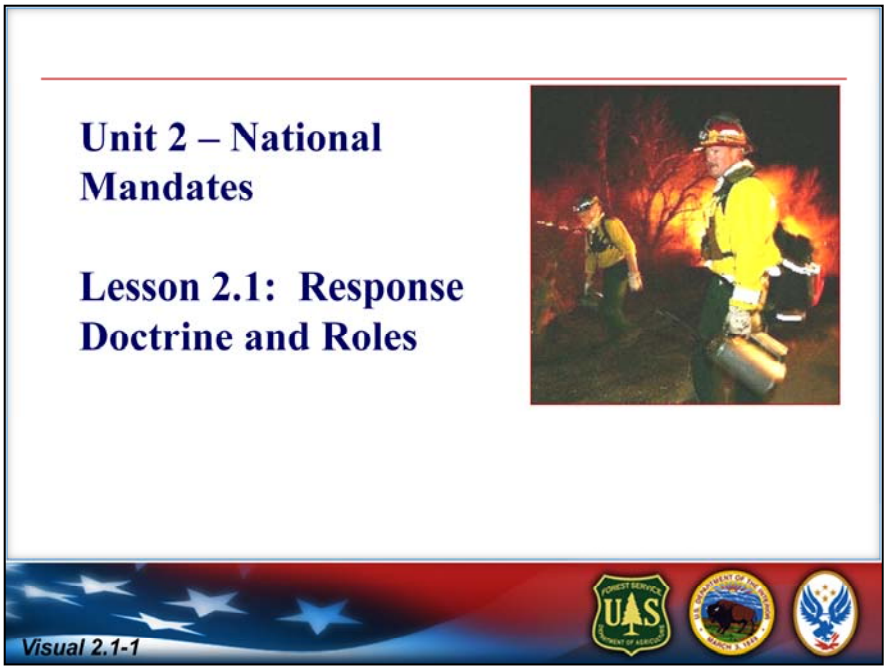
2009
Presidential Inauguration
North Dakota Flooding and Tornado
Hurricanes Anna and Bill
American Samoa Tsunami and Typhoon Melor



Review the characteristics of effective ESF #4 team members. Think about your own strengths and weaknesses. Identify the areas that you wish to concentrate on throughout this course.



Make sure you are aware of the course resources that you will be using throughout this course.

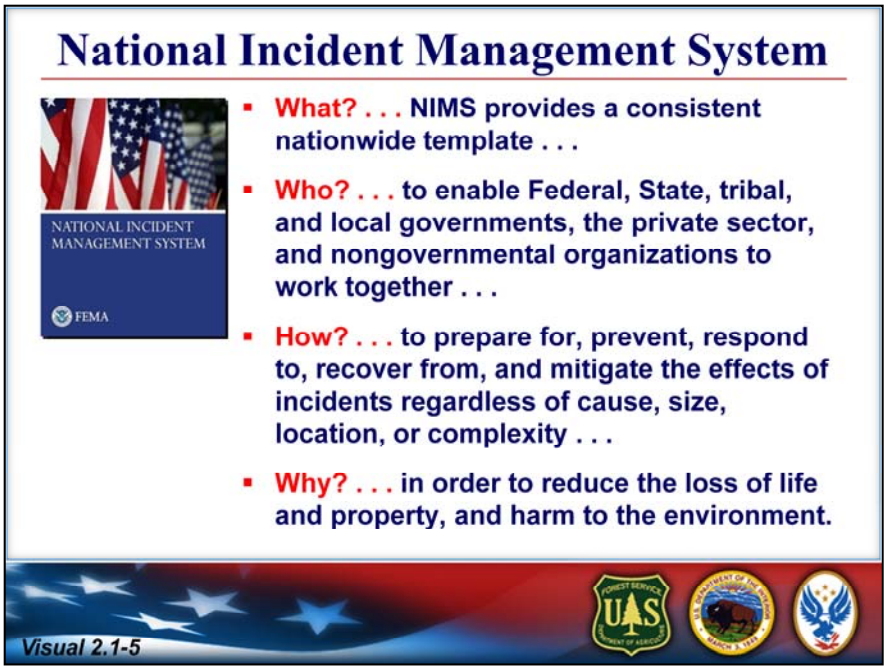


Unit 2 – National Mandates
Lesson 2.1: Response Doctrine and Roles

Lesson Terminal Objective: At the completion of this lesson, you will be able to identify the national mandates that govern Emergency Support Function (ESF) #4 policies and procedures.

Lesson Enabling Objectives:

- Identify how the following response mandates apply to ESF #4:
  - Homeland Security Act of 2002
  - Homeland Security Presidential Directives (HSPDs)
  - National Incident Management System (NIMS)
  - National Response Framework (NRF)
- Identify the emergency response roles assumed by:
  - Local Governments
  - Nongovernmental Organizations/Private Sector
  - Tribes/States
  - Federal Government
- Describe the flow for requesting resources.



NIMS:

- Defines what needs to be done to prepare for, prevent, respond to, recover from, and mitigate the effects of a major event, how it needs to be done, and how well it needs to be done.
- Provides a systematic approach for all levels of government, the private sector, and nongovernmental organizations (NGOs) to work seamlessly together.
- Applies to all incidents regardless of cause, size, location, or complexity.

To integrate the practice of emergency management and incident response throughout the country, NIMS focuses on five key areas, or components. These components work together to form a comprehensive incident management system.

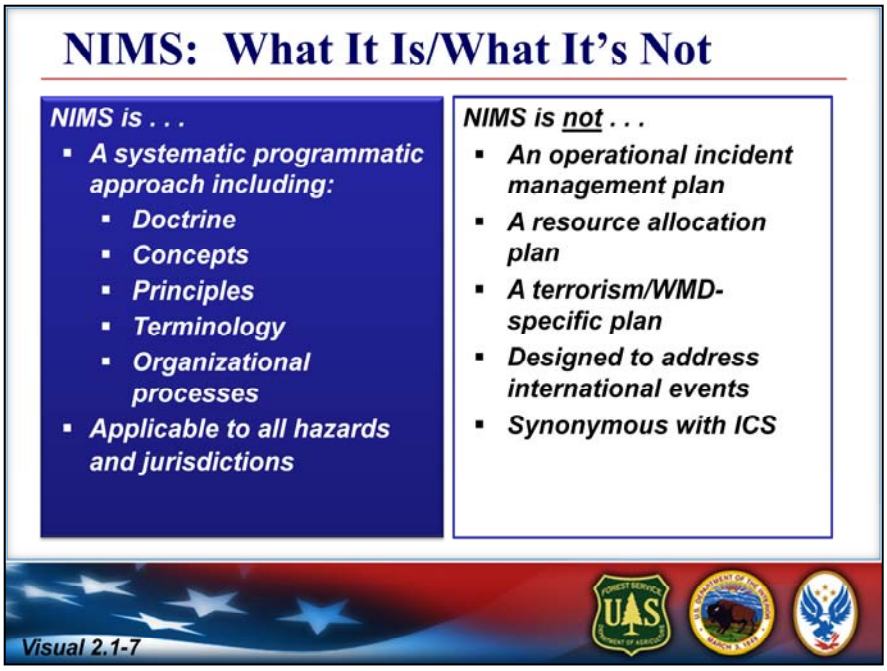
Preparedness: Preparedness is essential for effective incident and emergency management. NIMS preparedness encompasses a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action. Ongoing preparedness provides for better coordination during times of crisis.

Communications and Information Management: NIMS prompts the use of flexible communications and information systems that allow all emergency management and response partners to establish and maintain a common operating picture of the incident.

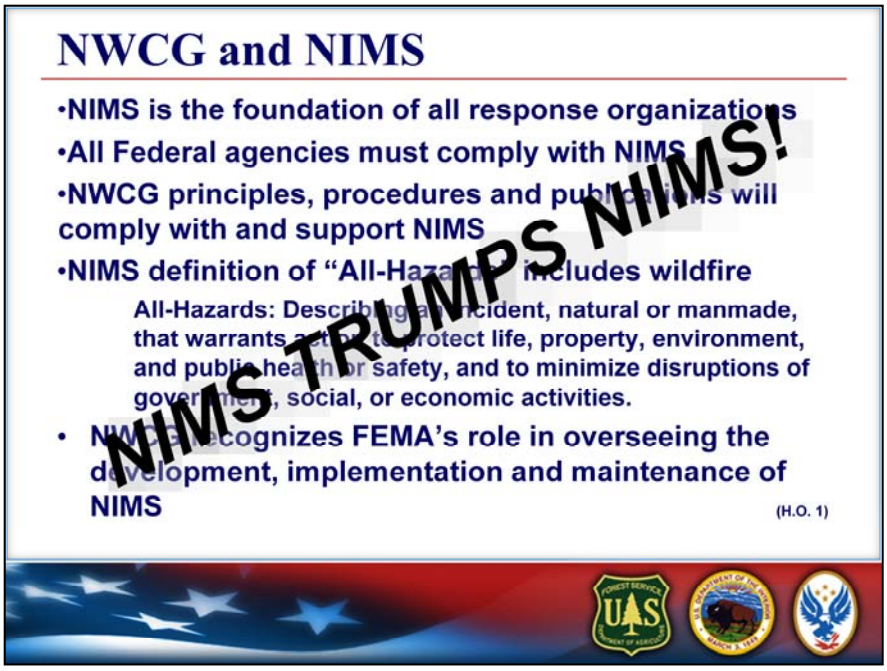
Resource Management: Careful management of resources is essential before, during, and after incidents. NIMS describes standardized resource management practices such as typing, inventorying, organizing, and tracking. These practices allow for effective sharing and integration of critical resources across jurisdictions.

Command and Management: The NIMS Command and Management component enables effective and efficient incident management and coordination by providing a flexible, standardized incident management structure. This structure integrates three key organizational constructs: the Incident Command System, Multiagency Coordination Systems, and Public Information.

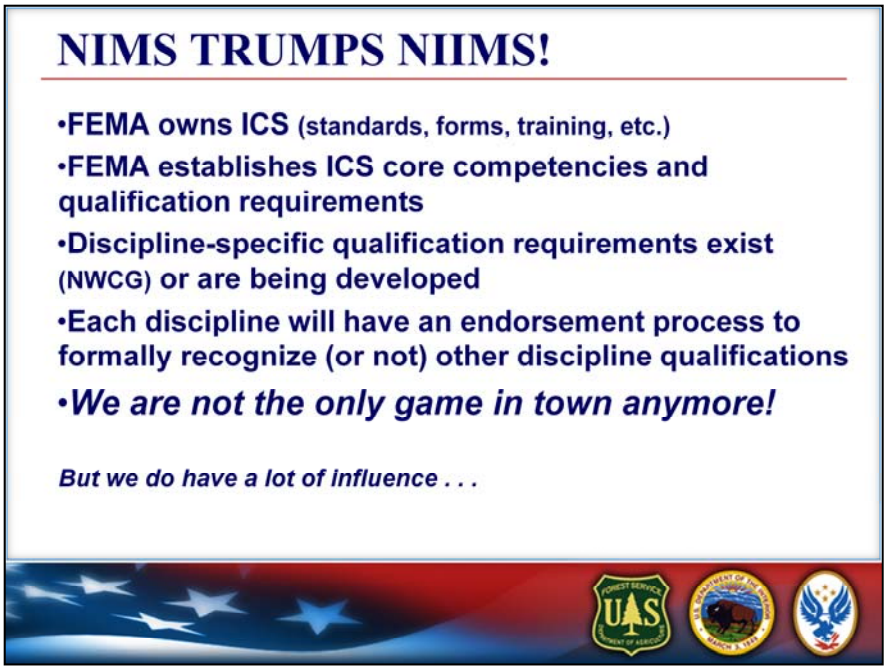
Ongoing Management and Maintenance. Working with stakeholders, FEMA supports ongoing maintenance and continuous refinement of NIMS concepts and principles.

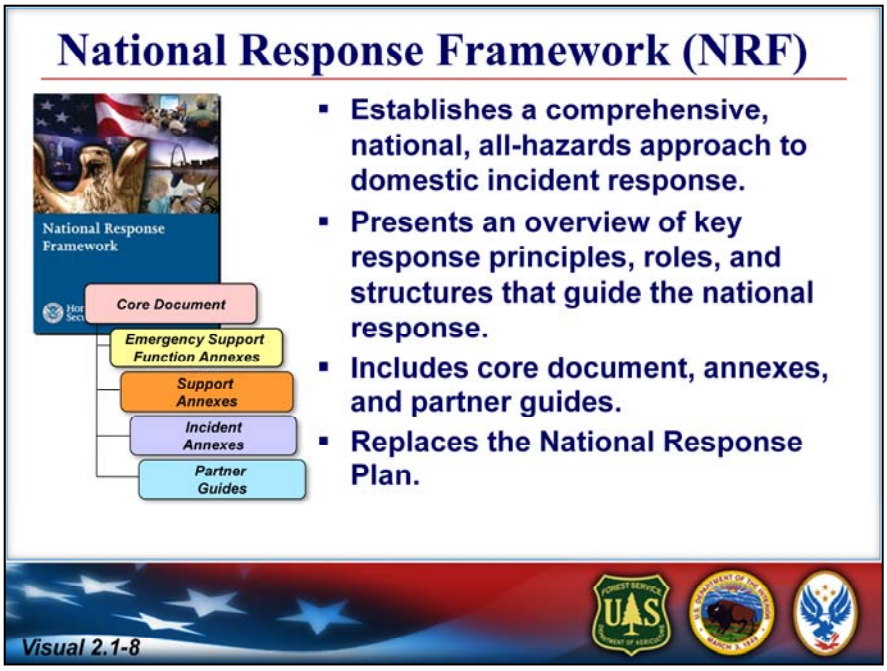


Review the visual for details on NIMS.



Review the items on the visual stating "NWCG and NIMS." NWCG is serious about supporting NIMS and ensuring compliance with NIMS requirements. NIIMS, developed by the wildland fire community, is the basis today's NIMS which is used by all disciplines at all levels of government. It is important to note that when there are differences, NIMS trumps NIIMS as it is a Presidential requirement that all Federal agencies comply with NIMS, and all State and local agencies must comply with NIMS if they want Federal preparedness funds.


NIMS TRUMPS NIIMS!
•FEMA owns ICS (standards, forms, training, etc.)
•FEMA establishes ICS core competencies and qualification requirements
•Discipline-specific qualification requirements exist (NWCG) or are being developed
•Each discipline will have an endorsement process to formally recognize (or not) other discipline qualifications
•We are not the only game in town anymore!
But we do have a lot of influence . . .



The National Response Framework (NRF) :

- Is a guide to how the Nation conducts all-hazards response.
- Builds upon the NIMS coordinating structures to align key roles and responsibilities across the Nation, linking all levels of government, nongovernmental organizations, and the private sector.

The NRF is comprised of:

- The **Core Document** that describes the doctrine that guides our national response, roles and responsibilities, response actions, response organizations, and planning requirements to achieve an effective national response to any incident that occurs.
- **Emergency Support Function Annexes** that identify Federal resources and capabilities that are most frequently needed in a national response (e.g., Transportation, Firefighting, Mass Care).
- **Support Annexes** that describe essential supporting aspects that are common to all incidents (e.g., Financial Management, Volunteer and Donations Management, Private-Sector Coordination).
- **Incident Annexes** that address the unique aspects of how we respond to seven broad categories or types of incidents (e.g., Biological, Nuclear/Radiological, Cyber, Mass Evacuation).
- **Partner Guides** that provide ready references describing key roles and actions for local, tribal, State, Federal, and private-sector response partners.

The term "response" as used in the Framework includes immediate actions to save lives, protect property and the environment, and meet basic human needs. Response also includes the execution of emergency plans and actions to support short-term recovery.

The Framework provides structures for implementing nationwide response policy and operational coordination for all types of domestic incidents. It can be partially or fully implemented in the context of a threat, in anticipation of a significant event, or in response to an incident. Selective implementation allows for a scaled response, delivery of the resources needed, and an appropriate level of coordination.

The Framework is always in effect, and elements can be implemented as needed on a flexible, scalable basis that can help improve response.

A Federal department or agency acting on independent authority may be the initial and the primary Federal responder, but incidents that require more systematic Federal response efforts are now actively coordinated through the appropriate Framework mechanisms described in the NRF document and in its supporting annexes.

Federal assistance can be provided to State, tribal, and local jurisdictions, and to other Federal departments and agencies, in a number of different ways through various mechanisms and authorities. **Often, Federal assistance does not require coordination by DHS and can be provided without a Presidential major disaster or emergency declaration.**

The Framework establishes the following response doctrine:

- **Engaged partnership:** Leaders at all levels must communicate and actively support engaged partnerships to develop shared goals and align capabilities so that none allows the other to be overwhelmed in times of crisis.

- **Tiered response:** Incidents must be managed at the lowest possible jurisdictional level and supported by additional response capabilities when needed.

- **Scalable, flexible, and adaptable operational capabilities:** As incidents change in size, scope, and complexity, the response must adapt to meet requirements.

- **Unity of effort through unified command:** Response is a team effort. Effective unified command is indispensable to all response activities and requires clear understanding of the roles and responsibilities of each participating organization.

- **Readiness to act:** Effective incident response requires readiness to act balanced with an understanding of risk. From individuals, families, and communities to local, State, and Federal agencies, national response depends on the knowledge and ability to act.

Discussion Questions:

- **What does this doctrine mean to you personally?**

- **What is an example of a preparedness or response action that would support this doctrine?**

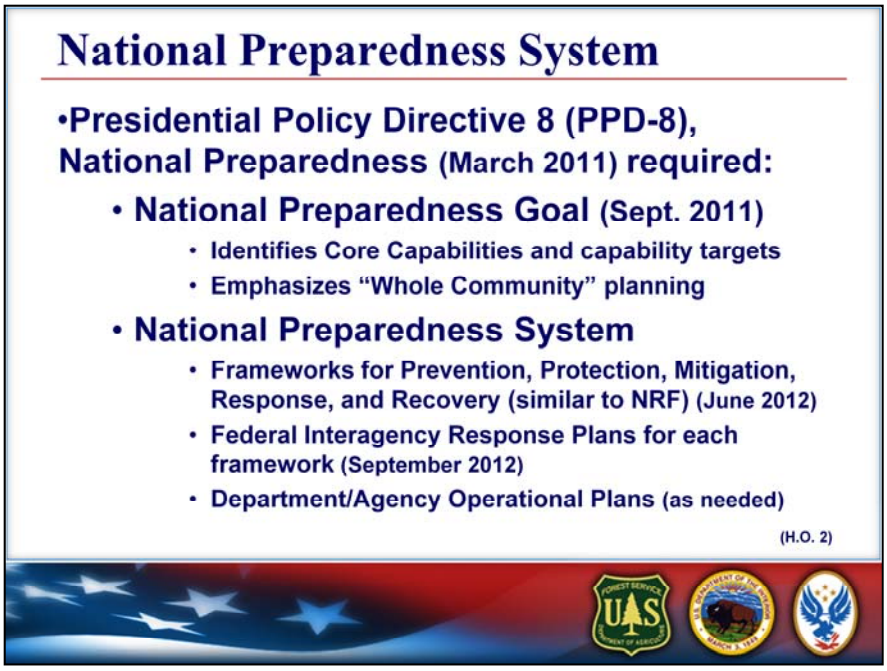
- The **President leads the Federal Government** response effort to ensure that the necessary coordinating structures, leadership, and resources are applied quickly and efficiently to large-scale and catastrophic incidents. The President's Homeland Security Council and National Security Council, which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

- **Overall coordination of Federal incident management activities is the responsibility of DHS.** Depending upon the incident, the Secretary also contributes elements of the response consistent with DHS's mission, capabilities, and authorities.

- The **FEMA Administrator** supports the Secretary in meeting these HSPD-5 responsibilities as the principal advisor to the President, the Secretary, and the Homeland Security Council on all matters regarding emergency management.

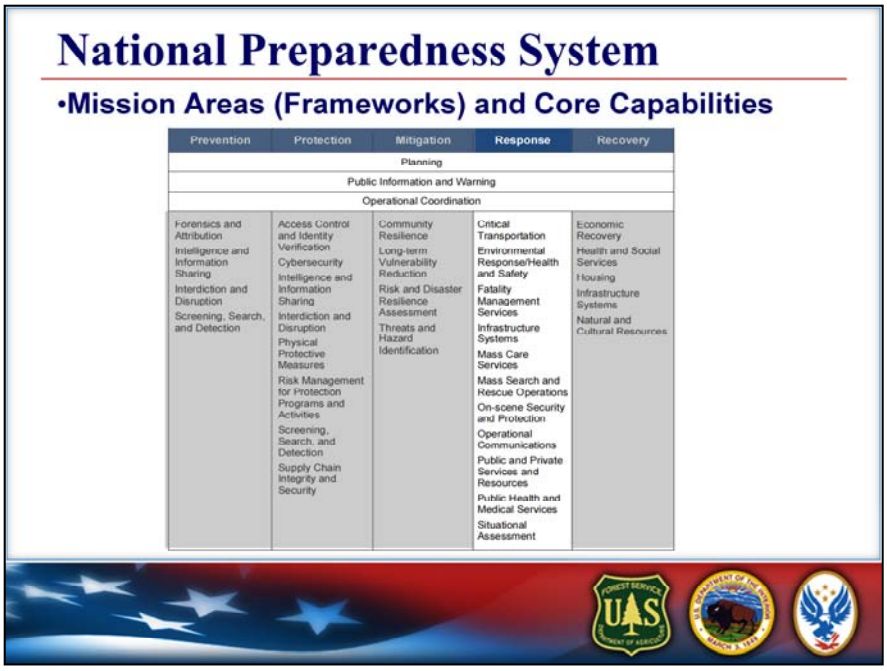
- **Other Federal departments and agencies** carry out their incident management authorities and responsibilities.

Additional resources on the National Response Framework and response doctrine and roles can be found at www.fema.gov/nrf.



Presidential Policy Directive 8 (PPD-8) required the development of:

- National Preparedness Goal
- National Preparedness System
  - 5 National Planning Frameworks with accompanying Interagency Operational Plans
  - Department/Agency Operational Plans



The National Preparedness System identifies five mission areas:

- Prevention
- Protection
- Mitigation
- Response
- Recovery

Each of these mission areas will have a Planning Framework and an Interagency Operational Plan

Core capabilities are identified in each of the five mission areas. In addition, three core capabilities are identified as "cross-cutting" across all five mission areas.

ESFs are the coordinating structures used by the Federal government to provide support in delivering the core capabilities. ESF #4 is in the Response mission area, and falls under the core capability of "Public and Private Services and Resources." Wildland fire agencies provide support in delivering most of the other core capabilities as well.

An effective, unified national response requires layered mutually supporting capabilities. Response to an incident is a shared responsibility of the "Whole Community," including:

- **Local and Tribal Governments.** The responsibility for responding to incidents, both natural and manmade, begins at the local level.

- **States and Territorial Governments.** States and territorial governments have responsibility for the public health and welfare of the people in their jurisdiction. During response, States play a key role coordinating resources and capabilities from across the State and obtaining resources and capabilities from other States.

- **Federal Government.** When an incident occurs that exceeds or is anticipated to exceed State, tribal, or local resources, the Federal Government may provide resources and capabilities to support the State response.

- **Individuals and Households.** Individuals and households can contribute by reducing hazards in and around their homes, preparing an emergency supply kit and household emergency plan, and monitoring emergency communications carefully.

- **Private Sector.** The private sector plays a key role before, during, and after an incident. First, they must provide for the welfare and protection of their employees in the workplace. Many private-sector organizations are responsible for operating and maintaining portions of the Nation's critical infrastructure.

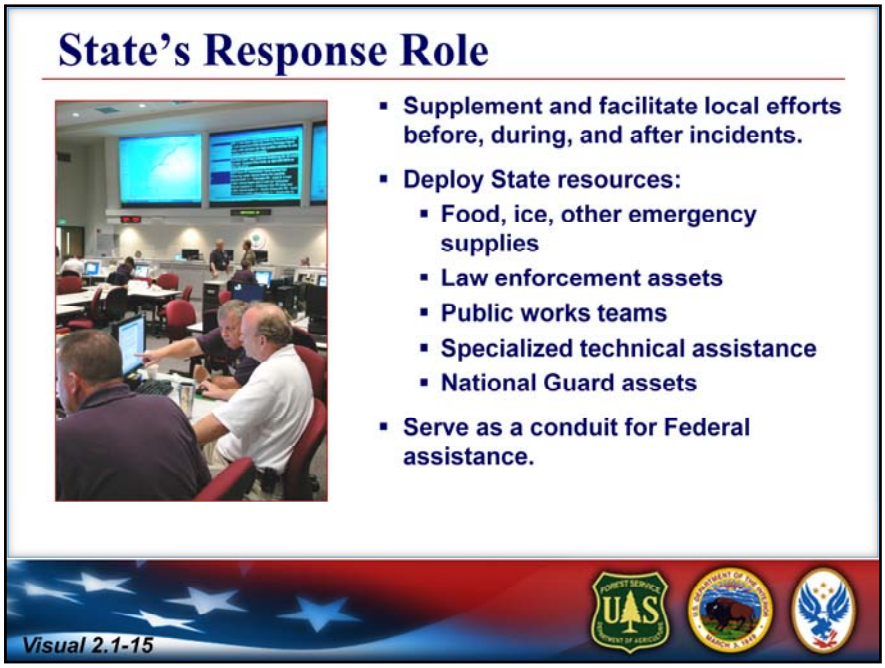
- **Nongovernmental Organizations (NGOs).** NGOs play important roles before, during, and after an incident. For example, NGOs provide sheltering, emergency food supplies, counseling services, and other vital support services to support response and promote the recovery of disaster victims. These groups often provide specialized services that help individuals with special needs, including those with disabilities.

Local police, fire, emergency medical services, public health and medical providers, emergency management, public works, environmental response professionals, and others in the community are often the first to detect a threat or hazard, or respond to an incident. They also are often the last to leave an incident site or otherwise cope with the effects of an incident.

Local and tribal governments:

- Are generally responsible for the health, welfare, and safety of their citizens.
- Carry out these mandates using authorities enumerated in their laws and codes.

Review the above list of local/tribal roles. Add any additional roles in the space below.



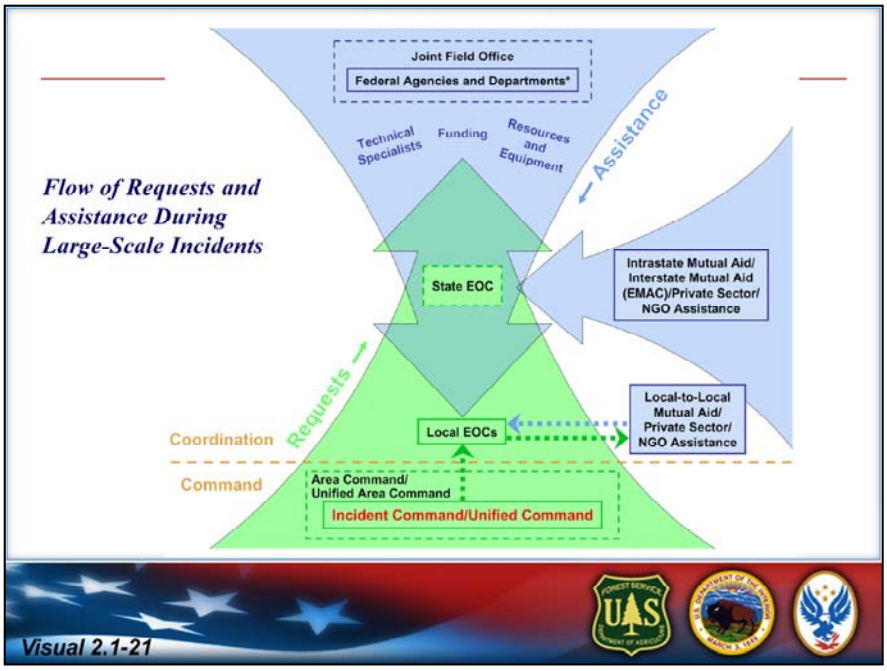
The primary role of State government in emergency management is to supplement and facilitate local efforts before, during, and after incidents.

The State provides direct and routine assistance to its local jurisdictions through emergency management program development and by routinely coordinating in these efforts with Federal officials. States must be prepared to maintain or accelerate services to local governments when local capabilities fall short of demands. States are also responsible for requesting Federal emergency assistance for communities and tribal governments within their area of responsibility.

Review the above list of State roles. Add any additional roles in the space below.

The Federal Government maintains a wide array of capabilities and resources that can be made available upon request of the Governor.

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



Review the following key points about the diagram:

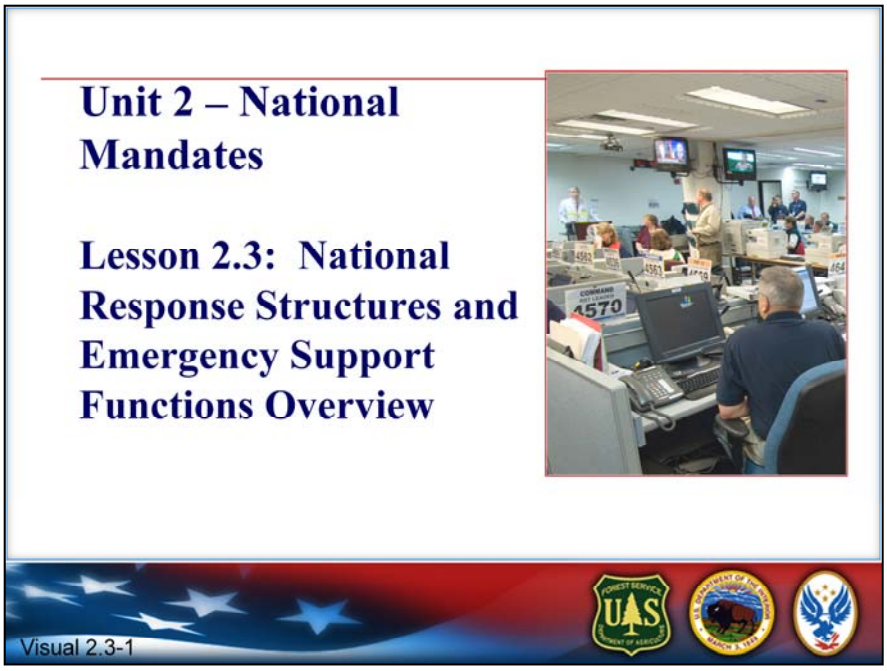
- **Local Level:** Requests for resources flow from the on-scene incident command through the local Emergency Operations Centers (EOCs). Local EOCs may use mutual aid and assistance agreements with other communities to fulfill resource requests. If resources cannot be obtained locally, the jurisdictions then communicate their requests to the State EOC.

- **State Level:** At the State EOC, requests from multiple jurisdictions are coordinated and prioritized. If the State officials cannot fulfill resource requests, they can use intrastate and interstate mutual aid and assistance agreements.

  Mutual aid and assistance agreements are written or oral agreements between and among agencies/organizations and/or jurisdictions that provide a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services. The primary objective is to facilitate rapid, short-term deployment of emergency support prior to, during, and/or after an incident. The Emergency Management Assistance Compact (EMAC) is a congressionally ratified organization that provides form and structure to interstate mutual aid. Through EMAC, a disaster-impacted State can request and receive assistance from other member States quickly and efficiently.

- **Federal Level:** When a State is unable to acquire sufficient resources, it may request Federal assistance. Federal assistance may include expertise, funding, and resources/ equipment. NIMS is based on the concept that local jurisdictions retain command, control, and authority over response activities for their jurisdictional areas even when Federal resources are provided.

Note: Some Federal agencies (U.S. Coast Guard, Environmental Protection Agency, wildland fire agencies, etc.) have statutory responsibility for response and may coordinate and/or integrate directly with affected jurisdictions.



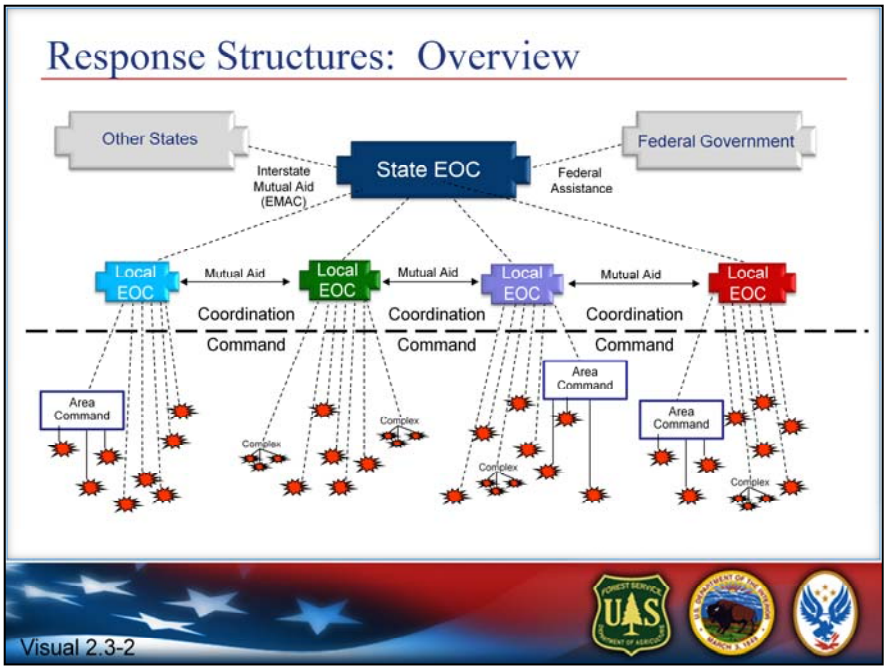
Unit 2 – National Mandates
Lesson 2.3: National Response Structures and Emergency Support Functions Overview

Lesson Terminal Objective: At the completion of this lesson, participants will be able to identify the national response structures.

Lesson Enabling Objectives:

- Describe the role of the national response structures, including:
  - National Operations Center (NOC)
  - National Response Coordination Center (NRCC)
  - Regional Response Coordination Center (RRCC)
  - Joint Field Office (JFO)
- Describe the role and structure of the Emergency Support Functions (ESFs).

Note: The concepts presented in this lesson are derived from the National Incident Management System (NIMS) and the National Response Framework (NRF).



Natural or manmade disasters can result in numerous incidents occurring simultaneously requiring both command and support or coordinating structures.

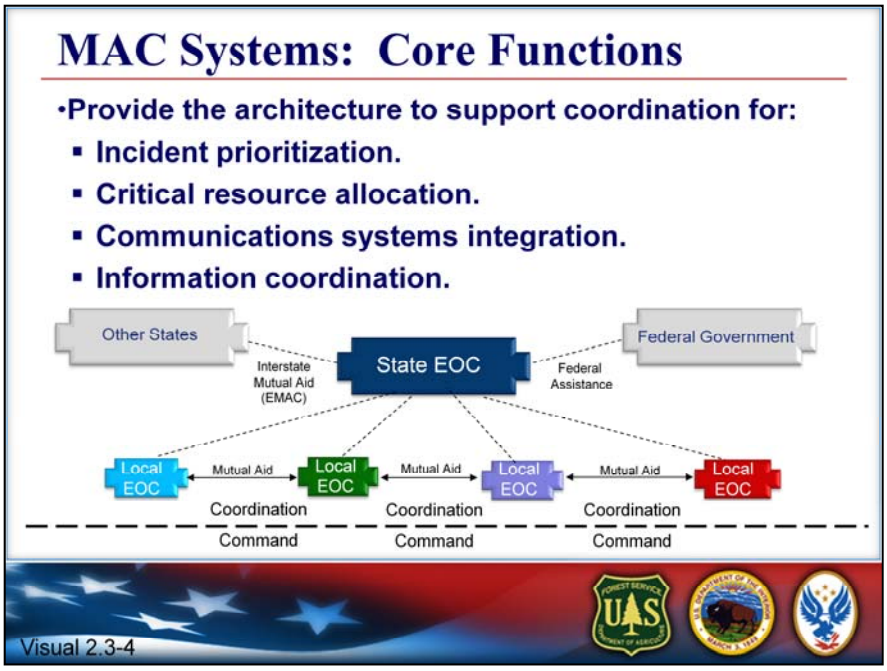
Command Structures: Using NIMS principles, incidents may be managed using:

- Single command
- Incident complex
- Unified Command
- Area Command
- Unified Area Command

Coordination Structures: Multiagency coordination centers, as defined in NIMS, provide central locations for operational information sharing and resource coordination in support of on-scene efforts. These structures may include:

- **Local Emergency Operations Center (EOC).** When an incident requires significant multiagency coordination at the local level, usually the local EOC is activated. The local EOC coordinates activities with the individual incidents or area command as well as with other local EOCs.

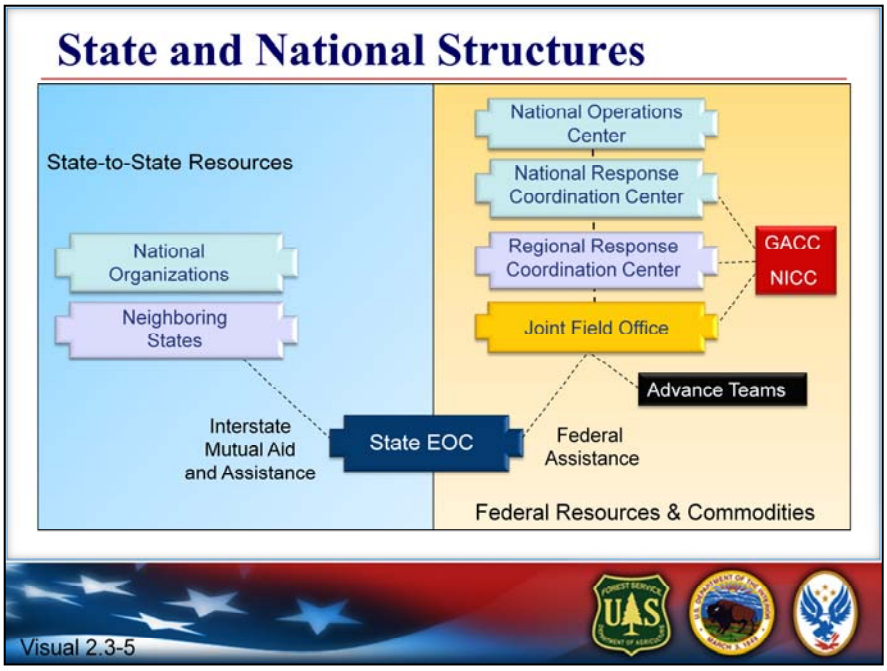
- **State Emergency Operations Center (EOC).** At the State EOC, requests from multiple jurisdictions are coordinated and prioritized. If the State officials cannot fulfill resource requests, they can use intrastate and interstate mutual aid and assistance agreements. In addition, statewide private-sector and nongovernmental organizations may help fulfill needs.



A Multiagency Coordination (MAC) System provides the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination.

MAC Systems consist of a combination of elements: personnel, procedures, protocols, business practices, and communications integrated into a common system.

The primary focus of the MAC System at the State level is the MAC entity and supporting staff operating out of the State EOC. The State EOC coordinates activities with local EOCs with the agencies and assets within the State.



The State EOC coordinates with other States through the Emergency Management Assistance Compact (EMAC). The State EOC may also coordinate with entities at the Federal level for additional resources. The remainder of this lesson will focus on the Federal response structures, including:

- **Joint Field Office (JFO).** The JFO is the primary Federal incident management field structure. The JFO is a temporary Federal facility that provides a central location for the coordination of Federal, State, tribal, and local governments and private-sector businesses and nongovernmental organizations with primary responsibility for response and short-term recovery.

- **Regional Response Coordination Center (RRCC).** At the regional level, Federal interagency resource coordination and multiagency incident support are provided by the RRCC.

- **National Response Coordination Center (NRCC).** The NRCC, a component of the NOC, is DHS/FEMA's primary operations center responsible for coordinating Federal operational support, maintaining a common operating picture, and national resource coordination.

- **National Operations Center (NOC).** The NOC is the primary national hub for situational awareness and operations coordination across the Federal Government for incident management. The NOC provides the Secretary of Homeland Security and other principals with information necessary to make critical national-level incident management decisions.

The following two support organizations will be discussed in a later lesson:

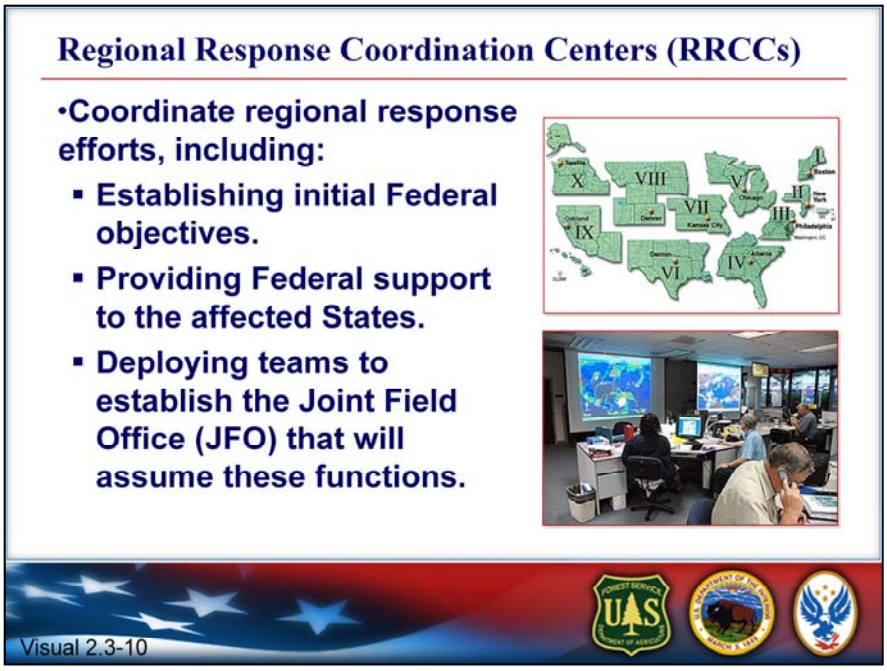
- **Geographic Area Coordination Center (GACC).** If a wildland fire grows to the point where local personnel and equipment are not enough, the responsible agency contacts the Geographic Area Coordination Center (GACC) for help. When GACCs can no longer meet the requests because they are supporting multiple incidents, or when GACCs are competing for resources, the request for equipment and supplies is referred to the National Interagency Coordination Center (NICC).

- **National Interagency Coordination Center (NICC).** The NICC serves as the dispatch and coordination center for Federal and State fire resources, primarily in response to wildland fires, but also in support of ESF #4.

The final NOC element is the FEMA National Response Coordination Center (NOC-NRCC). During an incident, the NOC-NRCC operates on a 24/7 basis or as required to:

- Monitor potential or developing incidents.
- Support the efforts of regional and field components, including coordinating the preparedness of national-level emergency response teams and resources.
- Initiate mission assignments or reimbursable agreements to activate other Federal departments and agencies (in coordination with Regional Response Coordination Centers).
- Activate and deploy national-level specialized teams.

In addition, the NOC-NRCC resolves Federal resource support conflicts and other implementation issues forwarded from the field.

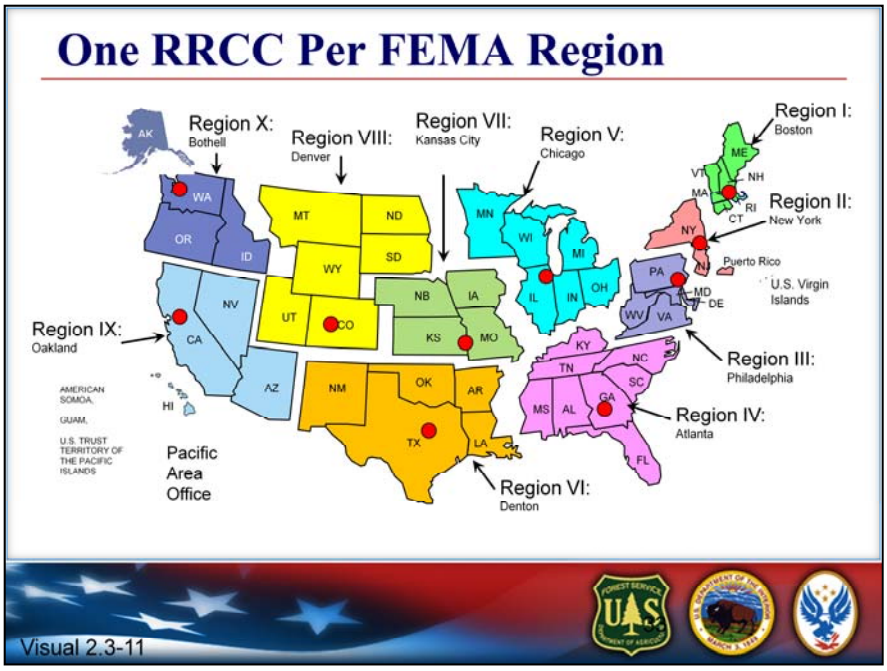


The Regional Response Coordination Centers (RRCCs):

- Are 24/7 interagency coordination facilities staffed in anticipation of a serious incident in the region or immediately following an incident.
- Operate under the direction of the FEMA Regional Administrator.

After establishing communications with the affected State emergency management agency, RRCCs:

- Develop initial Federal objectives,
- Provide Federal support to the affected States, and
- Deploy teams to establish the Joint Field Office (JFO) that will assume these functions.



Each of FEMA's regional offices maintains an RRCC.

FEMA has 10 regional offices, each headed by a Regional Administrator. Regional offices:

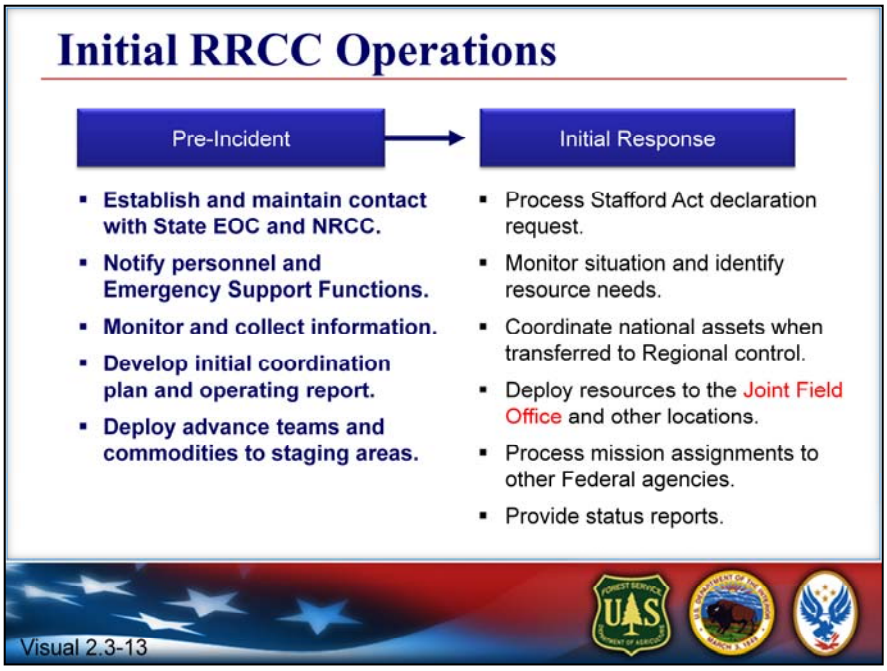
- Are FEMA's permanent presence for communities and States across the Nation.
- Develop all-hazards operational plans and generally help States and communities become better prepared.

The RRCC and NRCC Watch is a 24/7 steady-state function that maintains national situational awareness of potential or developing events that require a coordinated Federal response.

When the Watch cannot manage the event and remain effective in their primary mission of maintaining national situational awareness, the Watch will direct the activation of the RRCC/NRCC Activation Team. The RRCC/NRCC Director, in collaboration with the Watch Officer and Activation Team Officer, activates the Team at the appropriate level to handle the incident/event.

The below table summarizes the activation levels and staffing levels.

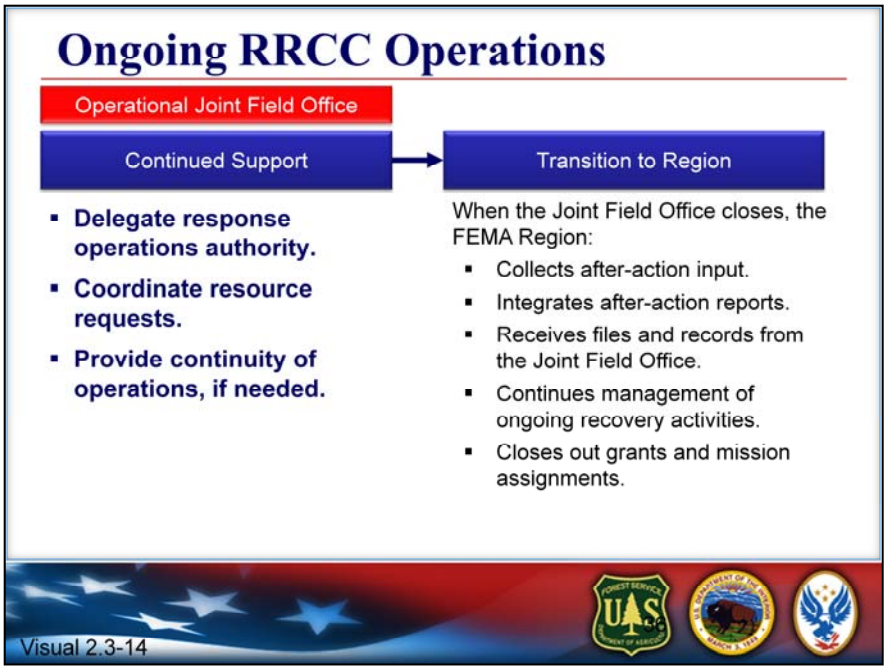
Level	Description / Staffing
Level 1	All team members and ESFs.
Level 2	Level 3 plus selected Emergency Support Functions (ESFs).
Level 3	NRCC Director and Operations, Planning, Logistics, and Finance/Administration Section Chiefs, Situation Unit, Documentation Unit, Coordination Staff members, Mission Assignments Manager, Action Tracker, and other select staff members as required.
Normal Operations	NRCC Watch Team 24 / 7



Review the typical RRCC activities listed on the visual and consider the following questions:

- What are some pre-incident and initial response challenges that the RRCC personnel might encounter?

- What actions can be taken in advance of an incident to address these challenges?



Note that as the Joint Field Office (JFO) becomes fully operational, the RRCC operations are scaled back to providing continued support. The RRCC provides continuity of operations should the JFO operations be affected by another incident.

Part of the JFO demobilization planning is to transition the operations back to the Region. The Region may manage long-term recovery programs for many years after the JFO closes.

After the initial crisis and response phase, the business aspects of the incident may be scrutinized when the region closes out grants and mission assignments. **Therefore, documentation and accountability are critical during the response phase.**

The JFO is organized into four sections based on the Incident Command System (ICS) standard organization as follows:

- **Operations Section.** The Operations Section coordinates operational support with on-scene incident management efforts. Branches, divisions, and groups may be added or deleted as required, depending on the nature of the incident. The Operations Section is also responsible for coordinating with other Federal facilities that may be established to support incident management activities.

- **Planning Section.** The Planning Section's functions include the collection, evaluation, dissemination, and use of information regarding the threat or incident and the status of Federal resources. The Planning Section prepares and documents Federal support actions and develops unified action, contingency, long-term, and other plans.

- **Logistics Section.** The Logistics Section coordinates logistics support that includes: control of and accountability for Federal supplies and equipment; resource ordering; delivery of equipment, supplies, and services to the JFO and other field locations; facility location, setup, space management, building services, and general facility operations; transportation coordination and fleet management services; information and technology systems services; administrative services such as mail management and reproduction; and customer assistance.

- **Finance and Administration Section.** The Finance and Administration Section is responsible for the financial management, monitoring, and tracking of all Federal costs relating to the incident and the functioning of the JFO while adhering to all Federal laws and regulations.

All or portions of this organizational structure may be activated based on the nature and magnitude of the threat or incident.

Depending on the scope and nature of the incident, the Unified Coordination Group identifies which Emergency Support Functions (ESFs) to activate. **ESF resources are then integrated into all areas within the JFO structure.**

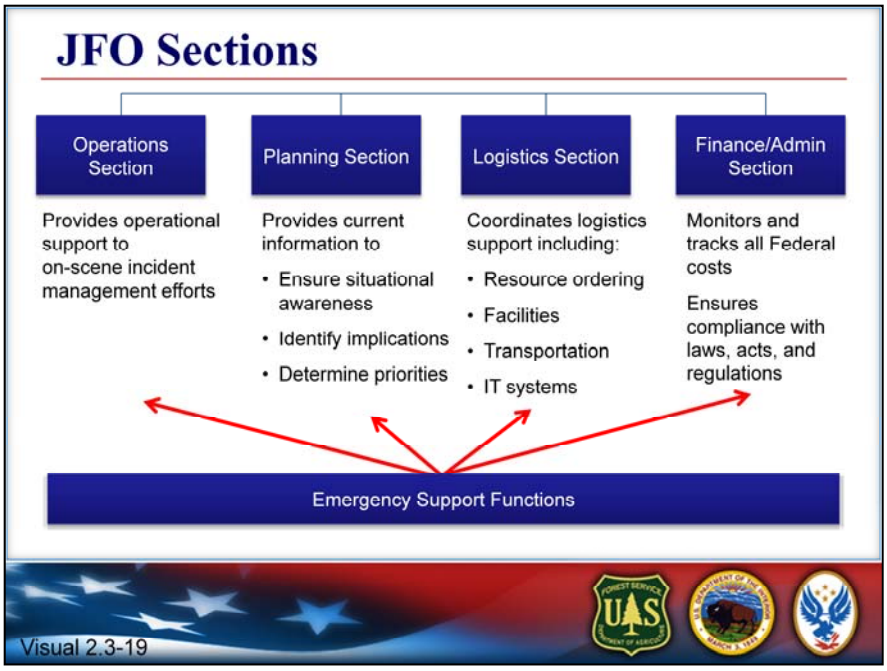
- **Federal Coordinating Officer (FCO).** For Stafford Act incidents upon the recommendation of the FEMA Administrator and the Secretary of Homeland Security, the President appoints an FCO to coordinate Federal support in the response to and recovery from emergencies and major disasters. The FCO executes Stafford Act authorities, including commitment of FEMA resources and the mission assignment of other Federal departments or agencies.

- **State Coordinating Officer (SCO):** The SCO is the individual appointed by the Governor to coordinate State disaster assistance efforts with those of the Federal Government. The SCO plays a critical role in managing the State response and recovery operations following Stafford Act declarations. The Governor of the affected State appoints the SCO, and lines of authority flow from the Governor to the SCO, following the State's policies and laws.

- DOD has appointed 10 DCOs and assigned one to each FEMA Region. If requested and approved, the DCO serves as DOD's single point of contact at the JFO for requesting assistance from DOD.

- With few exceptions, requests for Defense Support of Civil Authorities (DSCA) originating at the JFO are coordinated with and processed through the DCO. The DCO may have a Defense Coordinating Element consisting of a staff and military liaison officers to facilitate coordination and support to activated ESFs.

- Specific responsibilities of the DCO (subject to modification based on the situation) include processing requirements for military support, forwarding mission assignments to the appropriate military organizations through DOD-designated channels, and assigning military liaisons, as appropriate, to activated ESFs.



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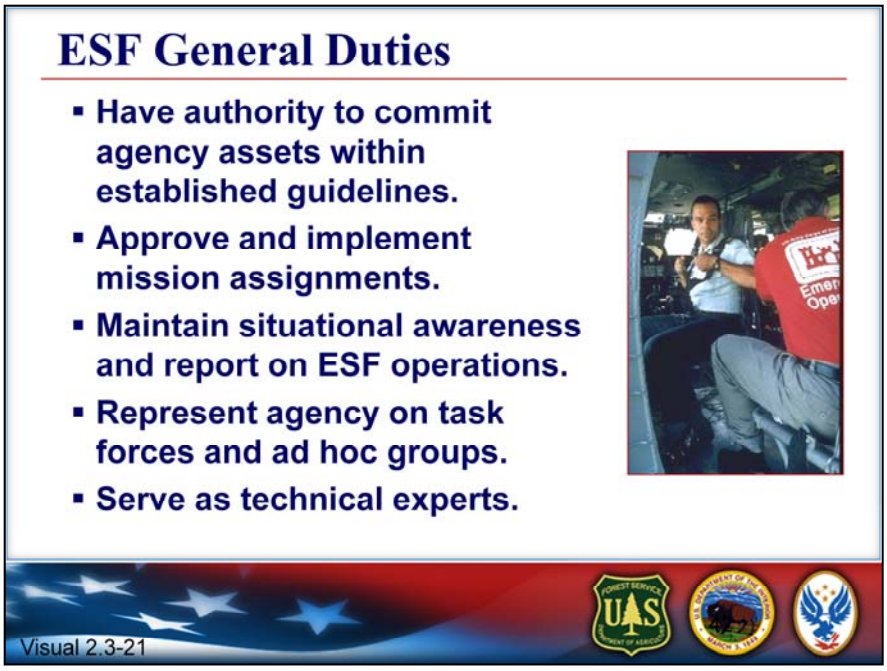
The Federal Government and many State governments organize much of their resources and capabilities – as well as those of certain private-sector and nongovernmental organizations – under **Emergency Support Functions (ESFs)**.

The ESFs:

- Are coordinated by FEMA through the NRCC and RRCC.
- Are a critical mechanism to coordinate functional capabilities and resources provided by Federal departments and agencies, along with certain private-sector and nongovernmental organizations.

Many States have also organized an ESF structure along this approach.

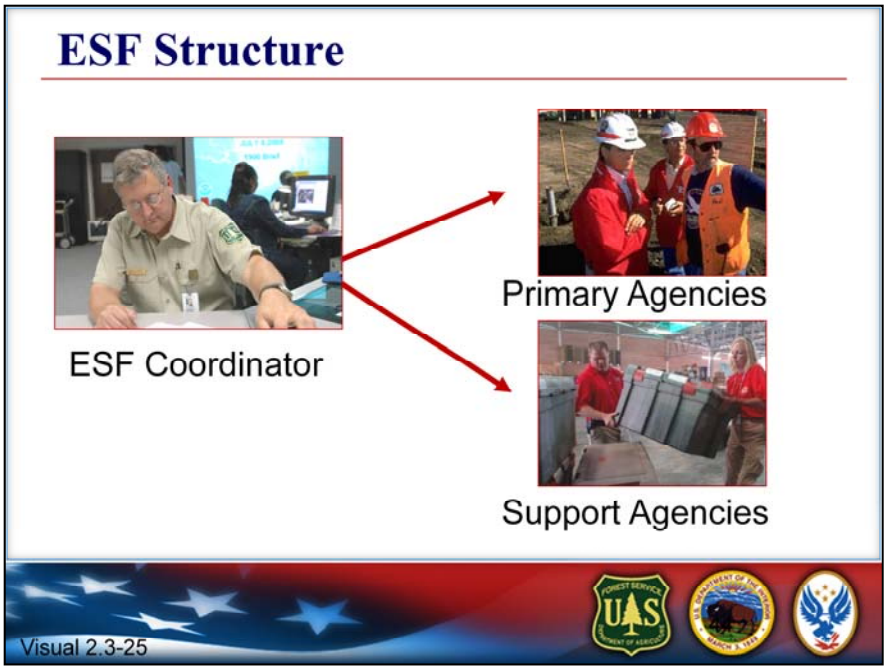


Review the general ESF duties listed on the visual. A later lesson presents detailed information about the ESF #4 duties.

Why is it important that ESFs have the authority to commit agency assets?

The 15 Emergency Support Functions are listed on the visual. For additional information on each ESF, see the next couple of pages.

Also, you can access the complete ESF Annexes at the NRF Resource Center at www.fema.gov/nrf.



The ESF structure includes:

- **ESF Coordinator.** The entity assigned to manage oversight for a particular ESF.
- **Primary Agencies.** ESF primary agencies are Federal agencies with significant authorities, resources, or capabilities for a particular function within an ESF. A Federal agency designated as an ESF primary agency serves as a Federal executive agent under the Federal Coordinating Officer (or Federal Resource Coordinator for non-Stafford Act incidents) to accomplish the ESF mission.
- **Support Agencies.** Support agencies are those entities with specific capabilities or resources that support the primary agencies in executing the mission of the ESF.

ESFs provide support to other ESFs. For example, ESF #3 – Public Works and Engineering may support rural firefighting forces to obtain heavy equipment and/or demolition services as needed to suppress incident-related fires.

The ESF coordinator has management oversight for that particular ESF.

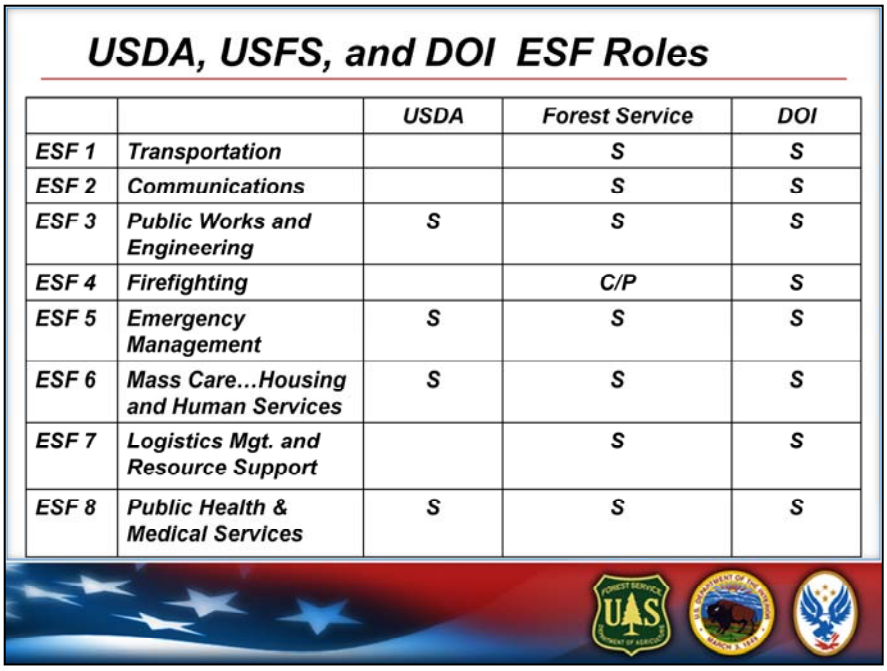
As described on the visual, the ESF coordinator has a role throughout the incident management cycle.

Primary Agency: When an ESF is activated in response to an incident, the primary agency is responsible for:

- Serving as a Federal executive agent under the Federal Coordinating Officer (or Federal Resource Coordinator for non-Stafford Act incidents) to accomplish the ESF mission.
- Orchestrating Federal support within their functional area for an affected State.
- Providing staff for the operations functions at fixed and field facilities.
- Notifying and requesting assistance from support agencies.
- Managing mission assignments and coordinating with support agencies, as well as appropriate State agencies.
- Working with appropriate private-sector organizations to maximize use of all available resources.
- Supporting and keeping other ESFs and organizational elements informed of ESF operational priorities and activities.
- Maintaining trained personnel to support interagency emergency response and support teams.

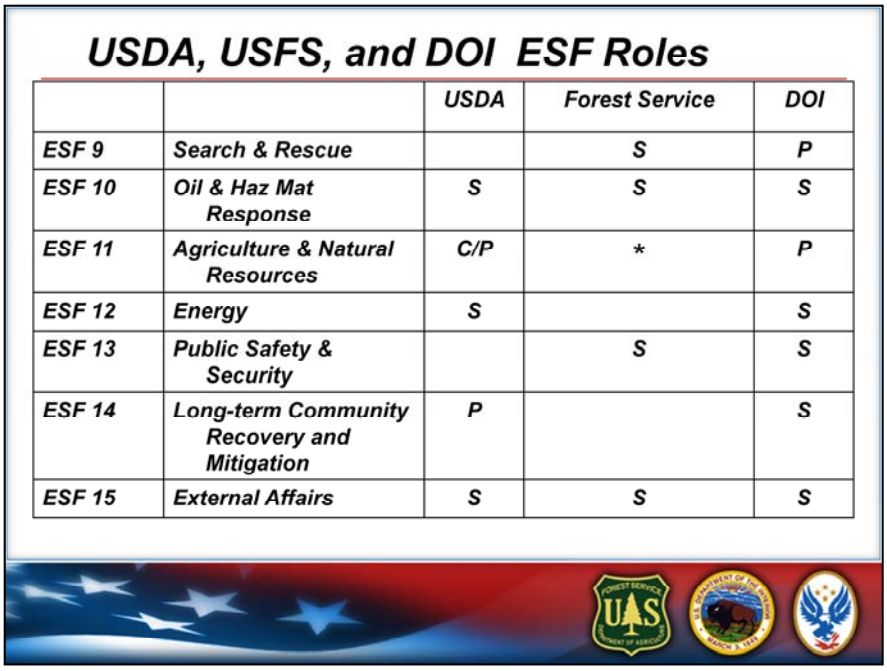
Support Agency: When an ESF is activated in response to an incident, support agencies are responsible for:

- Conducting operations, when requested by DHS or the designated ESF primary agency, using their own authorities, subject-matter experts, capabilities, or resources.
- Participating in planning for short- and long-term incident management and recovery operations and the development of supporting operational plans, SOPs, checklists, or other job aids, in concert with existing first-responder standards.
- Assisting in the conduct of situational assessments.
- Furnishing available personnel, equipment, or other resource support as requested by DHS or the ESF primary agency.
- Providing input to periodic readiness assessments.
- Participating in training and exercises aimed at continuous improvement of response and recovery capabilities.
- Identifying new equipment or capabilities required to prevent or respond to new or emerging threats and hazards, or to improve the ability to address existing threats.



As shown in the table, there are fifteen Emergency Support Functions. There are 32 agencies involved in the ESFs.

USDA, USFS, and DOI play key roles in many of the ESFs.



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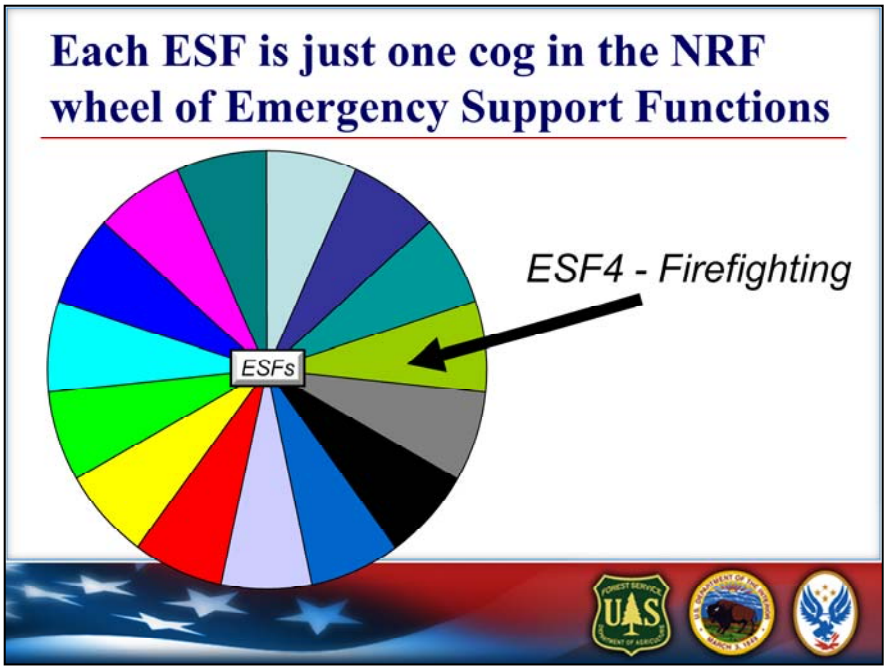
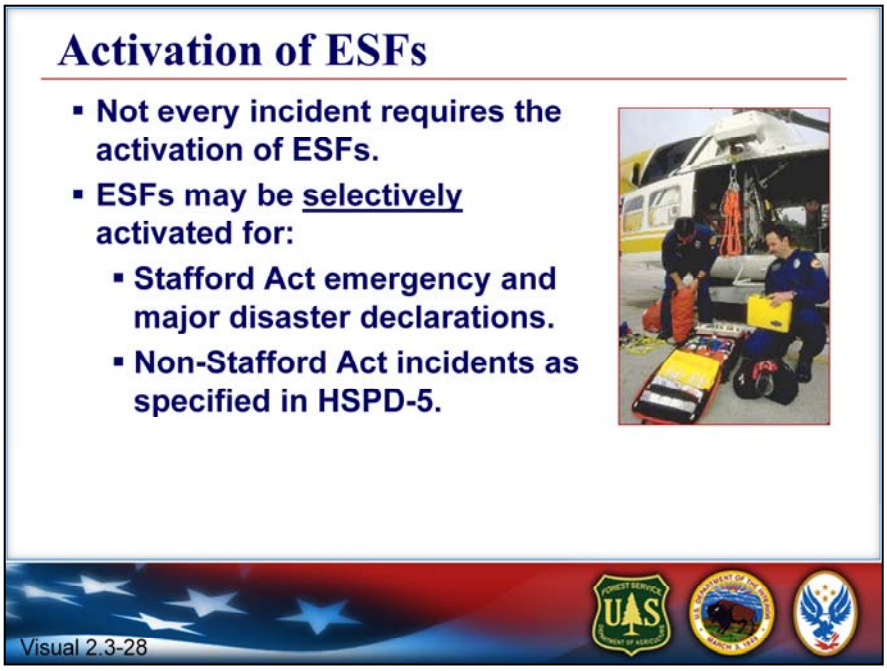


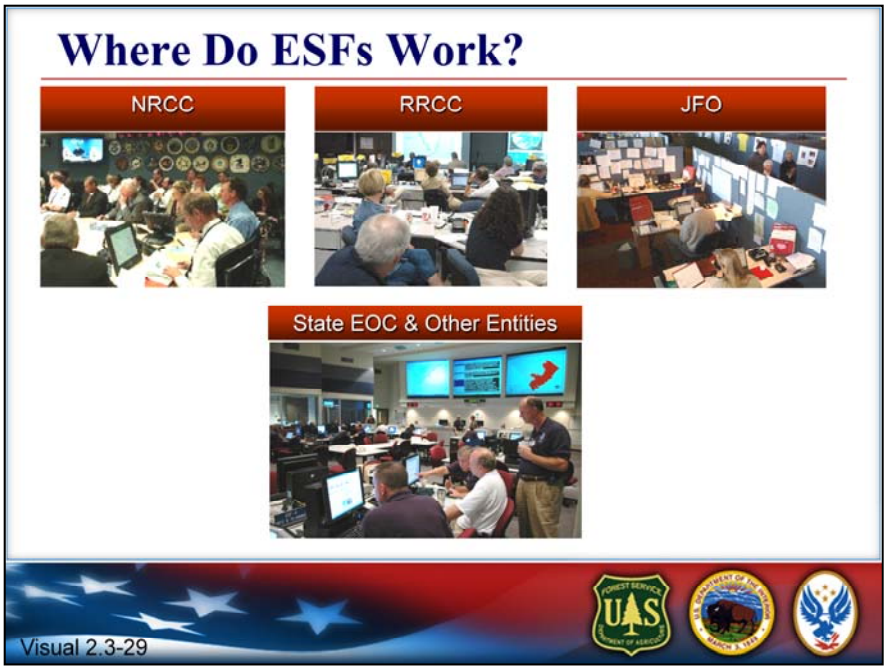
The NRF is divided into 15 Emergency Support Functions. The ESFs provide structure for coordinating Federal interagency support during declared emergencies and major disasters.

Firefighting is just one of 15 different Emergency Support Functions under the NRF, the purpose of which is to coordinate firefighting activities in support of state and local agencies involved in rural and urban firefighting operations during incidents that are or may be declared as emergencies or major disasters under the Stafford Act.



ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents under circumstances as defined in HSPD-5. Not all incidents requiring Federal support result in the activation of ESFs.

FEMA can deploy assets and capabilities through ESFs into an area in anticipation of an approaching storm or event that is expected to cause a significant impact and result. This coordination through ESFs allows FEMA to position Federal support for a quick response, though actual assistance cannot normally be provided until the Governor requests and receives a Presidential major disaster or emergency declaration.

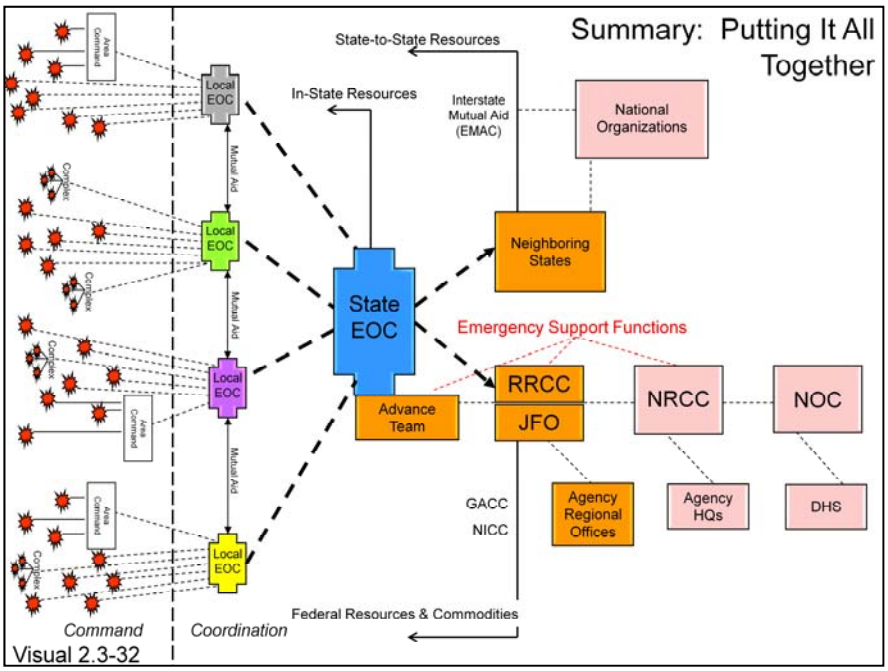


When activated, ESFs may be deployed to:

- **NRCC.** At FEMA headquarters, the ESFs support decisionmaking and coordination of field operations within the NRCC.

- **RRCC and JFO.** The ESFs deliver a broad range of technical support and other services at the regional level in the RRCCs and at the field level at the JFO.

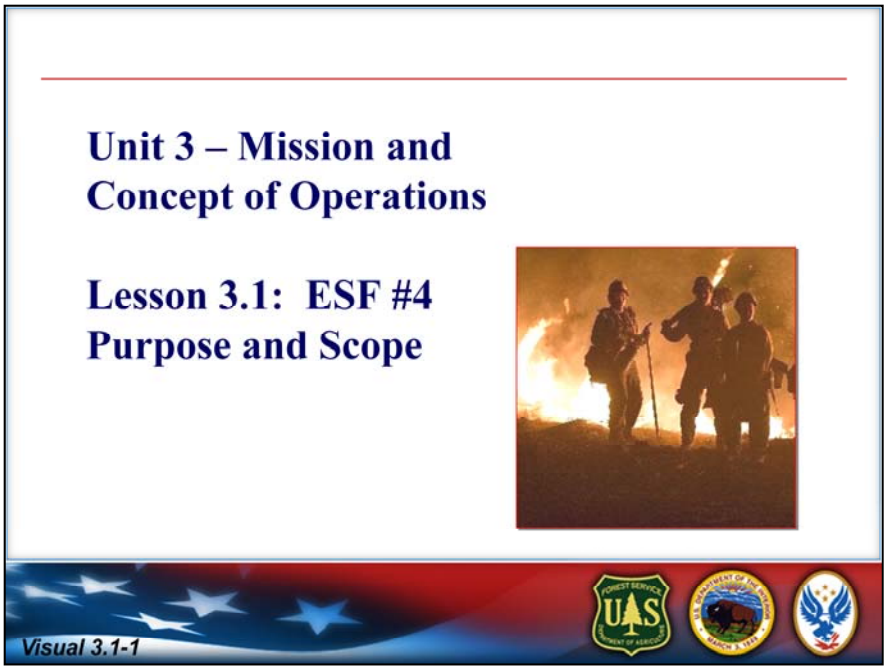
- **State EOC and Other Entities.** In addition to being assigned at the JFO, ESFs may serve as Advance Teams members at a State EOC or work in other coordination entities such as a Geographic Area Coordination Center (GACC) .



This visual shows the interaction among the different levels and response partners during a complex incident. As shown on this chart, firefighting resources may be deployed through:

- Intrastate mutual aid and assistance agreements
- Interstate mutual aid and assistance plans
- The Emergency Management Assistance Compact (EMAC)
- The ESF Structure of the National Response Framework

Do you have any questions about how the parts of the system work together and the role of the Emergency Support Functions?

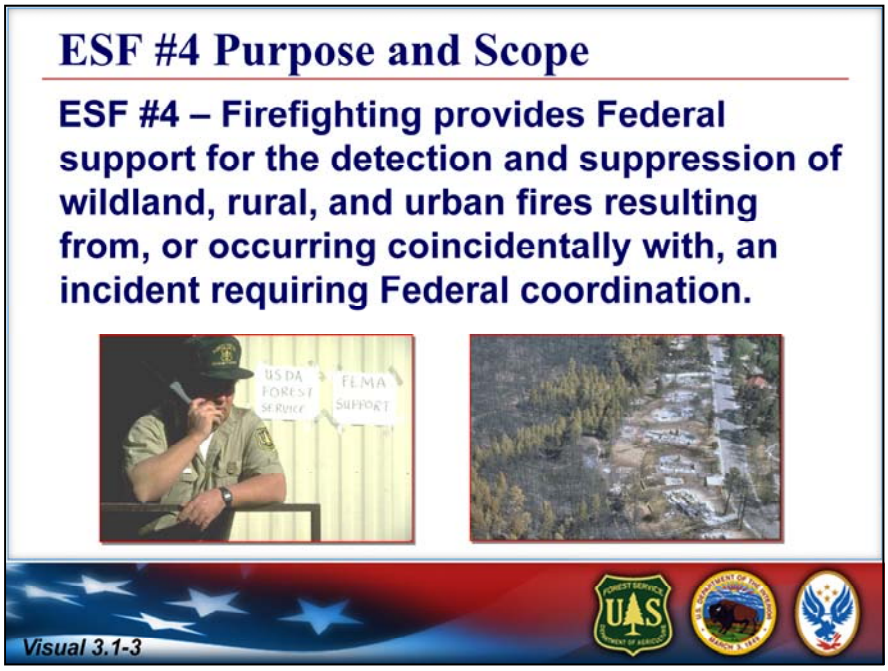


Unit 3 – Mission and Concept of Operations
Lesson 3.1: ESF #4 Purpose and Scope

Lesson Terminal Objective: At the completion of this lesson, you will be able to identify key aspects of ESF #4.

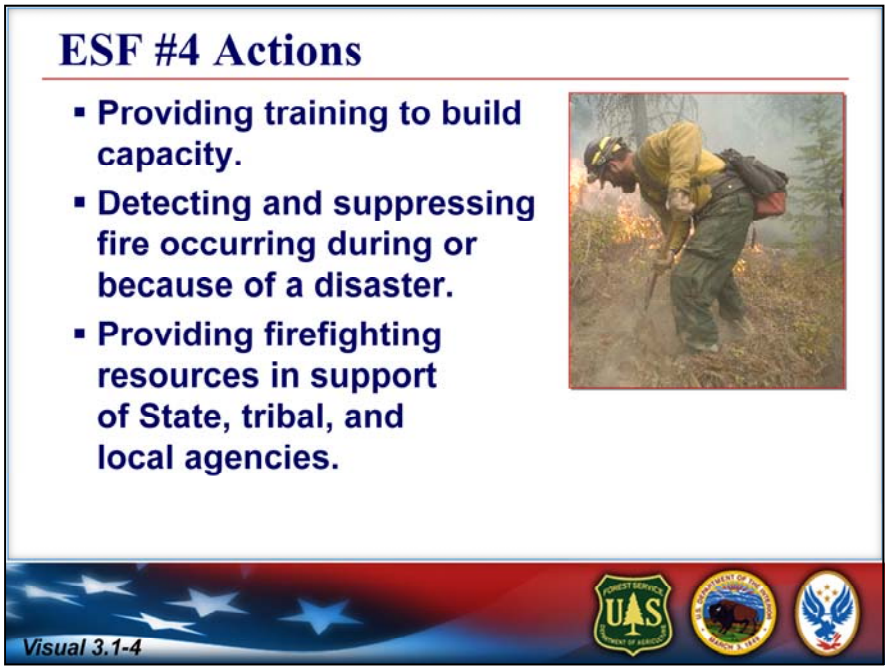
Lesson Enabling Objectives:

- Describe the purpose of ESF #4.
- Identify the primary agency.
- Describe the responsibilities of the primary agency under ESF #4.
- Identify support agencies.
- Describe responsibilities of support agencies under ESF #4.
- Identify ESF #4 resource capabilities.



ESF #4:

- Manages and coordinates firefighting activities, including the detection and suppression of fires.
- Provides personnel, equipment, and supplies in support of State, tribal, and local agencies involved in wildland, rural, and urban firefighting operations.



Under ESF #4, all-hazards incident-specific training is provided to personnel prior to mobilization for any given assignment.

Additionally, ESF #4 primary and support agencies provide:

- Training to Federal, State, tribal, and local partners to build capacity.
- Technical assistance in incident planning to enhance State, tribal, and local organizations' ability to plan.

ESF #4 coordinates the use of state-of-the-art technology and equipment to detect and fight wildland fires occurring during or because of a disaster.

While response always begins at the lowest level of government, ESF #4 is responsible for supporting these efforts when requested by coordinating Federal firefighting resources, including:

- Trained firefighting personnel.
- Incident management expertise and support.
- Engines and other heavy equipment.
- Aerial firefighting support.
- Logistical support for firefighting operations.

National Coordinator: The Department of Agriculture (USDA)/Forest Service Disaster and Emergency Operation Branch Chief serves as the national ESF #4 coordinator at the headquarters level. This position is the link to the National Director for Fire and Aviation Management at USDA/Forest Service Headquarters.

The national ESF #4 coordinator or representative:

- Reports to and is a member of the National Response Coordination Center (NRCC), when activated.
- Provides subject-matter expertise through the USDA leadership to the Domestic Readiness Group (DRG) and other departments/agencies at the headquarters level.

Based on recommended Department of Homeland Security (DHS) requirements, ESF #4 may be operational on a 24-hour basis.

While operational, ESF #4, through the NRCC, provides subject-matter expertise as needed to FEMA and other ESFs. Support agencies have representatives available at the NRCC or by telephone or pager on a 24-hour basis while ESF #4 is operational.

Regional/Area Coordinator: The regional/area ESF #4 coordinator (provided by the USDA/Forest Service regional/area office):

- Coordinates Federal firefighting response support.
- Is responsible for establishing and maintaining coordination with the national ESF #4 coordinator, regional support agencies, regional FEMA officials, and the Joint Field Office (JFO).

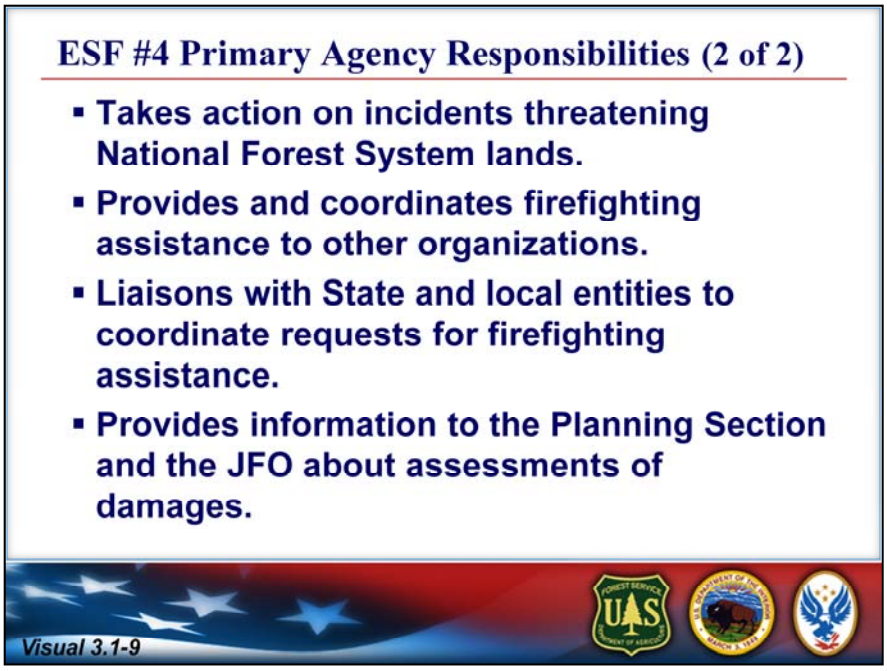
While operational, ESF #4, through the Regional Response Coordination Center (RRCC)/JFO, provides subject-matter expertise as needed to FEMA and other ESFs. Support agencies have representatives available at the RRCC/JFO or by telephone or pager on a 24-hour basis while ESF #4 is operational.

Geographic Area Coordination Centers (GACCs) provide regional firefighting response, mobilization of resources, and logistics support.

The Department of Agriculture (USDA)/Forest Service is the ESF #4 coordinator and primary agency.

As the ESF #4 primary agency, the USDA/Forest Service:

- Provides qualified representatives to serve as ESF #4 coordinators at the national and regional/area levels.
- Provides support personnel at the NRCC and RRCC/JFO levels.
- Requests assistance from support agencies as necessary to accomplish ESF #4 responsibilities.
- Provides logistical support through the GACC and/or the National Interagency Coordination Center (NICC) for mobilizing resources for firefighting.



The ESF #4 primary agency:

- Assumes full responsibility for suppression of wildfires burning on National Forest System lands and joins in a unified command with the local jurisdiction on incidents threatening National Forest System lands.

- Provides and coordinates firefighting assistance to other Federal land management, State forestry, tribal, and local fire organizations as requested under the terms of existing agreements and the National Response Framework (NRF).

- Arranges for direct liaison with State emergency operations centers (EOCs), local EOCs, and fire chiefs in the designated area, as appropriate, to coordinate requests for firefighting assistance in structural or industrial fire detection, protection, and suppression operations.

- Provides information to the Planning Section at the incident and the JFO as assessments of fire-caused damages are obtained.

The U.S. Forest Service All-Hazard Response doctrine outlines priorities for accepting missions/tasks:

1. Agency mission
2. ESF #4 mission under the NRF
3. Support to other ESFs as specified in the NRF
4. Nonspecified support to other ESFs and departments/agencies

Take a moment to review the roles of the ESF #4 support agencies listed on the next page.

The Department of the Interior (DOI) through the Bureau of Land Management (BLM), Fish and Wildlife Service (FWS), National Park Service (NPS), and Bureau of Indian Affairs (BIA):

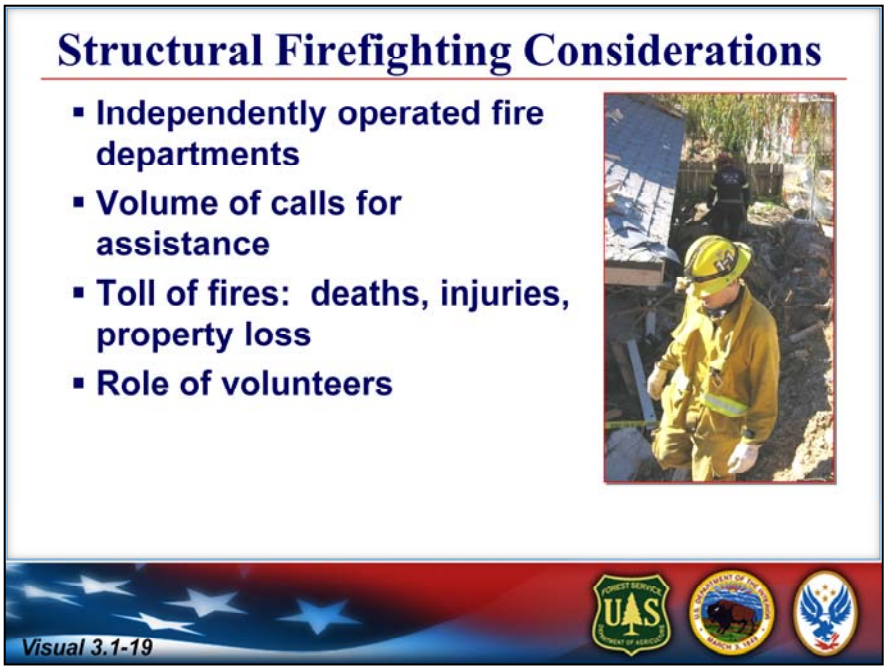
- Assumes full responsibility for fighting wildfires burning on lands within its jurisdiction.
- Assists the USDA/Forest Service in managing and coordinating firefighting operations.
- Provides firefighting assistance to other Federal land management organizations as requested under the terms of existing agreements and the National Response Framework.

The U.S. Fire Administration (USFA):

- Provides subject-matter experts and expertise regarding structural, urban/suburban fire and fire-related activities.
- Maintains a representative at the NIFC to assist with national coordination.

State forestry organizations in most States are responsible for wildland firefighting on non-Federal lands. The National Association of State Foresters (NASF) promotes the conservation and protection of forest lands and resources.

States may assist other States in firefighting operations and may assist Federal agencies through agreements.



There are more than 30,000 fire departments in the United States.

A fire department responds to a fire in the United States every 19.0 seconds. Together, fire departments respond to a total of nearly 1.8 million calls each year for:

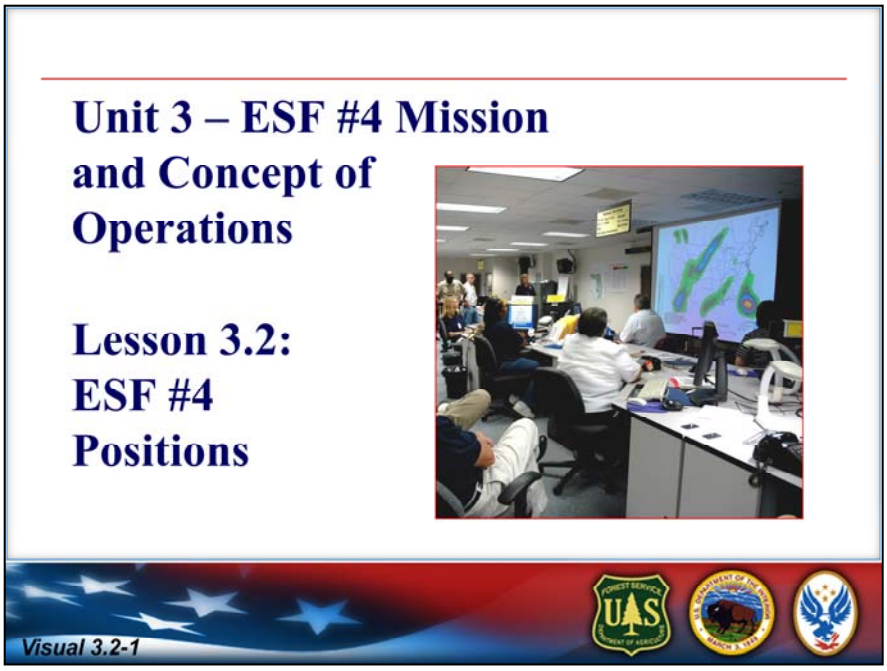
- Medical aid
- Fires
- Mutual aid/assistance
- Hazmat
- Search and rescue
- Special operations (e.g., technical rescue)
- Other hazards (e.g., arcing wires, bomb removal)
- False alarms

Other firefighting facts and considerations:

- The United States has a yearly average of 1,758,000 fires and 4,025 fire deaths.
- In 2004, there were 511,000 structural fires, causing 3,105 civilian deaths, 15,325 civilian injuries, and $9.2 billion in property damage.
- In 2007, 113 firefighters died.
- 800,000 firefighters in the United States are volunteers.
- All-volunteer/mostly volunteer fire departments protect approximately 38 percent of the country's population and more than 70 percent of the country's land area.

States may request or provide additional structural firefighting support, including some of the following specialized structural firefighting resources:

- **Aerial Ladder Trucks** provide access to, and exits for, all parts of a fire building. Ladder company crews also are responsible for removing heat, smoke, and gases to allow greater visibility and permit engine company crews to move rapidly and safely within a fire building or exposed buildings.
- **Fire Boats** are water vessels that are used as pumpers. They have the capacity to draw in and spray water simultaneously. Many fire boats also are outfitted to serve a rescue vessel on bodies of water.
- **Hazmat Response Units** are specialized fire apparatus with a specially trained crew that are used on hazardous material incidents.
- **Airport Rescue and Firefighting Units** are used to extinguish aircraft fires. These vehicles have the capability to mix foam with water using hoses and monitors to extiguish aircraft fires.
- **Breathing Air Supply Units** are used to replenish Self-Contained Breathing Apparatus (SCBA) bottles at an incident scene.
- **Mobile Incident Command Posts** are vehicles that are specially designed to serve as an Incident Command Post (ICP) at the incident scene. These vehicles are equipped with radios, phones, computers, and workspace for an Incident Commander and other staff at a working incident.
- **Technical Rescue and Special Operations** capabilities may include swift water rescue and other technical rescue teams.



Unit 3 – ESF #4 Mission and Concept of Operations
Lesson 3.2: ESF #4 Positions

Lesson Terminal Objective: At the completion of this lesson, you will be able to identify the roles and responsibilities of the ESF #4 coordinator and subordinates.

Lesson Enabling Objectives:

- Identify the emergency response roles and responsibilities assumed by ESF #4, and who serves—and/or is eligible to serve—in the following positions:
  - National coordinator
  - Primary Leader
  - Support – Wildland
  - Support – Structure
  - Support – Administrative
- Explain the parallel structure of ESF #4 at the national and regional/area levels.
- Analyze the various duties assumed by the ESF #4 staff as a whole, and describe how they pertain to the following areas:
  - Informing and interfacing with chain of command
  - Financial oversight
  - Safety of personnel
  - Reporting and recordkeeping

This lesson presents:

- The specific role and responsibilities of the ESF #4 National and Regional/Area Coordinators. These leadership positions are appointed prior to an incident. Depending on the type of incident, the individuals in these positions may serve as the Primary Leader at the National Response Coordination Center (NRCC) or Regional Response Coordination Center (RRCC).

- ESF #4 staff positions (commonly referred to as the ESF #4 desk) and their roles. Individuals in these positions are assigned to work at the Geographic Area Coordination Center (GACC), NRCC, or RRCC/Joint Field Office (JFO). The Primary Leader (if not the ESF #4 Coordinator) receives a delegation of authority.

The USDA/Forest Service (USFS) Disaster and Emergency Operation Branch Chief serves as the ESF #4 Coordinator. The National ESF #4 Coordinator or representative reports to and is a member of the ESF Leaders' Group (ESFLG) and the NRCC (when activated); is accountable to the National Director for Fire and Aviation Management at USFS Headquarters.

The National Coordinator is responsible for the overall ESF #4 activities and financial management, including:

- Contacting the Fire and Aviation Management Budget Analyst, Forest Service, Washington Office, to obtain Office of Management and Budget (OMB) reimbursement/ apportionment authority.

- Establishing communications links with Regional/Area ESF #4 Coordinator(s), support agencies, the USDA Emergency Operations Center, the National Director for Fire and Aviation Management at USFS Headquarters, and the USFS Assistant Director – Operations at the National Interagency Fire Center (NIFC).

The Regional/Area ESF #4 Coordinator is responsible for regional/area ESF #4 activities, including:

- Establishing and maintaining coordination with the National ESF #4 Coordinator, regional/area support agencies, regional/area FEMA officials, and the JFO.

- Coordinating Federal firefighting response support from the RRCC, including providing subject-matter expertise as needed to other ESFs and FEMA and conducting pre-incident coordination with the appropriate FEMA Regional Interagency Steering Committee (RISC).

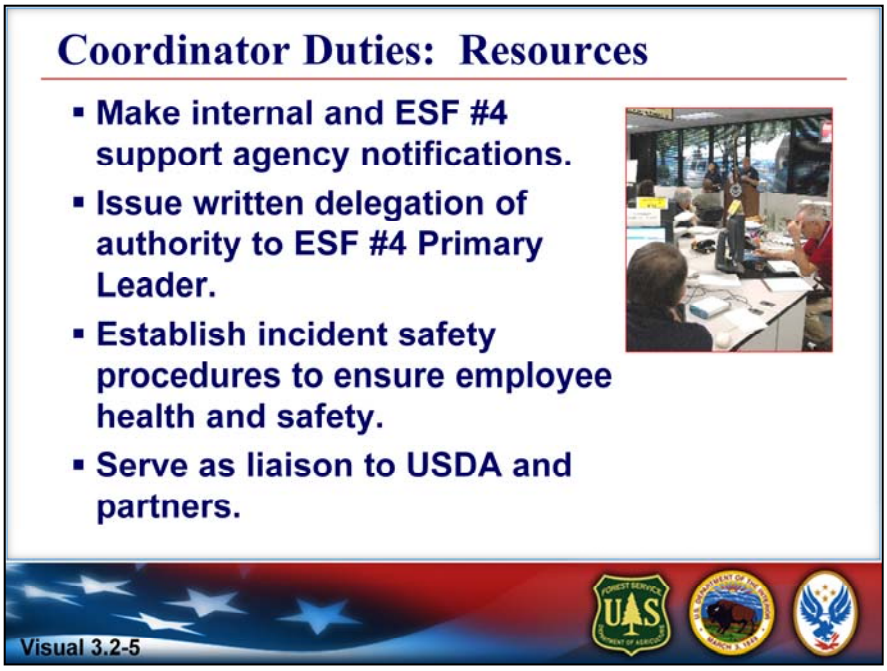
The primary oversight responsibilities of the ESF #4 Coordinator(s) at both the national and regional/area levels are:

- Ensure the FEMA ESF #4 activation mission assignment (MA) is accepted and other issued MAs are accepted or redirected.

- Ensure appropriate fiscal codes are established for each MA and communicated to the appropriate parties. In addition, the Regional/Area ESF #4 Coordinator works in conjunction with the Regional Incident Business Management Coordinator (or designated responsible person) to establish processes to forward MAs to support agencies and the Albuquerque Service Center (ASC).

- Ensure compliance with business management requirements.

Note: Additional information on managing the mission assignment process is presented in a later lesson.



The primary responsibilities for resource management of the ESF #4 Coordinator(s) at both the national and regional/area levels are:

- Make internal notifications and ESF support agency notifications (when necessary).
- Issue written delegation of authority to the ESF #4 Primary Leader who may represent them at the NRCC or RRCC/JFO.
- Establish incident safety procedures to ensure employee health and safety.
- Serve as liaison between USDA and National Response Framework (NRF) partners at the appropriate level.

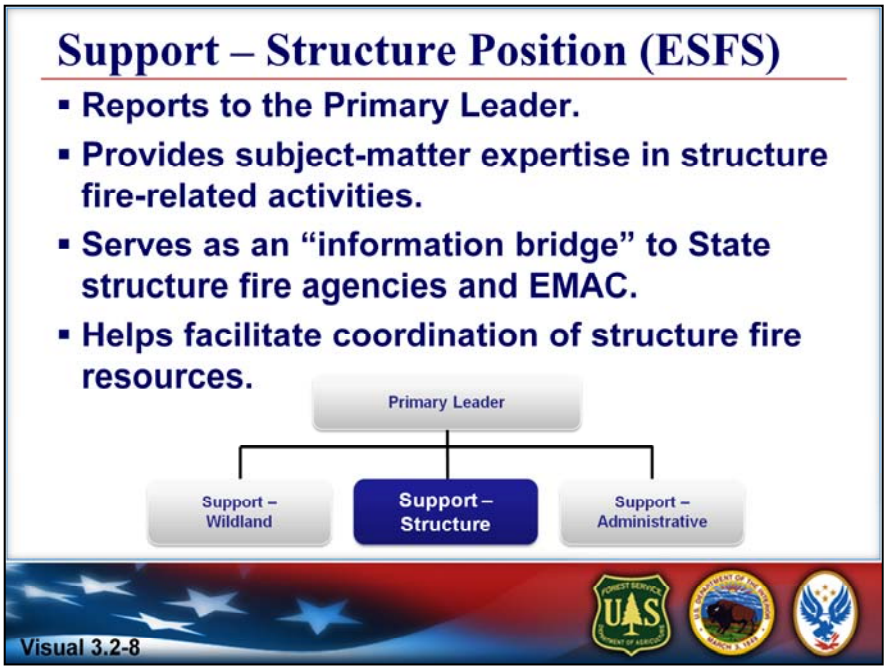
  In addition, the Regional/Area ESF #4 Coordinator must arrange for adequate staffing for all shifts at the RRCC and other locations.

The ESF #4 Primary Leader (ESFL):

- Manages and directs the ESF #4 organization.
- Provides technical advice and support to FEMA as the Forest Service representative.
- Communicates with Federal and State agencies regarding policies, procedures, and capabilities related to all-hazard emergency management.
- Serves as an intelligence and information conduit during an ESF #4 activation.
- Determines the appropriate response to a request for resources (determines the best type of resources for a given task/mission).
- Delegates appropriate tasks that are within the scope of a given MA to resources.

The Support – Wildland position (ESFW):

- Reports to the Primary Leader.
- Supports the Primary Leader in daily tasks.
- Recommends procedures and management actions addressing incident issues, concerns, and opportunities.



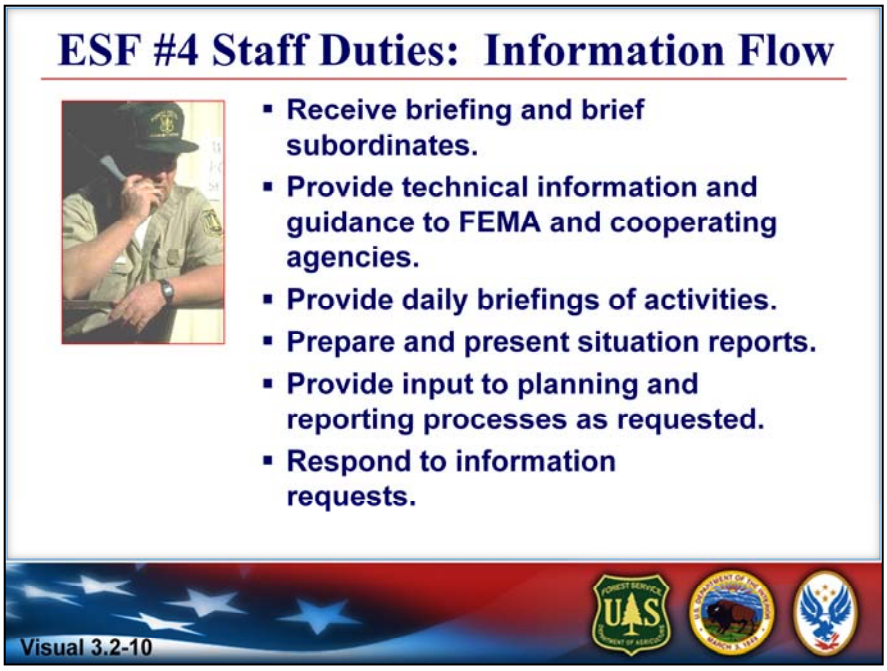
The Support – Structure position (ESFS):

- Reports to the Primary Leader.
- Provides subject-matter experts/expertise regarding structure/urban/suburban fire-related activities.
- Serves as an "information bridge" to State fire administrators and Emergency Management Assistance Compact (EMAC) staff between requests for Federal firefighting assistance and State/local firefighting resources.
- As necessary, helps facilitate coordination of structure fire resources and provides technical assistance to wildland and structural organizations.

The ESF #4 National Coordinator will complete the USFA subtasking request when an ESFS is activated.

The Support – Administrative position (ESFA):

- Reports to the Primary Leader.
- Provides administrative support to the ESF #4 function.
- Assists with documentation, organization, and related administrative day-to-day needs.



Information flow starts with establishing and maintaining positive interpersonal and interagency working relationships, and keeping the chain of command informed (up, down, and sideways).

The key responsibilities of the ESF #4 staff in maintaining information flow include the following duties:

- Receive briefings and brief subordinates, including the initial briefings from the Regional Fire and Emergency Operations Specialist or the FEMA Emergency Services Branch Chief. Be sure to advise appropriate personnel of multiagency agendas and group meetings.

- Provide technical information and guidance to FEMA and cooperating agencies related to the availability and capabilities of resources from Federal and State wildland fire agencies.

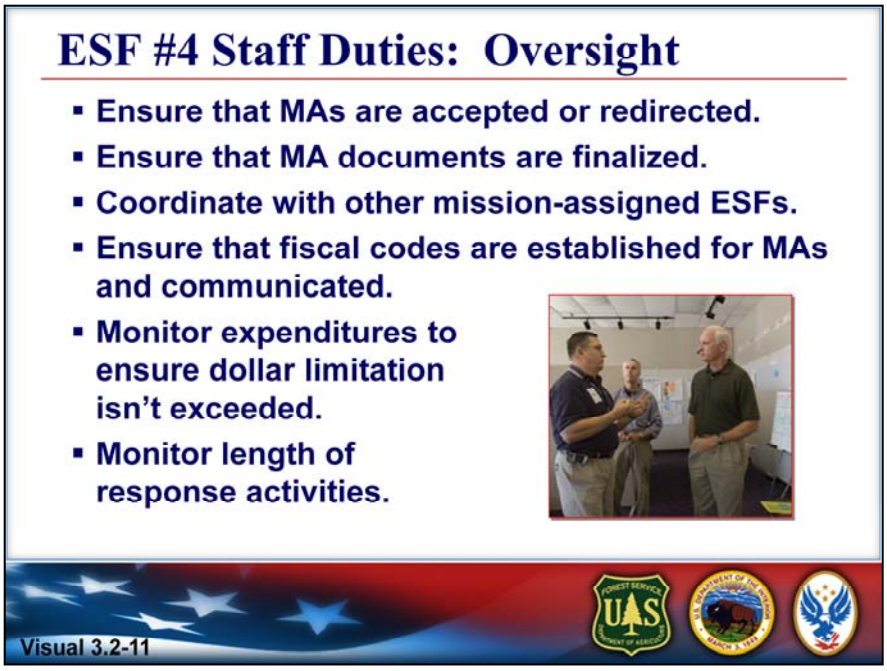
- Provide daily briefings of Forest Service activities to the FEMA Director at the RRCC/JFO and the Director of Fire and Aviation Management at the appropriate level.

- Prepare and present situation reports as required by the RRCC/JFO Director, describing the activities and status of ESF #4 and other support agency resources.

- Provide input to planning and reporting processes at the NRCC, RRCC, and JFO as requested.

- Respond to information requests.

Note that ESF #4 personnel should inquire and understand expected timeframes for any briefing, meeting, or report input.



The key responsibilities of the ESF #4 staff regarding financial oversight include the following:

- Ensure that mission assignments (MAs) are accepted or redirected as appropriate.
- Ensure FEMA MA documents have been finalized with specific language describing the assignment, and that these MAs are approved. MAs must be approved by FEMA and accepted by an appropriate Director, Fire and Aviation Management, or designee.
- Coordinate with other ESFs whose organizations are involved in common missions. Prepare sub-tasking request when sub-tasking to another agency. Ensure sub-tasking MAs are completed and approved.
- Ensure that appropriate fiscal codes are established for each MA and communicated.
- Monitor MAs to ensure the dollar limitations are not exceeded. If it is anticipated that the dollar limitation set forth in the MA will be exceeded, submit a request for additional funding.
- Monitor the anticipated length of response activities for ESF #4 personnel. Assist in coordination of a smooth and seamless transition to another agency, organization, or private-sector source to manage recovery activities and long-term support needs.

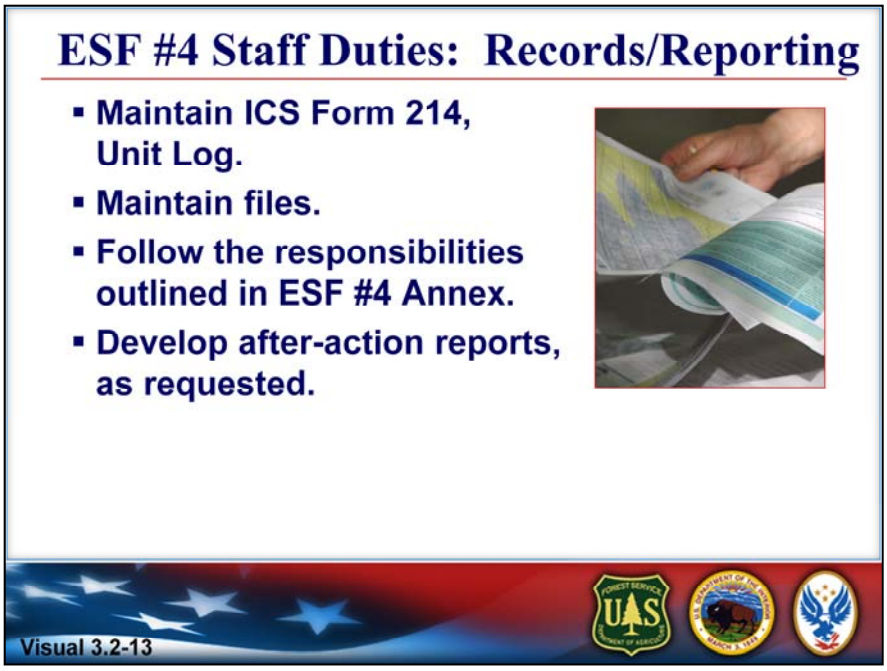
The key responsibilities of the ESF #4 staff regarding the safety, welfare, and accountability of deployed personnel include the following:

- Communicate specialized requirements for MAs, including needed vaccinations, credentials (as defined by NIMS), specialized training, and personal protective equipment (PPE) required for personnel to operate safely within their assigned mission.

- Ensure all employees involved are supported and managed by an agency leader, agency liaison, or interagency Incident Management Team (IMT). This support includes agency participation in mission assignment, incident action planning, and resource tracking while on all-hazard work assignments.

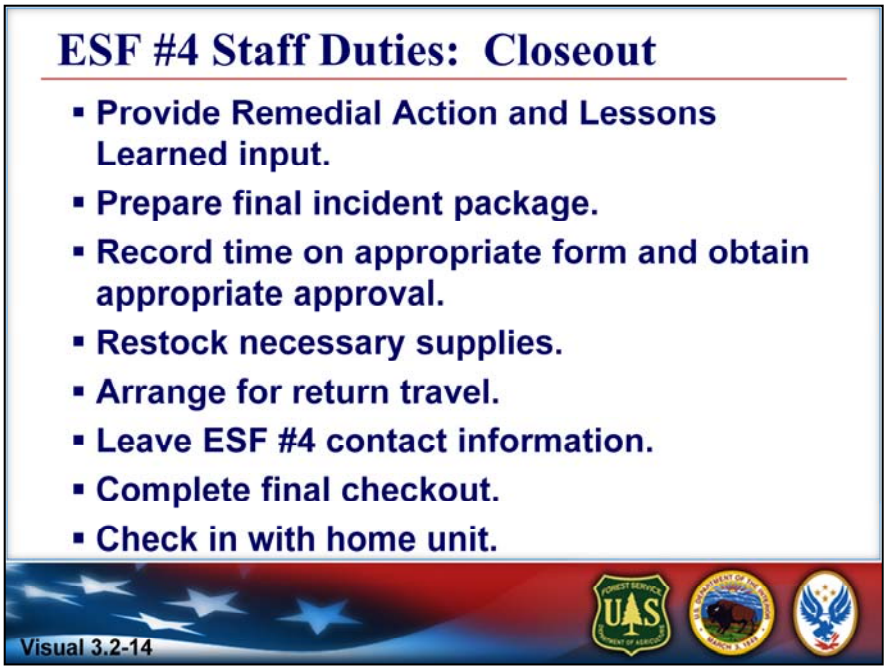
- Ensure individuals ordered as a single resource have a "lifeline" back to ESF #4 personnel. In this case, the ESF #4 Primary Leader is responsible for ensuring the safety and health needs of the employees are met. Single resources and the Primary Leader will maintain contact to ensure all safety, health, and related issues can be resolved.

- Ensure a clear, concise "Leader's Intent" mission briefing is provided to committed resources to ensure safe, effective, and efficient assignment management for employees on the incident(s). The briefing should emphasize incident-specific information and safety/personal protective training required prior to task(s) accomplishment. Note that risk management during incident action planning and resource tracking activities helps ensure the safety of employees.



The key responsibilities of the ESF #4 staff for reporting and recordkeeping include the following:

- Maintain an ICS Form 214, Unit Log, as a daily shift log of events.
- Maintain files (electronic and/or hard copy) of pertinent correspondence, reports, logs, and other information.
- Follow the responsibilities outlined in the ESF #4 Annex of the NRF.
- Develop after-action reports and submit updates for the Concept of Operations (CONOPS) action matrix as requested by the USFA, USFS, and FEMA.



At the end of an assignment, ESF #4 personnel should:

- Provide Remedial Action and Lessons Learned input to the FEMA Emergency Services Branch Chief.

- Organize information and prepare final incident package, including:
  - Briefing papers
  - Chronological narrative
  - Unit Action Log
  - Remedial Action Issue and Lessons Learned
  - Action Request Forms
  - Mission assignments
  - Cost tracking data

- Record time on appropriate form and obtain appropriate approval.

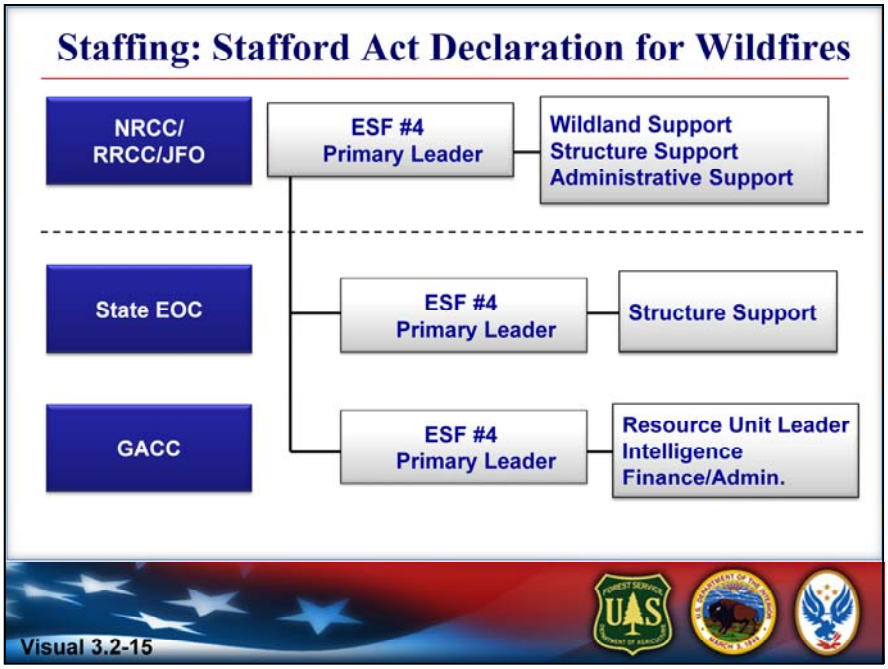
- Restock ESF #4 desk with necessary supplies.

- Arrange for return travel.

- Leave names and phone numbers for ESF #4 contacts taped to the ESF #4 computer screen.

- Complete final checkout.

- Check in with home unit Dispatch Office upon arrival back home.



The NRCC and the RRCC/JFO normally staff with a Primary Leader, a Wildland Support position, and when necessary, a Structure Support position and/or an Administrative Support position. During a wildfire emergency declaration, additional staffing may be deployed to the State Emergency Operations Center (EOC) and the Geographic Area Coordination Center.

At the State EOC:

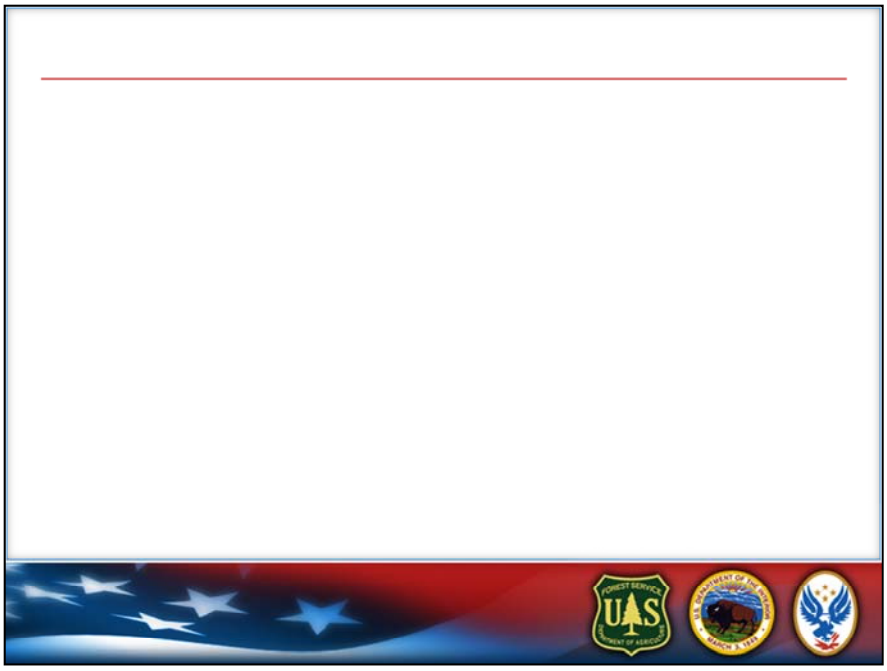
- An ESF #4 Primary Leader works with State fire officials to determine the best method for requesting firefighting resources. The State EOC Primary Leader reports to the ESF #4 Primary Leader at the RRCC/JFO.
- An ESF #4 Structure Support position coordinates with EMAC regarding firefighting resource requests. This position supports and reports to the Primary Leader at this location.

An ESF #4 satellite unit may be placed at the GACC. The satellite unit reports to the Primary Leader at the RRCC/JFO and consists of:

- An intelligence-gathering position (Situation Unit Leader recommended) to answer inquiries from the JFO, RRCC, NRCC, and National Interagency Coordination Center (NICC).
- Finance/Administration Section Chief qualified person to compile and track mission assignment-related costs.
- Resource Unit Leader to track resources and support other ESF #4 positions at the GACC.

In addition, the Regional/Area ESF #4 Coordinator provides coordination/liaison between regional Forest Service leadership and coordinates with Bureau or Regional Coordinators from support agencies and land management leadership (line officers) as appropriate.

In order to better coordinate the release of information, ESF #4 should request the JFO send a Public Information Officer (PIO) to the GACC Joint Information Center (JIC). The GACC should likewise send a PIO to the JFO JIC.



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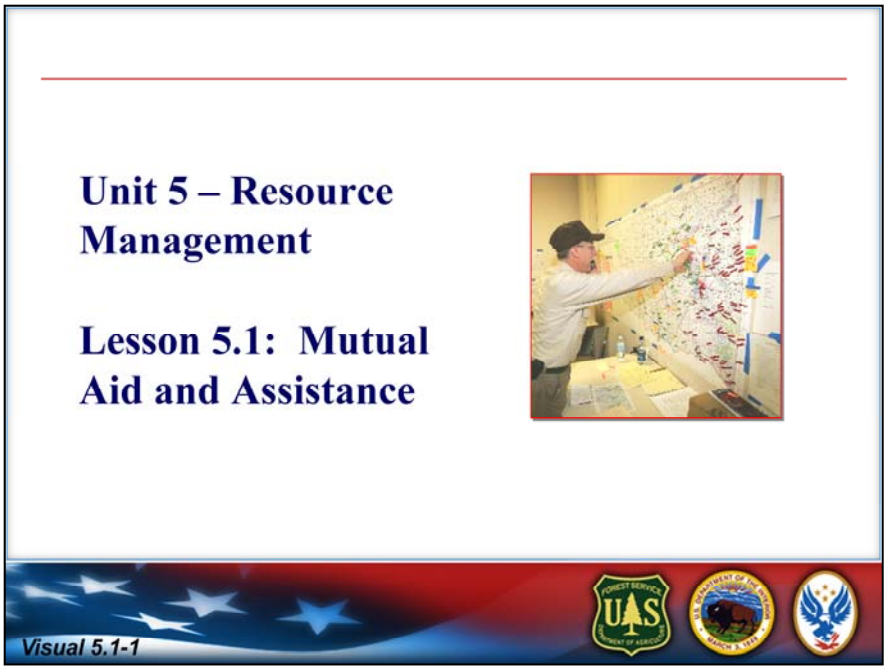


Unit 5 – Resource Management
Lesson 5.1: Mutual Aid and Assistance

Lesson Terminal Objective: At the completion of this lesson, participants will be able to describe the processes used for intrastate and interstate agreements and compacts.

Lesson Enabling Objectives: At the end of this lesson, you will be able to describe:

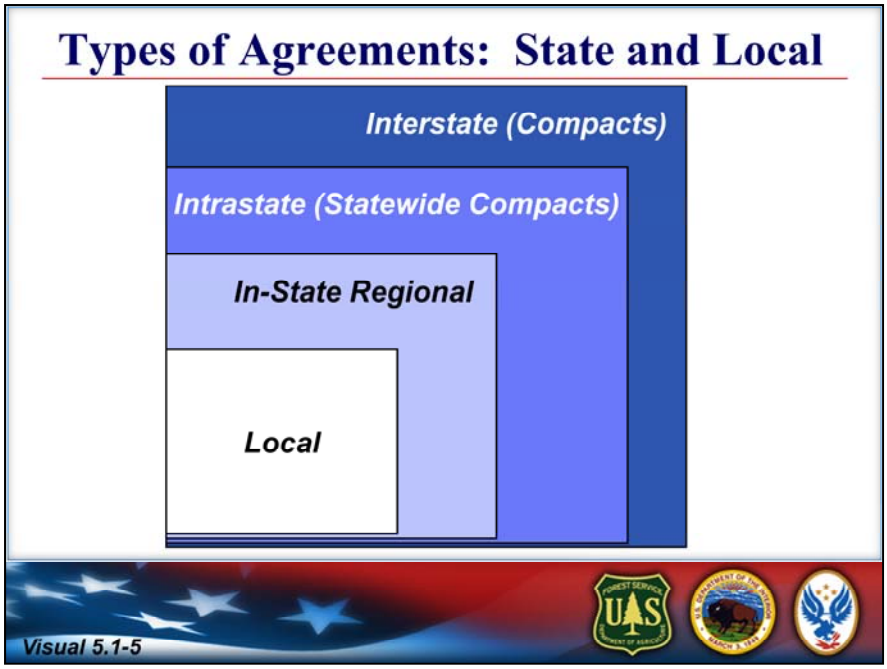
- Methods for providing aid under intrastate agreements.
- Existing interstate agreements for providing aid.
- Key lessons learned in blending resources from different sources.

Responsibility for situation assessment and determination of resource needs lies primarily with the local Incident Commander.

Local, tribal, and State governments have the option of requesting interstate and intrastate firefighting assistance and resources.

ESF #4 uses established firefighting and support organizations, processes, and NIMS procedures as outlined in the National Interagency Mobilization Guide.

Resources arrival at the incident scene through different resource management mechanisms or lanes.



There are several types of mutual aid and assistance agreements, including:

- **Automatic Mutual Aid:** A basic contract or informal agreement that permits the automatic dispatch and response of requested resources without incident-specific approvals.

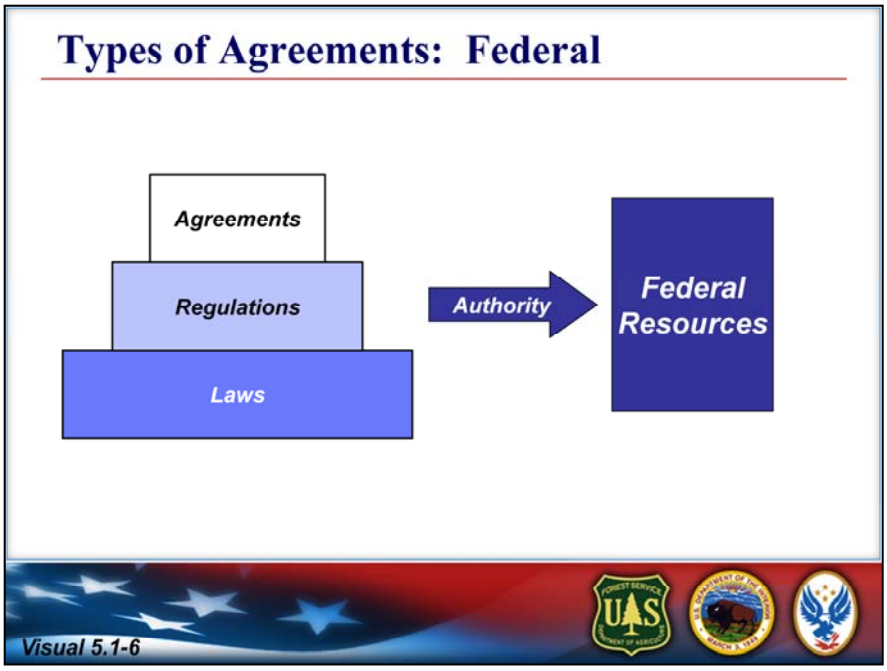
- **Local Mutual Aid:** An agreement between neighboring jurisdictions that involves a formal request for assistance. Local mutual aid and assistance agreements cover a larger geographic area than automatic mutual aid.

- **In-State Regional Mutual Aid:** A regional mutual aid and assistance agreement among multiple jurisdictions within a State.

- **Intrastate Mutual Aid:** An agreement, often coordinated through the State, that incorporates State and local government and nongovernmental assets.

- **Interstate Agreements:** Assistance provided through the Emergency Management Assistance Compact (EMAC) or other formal State-to-State agreement.

Note About Tribal Governments: In most cases, State law and jurisdiction does not apply to tribal governments on a reservation or trust lands. The jurisdiction question varies and needs to be understood prior to entering into mutual aid and assistance agreements. Depending on the structure of a tribal government, the treaties, tribal constitution, Federal statute, the Bureau of Indian Affairs (BIA), and/or other legal structures will provide the authorities needed for a tribal government or entity to enter into a mutual aid and assistance agreement. Protection of sovereignty and treaty rights is critical to a tribal government, and understanding this priority will enable the necessary successful relationships for mutual aid and assistance agreements.



The ability to acquire Federal resources is based on laws (e.g., the Stafford Act), regulations, and State and local agreements (e.g., cooperative fire).

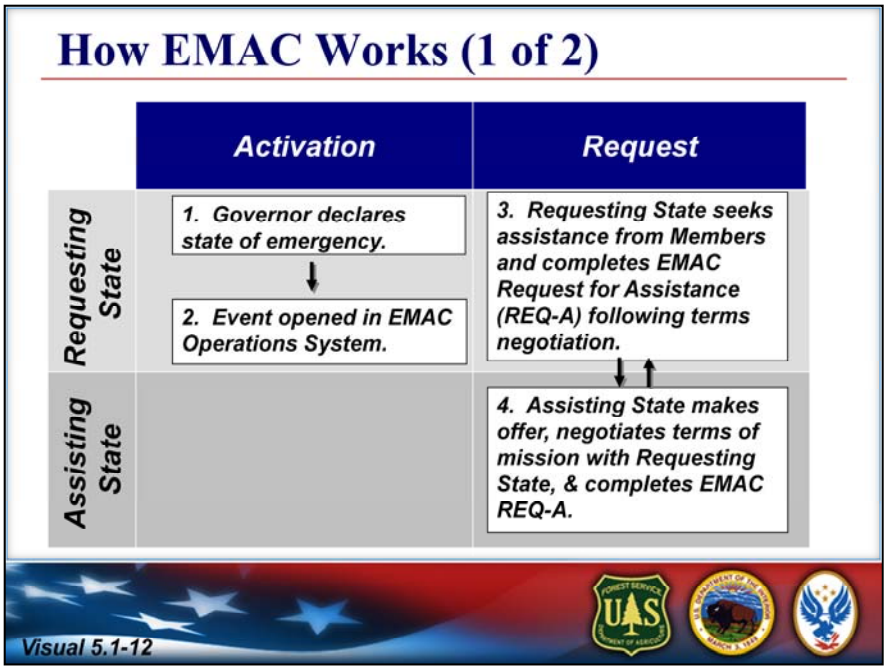
Agreements must be supported by law regardless of level.

It is also important to know under what authorities or agreement the resources are being mobilized. In some cases, there is no authority for Federal resources. By law, Federal entities are not involved in inter- or intrastate compacts.

The Emergency Management Assistance Compact (EMAC) is an interstate mutual aid agreement that was developed out of the need to assist and coordinate resources across State lines in the event of a disaster situation.

Since EMAC was ratified by Congress and signed into law in 1996 (Public Law 104-321), 50 states, the District of Columbia, Puerto Rico, Guam, and the U.S. Virgin Islands have enacted legislation to become members of EMAC. Through EMAC, States provide emergency relief resources needed to protect the public's safety and quickly restore infrastructure in a time of emergency or disaster.

A copy of P.L. 104-321 establishing EMAC can be found on the HSIN portal. Additional information about EMAC can be found online at: www.emacweb.org.

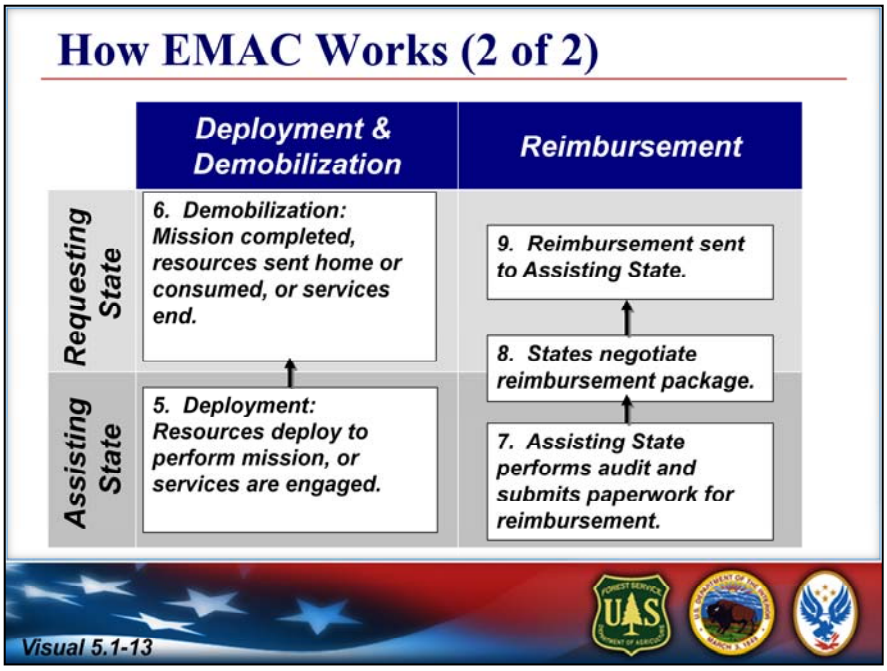


Activation under EMAC begins when a Governor declares a state of emergency and an event is opened in the EMAC Operations System.

The affected State may request that an EMAC advance team work with the State to determine the need.

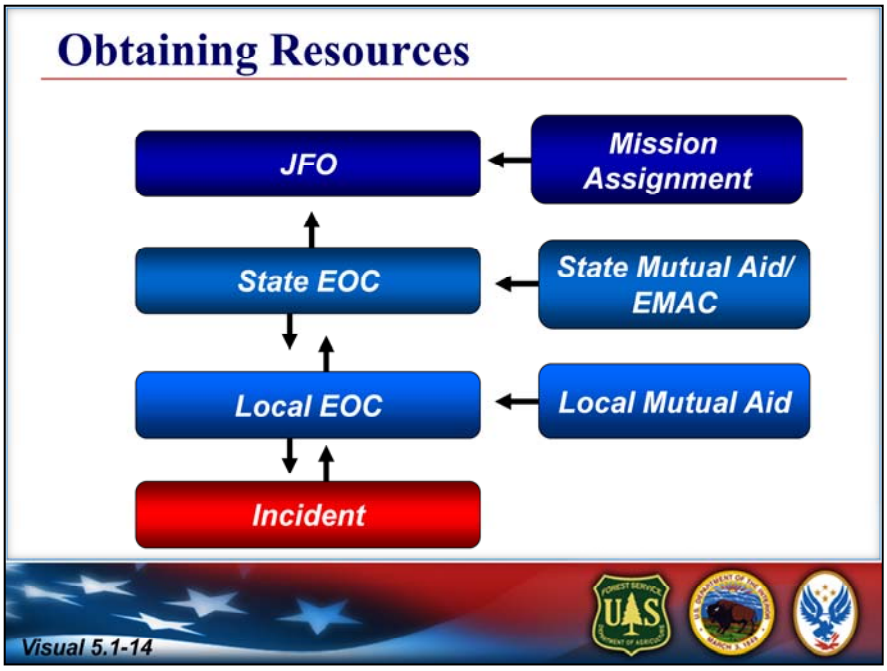
After the terms of the mission have been agreed upon by both States, the terms constitute a legally binding agreement. The form that sets these terms is called the EMAC Request for Assistance form (REQ-A).

When a request for assistance is made via EMAC, the Requesting State first completes Section 1 of the REQ-A. The Requesting State and Assisting State or States negotiate the terms of the mission.



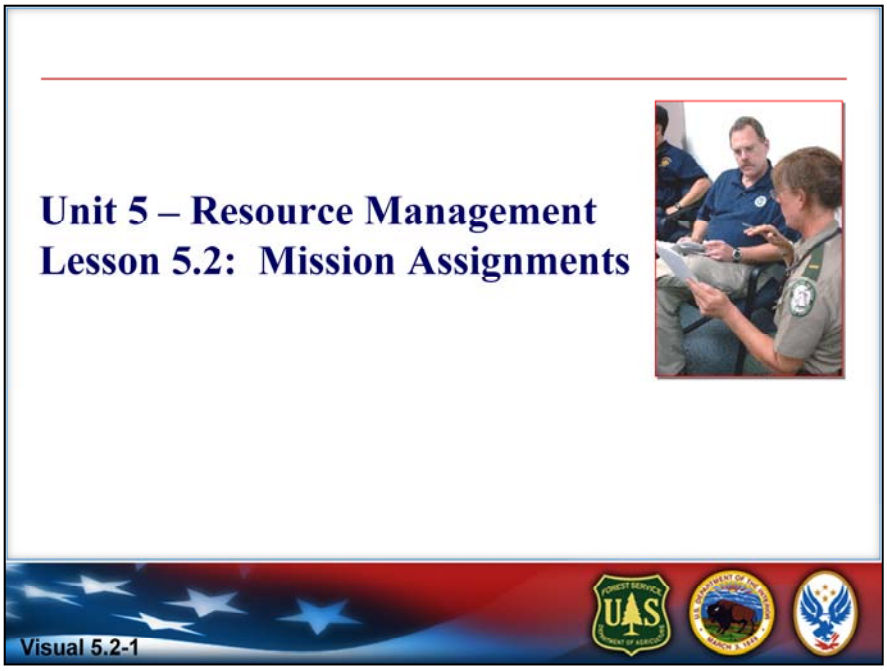
The Assisting State or States then deploy resources to perform the mission. When the mission is completed, the resources are demobilized and sent back to the Assisting State.

To be reimbursed for expertise, services, or equipment, the Assisting State submits paperwork to the Requesting State. The two States then negotiate the reimbursement package and reimbursement is sent to the Assisting State.



Resources needed for an incident may be obtained via:

- The local EOC and local mutual aid agreements.
- The State EOC and State mutual aid agreements, such as EMAC.
- The JFO and mission assignments.

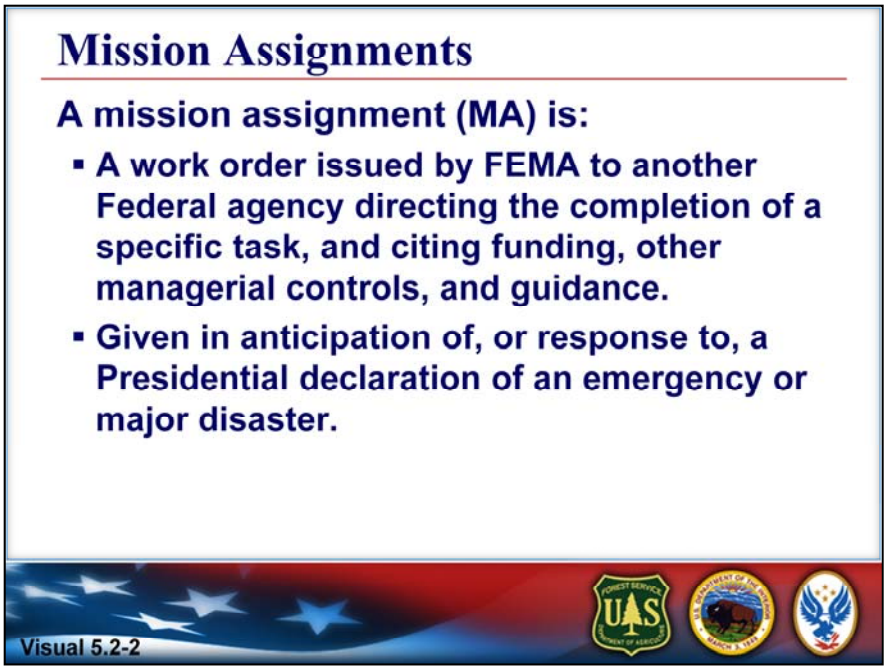


Unit 5 – Resource Management
Lesson 5.2: Mission Assignments

Lesson Terminal Objective: At the completion of this lesson, you will be able to describe the mission assignment process.

Lesson Enabling Objectives:

- Define a mission assignment.
- Describe Action Request Form (ARF) preparation.
- Identify considerations when developing a Statement of Work.
- Identify the steps of a mission assignment:
  - Issuance
  - Execution
  - Billing and Closeout
- Describe the advantages of pre-scripted mission assignments.



The Robert T. Stafford Act provides FEMA the delegated authority to direct other Federal departments and agencies to provide disaster assistance to State and local jurisdictions impacted by disasters or other emergencies.

A mission assignment (MA) is:

- A work order issued by FEMA to another Federal agency directing the completion of a specific task, and citing funding, other managerial controls, and guidance. (44 CFR 206.2(18))

- Given in anticipation of, or response to, a Presidential declaration of an emergency or major disaster.

An MA is not a grant, interagency agreement, or contract to a Federal agency, but a reimbursable work order that can be performed before and/or after a declaration.

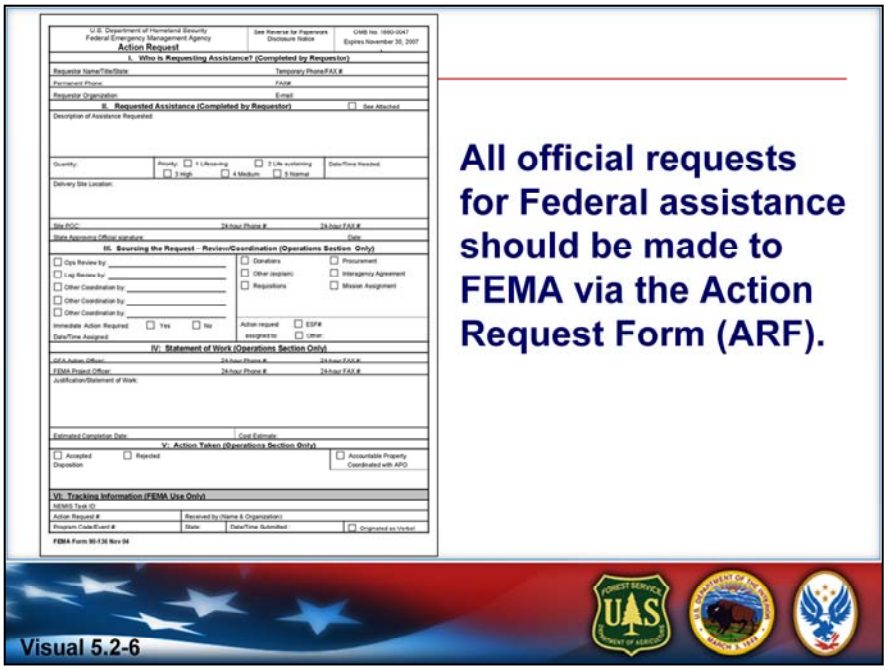
Under the Stafford Act, resources should not be ordered without a mission assignment.

The three types of MAs are described below:

- **Federal Operations Support (FOS)** is requested by the Federal Government to support the Federal Government, and consists of any resource provided to FEMA or responding Federal agencies when logistical or technical support is needed for their operations.

- **Technical Assistance (TA)** is expertise provided to State and local jurisdictions when they have the resources but lack the knowledge and skills needed to perform the required activity. Technical Assistance is not the same as a "technical assistance contract" used in the Public Assistance and Mitigation programs.

- **Direct Federal Assistance (DFA)** is goods and services provided to the affected State and local jurisdictions when they lack the resources to provide specific types of disaster assistance, either because of the specialized nature of the assistance, or because of resource shortfalls. The State has the legal responsibility to provide vital goods and services to its citizens, but asks the Federal Government to meet needs until the State can do or contract for the work.



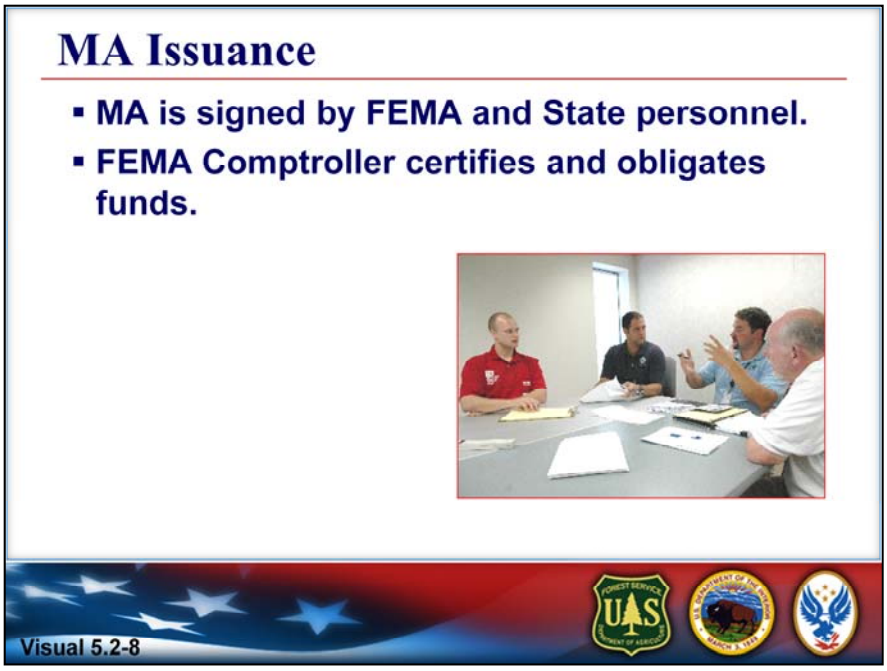
All official requests for Federal assistance should be made to FEMA via the Action Request Form (ARF).

All requests are submitted to FEMA's Operations Section for eligibility and sourcing in coordination with Logistics.

A request will NOT always result in a mission assignment. Instead, a request may be fulfilled by contract, procurement, or other FEMA programs.

If the request is to be filled through an MA, the information from the ARF is used to create the Statement of Work and the MA. A sample ARF is included on the following page.

Tasks assigned by FEMA and performed under an agency's authority will not be reimbursed.

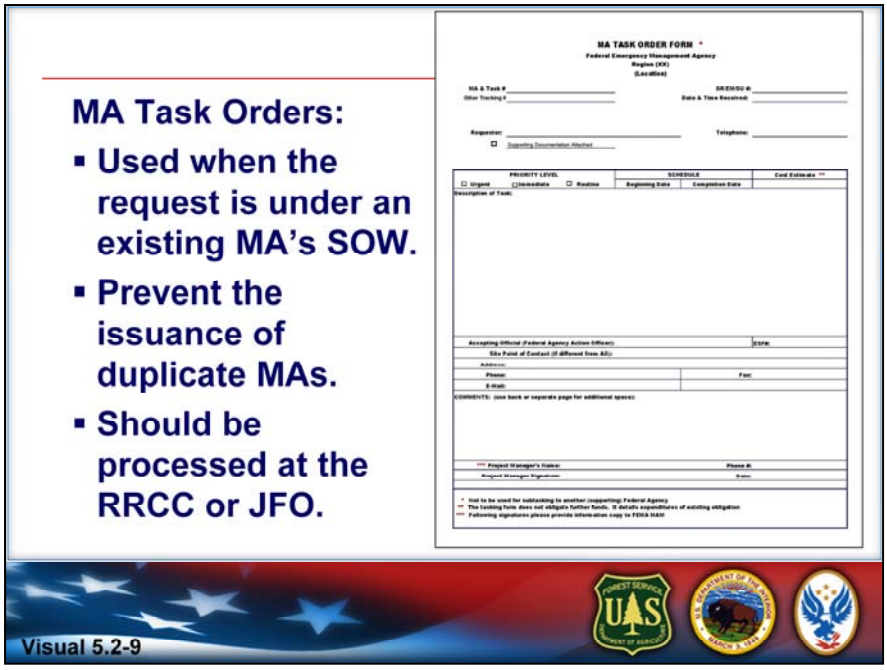


To issue an MA:

- The MA is signed by FEMA and State personnel, including the:
  - MA Manager.
  - Project Manager.
  - State Approving Official (SAO), to indicate agreement with the State cost share.
  - Federal Approving Official (FAO).

- FEMA's Comptroller then certifies and obligates funds.

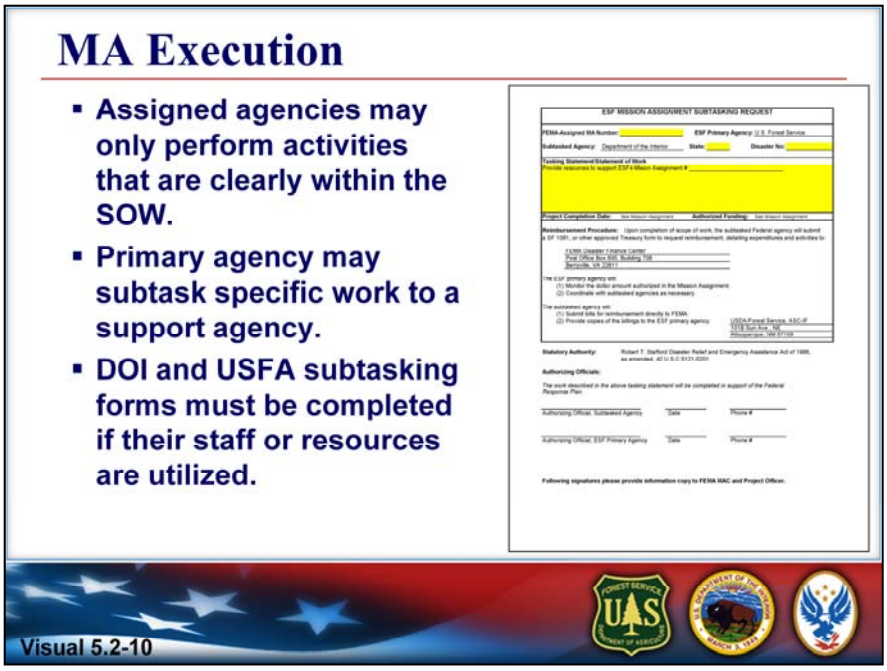
An example of an MA is shown on the following page. Note that the recommended language regarding use of DOI personnel was inadvertently left off of this MA. As a result, DOI personnel would not be able to be used to fill this mission unless the MA were amended or a subtask to DOI was written.



MA Task Orders:

- Are used when the request falls within the Statement of Work of an existing MA.
- Prevent the issuance of multiple MAs for the same SOW.
- Should be processed at the RRCC or the JFO.

A Task Order is shown on the following page.



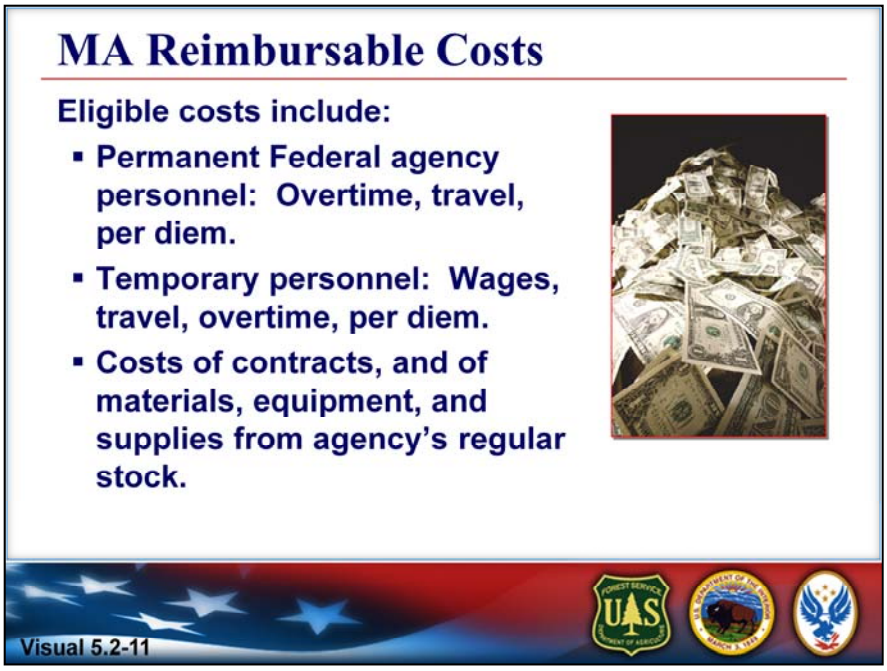
Note that the assigned agency should only perform activities that are clearly within the SOW.

There are circumstances when the assigned agency may need technical expertise or other support to accomplish the mission. In these instances, the primary agency may subtask specific work to a support agency using the MA Subtasking Request Form.

Note that all MAs need a Department of the Interior subtask, handled whenever the MA is issued.

U.S. Fire Administration activations need a USFA subtask, handled by the USFS Washington Office.

Sample Subtasking Request Forms are shown on the following pages.



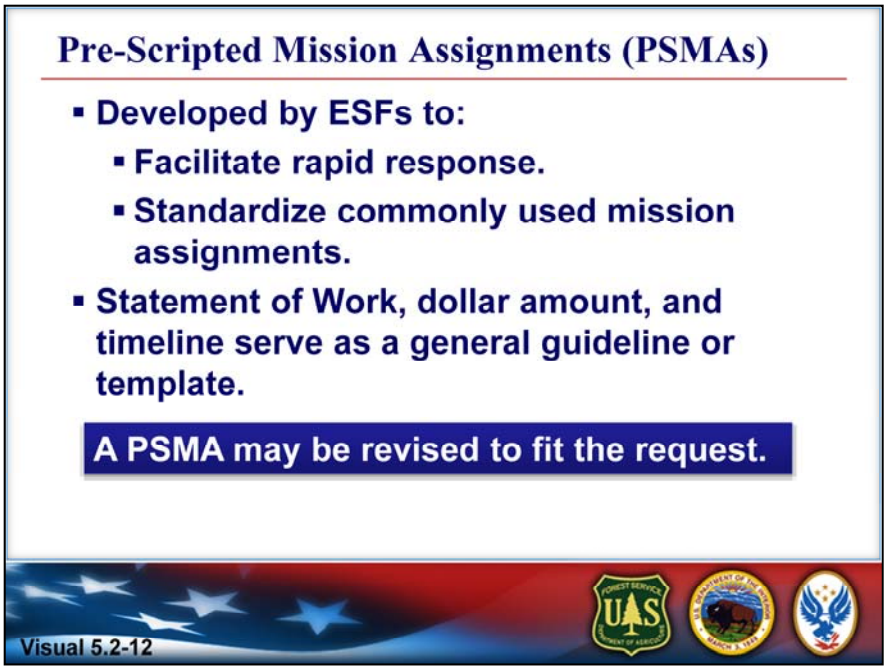
Personnel costs that are eligible for reimbursement include:

- Overtime, travel, and per diem of **permanent** Federal agency personnel.
- Wages, travel and per diem of **temporary** Federal agency personnel who are assigned solely to provide disaster services.
- Travel and per diem of Federal military personnel.

Eligible costs for reimbursement also include:

- Cost of contracts to provide work, services, and materials procured under contract for the purpose of providing assistance. The contractor's name, cost, period of performance, and purpose must be provided.

- Cost of materials, equipment, and supplies (including transportation, repair, and maintenance) used in providing disaster assistance.



Pre-scripted mission assignments (PSMAs) are developed by ESFs to:

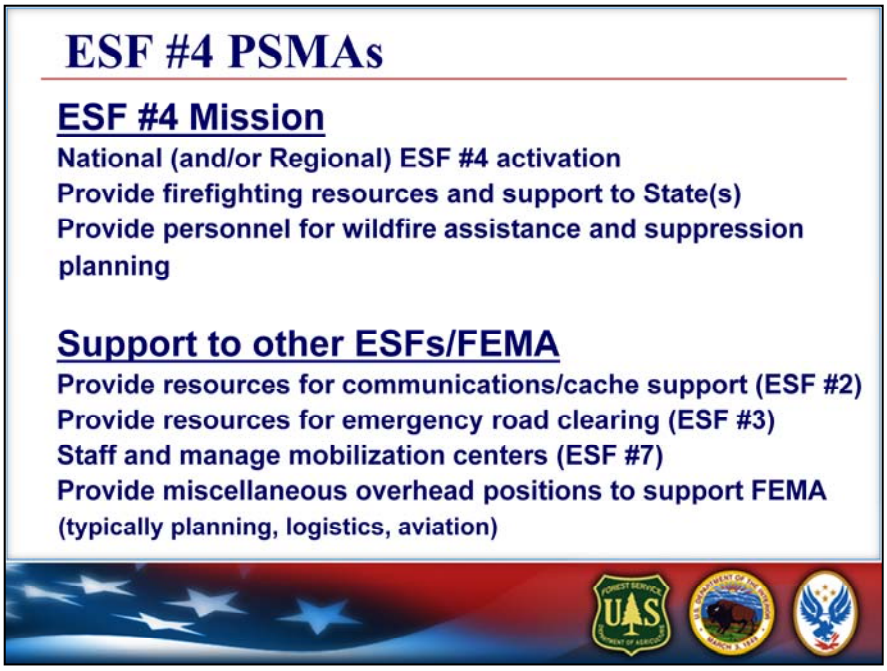
- Facilitate rapid response.
- Standardize commonly used mission assignments.

FEMA and some Federal agencies have mutually agreed to Statements of Work, projected cost estimates, and timelines to be used as a general guideline or template that may be used in an actual event. Any PSMA can be revised to fit the specific requirements of an incident.

PSMAs are not mandatory or automatic. The Federal Approving Official decides whether to use a PSMA in each instance.

Examples of activation and staffing PSMAs can be found at the end of this lesson. More examples of PSMAs can be found on the Homeland Security Information Network (HSIN) portal.

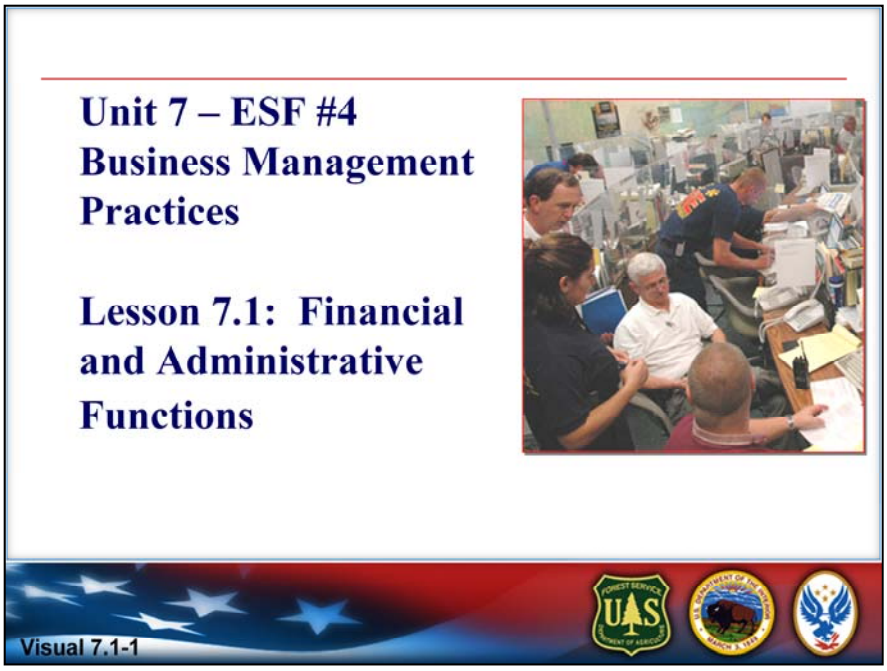
The Incident Business Center has an updated list of cost estimates: www.fs.fed.us/fire/ibp/cost_accounting.html



ESF #4 coordinates several pre-scripted mission assignments. In keeping with the priorities for accepting missions, the PSMAs are separated into those related to the ESF #4 Mission, and those that are support missions to other ESFs or FEMA.

Remember that Mission Assignments, whether pre-scripted or ad hoc, are given to individual departments or agencies, not to ESFs. The ESFs are simply the coordinating mechanism to provide functional resources.

Review the types of PSMAs that are coordinated through ESF #4, listed on the visual.

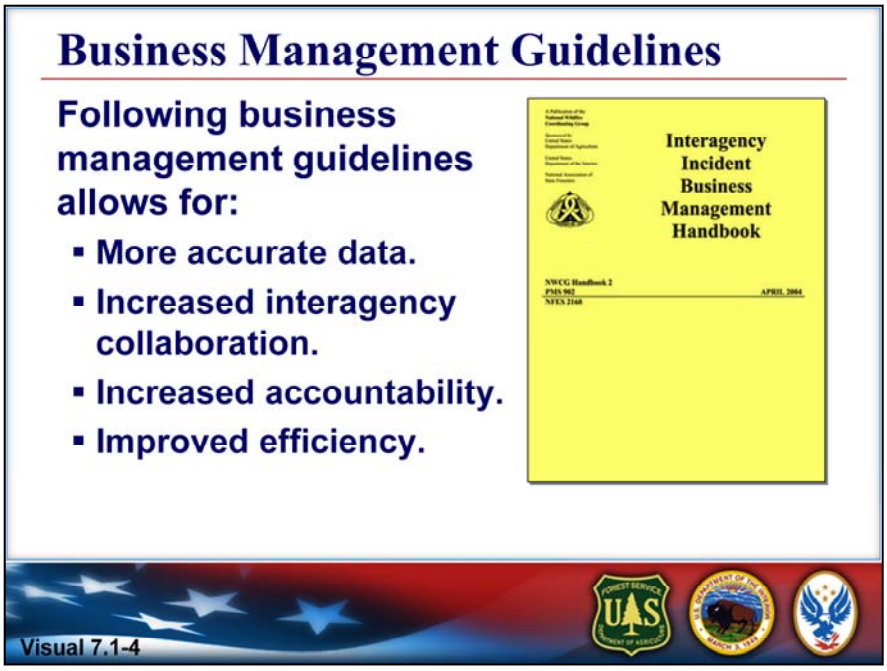


Unit 7 – ESF #4 Business Management Practices
Lesson 7.1: Financial and Administrative Functions

Lesson Terminal Objective: At the completion of this lesson, participants will be able to describe financial and administrative functions in support of ESF #4 team members.

Lesson Enabling Objectives:

- Describe the roles of the Albuquerque Service Center (ASC).
- Identify procedures and recordkeeping requirements for:
  - Property and Procurement
  - Payments
  - Timekeeping
  - Travel
- Describe methods for tracking resources and costs.



Following adopted incident business management guidelines allows for:

- More accurate data.
- Increased interagency collaboration.
- Increased accountability.
- Improved efficiency.

Personnel staffing the ESF #4 desk are not expected to be overall technical experts, but they should be knowledgeable about the Interagency Incident Business Management Handbook (IIBMH) and the policies that apply to the ESF #4.

The IIBMH, chapter 90 of which addresses business management practices pertaining to ESF #4, can be found online at: http://www.nwcg.gov/pms/pubs/large.html#IIBMH.

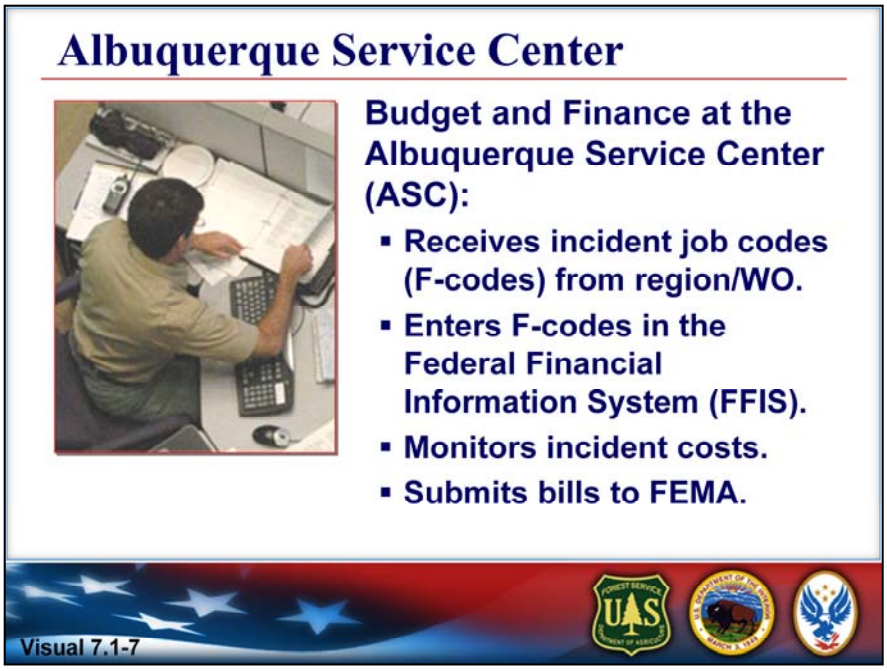
The IIBMH details national incident business management guidelines. For an example of regional/area guidelines, refer to the administrative area at the Southern Area Coordination Center (SACC) Web site, available at: http://gacc.nifc.gov/sacc.

The Regional Incident Business (IB) Coordinator is responsible for:

- Assisting ESF #4 with the resolution of business-related issues.
- Assisting ESF #4, if needed, with cost estimates and/or MA language on business items such as Buying Teams.
- Coordinating with the Albuquerque Service Center – Incident Finance (ASC-IF), if necessary to resolve job code, accrual or payment issues.
- Work with Incident Management Teams (IMTs) regarding business issues and providing IMTs with Regional Incident Business Standard Operating Procedures (SOPs).

The role of the ESF #4 Primary Leader, or a designee, is to:

- Contact the Regional IB Coordinator to introduce him or herself.
- Utilize the expertise of Regional IB Coordinators . The ESF #4 Leader should not try to answer questions or establish business policy without their input.
- Become familiar with Regional policy regarding roles and responsibilities.



When a FEMA mission assignment (MA) is accepted, the ESF #4 Coordinator/Primary Leader will establish an incident job code (F-code) and immediately notify the Albuquerque Service Center (ASC) Incident Finance Branch (ASC-IF).

The ESF #4 Coordinator/Primary Leader at the Regional Response Coordination Center (RRCC) will document the following information:

- The name of the FEMA official requesting the resource.
- The task the resource will be performing.
- Where and to whom the resources are to report.
- How much money is allocated for the task/resource.

The ESF #4 Coordinator/Primary Leader will:

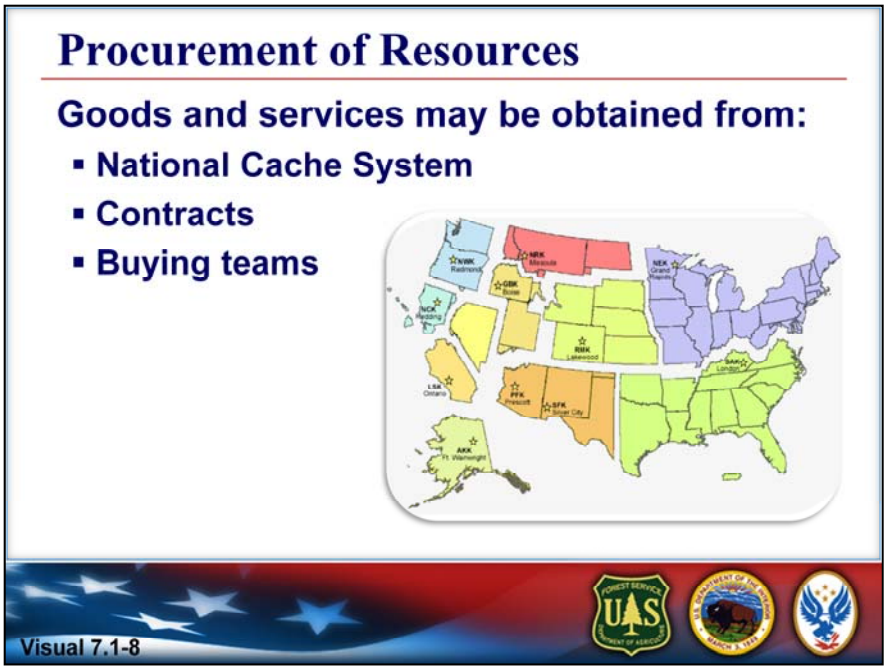
- Ensure that the above information is included on the MA.
- Provide the above information to ASC Incident Finance, including faxing a copy of the signed MA.

Note that the ESF #4 Coordinator/Primary Leader will also notify wildland fire support agencies by sending a copy of the MA to the National Interagency Coordination Center (NICC) at the National Interagency Fire Center (NIFC).

ASC Incident Finance:

- Enters the F-code in the Federal Financial Information System (FFIS).
- Monitors threshold of MA and tracks costs.
- Submits bills to FEMA.
- Collects billed and unbilled cost data from DOI bureaus in order to monitor when the MA can be closed.

Department of the Interior (DOI) wildland fire support agencies will issue their own financial code for each mission assignment, enter it into their financial system, and provide it to dispatch (typically the NICC). DOI wildland fire agencies will submit their bills to ASC-IF.



Sources available to ESF #4 for procurement of goods and services include:

- **National Cache System.** Common and special purpose incident items are stocked as part of the National Cache System. Caches may be national, regional, or local, and any of these levels could service an incident. Orders for items needed for the incident and for immediate stock replenishment should be directed to the appropriate cache using the dispatch coordination system.

- **Contracts.** Contracts are established at the national and regional/geographic area levels to provide aircraft, equipment, and services that are available for use by State and Federal wildland agencies. Aircraft, equipment, and services available through contracts include:
  - Airtanker services.
  - Type 1 and Type 2 helicopter services.
  - Aircraft services for transport and smokejumper transport.
  - Portable retardant base equipment rental.
  - Bulk retardant.
  - Mobile Food and Shower Services.
  - Crews.

  These contract sources are mandatory for Federal wildland firefighting agencies. For more details, see the National Interagency Mobilization Guide or http://www.fs.fed.us/fire/contracting/

- **Buying Teams.** Buying teams may be assigned to assist with local purchasing. These teams process service and supply orders for items that are not available in the cache or are not typically available through dispatch. The National Interagency Buying Team Guide is available online at: www.nwcg.gov/pms/pubs/buying_guide.pdf.

The Water Handling Equipment Guide can be used as a resource to identify available wildland firefighting resources that are available for procurement. The primary objective of the Guide is to provide field users in wildland firefighting agencies with a basic information document on water handling equipment. This Guide does not contain all water handling equipment in use, but does contain equipment components that are: (1) commercially available or economically reproducible, (2) interagency in scope or application, and (3) currently in use. To qualify for being reproducible, there normally has to be the availability of specifications and drawings that have been tested.

Payments

Prior to implementing any incident payments, including those made by purchase cards or convenience checks, coordination with the IMT or Finance Chief is required. The IMT reviews payment packages prior to submission to the designated payment office.

Timekeeping

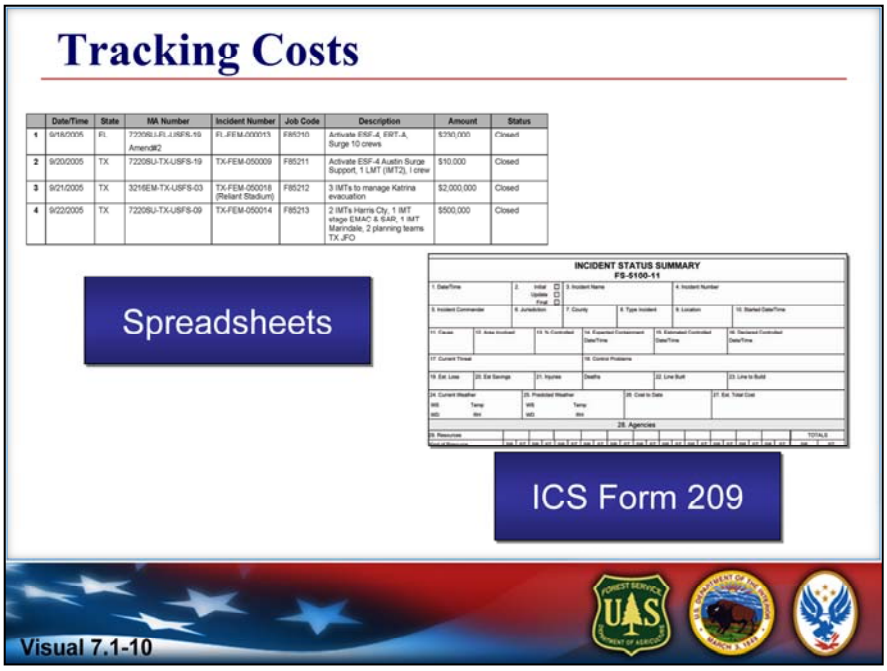
After the first day on an incident, individuals are spot changed to a first 8-, 9-, or 10-hour daily tour of duty depending upon their weekly tour of duty.

Every day is considered a workday during an incident assignment until the assignment is over or the individual is officially released from the incident. All individuals are ensured pay for base hours of work, travel, or standby at the appropriate rate of pay for each workday. This is true for part-time and intermittent individuals as well. When personnel are required to take a mandatory day off that falls on their normal day off, there will be no pay compensation.

For additional information on timekeeping, refer to Chapter 10 of the Interagency Incident Business Management Handbook (IIBMH), available online at: http://www.nwcg.gov/pms/pubs/large.html#IIBMH.

Travel

Travel is compensable under a declared emergency because it results from an event that could not be scheduled or controlled administratively by agency management.



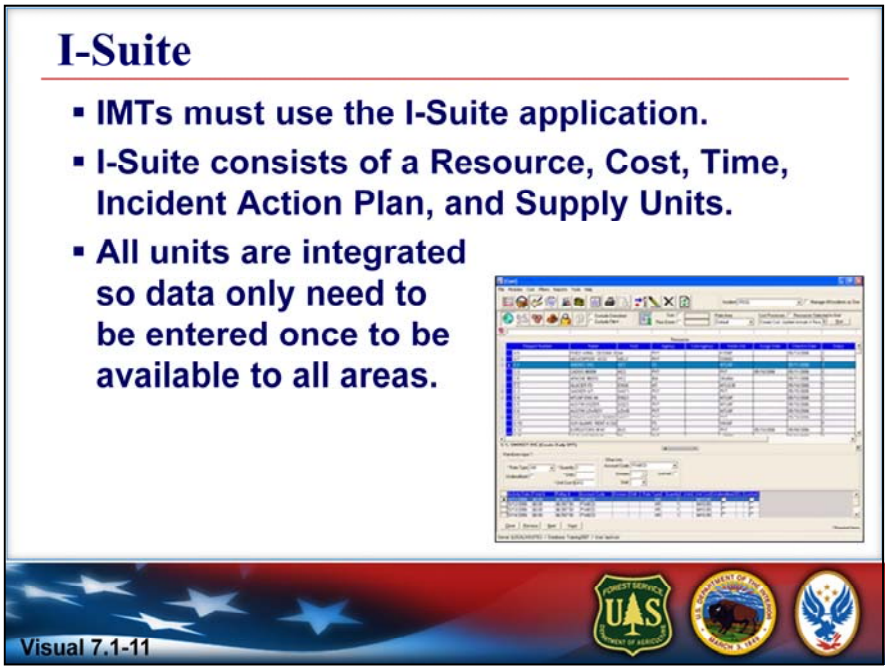
Spreadsheets may be used to track costs within a mission assignment. Cost-monitoring must be done to ensure that the dollar amount on the MA is not exceeded.

If there is an IMT, the Finance/Administration Section will use the cost module in I-Suite to determine cost estimates. The Planning Section reports the incident status, including the cost estimate, per operational period using the Incident Status Summary, ICS Form 209. IMTs are expected to submit accruals to ASC daily.

If there is no IMT, costs must still be tracked by ESF #4 in a clear, concise format, including:

- Summary sheets that list daily costs.
- Detail sheets showing the individual resource costs.

The Forest Service's Incident Business Practices Web site provides information pertaining to interagency coordination of business practices for wildfire, nonfire, and FEMA emergency responses at: http://www.fs.fed.us/fire/ibp/. This Web site is referenced by all wildland fire agencies.

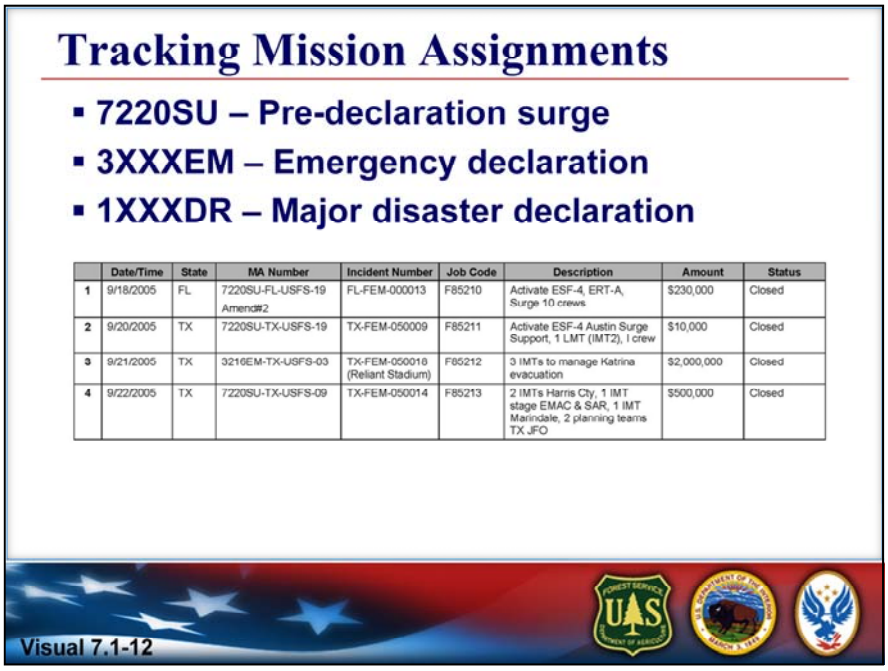


It is mandatory that IMTs use the I-Suite application.

The I-Suite application consists of a Resource, Cost, Time, Incident Action Plan, and Supply Units.

These units are integrated, which means they have a similar user interface, and share a common database. Data only need to be entered once to be available to all of the different areas.

For additional information, see the I-Suite Web site at: http://isuite.nwcg.gov.



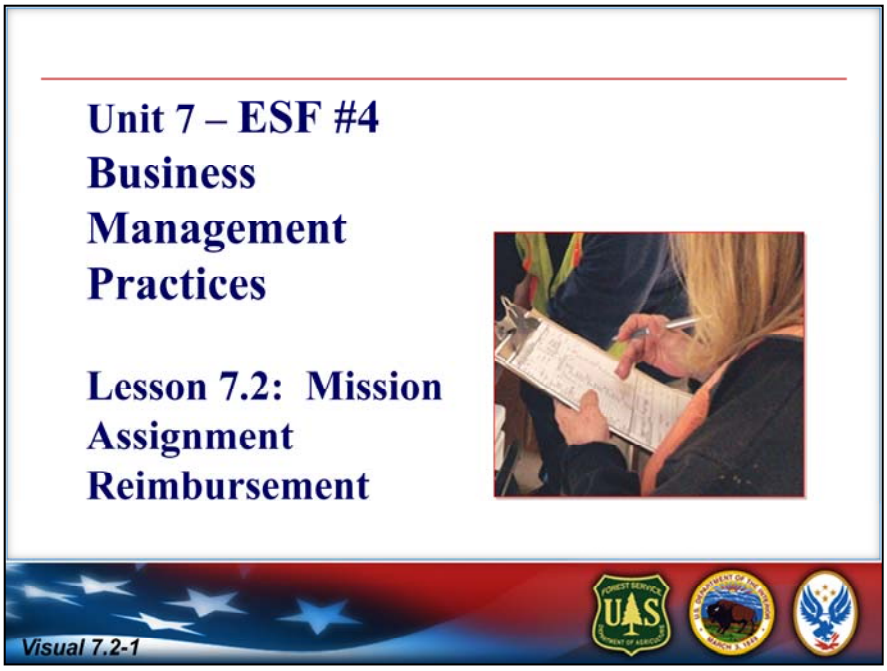
	Date/Time	State	MA Number	Incident Number	Job Code	Description	Amount	Status
1	9/18/2005	FL	7220SU-FL-USFS-19 Amend#2	FL-FEM-000013	F85210	Activate ESF-4, ERT-A, Surge 10 crews	$230,000	Closed
2	9/20/2005	TX	7220SU-TX-USFS-19	TX-FEM-050009	F85211	Activate ESF-4 Austin Surge Support, 1 LMT (IMT2), I crew	$10,000	Closed
3	9/21/2005	TX	3216EM-TX-USFS-03	TX-FEM-050016 (Reliant Stadium)	F85212	3 IMTs to manage Katrina evacuation	$2,000,000	Closed
4	9/22/2005	TX	7220SU-TX-USFS-09	TX-FEM-050014	F85213	2 IMTs Harris Cty, 1 IMT stage EMAC & SAR, 1 IMT Marindale, 2 planning teams TX JFO	$500,000	Closed

Depending on the size and complexity of an incident, the ESF #4 Coordinator may need an organized method to track mission assignments (MAs). An example of a tracking spreadsheet is shown on the visual.

Each MA has a unique number and should have a unique F-code.

Note that the MA number reflects the account used, the affected State, and the assigned agency:

- 7220SU is used for all pre-declaration MAs, with SU noting the surge account.
- 3XXXEM is used for emergency declaration MAs, with EM noting emergency declaration.
- 1XXXDR is used for major disaster declaration MAs, with DR noting a major disaster declaration.

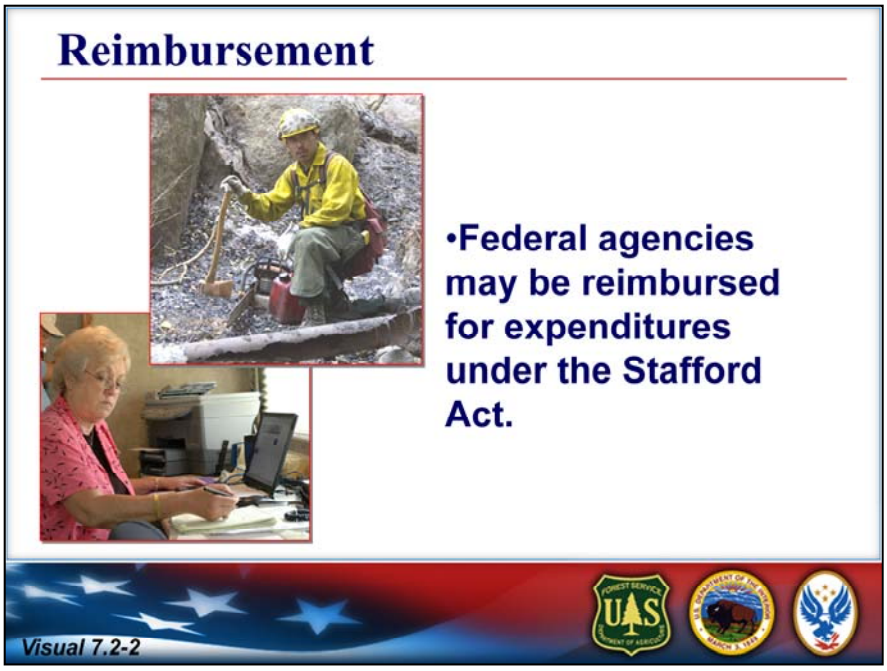


Unit 7 – ESF #4 Business Management Practices
Lesson 7.2: Mission Assignment Reimbursement

Lesson Terminal Objective: At the completion of this lesson, participants will be able to identify steps in the reimbursement process under a mission assignment (MA).

Lesson Enabling Objectives:

- Identify steps in the billing, reimbursement, and closeout process under a mission assignment.
- Identify the importance of mission assignment documentation.



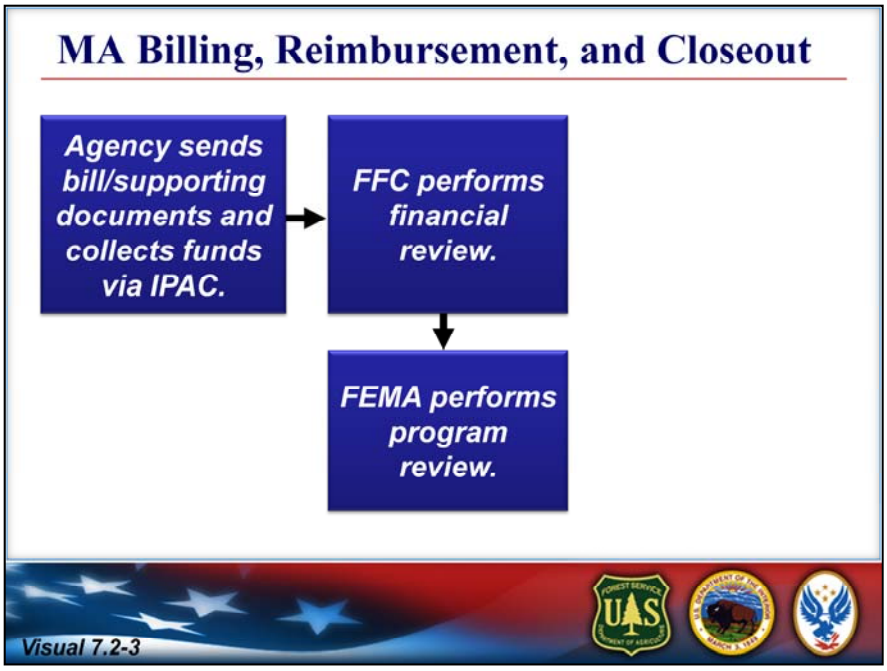
Federal agencies may be reimbursed for expenditures under the Stafford Act from funds appropriated for the purposes of this Act. Funds expended by the Forest Service or the Department of the Interior (DOI) will be reimbursed according to the fund code used.

DOI must have a subtask initiated by ESF #4 for each MA in order to establish their financial codes and track costs for reimbursement. (See Lesson 5.1 for an example of a DOI Subtasking Request.)

FEMA must ensure the proper use of Disaster Relief Funds (DRF). Agencies under the Stafford Act must record, report, expend, and liquidate obligations in a timely manner so that much-needed DRF can be put back to use expeditiously.

The Regional/Area Incident Business Coordinator will ensure that Incident Business guidelines are provided to Incident Management Teams (IMTs) during their initial briefing.

For an example of regional/area operating guidelines, the USFS Region 8 (Southern Region) Incident Business Administration guidelines for hurricane events are available online at: www.fs.fed.us/r8/allhazardresponse/section06-business/index.php



Under MA billing, reimbursement, and closeout:

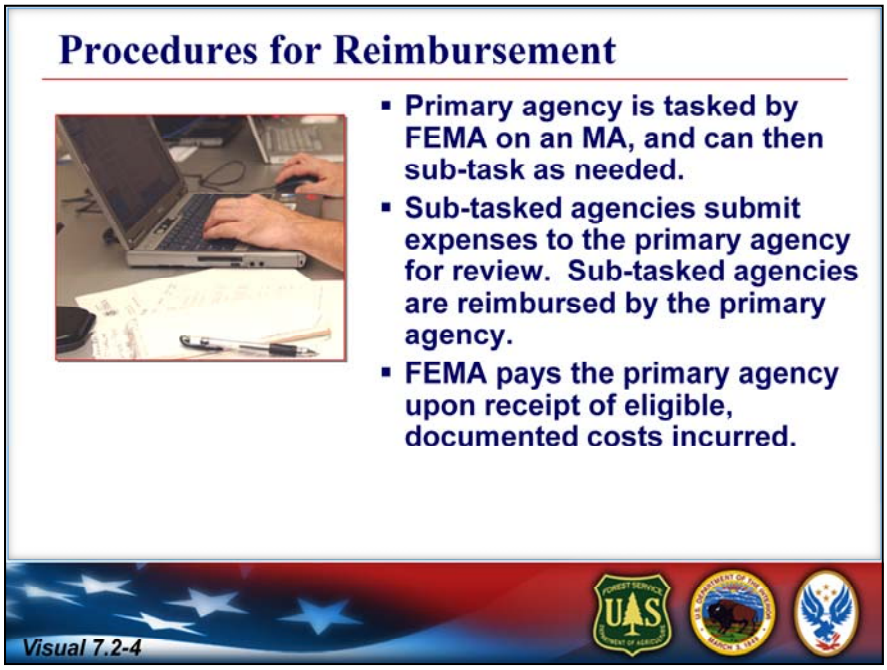
- Mission-assigned agencies bill FEMA and collect payment.
- The FEMA Finance Center (FFC) conducts a financial review.
- FEMA conducts the program review. Remaining funds are deobligated and the MA file is closed.

FEMA will bill the State for cost share. The Forest Service will reimburse any State resource responding under ESF #4.

DOI bills the Forest Service directly for reimbursement of their costs.

Each bill with supporting documentation is submitted to the FFC by the Forest Service. Billing may begin once the agency incurs costs and can provide supporting documentation.

Basic financial management guidance for National Response Framework (NRF)/ESF activities is available in the Financial Management Support Annex, online at: www.fema.gov/pdf/nrf/nrf-support-fin.pdf.



The Albuquerque Service Center (ASC) coordinates with FEMA through the ESF #4 Coordinator or Incident Business Coordinator to determine when all expenditures have been made and the MA can be closed. The ASC then prepares the bill and submits the billing documentation to FEMA.

The procedures for reimbursement are:

- The primary agency is tasked by FEMA on a mission assignment. The primary agency can then sub-task any needed support agencies to accomplish the mission, e.g., DOI, Department of Commerce.

- Sub-tasked agencies submit documentation of expenses to the primary agency following agency policy. The primary agency reviews, approves, and notifies the sub-tasked agency to initiate the billing process. The primary agency reimburses the sub-tasked agency.

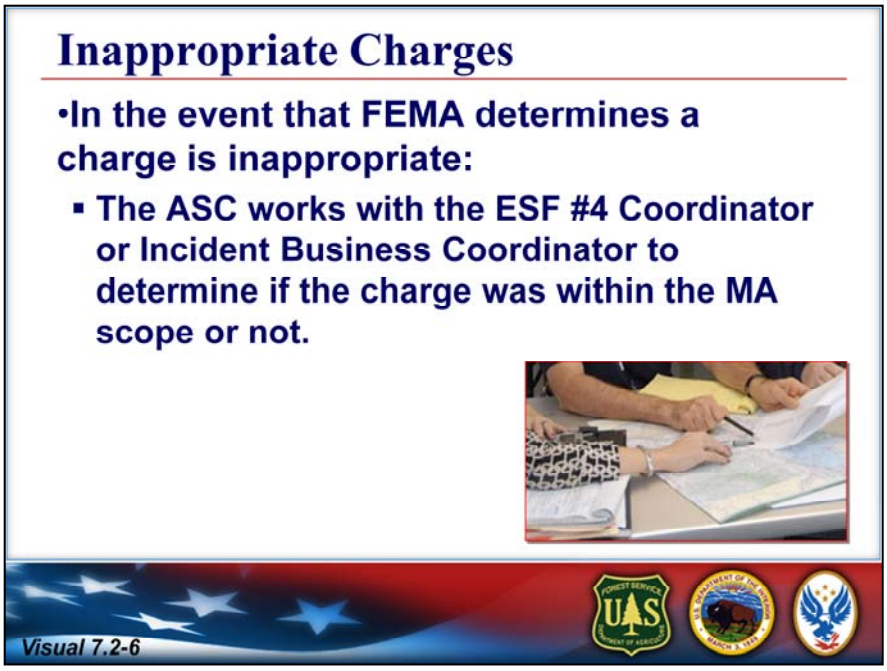
- The primary agency then submits documentation to FEMA. FEMA pays the primary agency upon receipt and examination of eligible, documented costs incurred.

FEMA requires supporting documentation be available for the following:

- Personnel costs, including whether the costs were for regular or overtime pay.
- Travel, per diem, and transportation. This includes when the travel was conducted and how much it cost.
- Contract services, detailing who was awarded the contract, how much it cost, and the period of performance.
- Purchases, with description, receipts, and appropriate documentation to clarify what was purchased.
- Property or equipment leased, with information on the item, description, amount, and period of lease.

It is important for ESF #4 and IMTs to maintain and archive proper documentation so that it can be produced upon request for purposes such as audits or supporting billing needs.

Large purchases, as appropriate within the MA, should be documented on a task order and signed by a FEMA comptroller or other appropriate FEMA official. The official's name should also be printed in case the signature is not legible.



In the event FEMA determines a charge is inappropriate, FEMA contacts the ASC.

Through working with the ESF #4 Coordinator or the Incident Business Coordinator, the ASC/DOI then determines whether:

- The charge was not within the scope of the mission assignment. In these instances, the ESF #4 Coordinator must then resolve the discrepancy with FEMA.

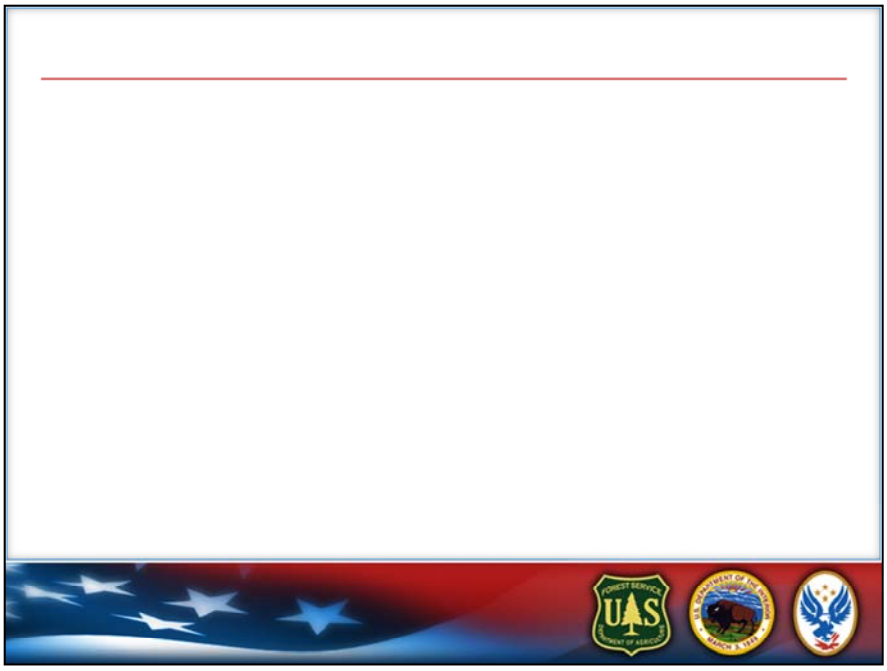
- The charge was within the scope of the mission assignment. In these instances, the Incident Business Coordinator or the ESF #4 Coordinator, in conjunction with the ASC/DOI, explains the item and negotiates with FEMA.

FEMA will pay for cache items. Accountable/durable property purchased may be reimbursed if FEMA approved the purchase and documentation can be furnished that the property was transferred to FEMA.

FEMA will **consider** reimbursement of agency charge card purchases only if the necessary supporting documentation is provided. All charges must be supported by an incident order and request number (resource order number or S-number).

Agency procedures for establishing reimbursable charge codes should be followed.

For a complete list of items eligible for reimbursement, see chapter 90 of the IIBMH, available online at: www.nwcg.gov/pms/pubs/large.html#IIBMH



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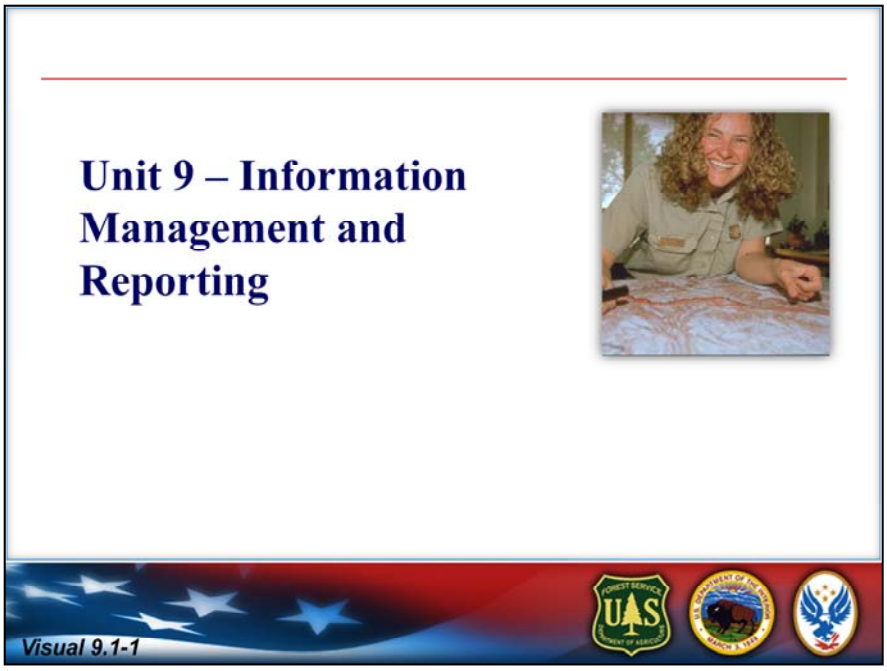


Unit 9 – Information Management & Reporting

Lesson Terminal Objective: At the completion of this lesson, participants will be able to describe the information management and reporting methods and processes used to support ESF #4.

Lesson Enabling Objectives:

- Define the common operating picture.
- Identify the elements of situation awareness.
- Describe common pitfalls in analyzing information.
- List methods for validating information.
- Identify typical information needs and sources.
- Describe the importance of responding to regional and national information requests.
- Identify the typical types of data reported at the National Response Coordination Center (NRCC).
- Distinguish between effective and ineffective briefing papers.

The example on the visual illustrates the difficulty in trying to maintain a common operating picture.

Hurricane Katrina Example: On the day of landfall, authoritative reporting from the field was extremely difficult to obtain because of the widespread destruction of communications infrastructure, the incapacitation of many State and local responders, and the lack of Federal representatives in the city. As a result, local, State, and Federal officials were forced to depend on a variety of conflicting reports from a combination of media, government, and private sources, many of which continued to provide inaccurate or incomplete information throughout the day, further clouding the understanding of what was occurring in New Orleans.

In particular, information about the status of the levees was highly unreliable. There was widespread confusion and misuse of the terms “breach” and “overtopping” by observers and reporters who did not fully understand the distinction between the two terms, or whose observations were not sufficient to enable differentiation of one from the other.

As early as 9:12 AM EDT on August 29, the National Weather Service received a report of a levee breach and shortly thereafter issued a flash flood warning, stating, “A levee breach occurred along the Industrial Canal at Tennessee Street. Three to eight feet of water is expected due to the breach.” However, as late as 6:00 PM EDT that same day, the DHS National Operations Center reported to senior DHS and White House officials that, “Preliminary reports indicate the levees in New Orleans have not been breached; however, an assessment is still pending.”

What are the consequences of failing to maintain a common operating picture?

Situation awareness builds on the facts gathered within the common operating picture to predict what might happen next. Situation awareness is essential for effective incident management and planning.

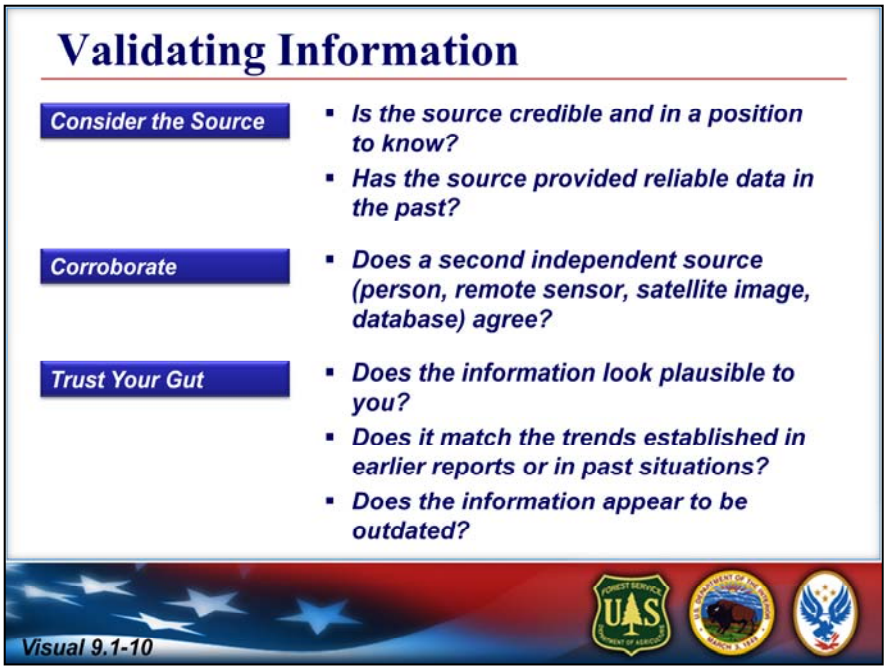
Situation awareness . . .

- Has two components:
  - First, the incident managers must have a clear picture of the situation and common understanding of what it means (common operating picture).
  - Next, based on this knowledge, incident managers must be able to predict how the situation will unfold in the near future. This is accomplished by monitoring events regularly.

- Answers the questions:
  - What is happening?
  - Why is it happening?
  - What does it mean?
  - What will happen next?

Review each of the common information problems. List the strategies you can take to avoid encountering these types of problems.

Type of Problem	Strategies for Avoiding
Different Snapshots	
Different Meaning – Who's On First?	
Speaking Without Thinking	
Painting With Too Broad a Brush	



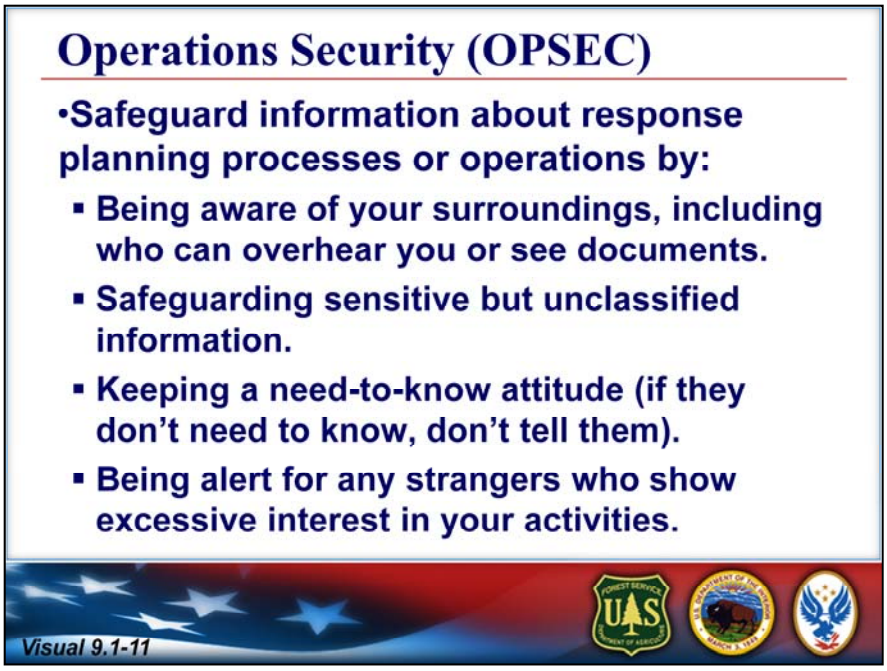
Review the question on the visuals.

Are there additional questions you would ask for . . .

- **Assessing the information source?**

- **Corroborating critical information?**

- **Judging the plausibility of the information?**

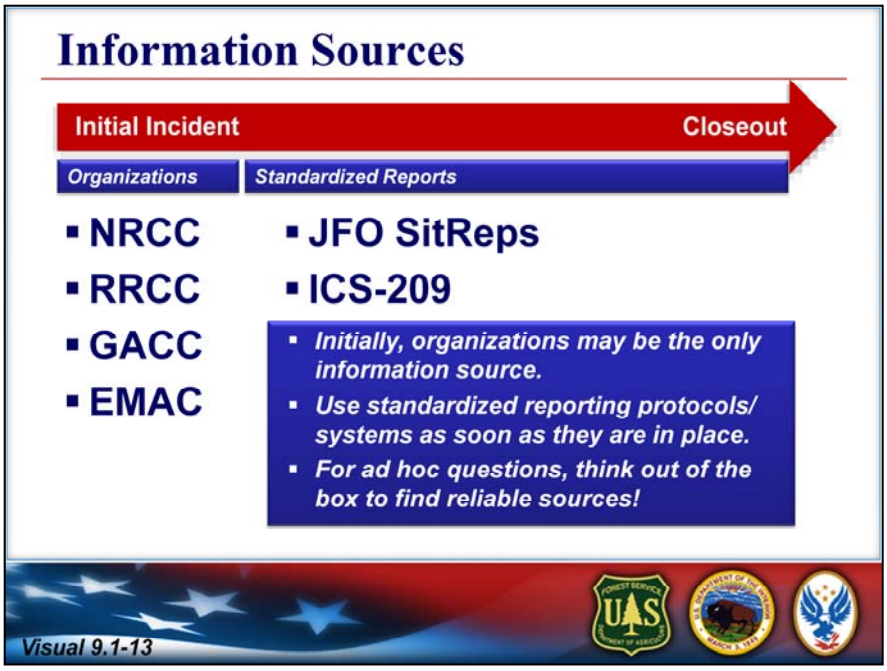


Our work is information, and not all of it is classified. What we don't always realize is how much we are giving away by our predictable behavior, casual conversations, routine acquisitions, and other Internet information.

We must be careful of what we are revealing—failure to do so could provide our adversaries with the information they need to execute additional terrorist acts.

In addition to the OPSEC steps listed on the visuals, ask yourself, "What could an adversary glean from the knowledge of my response activities? Are my activities revealing information about what we do and how we do it?"

What are some common examples of actions that people take at a Joint Field Office (JFO), a Regional Response Coordination Center (RRCC), or the NRCC that could compromise OPSEC?



Early in an incident, reliable information may only be available through organizations such as the NRCC, RRCC, GACC, and EMAC.

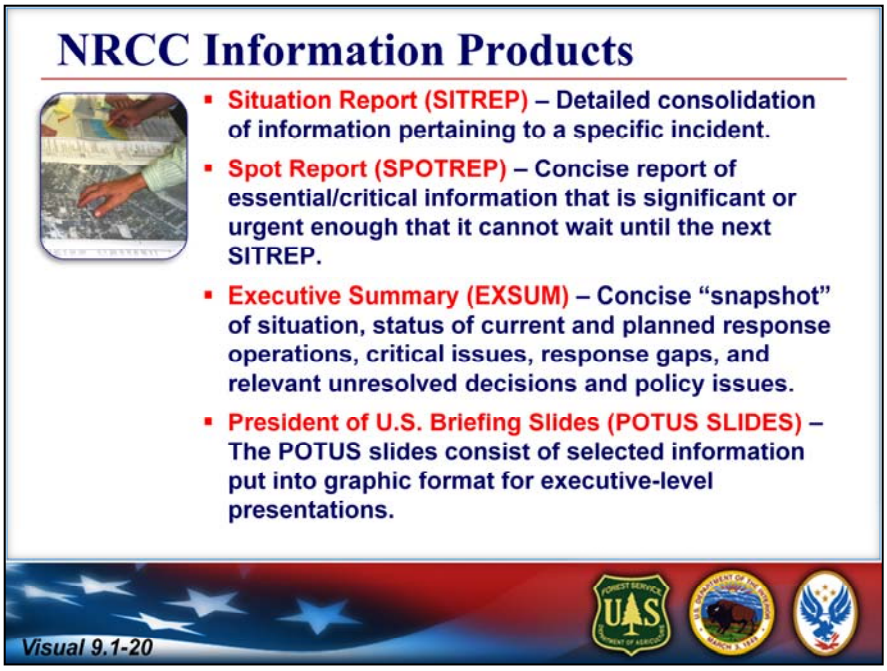
What limitations are there on the information available at the onset of an incident?

As soon as the standardized reporting protocols and systems are in place, it is important to use those sources. When you receive information requests that cannot be answered through standardized reports, you need to think out of the box to find reliable sources.

What are some examples of reliable information sources other than standardized reports that can be used by ESF #4 personnel?

Depending on your location, you may have access to online support tools such as HSIN and State information portals.

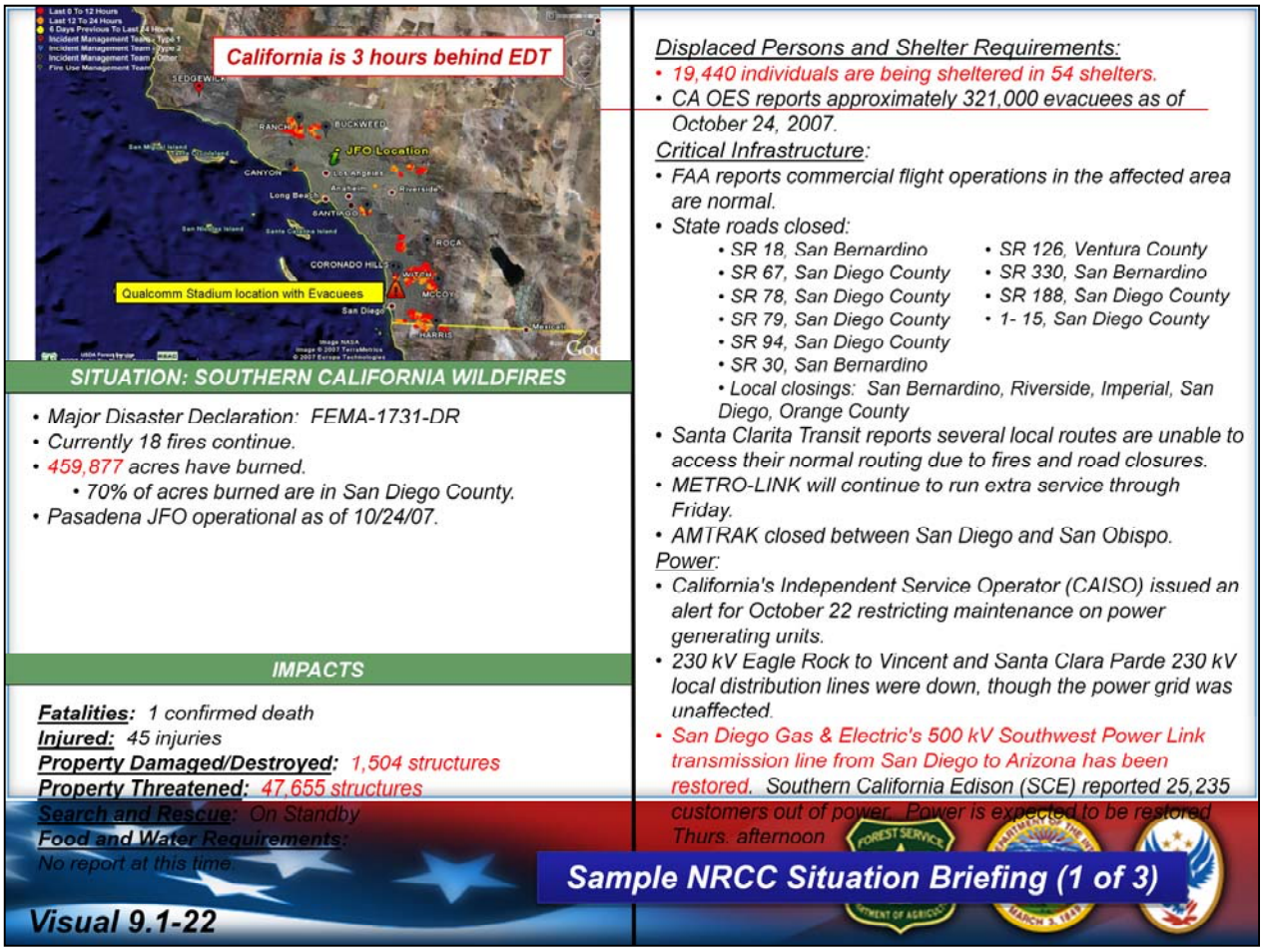
As noted in Unit 1, the ESF #4 portal on HSIN contains reference materials, SOPs, and Task Books.



Review the types of information products developed by the National Response Coordination Center (NRCC). Note that SITREPs and SPOTREPs are also developed at the field levels.

Developing these products requires that large amounts of information must be analyzed so that concise reports of essential/critical information can be produced.

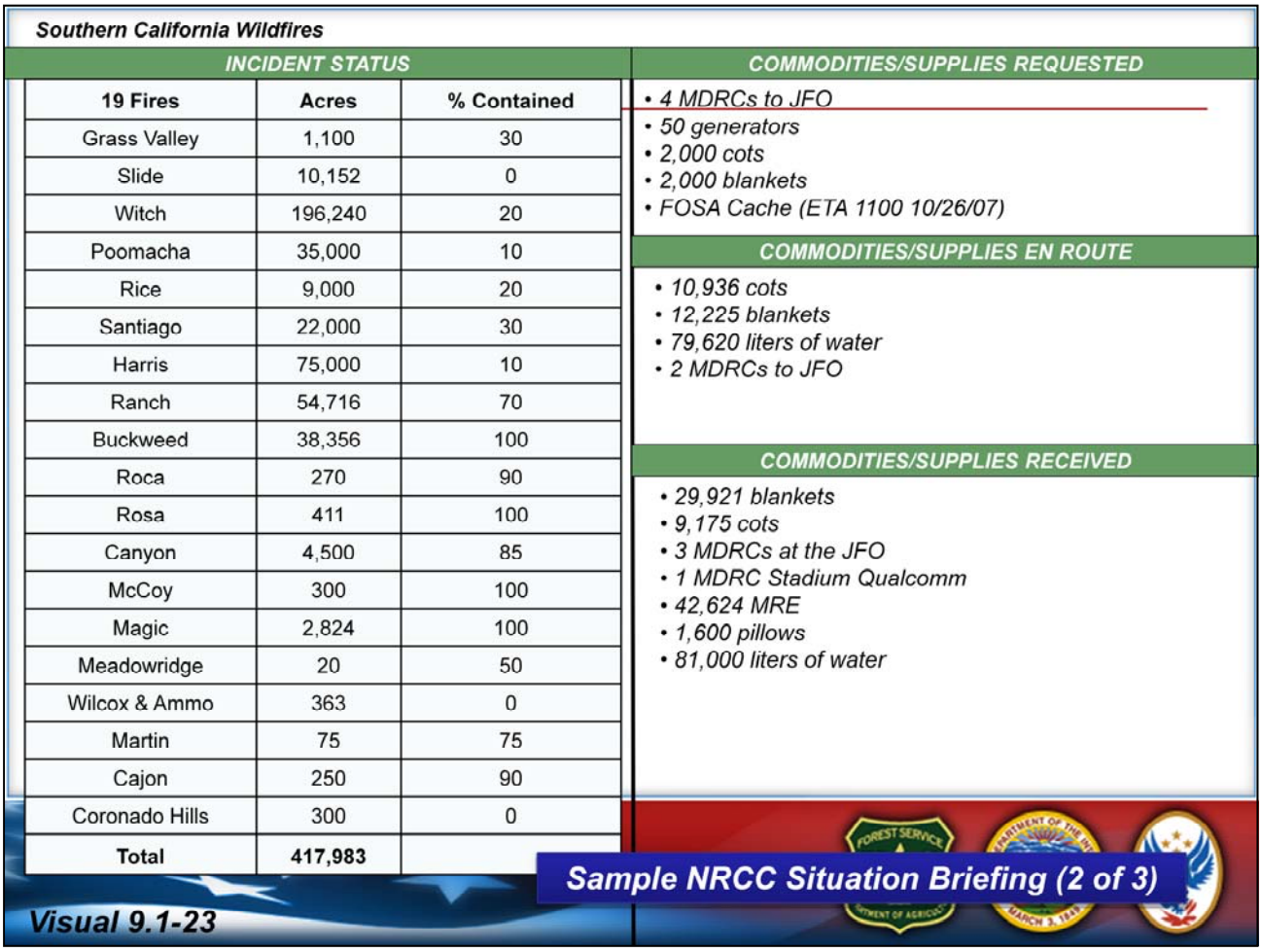
What skills are required in order to develop concise reports?



Review the sample NRCC Situation Briefing (also called the snapshot). This briefing demonstrates how critical information is presented in a concise manner.

This page includes the following major categories of information:

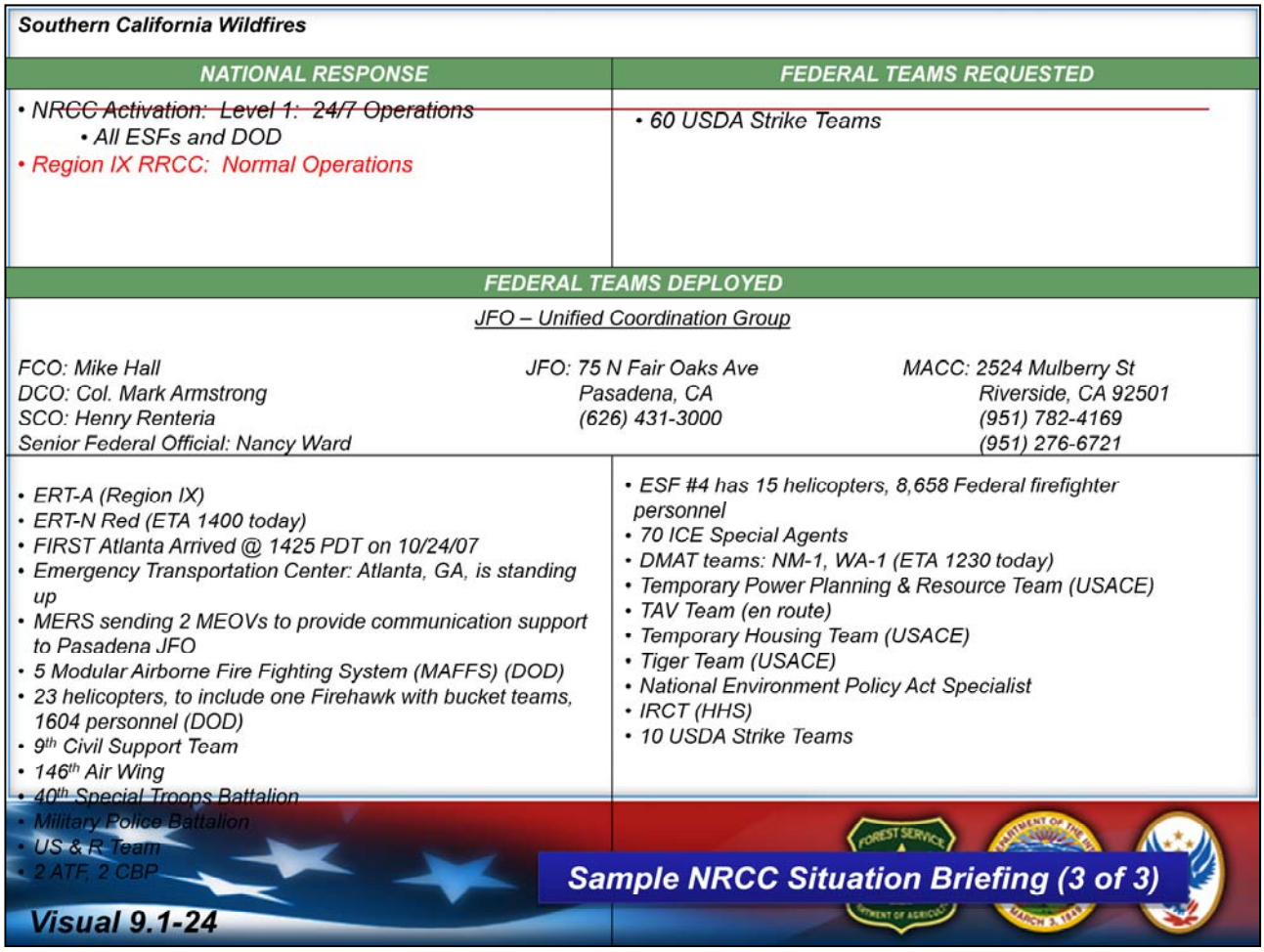
- Fatalities/injuries
- Property damaged/destroyed
- Property threatened
- Search and rescue status
- Food and water requirements
- Displaced persons and shelter requirements
- Critical infrastructure status



Continue reviewing the sample NRCC Situation Briefing.

This page includes the following major categories of information:

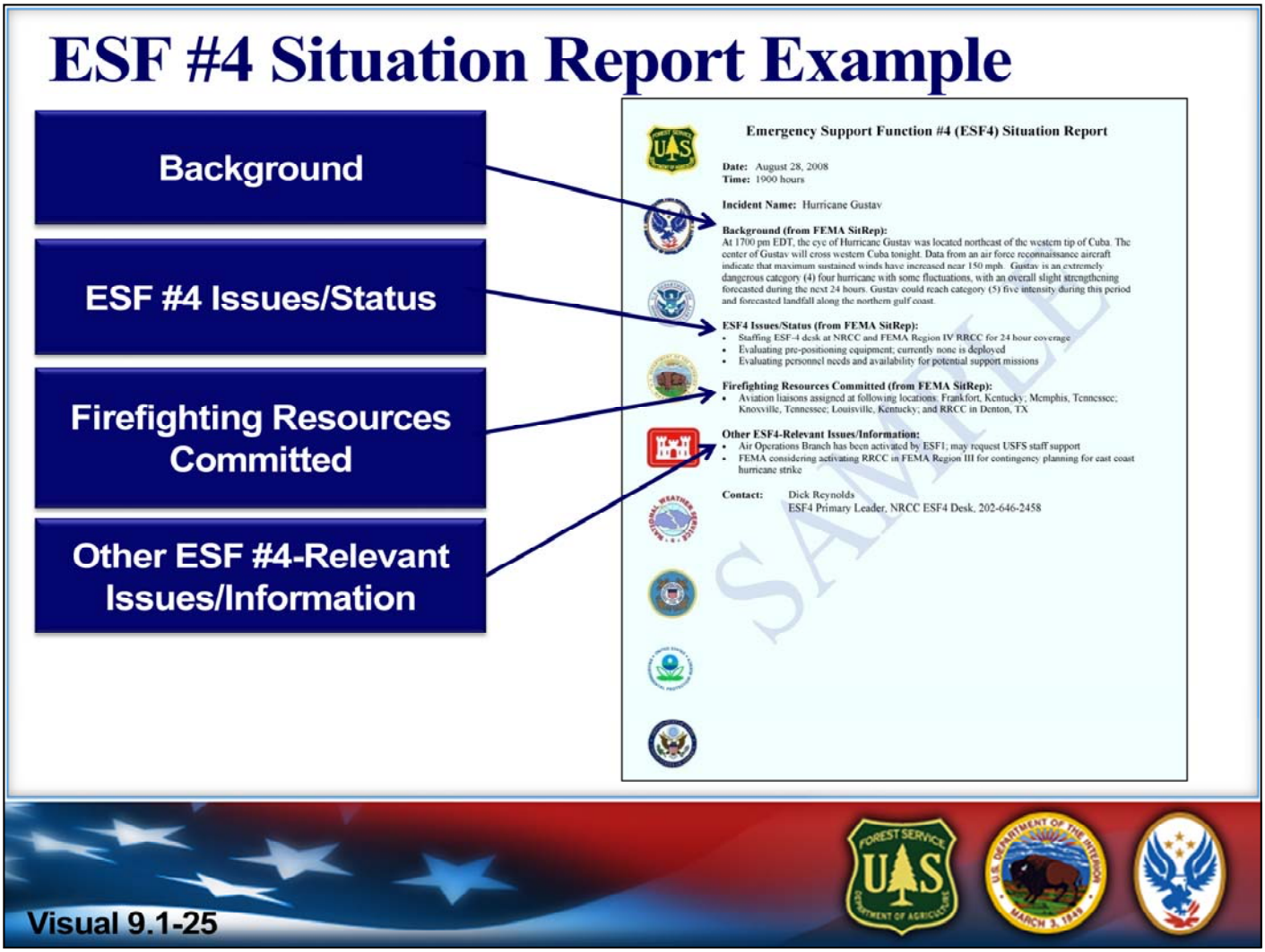
- Incident status
- Commodities/supplies requested
- Commodities/supplies en route
- Commodities/supplies shipped



Continue reviewing the sample NRCC Situation Briefing.

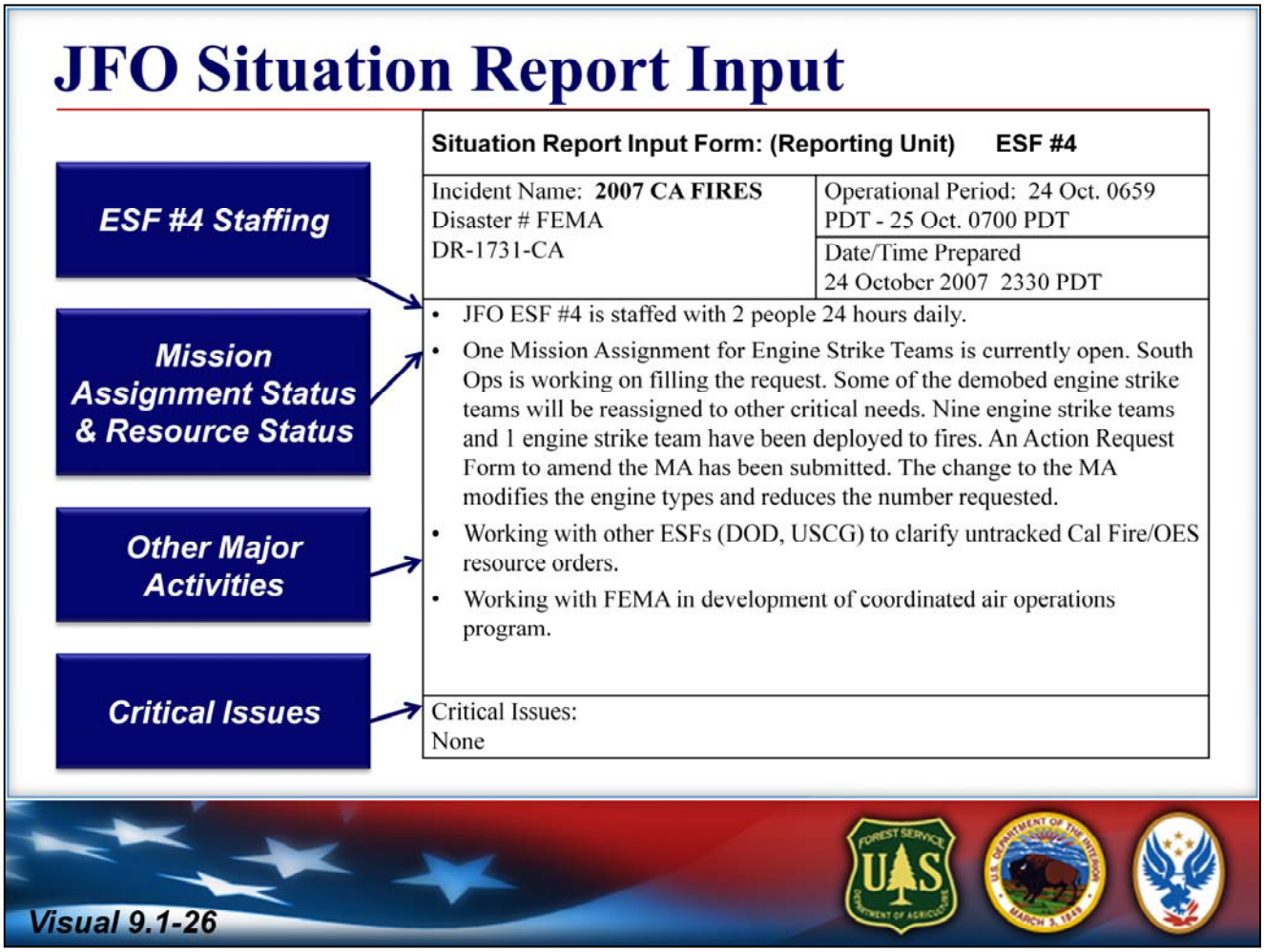
This page includes the following major categories of information:

- National response
- Federal teams requested
- Federal teams deployed



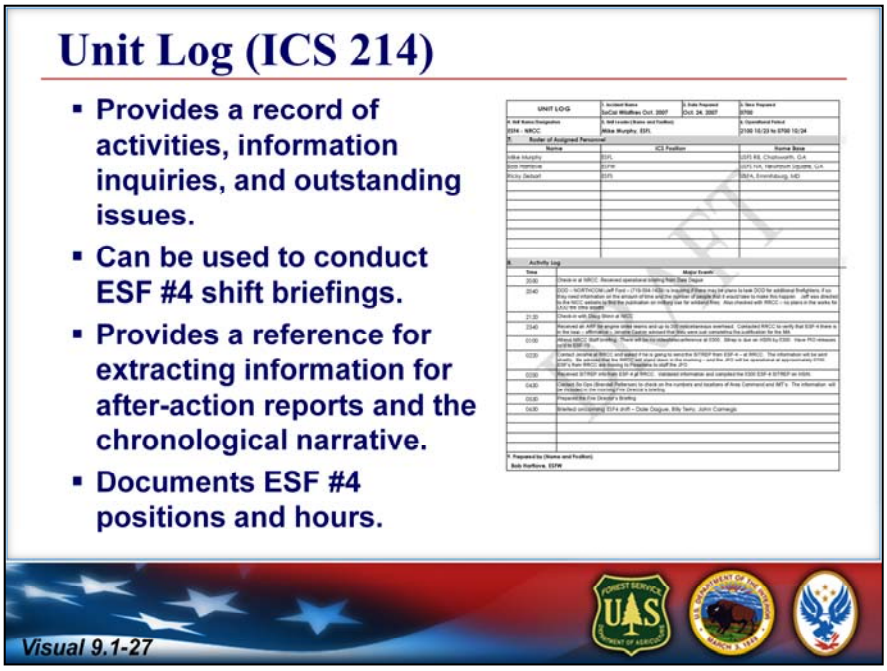
ESF #4 situation reports are used to:

- Present concise information about the incident status to ESF #4 primary and support agencies.
- Identify critical topics or issues.



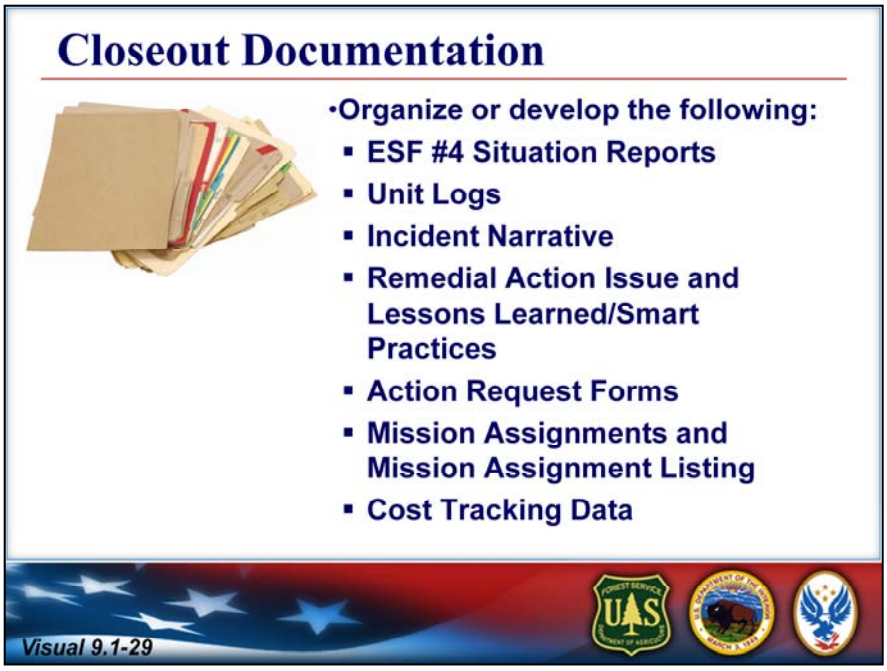
Review the sample input form on the visual. Although not all JFOs use this exact input form, you will be asked to provide information to the Planning Section for the JFO SITREP. These elements may include:

- ESF #4 staffing levels at the JFO
- Status of mission assignments
- Status of other critical resources and resource needs
- Other major activities being performed, including coordination with other ESFs
- Summary of critical issues



The Unit Log (ICS 214) can be a useful tool for ESF #4 staff to document activities and to communicate key information to the incoming shift.

What additional uses are there for the Unit Log (ICS 214)?

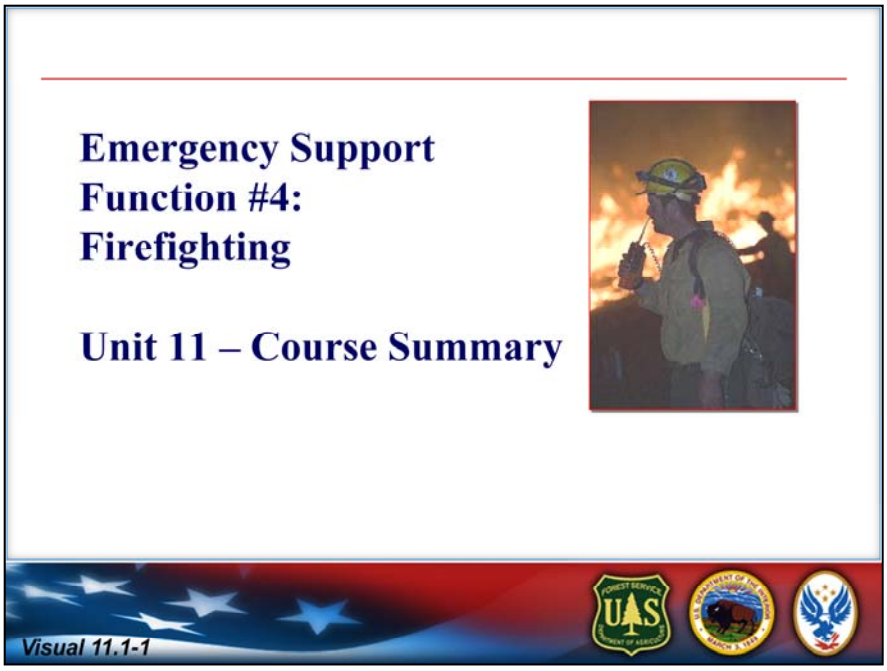


Review the list of items that need to be organized or developed when closing out an incident and provided to the ESF #4 Coordinator.

When conducting an after-action review, answer the following questions:

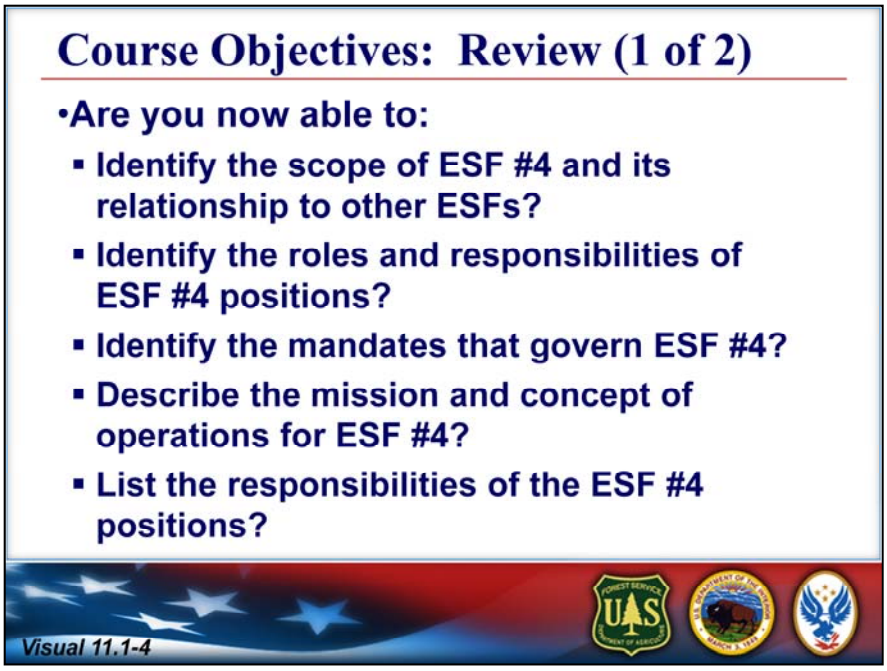
- What did we set out to do?
- What actually happened?
- Why did it happen?
- What are we going to do different next time?
- Are there lessons learned that should be shared?
- What followup is needed?

Samples of many of the closeout documents can be found on the ESF #4 Resource Center.



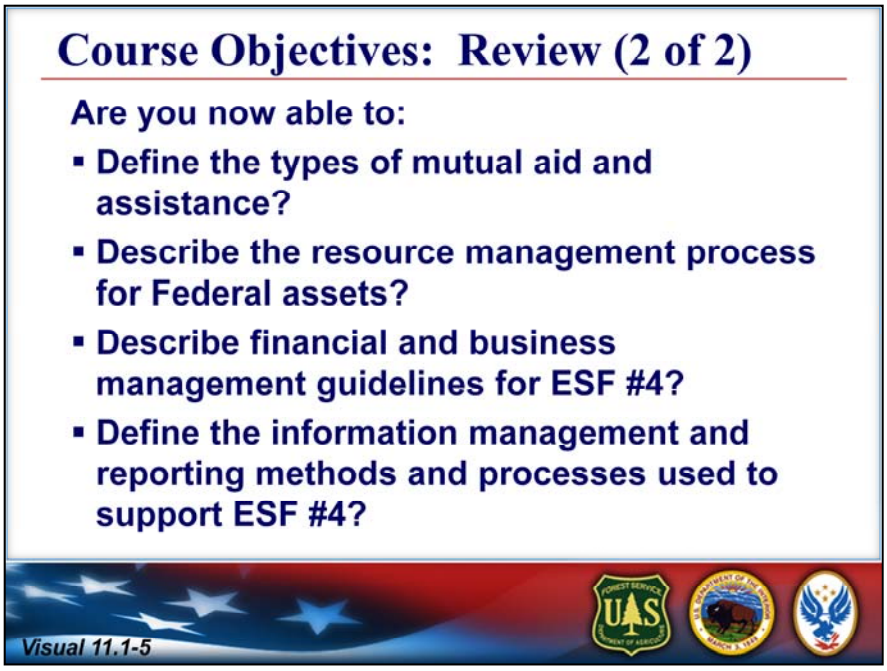
Unit 11 – Course Summary

Lesson Terminal Objective: At the completion of this lesson, you will be able to summarize the ESF #4 course lessons learned.



Are you now able to:

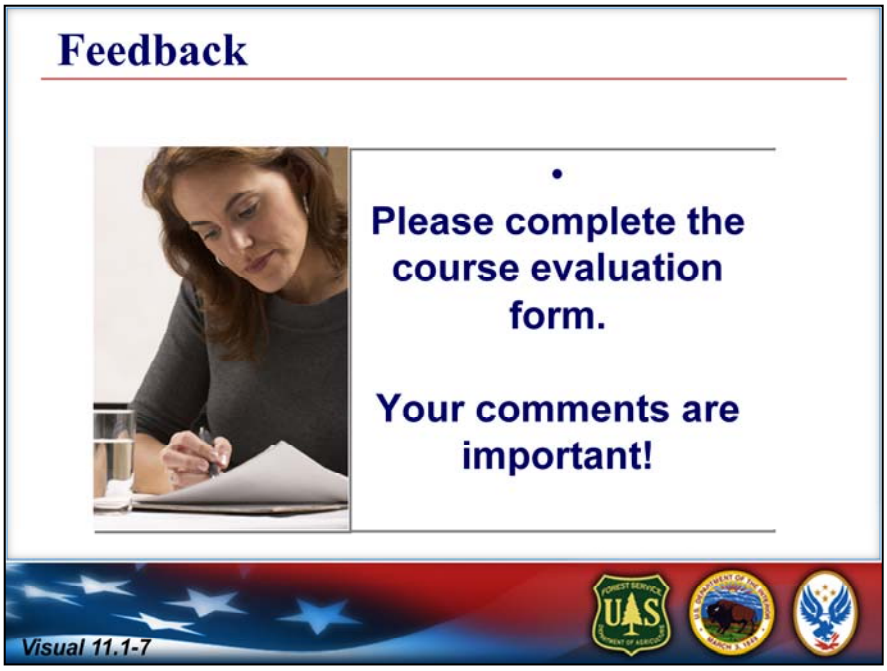
- Identify the scope of ESF #4 and its relationship to other ESFs?
- Identify the roles and responsibilities of ESF #4 positions?
- Identify the mandates that govern ESF #4?
- Describe the mission and concept of operations for ESF #4?
- List the responsibilities of the ESF #4 positions?



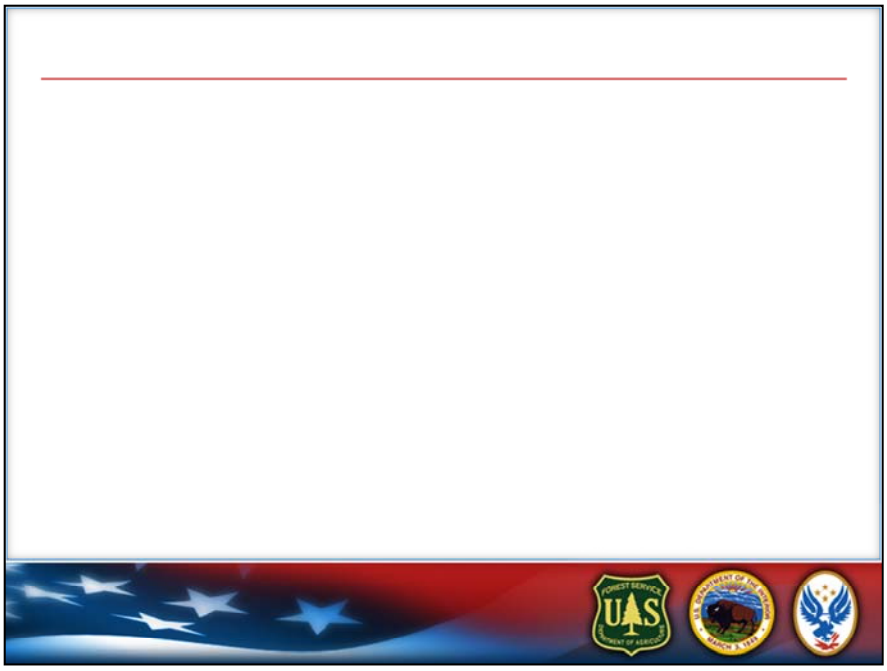
Are you now able to:

- Define the types of mutual aid and assistance?
- Describe the resource management process for Federal assets?
- Describe financial and business management guidelines for ESF #4?
- Define the information management and reporting methods and processes used to support ESF #4?

How well did this course meet your expectations?



Complete the course evaluation form. Your comments will help improve future course offerings.



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ESF4
FIREFIGHTING