



**United States  
Department of  
Agriculture**

**Animal and  
Plant Health  
Inspection  
Service**

**Plant Protection and  
Quarantine**

# **Emergency Response Manual**

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The *Emergency Response Manual* 11/2010-1 replaces the *Emergency Planning Manual*, 2nd Edition, February, 2002.

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# 1

Emergency Response  
Manual

# Introduction

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## Purpose

The United States Department of Agriculture–Animal and Plant Health Inspection Service–Plant Protection and Quarantine–Emergency and Domestic Programs (USDA–APHIS–PPQ–EDP) prepared the *Emergency Response Manual* as a field reference to help employees quickly find the information they need when responding to a plant health emergency.

Use the manual when following the Incident Command System (ICS) to manage a threat to U.S. agriculture and natural resources.

The manual provides the following guidance for responders to plant health emergencies in the United States and Territories:

- ◆ Descriptions of pertinent authorities
- ◆ Organizational guidelines for ICS that facilitate a quick response
- ◆ Directions for using ICS to develop and manage a response
- ◆ Instructions for assigning specific responsibilities to individuals
- ◆ Instructions for developing an Incident Action Plan
- ◆ Lists of necessary activities
- ◆ Summaries of responsibilities of PPQ Headquarters and Regional Staff levels related to providing support and services in the field

## Users

The manual is intended as a field reference for the following users in USDA–APHIS–PPQ who have been assigned responsibilities for a plant health emergency:

- ◆ Incident Commanders
- ◆ Command Staff and General Staff personnel
- ◆ Regional Directors and Program Managers
- ◆ Staff in Emergency and Domestic Programs

The manual is also intended as a field reference for the following State users:

- ◆ Cooperators
- ◆ Emergency programs for pests of State concern

The manual can also be used as a reference by other plant health workers when planning any response program that relies upon the Incident Command System.

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## Scope

### What the Manual Covers

The manual is divided into the following numbered chapters:

- 1. *Introduction* on page 1-1**
- 2. *Overview* on page 2-1**
- 3. *National and Regional Staff* on page 3-1**
- 4. *Incident Command System* on page 4-1**
- 5. *Incident Commander* on page 5-1**
- 6. *Public Information Officer* on page 6-1**
- 7. *Liaison Officer* on page 7-1**
- 8. *Technical Working Group Liaison Officer* on page 8-1**
- 9. *Safety Officer* on page 9-1**
- 10. *Intelligence and Investigation Officer* on page 10-1**

- 11. *Planning Chief* on page 11-1**
- 12. *Operations Chief* on page 12-1**
- 13. *Logistics Chief* on page 13-1**
- 14. *Finance and Administration Chief* on page 14-1**
- 15. *Operational Planning for Incident Commanders* on page 15-1**

The manual also includes a Glossary, Appendixes, and an Index.

### **What the Manual Does Not Cover**

The manual is not intended to provide information on specific plant pests, programs, or emergency responses.

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## **How to Use the Manual**

The manual is a portable electronic document that is updated periodically. Download the current version of the manual from its source, and then use Adobe Reader® to view it on your computer screen. You can print the manual for convenience. However, links and navigational tools are only functional when the document is viewed in Adobe Reader®. Remember that printed copies of the guide are obsolete once a new version has been issued.

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## **Conventions**

Conventions are established by custom and are widely recognized and accepted. The major conventions used in the manual are described in this section.

### **Addresses**

Find pertinent Web site addresses, street addresses, and telephone numbers in a shaded box at the end of each section. The shaded boxes were used to separate contact information from the rest of the text and make it easier to locate.

Address

Address provides the name of the Web site, document, or contact person, and the [URL](#).

### **Lists**

Bulleted lists indicate that there is no order to the information listed. Numbered lists indicate the preferred order or sequence of the items in the list.

## Change Bar

A vertical black change bar in the left margin is used to indicate a change in the manual. Change bars from the previous update are deleted when the chapter or appendix is revised.

## Contents

Each chapter has a table of contents on the first page that lists the heading titles within.

## Control Data

Control data is located at the top and bottom of each page to help manual users keep track of where they are in the manual and be aware of updates to specific chapters, sections, appendixes, etc., in the manual. At the top of each page is the chapter title and first-level heading for that page. At the bottom of each page is the transmittal number (month, year, number), title of the manual, page number, and unit responsible for content.

## Decision Tables

Decision tables are used throughout the manual. The first and middle columns in each table represent conditions, and the last column represents the action to take after all conditions listed for that row are considered. Begin with the column headings and move left-to-right, and if the condition does not apply, then continue one row at a time until you find the condition that does apply.

**Table 1-1 How to Use Decision Tables**

<b>If you:</b>	<b>And if the condition applies:</b>	<b>Then:</b>
Read this column cell and row first	Continue in this cell	TAKE the action listed in this cell
Find the previous condition did not apply, then read this column cell	Continue in this cell	TAKE the action listed in this cell

## Footnotes

Footnotes comment on or cite a reference to text and are referenced by number. The footnotes used in this manual include general text footnotes, figure footnotes, and table footnotes.

General text footnotes are located at the bottom of the page.

When space allows, figure and table footnotes are located directly below the associated figure or table. However, for multi-page tables or tables that cover the length of a page, footnote numbers and footnote text cannot be listed on the same page. If a table or figure continues beyond one page, the associated footnotes will appear on the page following the end of the figure or table.



## Heading Levels

Within each chapter and section there can be four heading levels; each heading is green and is located within the middle and right side of the page. The first-level heading is indicated by a horizontal line across the page, and the heading follows directly below. The second-, third-, and fourth-level headings each have a font size smaller than the preceding heading level. The fourth-level heading runs in with the text that follows.

## Hypertext Links

Figures, headings, and tables are cross-referenced in the body of the manual and are highlighted in boldface type. These appear in blue hypertext in the online manual.

## Italics

The following items are italicized throughout the manual:

- ◆ Cross-references to headings and titles
- ◆ Names of publications
- ◆ Scientific names

## Numbering Scheme

A two-level numbering scheme is used in the manual for pages, tables, and figures. The first number represents the chapter. The second number represented the page, table, or figure. This numbering scheme allows for identifying and updating. Dashes are used in page numbering to differentiate page numbers from decimal points.

## Transmittal Number

The transmittal number contains the month, year, and a consecutively-issued number (beginning with -01 for the first edition and increasing consecutively for each update to the edition). The transmittal number is only changed when the specific chapter sections, appendixes, or glossary, tables, or index is updated. If no changes are made, then the transmittal number remains the unchanged. The transmittal number only changes for the entire manual when a new edition is issued or changes are made to the entire manual.

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## Authorities and Enabling Legislation

The authorities and legislation in this section enables or directly relates to PPQ emergency response.

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## Plant Protection Act of 2000

The Plant Protection Act (PPA) (Title IV., Pub. L. 106-224, 114 stat. 438.7 U.S.C. 7701-7772), and declarations of emergency made by the Secretary of Agriculture, provide the authorities that support emergency response. The PPA and emergency declarations, codified in Federal regulations, provide the foundation for flexible but effective programs for protecting the United States against exotic plant pests. USDA has broad authority to take appropriate actions against threatening pests and to promulgate or modify existing regulations whenever necessary.

This authority incorporates provisions of older statutes that were repealed, including the Federal Plant Pest Act, most of the Organic Act, most of the Federal Noxious Weed Act, and the Golden Nematode Act among others.

The PPA provides the authority to regulate the movement of plant pests and their carriers, into or through the United States; and to take emergency measures pending promulgation of quarantines and regulation.

As the PPA relates to emergency response programs, it provides the Secretary of Agriculture with authority to do the following:

- ◆ Establish or modify quarantines and regulations as necessary to carry out emergency programs against new plant pests that become established in the United States;
- ◆ Restrict and prohibit the entry and interstate movement of plants and plant products to prevent the entry and interstate spread of plant pests;
- ◆ Declare an extraordinary emergency when a new plant pest is present in the United States and that presence threatens the agriculture of the United States and State measures are determined inadequate;
- ◆ Cooperate with States, farmers, associations, and other countries of the Western Hemisphere, to carry out operations to control or eradicate pests which pose a significant economic hazard or that threaten the United States; and
- ◆ Prevent the introduction or spread of a plant pest or noxious weed.

The PPA provides the authority to take emergency action to seize, treat, or destroy articles or products related to plant pests new to or not known to be widely prevalent in the United States (7 U.S.C. 7714 Sec. 414).

The PPA also provides the authority for the Secretary of Agriculture to declare an extraordinary emergency (7 U.S.C. 7715 Sec. 415).

## Authority to Enter or Access Private Properties

PPQ inspectors do not have authority to enter upon private property without permission in the absence of a warrant. PPQ relies on the permission of landowners to allow inspectors to enter private properties to conduct activities related to surveys for pest or noxious weed species such as placing traps, visual surveys, or taking samples for analysis. If a warrant is necessary, it is under the authority of 7 U.S.C. 7731 Sec. 421(c). Consult with APHIS Investigative and Enforcement Services (IES) for more information and assistance.

Normally, when conducting surveys, PPQ inspectors act in concert with State inspectors to obtain landowner permission. Depending on the State, they may have special authorities to enter upon private property when permission is not granted. Even when entering upon private property under State authority, PPQ regulatory officials are acting as observers and under Federal authorities having not been delegated State authority. If a pest is found, it will be necessary to determine what action to take and under what authority action is taken. This will depend on the quarantine status of the pest, whether it is a Federal or State quarantine.

PPQ also has special additional authorities within a State when a Declaration of Extraordinary Emergency is made by the Secretary of Agriculture.

Address      APHIS—Investigative and Enforcement Services  
<https://www.aphis.usda.gov/mission/enforcement-summaries>

### **Authority to Hold Articles**

If during surveys or other inspections activities a pest or noxious weed is found at a location, and it is new or not widely distributed in the United States, then PPQ has the authority to hold it and the articles that may harbor it from moving between States (7 U.S.C. 7714 Sec. 414(a)).

The actual prohibition of movement within the State is under the purview of State control, until a Federal quarantine is established.

Likewise, if an article that has moved interstate is infested by a pest or noxious weed, or is infested during movement, or is potentially infested, and the pest or noxious weed is new or not widely distributed, then PPQ has the authority to hold and prevent those articles from further interstate movement (7 U.S.C. 7712 Sec. 412, (a)). Again, PPQ relies on State authority to prevent its movement within a State in the absence of a Federal quarantine. Articles are potentially infested if there is reason to believe they were associated with infested articles such that exposure implicated them with actual infested articles. The same authorities above also apply to the progeny of a plant or plant product, pest, or noxious weed.

### **Authority to Take Action**

The same authorities listed above are extended to hold, treat, or destroy as necessary to eliminate and prevent the dissemination of the pest (7 U.S.C. Sec. 414). This includes additional remedial actions that must be taken to prevent the dissemination of a pest or noxious weed if the owner fails to comply with PPQ actions listed on an Emergency Action Notification.

### **Least Restrictive Action**

If there is a less restrictive action that can be taken to prevent the dissemination of a pest or noxious weed, and it is feasible and adequate, then those actions must be taken into consideration.

### **Establishment of Quarantine Regulations**

If a new pest, or a not widely distributed pest, is found in an area and PPQ makes a decision to impose regulations to contain and/or eradicate the pest, PPQ may impose a Federal quarantine regulation. Normally, the State enacts a quarantine that is parallel to the Federal quarantine. In situations where Federal regulation is necessary to quickly contain a pest or establish a quarantine area a Federal Order may be issued notifying States, industry, trading partners and the public of quarantine actions. This is concurrent with the development and clearance of Interim Rules which are effective upon publication in the *Federal Register*.

### **Declaration of Emergency**

When it is necessary to secure funding beyond what is available in contingency funds for an emergency, a Declaration of Emergency is issued by the Secretary to request a transfer of Commodity Credit Corporations (CCC) or other USDA funds to the APHIS for a specific PPQ program activity. The Declaration may be issued in conjunction with regulations (for example, an interim or proposed rule to contain a plant pest or disease).

### **Declaration of Extraordinary Emergency**

A Declaration of Extraordinary Emergency is issued by the Secretary and provides PPQ with authority to conduct survey and eradication measures. The Declaration also provides PPQ with authority to control movement of regulated articles within a State and/or to pay additional program costs and compensation through a transfer of funds from the Commodity Credit Corporation (CCC). It also gives PPQ authority to quarantine an entire State in the absence of parallel State quarantine regulations or to quarantine part of a State. A Declaration of Extraordinary Emergency is undertaken by the Secretary only after review and consultation with the Governor of the State or appropriate State official with the finding that the measures the State is taking are not adequate to eradicate the pest or noxious weed.

The steps necessary before a Declaration of Extraordinary Emergency include a regulatory work plan prepared by the PPQ headquarters staff, a docket for publication in the *Federal Register* prepared by the Regulatory Analysis and Development staff, and an economic analysis conducted by the Policy Analysis and Development staff. The transfer of CCC or other USDA funds (Declaration of Emergency) and Declaration of Extraordinary Emergency are usually announced in separate *Federal Register* notices. If necessary, subsequent *Federal Register* notices are used to publish interim, proposed, and/or final rule.

### Compensation

In some emergency programs, growers are compensated for losses incurred from control or regulatory measures carried out to eradicate a pest. Compensation is not guaranteed or appropriate for all emergency programs, but is usually included in order to better gain the cooperation of those directly affected by regulatory actions taken to control a pest. Individuals suffering financial loss can be eligible for compensation only if certain conditions are met and a regulatory mechanism is in place.

Compensation may be paid as the result of a Declaration of Extraordinary Emergency or by a special appropriation from Congress. Special appropriations also require publication of a *Federal Register* Notice. States may also share in funding compensation by their own appropriations. These funds may be included in the package of information developed by APHIS for review and approval by the Secretary and the Office of Management and Budget.

### Cooperation with State Agencies

The Cooperation with State Agencies in the Administration and Enforcement of Certain Federal Laws Act, provides for the cooperation with State Agencies in administering and enforcing Federal laws and regulations relating to the marketing of agricultural products and the control or eradication of plant and animal diseases and pests.

### Homeland Security Presidential Directives

Presidential Directives are a form of executive order issued by the President of the United States. On October 29, 2001, President George W. Bush issued the first Homeland Security Presidential Directives (HSPD). HSPDs are issued by the President with the advice and consent of the President's Homeland Security Council to record and communicate presidential decisions about the homeland security policies of the United States. Seven of the HSPDs have bearing on APHIS activities by enhancing the protection agricultural infrastructure:

- ◆ HSPD #5–Management of Domestic Incidents
- ◆ HSPD #7–Critical Infrastructure Identification, Prioritization, and Protection
- ◆ HSPD #8–National Preparedness
- ◆ HSPD #9–Defense of U.S. Agriculture and Food
- ◆ HSPD #10–Biodefense for the 21st Century
- ◆ HSPD #11–Comprehensive Terrorist-Related Screening Procedures
- ◆ HSPD #12–Identification Standards for Federal Employees and Contractors

### **Agricultural Bioterrorism Protection Act**

Federal regulation on the Agricultural Bioterrorism Protection Act of 2002 (7 CFR 331) specifies requirements for possession, use, and transfer of organisms listed as select agents and toxins. Any emergency program for an organism listed as a select agent has certain requirements and stipulations that must be followed for diagnostic laboratories handling the agents and in disposal of material infected or potentially infected with a select agent. For more guidance, go to the Select Agent Web site.

Address      APHIS–Federal Select Agent Program  
<https://www.selectagents.gov>

### **Federal Insecticide, Fungicide, and Rodenticide Act**

The Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) provides the basis for the regulation, sale, distribution, and use of pesticides in the United States.

Address      Federal Insecticide, Fungicide, and Rodenticide Act  
<https://www.epa.gov/enforcement/federal-insecticide-fungicide-and-rodenticide-act-fifra-and-federal-facilities>

### **Privacy Act**

The purpose of the Privacy Act of 1974 (5 U.S.C. 552a) is to place limitations on the collection, use, and dissemination of personally identifiable information by Federal agencies. During PPQ emergency responses, it is important that personal or business information collected be protected according to the Privacy Act. All PPQ maintained databases and data collection systems must maintain a system of records in accordance with the Act.

The Freedom of Information (FOI) staff manages all agency activities in carrying out the Privacy Act. The staff receives and analyzes requests for records maintained in Privacy Act systems of records. The staff assists APHIS Programs during the development phase of Privacy Act record systems by

insuring information included in the new/revised Privacy Act record systems are necessary, relevant, accurate, complete and timely. As needed, the FOI staff provides assistance and technical advice to system managers and other custodians of Privacy Act records.

For more guidance, visit the USDA or Privacy Act Web sites.

Addresses

Privacy Act

<http://www.usdoj.gov/opcl/privacyact1974.htm>

U.S. Department of Justice Freedom of Information Act

<http://www.usdoj.gov/oip/>

USDA Privacy Policy

[https://www.usda.gov/privacy-policy\\_\\_](https://www.usda.gov/privacy-policy__)

### National Environmental Policy Act

The National Environmental Policy Act (NEPA) (42 U.S.C. 4321) requires that Federal agencies consider in writing the potential adverse effects of their actions, which often requires public input. The exact nature of the documentation and public involvement is dictated by the potential for adverse effects and the significance of those effects. It is likely that most emergency responses will include actions that need up to 30 days of public comment prior to initiation of the action. As a result, it is imperative to involve Policy and Program Development–Environmental Services and PPQ–Environmental Compliance early in the planning process of a response so that the required public involvement can be put into place and not hinder the speed of the response.

Address

National Environmental Policy Act

[https://www.aphis.usda.gov/plant-pests-diseases/environmental-assessments\\_\\_](https://www.aphis.usda.gov/plant-pests-diseases/environmental-assessments__)

### Endangered Species Act

The Endangered Species Act of 1973 (ESA) (16 U.S.C. 1531-1544) requires that all Federal actions, including emergency responses, do not harm Federally protected threatened or endangered species. Before an action can begin, it must be determined if protected species are in the project area and if so, measures must be put in place to protect them from adverse effects of the action. Such work requires coordination with the U.S. Fish and Wildlife Service and/or the National Marine Fisheries Service.

Several methods are available to ensure compliance with ESA, but the exact one chosen is dictated by the nature of the emergency, proposed response, and the location. As soon as possible in the early stages of the response, Policy and

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Program Development–Environmental Services and PPQ–Environmental Compliance play critical roles in providing the necessary guidance and in conducting the necessary analyses and developing the required documentation.

Address [Endangered Species Act  
https://www.fws.gov/law/endangered-species-act](https://www.fws.gov/law/endangered-species-act)

### **Occupational Safety and Health Act**

The Occupational Safety and Health Act of 1970 (29 U.S.C. 668(a)) was passed to assure so far as possible every working man and woman in the Nation safe and healthful working conditions and to preserve our human resources.

The General Duty clause of the Act (General Health and Safety Section 5. (a)) states that each employer shall:

- ◆ Furnish to each of their employees employment and a place of employment which are free from recognized hazards that are causing or are likely to cause serious physical harm to their employees, and
- ◆ Comply with occupational health standards promulgated under this act.

The Act also states (General Health and Safety Section 5 (b)) that each employee shall comply with occupational safety and health standards and all rules, regulations, and orders issued pursuant to this act which are applicable to their own actions and conduct.

The regulations in the act apply to all aspects of an emergency incident as well. From the initial stages of the emergency response, to the final demobilization of personnel and equipment, the standards outlined in the Act help to assure all employees work in a safe and productive environment. Knowledge of Occupational Safety and Health Act regulations is key to a Safety Officers success in creating that environment. Though the regulations may help guide the Safety Officer in some areas, the Safety Officer should consult qualified APHIS personnel for guidance on subjects specific to the agency.

Address [Occupational Safety and Health Act  
http://www.osha.gov/](http://www.osha.gov/)

### **Hazard Communication Standard**

The Hazard Communication Standard of the Occupational Safety and Health Act establishes uniform requirements to make sure that the hazards of all chemicals used in U.S. workplaces are evaluated, and the subsequent hazard information is transmitted to affected employers and exposed employees.



All facilities of the incident where employees are exposed to hazardous chemicals must have a written plan that describes how the Hazard Communication Standard will be implemented in that facility.

### Authorities for Safety Officers

Refer to the *APHIS Safety and Health Manual* for guidance on agency safety, health, wellness, industrial hygiene, hazardous waste, and related issues of concern. The following authorities guide the APHIS–Safety, Health, and Wellness Program:

- ◆ Public Law 91-596, Occupational Safety and Health Act of 1970;
- ◆ Executive Order 12196, Occupational Safety and Health Programs for Federal Employees;
- ◆ 29 CFR Part 1960, Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters;
- ◆ 5 U.S.C. Section 7901, Services to Employees;
- ◆ 5 CFR Part 792, Federal Employees' Health and Counseling Programs;
- ◆ 41 CFR Part 101-5, Physical Fitness Facilities; and
- ◆ APHIS Directive 1060.1, Controlling Environmental Pollution at Federal Facilities.

### State Laws

Federal authority extends to interstate movement until quarantine areas are established, so PPQ depends on State authorities for intrastate regulation of plants, plant products, and pests. A Declaration of Extraordinary Emergency may also have an effect on the scope various Federal and State regulatory activities. Emergency projects may be authorized and controlled by various State laws and regulations.

In Federal or State emergency projects, PPQ cooperates with the appropriate State regulatory agencies. In this case, the State cooperator will be responsible for contacts with political subdivisions within the State and may preempt the authority of subordinate political subdivisions. Immediate eradication activities, intrastate regulatory actions, and use of State right-of-entry access, are typical activities performed under State authority. State cooperation is essential to gain entry to private property. When permission is not granted,

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Federal law does not authorize PPQ employees to enter upon private property unless a warrant is secured. State authorities to enter private property varies from State to State, and in most cases, PPQ acts in concert with a State, using their authority to enter private property to survey and enforce Federal regulations. *See [Authority to Enter or Access Private Properties](#)* on **page 1-7** for related information.

PPQ and the State cooperating agency use a General Memorandum of Understanding to define areas of authority, responsibility, and cooperation.

For an emergency response program, incidents are normally managed as a Unified Command with the State Plant Health Director and State Plant Regulatory Official (SPRO) sharing the Incident Commander's responsibilities. The SPRO can provide information on State authorities. A list of SPROs is available at the Web site of the National Plant Board.

It is important that personnel involved in using this authority know and can iterate the authority by which they have access to private property and other jurisdictional matters.

Address

National Plant Board  
<https://www.nationalplantboard.org/>

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## Related Documents

The following documents, directives, regulations, manuals, and memoranda relate to the manual. The documents provide rules that govern pest eradication and control activities. They also contain useful procedures and guidelines for a well-thought-out, consistent response to agriculture incidents of all kinds. Some of the documents also offer operational support for this manual.

## National Incident Management System

While most emergency situations are handled locally, major incidents may require help from other jurisdictions, States, or the Federal government. The National Incident Management System (NIMS) was developed so responders from different jurisdictions and disciplines can work together when responding to natural disasters, emergencies, and acts of terrorism.

The ability to conduct coordinated responses to large emergencies has taken on new importance as reflected in the Homeland Security Presidential Directive #5 (HSPD #5) issued February 28, 2003. This directive requires that all Federal departments and agencies adopt the NIMS in their domestic emergency management. NIMS is designed to provide consistent nationwide approach to Federal, State, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

Address U.S. Department of Homeland Security–Federal Emergency Management Agency–National Incident Management System  
<https://www.fema.gov/emergency-managers/nims>

## National Response Framework

The U.S. Department of Homeland Security *National Response Framework* (NRF) establishes a comprehensive approach to enhance the ability of the United States to manage all types of domestic incidents. The incidents are referred to as all hazards incidents, and their management is referred to as all hazards management.

The NRF incorporates the best practices and procedures from incident management disciplines—homeland security, emergency management, law enforcement, fire fighting, public works, public health, responder and recovery worker health and safety, emergency medical services, and the private sector—and integrates them into a unified structure. It forms the basis of how the Federal government coordinates with State, local, and Tribal governments and the private sector during incidents. The *National Response Framework* replaced the *National Response Plan*.

Address U.S. Department of Homeland Security–Federal Emergency Management Agency–National Response Framework  
<https://www.fema.gov/emergency-managers/national-preparedness/frameworks/response>

## Emergency Support Function #11

*Emergency Support Function #11–Agriculture and Natural Resources Annex* provides guidance for all USDA agencies during an emergency, including APHIS–PPQ. This Function includes plant health as well as nonplant health responses.

Address *Emergency Support Function # 11–Agriculture and Natural Resources Annex*  
<http://www.fema.gov/pdf/emergency/nrf/nrf-esf-11.pdf>

## State Emergency Plans

PPQ encourages State departments of agriculture to develop their own plant health emergency response plans. These documents are useful in defining how the State will engage and communicate with Federal, other State, and local agencies in responding to an emergency.

## New Pest Response Guidelines

New Pest Response Guidelines (NPRG) are developed by PPQ–EDP–Emergency Management staff in consultation with subject matter experts, scientists, and pest specialists. NPRGs provide general guidelines for individual pest species or a group of pests. In addition to identifying potential regulated articles, the NPRG also provides survey, identification, control, and pathway information. The guidelines can include pest identification keys, images of pests and the damage they cause, as well as unpublished scientific literature.

Once a decision has been made to respond to a pest, the NPRG provides basic information for developing a site-specific action plan with the concurrent development of required environmental documentation. NPRG users can select the appropriate information and modify it to meet the needs for survey and control options, and for regulatory compliance of the specific pest. NPRGs are updated as applicable information or new scientific tools become available, and they are posted on the PPQ Web for timely access to the information.

Because of the vast range of plant pests that occur in the world, PPQ considers the following criteria when prioritizing the development of a new NPRG:

- ◆ Proximity of the pest threat

- ◆ Economic importance of the affected crop
- ◆ Pest's potential to cause damage
- ◆ Identification of pest pathways
- ◆ Inclusion of the pest on more than one list of pests including the following:
  - ❖ Cooperative Agricultural Pest Survey Program (CAPS)
  - ❖ New Pest Advisory Group (NPAG)
  - ❖ Offshore Pest Information System (OPIS)

### **Memorandum of Understanding**

#### **Between State Plant Regulatory Agency and PPQ**

PPQ and the State cooperating agency use a General Memorandum of Understanding (MOU) to define areas of authority, responsibility, and cooperation.

#### **With Tribes on Emergency Response**

PPQ cooperates with Tribal governments on a nation to nation basis and has developed a template for an MOU with individual Tribes or Tribal groups that include defining how we will cooperate in plant health emergencies.

#### **SPRO Letters**

A SPRO (State Plant Regulatory Official) letter is a communication notice to State and Territory Agricultural Regulatory Officials. The SPRO letter serves as one of the main communication avenues used by PPQs Deputy Administrator for informing the States and stakeholders about important plant health developments and policies. SPRO letters are used to transmit information about Federal Quarantine Orders, program and regulatory updates, and the detection of new pests.

#### **Federal Quarantine Order**

A Federal Order is issued by PPQ with the approval of USDA's Office of General Counsel. A Federal Order is used to stop or regulate the movement of articles from a defined geographical area to prevent the spread of plant pests and diseases. It can also be used to announce that a host will be regulated, expand existing quarantine regulations or add to host lists in existing quarantine regulations.

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### **Federal Register**

The *Federal Register* is the official daily publication for rules, proposed rules, and notices of Federal agencies and organizations, as well as executive orders and other presidential documents. It is published by the Office of the *Federal Register*, National Archives and Records Administration (NARA).

Address      National Archives, *Federal Register*  
<https://www.federalregister.gov/>

### **Interim Rules**

The type of rule published by the *Federal Register* most often used in PPQ emergencies are interim rules. Interim rules are issued by APHIS with the Office of General Counsel, Departmental, and Office of Management and Budget review. These rules are used to establish a new quarantine in the *Code of Federal Regulations* on an emergency basis or when prior public comment is not in the best interest of the public.

### **Proposed and Final Rules**

Proposed and final rules are issued by APHIS with the Office of General Counsel, Departmental, and Office of Management and Budget, review or clearance. These rules are used for the long-term regulatory requirements or maintenance of on-going programs. These rules can also be used to approve new treatments or protocols for interstate movement of regulated articles in existing regulations.

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## **Administrative Guidelines for Emergency Programs**

Administrative guidelines allow for the operations that support an emergency project and include topics such as setting up an office, contracting for services, maintaining vehicles, and implementing a project safety program.

### Agreements Management

The USDA–APHIS *Agreements Management Manual* establishes administrative policies and procedures for various cooperative agreements. The manual is published by the APHIS–Marketing and Regulatory Programs Business Services–Financial Management Division, but is out of print. An updated version is expected to be available in 2011. Printed copies of agency issuances are maintained by the Printing, Distribution, Mail, and Copier Solutions Branch, Administrative Services Division, MRPBS.

### Contingency Funds

APHIS Contingency Funds and APHIS Directive 2210.1 provide the guidelines for requesting contingency funds.

### Environmental Monitoring

#### Compliance

All PPQ environmental monitoring is coordinated through PPQ–Emergency and Domestic Programs–Environmental Compliance.

Address      USDA–APHIS–PPQ–Emergency and Domestic Programs  
Environmental Compliance  
<https://www.aphis.usda.gov/plant-pests-diseases/environmental-compliance/environmental-compliance-documents>

#### APHIS Directive 5640.1

Environmental Monitoring for APHIS Pest and Disease Control and Eradication Programs, APHIS Directive 5640.1, requires environmental monitoring plans. See *Environmental Compliance* on **page G-1** for additional information on environmental monitoring for emergency projects.

### PPQ Treatment Manual

Published by PPQ, the *Treatment Manual* contains treatments for the eradication of plant pests from commodities.

Address      *Treatment Manual*  
<https://www.aphis.usda.gov/sites/default/files/treatment.pdf>

## Radio Communication Management

Radio Communication Management, APHIS Directive 3330.1, provides guidelines for managing radio communications during emergency incidents.

Address      MRPBS–Forms, Issuances and Records Library, Directives  
Radio Communication Management, APHIS Directive 3330.1  
<https://www.aphis.usda.gov/sites/default/files/mrp-3330-1.pdf>

## Regulatory Decisionmaking

USDA Regulatory Decisionmaking Requirements, Departmental Regulation 1512-1, contains procedures for developing and reviewing regulations.

Address      USDA Directives, Legal Affairs and Proceedings Regulatory  
Decisionmaking Requirements  
<https://www.usda.gov/directives>

## Reporting Problems With the Manual

Use [Table 1-2 on page 1-21](#) to determine where to report problems or disagreements, or improvements which directly affect the contents of the *Emergency Response Manual*.

**Table 1-2 Where to Report Problems with the Emergency Response Manual**

<b>If you:</b>	<b>Then:</b>
Are not able to access the online manual	CONTACT the writer's email address <a href="mailto:ppq.irm.ismu.manuals.feedback@usda.gov">ppq.irm.ismu.manuals.feedback@usda.gov</a>
Have a situation that requires an immediate response	CONTACT PPQ–EDP–Emergency Management
Have a suggestion for improving the formatting of the content (design, layout, composition), grammar, or spelling	CONTACT the writer's email address <a href="mailto:ppq.irm.ismu.manuals.feedback@usda.gov">ppq.irm.ismu.manuals.feedback@usda.gov</a>
Disagree with the content of this manual	CONTACT PPQ–EDP–Emergency Management



# 2

Emergency Response  
Manual

## Overview

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## Introduction

This chapter describes how PPQ and its cooperators respond to plant health emergencies, as well as emergencies that are unrelated to outbreaks of pests and diseases that threaten agricultural production.

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## Why PPQ Has These Procedures

All levels of government, the private sector, and non-governmental agencies must be prepared to prevent, protect against, respond to, and recover from a wide spectrum of major events and natural disasters that exceed the capabilities of any single entity. Threats from natural disasters and human-caused events, such as terrorism, require a unified and coordinated national approach to planning and to domestic incident management.

To fulfill its mission, APHIS must respond immediately to exotic pest introductions and endemic pest infestations which pose a significant economic threat. PPQ has devised a system based on past experience and best practices to achieve a quick, concise response to all plant health incidents.

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## PPQs Role in Protecting U.S. Plant Health

As the lead Federal agency for plant health emergencies, PPQ works cooperatively with national and international plant protection organizations; Federal, State, Tribal, and local agencies; universities; industries; and private entities in developing and implementing science-based framework, derived from the National Response Plan, designed to provide optimum protection against invasive pests and diseases. The framework consists of a continuum with four key elements: preparedness, prevention, response, and recovery.

### Prevention

PPQ works with trading partners and international plant protection organizations to develop and implement early detection and control strategies designed to prevent the entry of invasive pests and diseases into the United States. In addition, PPQ partners with the U.S. Department of Homeland Security's (DHS) Customs and Border Protection (CBP) to ensure the continued success of agricultural inspection operations at all U.S. Ports of entry.

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PPQ prevention activities include the following:

- ◆ Implementation of offshore preclearance programs
- ◆ Inspection and quarantining of agricultural products
- ◆ Management of phytosanitary issues
- ◆ Smuggling interdiction and trade compliance
- ◆ Analysis of risk and pathways

### Preparedness

PPQ works with Federal agencies, State and local governments, and industries to prepare, build, and sustain, operational capacity and capability including early detection, timely diagnostics, and effective control strategies against plant health threats and incursions.

PPQ preparedness activities include the following:

- ◆ Implementation of the Offshore Pest Information Program
- ◆ Detection of pests
- ◆ Identification of pests
- ◆ Meeting of the New Pest Advisory Group
- ◆ Preparation of New Pest Response Guidelines
- ◆ Training in the Incident Command System

### Response

PPQ works with Federal agencies, State, Tribes, and local governments, and industries to implement coordinated actions designed to contain, control, or eradicate plant pests and diseases. PPQ uses the Incident Command System, which provides responding agencies and entities a unified strategy for working together in response to plant health emergencies.

PPQ response activities include the following:

- ◆ Rapid detection and delimiting surveys
- ◆ Technical working groups
- ◆ Identification and diagnostics
- ◆ Emergency funding
- ◆ Emergency response coordination
- ◆ Mobilization
- ◆ Unified command
- ◆ Data management

- ◆ Regulatory framework
- ◆ Environmental compliance
- ◆ Situation reports

### Recovery

After an emergency response is complete, PPQ works with Federal agencies; State, Tribes, universities, and the private sector to develop and implement systems designed to provide long-term stability and protection from the pest or disease that caused the emergency.

PPQ recovery activities include the following:

- ◆ Long-term protection plan
- ◆ Demobilization
- ◆ National Plant Disease Recovery systems
- ◆ Science based methods and technology
- ◆ Outreach

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## Plant Health Decision Framework

While prevention, preparedness, response, and recovery are broad terms within a framework of emergencies, plant health emergencies typically unfold in a series of steps, beginning with the initial detection, and ending with eradication or the establishment of a long term program. Each step depends on the previous steps. Parallel tracks may be also be established with operational aspects; scientific and technical support; regulatory development and enforcement; data collection; and communication with partner agencies, cooperators, industry, and the public.

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## Detection

New pests are detected in the United States through various means. These can be from our own PPQ conducted targeted surveys, through the Cooperative Agriculture Pest Survey (CAPS) program with the State departments of agriculture or other entities, submitted by county agents in the USDA–Cooperative State Research and Extension Education Service (CSREES) system, or by growers and private citizens.

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### Preliminary Identification

Various entities may make the first identification or diagnosis of a new suspected plant pest. These include PPQ identifiers, taxonomists or diagnosticians at State departments of agriculture or a land-grant university, or a private laboratory. Most of the land-grant university diagnosticians are organized into the National Plant Diagnostic Network (NPDN) that cooperates with PPQ on diagnosis of plant diseases primarily. Other USDA agency laboratory's or taxonomists may also be the sources of preliminary diagnosis.

### Confirmed Identification

Before any regulatory action can be taken by PPQ, suspect new pests must be forwarded to an authority recognized by the PPQ–National Identification Service (NIS) for final confirmation. This is especially true for new United States detections, new State records, PPQ listed pests, and any new plant pest not previously evaluated.

Identifiers may be specialists in insects or mites (USDA–Agriculture Research Service Systematic Entomology Laboratory), nematodes (Systematic Nematology Laboratory), or PPQs own national specialists for insects, fungi, snails, and weeds. NIS also has its own molecular diagnostics authority for plant pathogens through the PPQ Molecular Diagnostics Laboratory in Beltsville, Maryland. PPQ recognizes the diagnostics performed by APHIS–Center for Plant Health Science and Technology laboratories and some State departments of agriculture with specialists of national stature for certain pest groups. Occasionally, PPQ must look to foreign sources for sufficient expertise depending on the taxon.

Communication of results is coordinated through the PPQ–National Identification Service. The final determination of most domestic detections is sent to the PPQ– Emergency and Domestic Programs staff, who forward the confirmation to the national and regional program managers, and the SPHD and SPRO simultaneously. The confirmation of a new pest of importance is further communicated to the PPQ– Executive Team, the New Pest Advisory Group, the Phytosanitary Issues Management team, and APHIS–Legislative and Public Affairs.

## Evaluation

When a new pest has been identified, the response may be immediate or require further deliberation and consultation. Many times, newly detected pests may not have been previously evaluated, and may require analysis by the New Pest Advisory Group (NPAG) in order to make recommendations to PPQ managers on the best course of action.

Typically, as data is gathered on the pest's distribution and occurrence on hosts in an area, scientific and technical questions are addressed by a Technical Working Group, and options for feasible control begin to emerge. In consultation with the State departments of agriculture and industry, options for response are given to the PPQ Deputy Administrator to consider.

## New Pest Response Guidelines

New Pest Response Guidelines (NPRG) are developed by PPQ–EDP staff in consultation with subject matter experts (SME), scientists, and pest specialists. NPRGs may address a group of pests or an individual species. In addition to identifying potential regulated articles, the NPRG also provides survey, identification, and control options and potential pathway information. The guidelines include insect keys or drafts of related, unpublished work in the appendices. Ideally, they are developed prior to a pest's arrival, and contain options for eradication if feasible, containment, and/or long-term management of the pest.

In response to a plant health emergency, options can be selected from the appropriate NPRG and fine-tuned to meet the needs for survey and control options, and regulatory compliance of the specific pest or disease. NPRGs are updated as applicable information or new scientific tools become available, and they are posted on the PPQ Web site for timely access to the information. Once a decision has been made to respond to a pest, the NPRG provides basic information for developing a site-specific action plan, or operational plan, with the concurrent development of required environmental documentation.

PPQ considers the following criteria when prioritizing the development of a NPRG:

- ◆ Proximity of the pest threat
- ◆ Economic importance of the affected crop
- ◆ Potential of the pest to cause damage
- ◆ Identification of pathways

- ◆ Appearance of the pest on more than one list (such as CAPS, NPAG, or OPIS)

A more objective and collaborative process is planned for prioritizing which pests should have NPRG's developed for them.

### **New Pest Advisory Group**

The New Pest Advisory Group (NPAG) is the group within USDA–Center for Plant Health Science and Technology (USDA–CPHST) that quickly assesses and recommends a course of action to PPQ regarding plant pests that are new or present an imminent threat to the United States. NPAG evaluates the significance of these plant pests and provides recommendations on options and possible responses.

The trigger for NPAG is a confirmed pest identification report by NIS-recognized identification authorities such as the Systematic Entomology Laboratory (SEL) of USDA's Agricultural Research (ARS) Service.

NPAG coordinates information and solicits expertise from Federal and State agencies, university systems, and international organizations. NPAG assembles an ad hoc group to ensure expert evaluation and cooperates with other groups or organizations in analyzing new or imminent threats.

### **Communication**

Communication is important during all stages of a response. Effective emergency response will not be fully successful without the participation and coordination with cooperators, including State, local, Tribal, and the private sector. In addition to communicating closely with the State in which the response is being mounted, PPQ provides timely communication to the rest of the States, potentially impacted industries, stakeholders, and trading partners. This includes the biological and ecological parameters of the pest, its regulatory significance, its economic importance, its potential impact on industries, its trade implications, which States are involved and other pertinent information.

The subheadings that follow are communication tools that PPQ typically uses during plant health emergencies.

### **Informational Memoranda**

PPQ–EDP forwards a briefing memorandum to PPQs Deputy Administrator summarizing the nature of the emergency. This includes information regarding the biological and ecological parameters of the pest, its regulatory significance, its economic importance, potentially impacted industries, trade implications, involved States, and other pertinent information, including proposed response actions.

### **Press Release**

PPQ–EDP works with APHIS’ Legislative and Public Affairs to draft a press release designed to inform the public of the plant health emergency and proposed response. The drafting of the press release is coordinated with the PPQ Regional staff, and the State Plant Health Director (SPHD) and State Plant Regulatory Officials (SPRO) of the State in which the emergency is taking place. PPQ–EDP also coordinates with PPQ’s Phytosanitary Issues Management (PIM) unit to ensure meeting the International Plant Protection Convention (IPPC) standards.

### **SPRO Letter**

A SPRO letter is a notice to State and Territory Agricultural Regulatory Officials, which serves as one of the main communication avenues used by PPQ’s Deputy Administrator for informing the States and stakeholders about various important plant health developments and policies. SPRO letters are used to transmit information about Federal Quarantine Orders, program and regulatory updates, and new pest detections. PPQ–EDP coordinates the drafting of the SPRO letter with the PPQ Regional staff, the SPHD, and the SPRO in which the emergency is taking place. In addition, PPQ–EDP coordinates with PPQ’s PIM unit to ensure meeting International Plant Protection Convention (IPPC) standards.

### **National Plant Board**

PPQ–EDP convenes a teleconference with the National Plant Board (NPB) shortly after the detection of a new plant pest or an outbreak has occurred to provide initial information about the incident. NPB members and leadership are briefed on a broad range of issues related to the incident, including the pest’s regulatory importance, infestation delimitation, response strategies, biological and ecological consideration, economic impact, trade implications, and other pertinent information.

### **National Association of State Departments of Agriculture**

PPQ–EDP informs NASDA and fields questions regarding the pests biology and ecology, regulatory significance, economic importance, potentially impacted industries, trade implications, involved States, and the proposed response.



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### **NAPPO and Trading Partners**

PPQ–EDP provides information to PPQ’s PIM unit so that NAPPO and trading partners may be informed of the situation, including the background information about the pest, response plan, regulatory status and safeguard measures designed to contain, control, or eradicate the pest.

### **Pest Alert**

PPQ–EDP works with LPA, subject matter experts, USDA–CPHST, and others to develop a fact sheet about the pest, its biological and ecological parameters, and its regulatory significance. The pest alerts are electronically produced, printed, and distributed via the internet or handouts to State, Federal, and Tribal cooperators, industry, and stakeholders.

### **Daily Situation Report**

PPQ–EDP and State cooperators generate daily situation reports as soon as response activities begin through the unified command structure. Reports include information on survey and diagnostic results, traceback and trace forward information, treatment information, Unified Command actions and activities, including the number of responders operating under the Unified Command. Daily situation reports are distributed to all SPROs. PPQ–EDP receives feedback from individual SPROs via email and phone calls. Periodic subject-specific teleconferences are convened to apprise the general NPB membership of program progress.

### **Web Sites**

Shortly after a new plant pest occurs, PPQ–EDP creates a page on the PPQ public Web site designed to provide timely information about the pest, its biological and ecological parameters, and proposed response. The Web site is routinely updated to provide up-to-date information about the pest situation. A PPQ Intranet site may also be developed by the PPQ regional offices to provide timely information, reports, and access to program documents to PPQ employees and State departments of agriculture with password access.

### **Assessment and Information Gathering**

The information gathered at the early stages of a response to a pest’s detection is crucial to decision makers who must consider the best course of action for the agency. The information requirements at the beginning of a response include science and technical information about the pest gathered at the sites of initial detection, the possible origin of the pest incursion, the potential movement in commerce or by other means, and the extent of the infestation determined by delimitation surveys.

### **Rapid Assessment Team Deployment**

Depending on the urgency of response for a particular pest, a rapid assessment team (RAT) may be deployed to quickly assess the pest situation in the area where the pest was detected. A RAT can be dispatched quickly, usually within 24 hours of Federal confirmation of a pest of high consequence. The RAT will provide PPQ Emergency and Domestic Programs staff and the Regional staff with a focused and unbiased quick assessment of the pest situation on the ground. Because this is a rapid assessment, it is neither complete nor thorough and must be supplemented by additional information as necessary.

The RAT is usually composed of several members, but the groups are intentionally small and mobile. The RAT consists of one PPQ regional staff, one USDA–CPHST scientist, one PPQ–EDP staff member, one or two APHIS–ARS or University scientific experts and State regulatory officials. Usually the PPQ–EDP or USDA–CPHST staff member will author the report with input from all members. All members are an important part of the rapid assessment team and need to be included in the reporting process.

Preliminary reports are often transmitted via email to the appropriate regulatory officials at day’s end. Final RAT reports are transmitted via email within 24 hours of completion of the assessment.

### **Technical Working Group Formation**

PPQ and cooperators are often confronted with invasive plant pests and diseases that are introduced for the first time into the United States. This may require the need for the assembly of a Technical Working Group (TWG), an ad hoc group of subject matter experts to provide PPQ with timely technical information about the particular pest or disease to which the response is being mounted.

PPQ–EDP is responsible for requesting that USDA–CPHST establish a TWG once the need is identified. USDA–CPHST provides leadership in assembling the TWG. Although, the TWG’s recommendations are not legally binding, its charge is to respond to technical questions that PPQ and cooperators pose. Its membership, which may be as many as 25 to 30 individuals, consists of scientific experts from Federal and State agencies, universities, private sector, and international organizations who synthesize science-based answers.

Ideally, the core members of the TWG are identified and consulted at the outset of the emergency to address technical questions in support of the emergency response. The ICS Science Advisor provides on-the-ground technical support, while the TWG provides overarching technical support. Normally, PPQ–EDP contacts USDA–CPHST to begin forming a TWG. The TWG can convene meetings and teleconferences as often as necessary to provide timely technical information in support of the emergency.

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### Traceback and Trace Forward Investigations

An important aspect of information gathering in the early stages of a response are the investigations conducted attempt to determine the origin of the infestation and the extent of potential spread beyond the initial detection. Trace back investigations attempt to determine the source of infection. Trace forward investigations attempt to define further potential dissemination through means of natural and artificial spread (commercial or private distribution of infected plant material).

Traceback and trace forward investigations of artificial spread may use information contained in shipping documents, invoices, and statements by property owners, retailers, or distributors. PPQ and state databases on permits, imports, and interceptions may also be consulted as well as records of possible pathways through legal or illegal method of movement. Some information gathering for these purposes may be appropriate for PPQ Smuggling Interdiction and Trade Compliance (SITC) personnel and other investigations, especially where evidence gathering for potential violations is important, may be more appropriate for APHIS Investigative Service (IES) to conduct.

Investigations of natural spread of newly detected pests may be useful in a program response to identify the origin and potential spread to new areas where further surveys may be conducted. One tool may be the use of DNA analysis used as a sort of forensic trace back evidence to compare the newly detected pest's genetic closeness to various foreign populations that may be the source of infestation. Models that use weather and climatological data can also be used to predict potential pest occurrence in a geographic area or point in time that matches the pest's phenology with the season. This predictive modeling can be interpreted as a kind to trace forward exercise to identify high risk areas to focus further survey to determine the extent of spread of a newly detected infestation.

### Delimitation Surveys

In contrast to general detection surveys which are conducted in broad areas where a pest is not known to occur, a delimitation, or delimiting, survey is conducted after an initial detection is made in an area. The objective of the delimiting survey is to define the extent of the infestation in an area.

There is a tendency to view the first detection of a new pest at the epicenter of an infestation, but this is often proven incorrect once a delimiting survey is conducted. While delimiting survey recommendations for some programs, such as for fruit flies, have defined trapping grids around a first detection, this is not always the most effective strategy for most pests in determining the full extent of an infestation in a given area.

Used in recent programs such as citrus greening and light brown apple moth, a rapid delimiting survey is a type of delimiting survey that provides a quicker assessment that is often more resource effective. The concept involves casting a broader net over a geographic area in concentric distances away from an initial detection. These may be a 5 mile intervals with and at different point along the arc of each concentric ring, surveys may be conducted where hosts occur or other conditions for potential pest occurrence may be present. The overall schematic of such a survey appears more like spokes around a wheel rather than a grid.

A national survey may also be conducted, and this serves to generate data to show potential pest occurrence and absence within the country after initial detection are made. This type of survey is often important to demonstrate to our own program, our cooperators, industry, and trading partners the overall extent of a pest within the United States.

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## **Standardized Identification and Communication**

After the initial detection has been confirmed by a NIS-recognized authority and the delimitation survey begins, the need for accurate identification and diagnosis continues. The importance of ensuring taxonomic integrity is integral to an emergency response because business owners, growers, distributors, and private citizens can be negatively impacted, monetarily or otherwise, by regulatory actions as the result of quarantine actions based on pest detections.

Surveyors conducting delimiting surveys should be trained in survey techniques, symptom and pest recognition, data collection, and proper routing of samples to qualified, trained taxonomists to be identified. These can be at the incident command post, a PPQ, State, or university laboratory, or other location with proper space and equipment to conduct identifications and diagnosis. Typically, authorized identifiers or State taxonomic specialists can make final determinations for certain a pest taxon if appropriate and within a regulated area. New County or State records may require higher level confirmations at the national level by a NIS-recognized authority. Laboratories established in a longer term emergency response should implement a quality assurance program for taxonomic services to periodically test the accuracy of identifications.

Surveyors and diagnostic personnel must follow program sample collection protocols and packaging for proper care and safeguarding of samples. Laboratories responsible for sample processing and submissions for

confirmations should ensure that samples are properly documented with a completed PPQ Form 391 (Specimen for Determination) including an agreed upon consistent sample numbering system to allow for sample tracking.

Results of samples within a regulated area, or negative results outside a regulated area, are typically reported from the laboratory or program location to the SPHD, SPRO, and regional office. From outside regulated area, and especially for new State records, the confirmatory results of any suspect positive, or PASS samples, sent forward for confirmation by an NIS recognized authority. Diagnostic or identification results of those submissions are reported by email by the NIS Domestic Diagnostics Coordinator, or NIS urgent team, to the National Survey Coordinator with the PPQ Emergency and Domestic Programs staff in PPQ headquarters. The communication is then forwarded to the appropriate regional and national program managers, the SPHD and SPRO simultaneously.

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## **Establishing Data Management**

The response to a plant health emergency involves the collection of detection and survey information in the affected area; adequate and timely identification of the plant pest or disease; and coordination of the appropriate emergency response to contain, control, or eradicate the pest or disease. Central to successful emergency management is the timely communication of information to responders and stakeholders throughout the process. Accurate data collection, data analysis, and timely access to information are the foundation of the decision support processes used to manage plant health emergencies.

A data management system that is rapid, user-friendly, practical and robust, and designed to provide timely data collection, storage, integration, analysis and reporting is also fundamental in managing plant health emergencies. PPQ is developing the Plant Health Information System (PHIS), a single data management system, designed to optimize PPQ and cooperators' ability in responding to plant health emergencies. The PHIS is designed to provide a secure, Web-based portal application for all plant health related events.

In addition to incorporating state-of-the-art technologies, such as GIS, mobile devices, and databases, PHIS is designed to utilize existing PPQ plant health applications currently in production.

### **Integrated Survey Information System**

The Plant Health Information System (PHIS) utilizes the Integrated Survey Information System (ISIS) for the detection and survey functions. PHIS is a PPQ system maintained and hosted in the PPQ Western Region. Sample tracking functionality of ISIS should be implemented if available.

### **Pest Identification System**

The Plant Health Information System (PHIS) utilizes the Pest Identification System (PestID) to provide identification and diagnostic results related to plant health events. PestID is another system maintained internally in the PPQ Headquarters in Riverdale, MD and hosted at the National Information Technology Center (NITC) located in Kansas City, MO.

### **Emergency Action Notification System**

The Plant Health Information System (PHIS) utilizes the Emergency Action Notification (EAN) system to provide regulatory documentation in support of plant health events. EAN is also a PPQ system maintained internally in the PPQ Headquarters and is also hosted at the National Information Technology Center (NITC).

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## **Regulatory Response to Plant Health Incidents**

The Plant Pest Act (PPA) provides USDA with the authority to regulate the movement into or within the United States of organisms that may pose a threat to agriculture. The PPA also provides USDA with the authority to prevent the introduction, dissemination, or establishment of such organisms. APHIS-PPQ is the lead Federal agency providing safeguards against exotic plant pests threatening agriculture and natural systems. APHIS can regulate interstate commerce, but it may only regulate intrastate commerce with a Declaration of Extraordinary Emergency (DOEE).

PPQ can exercise one or more of the following regulatory options in an effort to prevent the spread of plant pests and diseases of regulatory significance:

### **Emergency Action Notification**

After an initial suspect positive detection, an Emergency Action Notification (PPQ Form 523) may be issued to hold articles or facilities, pending positive identification and/or further instruction from the USDA–APHIS–PPQ Deputy Administrator. This document is issued by a PPQ inspector to notify an owner or agent of carrier, premises, and/or articles, to apply specific remedial measures to prevent the potential spread of a plant pest or disease. This can be used when dealing with a relatively small number of regulated entities.

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## Federal Quarantine Order

It is issued by PPQ with the approval of USDA's Office of General Counsel (OGC) and the Deputy Administrator. A Federal Order is used to stop or regulate the movement of articles from a defined geographical area to prevent the spread of plant pests and diseases. It can also be used to announce that a host will be regulated, expand existing quarantine regulations or add to host lists in existing quarantine regulations.

A SPRO letter is a communication notice to State and Territory Agricultural Regulatory Officials, which serves as one of the main communication avenues used by PPQs Deputy Administrator for informing the States and stakeholders about various important plant health developments and policies. SPRO letters are used to transmit information about Federal Quarantine Orders, program and regulatory updates, and the detection of new pests.

## Rulemaking

Rulemaking includes interim, proposed, and final rules.

Interim rules are issued by APHIS with USDA–Office of General Counsel, Departmental, and U.S. Office of Management and Budget (OMB) review. These rules are used to establish a new quarantine in the Code of Federal Regulations on an emergency basis or when prior public comment is not in the best interest of the public.

Proposed and final rules are issued by APHIS with review or clearance from the USDA–Office of General Counsel. These rules are used for the long-term regulatory requirements or maintenance of on-going programs. These rules can also be used to approve new treatments or protocols for interstate movement of regulated articles in existing regulations.

PPQ's Planning, Analysis, and Regulatory Coordination (PARC) staff provides support and guidance to PPQ program managers in selecting the most appropriate regulatory option to engage in based upon the circumstances of the pest outbreak. PARC staff interfaces with the regulations writers in APHIS' Policy and Program Development (PPD) support program, the USDA–Office of General Counsel, U.S. Office of Management and Budget, and others involved in regulatory decision-making to facilitate the development and codification of regulatory initiatives.

## Regulatory Actions in Conjunction with State Departments of Agriculture

The Plant Protection Act of 2000 (Statute 7 USC 7701-7758) provides for authority for emergency quarantine action. This provision is for interstate regulatory action only; intrastate regulatory action is provided under state

authority. State departments of agriculture normally work in conjunction with federal actions by issuing their own parallel hold orders and quarantines for intrastate movement. However, if the U.S. Secretary of Agriculture determines that an extraordinary emergency exists and that the measures taken by the state are inadequate, USDA can take intrastate regulatory action provided that the governor of the state has been consulted and a notice has been published in the *Federal Register*. If intrastate action cannot or will not be taken by a state, the PPQ may find it necessary to quarantine an entire state.

PPQ works in conjunction with state departments of agriculture to conduct surveys, enforce regulations, and take control actions. PPQ employees must have permission of the property owner before entering private property. Under certain situations during a declared extraordinary emergency or if a warrant is obtained, PPQ can enter private property in the absence of owner permission. PPQ prefers to work with the state to facilitate access when permission is denied, however each state government has varying authorities regarding entering private property. A General Memorandum of Understanding (MOU) exists between PPQ and each state that specifies various areas here PPQ and the state department of agriculture cooperate. For clarification, check with your State Plant Health Director (SPHD) or State Plant Regulatory Official (SPRO) in the affected state.

### **Regulatory Actions in Consultations with Federally Recognized Indian Tribes**

PPQ also works with Federally Recognized Indian tribes to conduct surveys, enforce regulations and take control actions. Each tribe stands as a separate governmental entity (sovereign nation) with powers and authorities similar to state governments. Permission is required to enter and access tribal lands.

Executive Order 13175, Consultation and Coordination with Indian and Tribal Governments, states that agencies must consult with Indian Tribal governments about actions that may have substantial direct effects on Tribes. Whether an action is substantial and direct is determined by the tribes. Effects are not limited to current tribal land boundaries (reservations) and may include effects on off-reservation land or resources which tribes customarily use or even effects on historic or sacred sites in states where tribes no longer exist.

Consultation is a specialized form of communication and coordination between the federal government and tribal government. Consultation must be conducted early in the development of a regulatory action to ensure that tribes have opportunity to identify resources which may be affected by the action and to recommend the best ways to take actions on tribal lands or affecting tribal resources. Communication with tribal leadership follows special communication protocols.



For additional information, contact PPQ's Tribal Liaison. To determine if there are Federally Recognized Tribes in a State, contact the State Plant Health Director. To determine if there are sacred or historic sites in an area, contact the State Historic Preservation Officer (SHPO).

For clarification, check with your State Plant Health Director (SPHD) or State Plant Regulatory Official (SPRO) in the affected State.

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## **Environmental Compliance and Documentation**

A key element in designing a program or an emergency response is compliance with various environmental laws and regulations such as the National Environmental Policy Act (NEPA), the Endangered Species Act (ESA), the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), and others necessary for protection of the environment and human health. In meeting these requirements, PPQ engages in consultation with Environmental Services, a unit of APHIS' Policy and Program Development Staff (PPD).

Environmental Services prepares environmental documentation such as Environmental Impact Statements (EIS) and Environmental Assessments (EA) to aid in program operational decisions, as well as endangered species consultation. In addition, PPQ's Environmental Compliance Team (ECT) assists Environmental Services in the development of required documentation such as Categorical Exclusions and implements any environmental monitoring that may be required of program activities.

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## **Control Options**

The three major objectives considered for a plant health emergency are eradication, containment, or management (suppression) of the pest population. Eradication is often the desired outcome of PPQ emergency responses, but the impracticality of achieving it may give way to a containment strategy.

Containment attempts to stop or mitigate the spread from one geographic area to another. This can be a combination of control tactics coupled with regulatory controls on the movement of potentially infested articles. Management strategies are normally chosen when eradication or containment cannot be achieved, or when the strategies have failed. Management of pests that become widespread or uncontrollable normally have no federal regulatory controls, and become more a purview of States, the research community, and industry working together to find affective local control options. An exception to that is

PPQ's involvement in supporting biological control for a pest, which is a management option that, if successful, achieves an overall suppression of pest populations to minimize the impact.

Control options employed in plant health emergencies vary depending on the pest biology, extent of the infestation scientific and technical soundness, practicality and cost of implementation. Pest dispersal methods and reproductive cycles with seasonality may determine when and how the most effective control methods can be implemented. The size of an infestation may make eradication more or less feasible and will be determined by the results of delimitation and national surveys along with trace forward investigations. A large infestation may not be practical or cost effective to eradicate. The technical working group set up for the response is consulted for developing recommendations for the most effective and practical control methods. Newly developed pesticides and other new or novel control methods may be employed in combination with more traditional controls. Most often, it is a combination of cultural practices and regulatory controls with the control practices chosen.

The political and social acceptance of the control method(s) chosen is most important. Even with grower and industry support a plant health emergency program can be delayed or halted without proper outreach and an accurate reading of the public's reaction to the control method deployed. This is especially true when residential areas are included in a quarantine and control program.

For insect pests, the most advanced methods have been developed over decades for the control of fruit fly populations in fruit growing areas and residential areas and Lepidoptera pests in traditional agriculture. Some of the methods available include broad spectrum pesticides, biological pesticides, sterile insect technique, mating disruption, and host removal. Control or protection from certain wood boring pests in trees has been achieved using insecticide injections; however, host removal is currently the main method for control. Plant diseases in tree crops are also controlled in PPQ emergencies most often with removal of host trees. A buffer distance for host removal of most pests is based on the distance of dispersal for the pest species. Plant disease and insect control methods in eradication or containment may also include requirements that no hosts be grown in an area for a specified time. Weed programs may include herbicide treatments, mechanical removal, and cultural methods. Mollusk control programs may use metaldehyde bait formulations coupled with habitat modification.

Biological control is often used for pests where eradication or containment is not possible. An ideal biological control agent is host specific on the target pest, survives, reproduces, and disperses well in the same climate where the

pest is a problem, and achieves overall control of the pest to nearly undetectable levels. The agents should be in equilibrium with a very low pest population keeping it in check.

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## **Eradication, Deregulation, and Program Establishment**

In all control programs with eradication as a goal, there is a requirement for a time period during which no detections of the pest are made in a particular geographic area. This may be a specified number of generations of insects, or growing seasons for plant diseases. Monitoring surveys are conducted to validate the eradication and once this outcome is established, quarantines are lifted and regulations are no longer in effect. This process may go beyond the initial emergency response, and can last a number of years. A program is normally funded and semi-permanent staffs replace the incident command response. Containment programs may become more permanent funded by a specific budget line-item incorporated into regular PPQ programs.

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## **After Action Review**

The Incident Management Team will assemble a group to conduct a critique of the program. The purposes for critiquing a program are to determine project efficiency, and provide recommendations for a new program direction.

PPQ is moving toward a cooperative and transparent approach to program critique. For example, to review the Mediterranean fruit fly project, an international group was assembled.

# 3

Emergency Response  
Manual

# National and Regional Staff

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## Introduction

This chapter describes how national and regional staff are organized to support emergency incidents and program personnel.

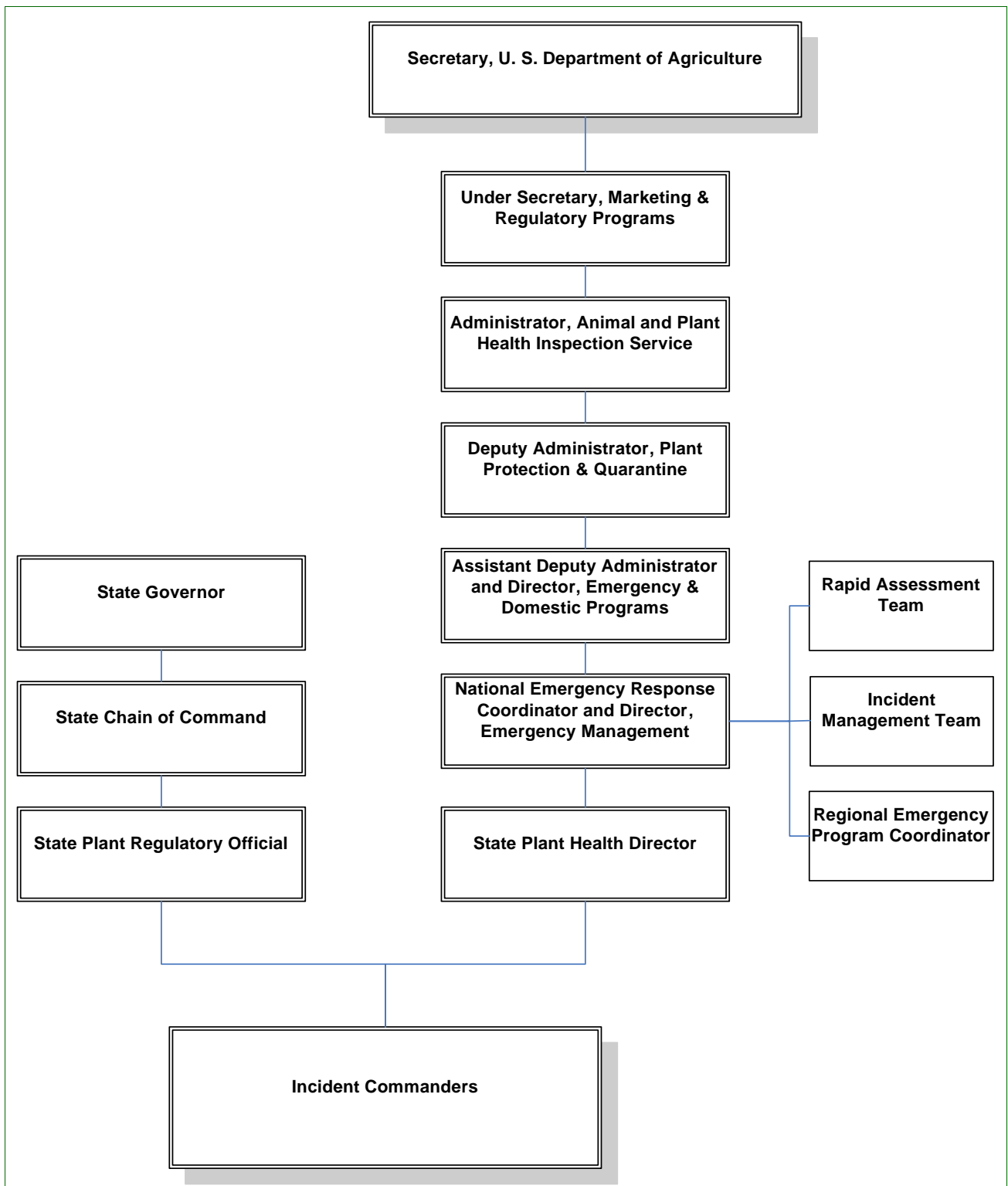
## Organization

The supporting personnel for emergency eradication projects includes the following:

- ◆ PPQ–Emergency and Domestic Programs (PPQ–EDP) staff
- ◆ Regional PPQ staff

- ◆ State cooperators and industry groups
- ◆ Other personnel able to assume responsibilities and to train others

The organization of national and regional staff responding to a plant health emergency is illustrated in *Figure 3-1* on **page 3-3**.



**Figure 3-1 Organization of National and Regional Staff Supporting a Plant Health Emergency**

## Responsibilities

The responsibilities of PPQ–EDP staff, and regional PPQ staff, are described in this chapter. The responsibilities of State cooperators and industry groups, and other personnel, are described in later chapters.

### Secretary, USDA

The chain of command of PPQ–EDP staff responding to a plant health emergency begins with the Secretary of Agriculture. As a member of the President's Cabinet, the Secretary of Agriculture is responsible to the President for all matters affecting American agriculture. Regarding emergency incidents, the Plant Protection Act provides the Secretary of Agriculture the authority to control threatening endemic pests and to eradicate threatening introduced pests. See *Plant Protection Act of 2000* on **page 1-7** for more information about the Act.

The responsibilities of the Secretary of Agriculture are as follows:

- ◆ Issues a Declaration of Emergency or a Declaration of Extraordinary Emergency, if necessary; and
- ◆ Authorizes funding for emergency projects, when required.

Issuing a Declaration of Emergency allows the Secretary to transfer funds from other sources to support the emergency program and to obtain resources and support from other departments, such as the military. Issuing a Declaration of Extraordinary Emergency allows the Secretary to apply quarantine or other remedial measures when actions taken by a State are inadequate. It also allows the Secretary to pay compensation for economic losses incurred as a result of the Agency's actions.

### Under Secretary, Marketing and Regulatory Programs

Marketing and Regulatory Programs (USDA–MRP) is the unit of the Department of Agriculture that is responsible for promoting marketing, setting agricultural standards, and inspecting agricultural products.

Regarding emergency incidents, the responsibility of the Under Secretary is to serve as the Secretary of Agriculture's liaison with USDA–APHIS. The Under Secretary assumes the role of the Secretary.

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### **Administrator, APHIS**

The Animal and Plant Health Inspection Service (USDA–APHIS) is a regulatory and facilitative agency responsible for the protection of plants and animals. In cooperation with State governments, USDA–APHIS administers Federal laws and regulations pertaining to animal and plant health.

Regarding emergency incidents, the Administrator of USDA–APHIS initiates the interim rule or notice of proposed rule making.

### **Emergency Management Leadership Council**

APHIS' Emergency Management Leadership Council (APHIS–EMLC) is charged with coordinating the Agency's overall response and contributing of resources during an ESF #11 activation to an all hazards emergency. EMLC is made up of executive level emergency managers representing each of the Agency's program areas from the National and Regional levels.

### **Deputy Administrator, PPQ**

In addition to inspections of agricultural commodities at U.S. ports of entry to prevent the entry of foreign plant pests, PPQ is responsible for the control and eradication of endemic plant pests.

The Deputy Administrator's responsibilities regarding emergency incidents are as follows:

- ◆ Consults with the PPQ Executive Team, and the National Plant Board;
- ◆ Authorizes the initial response of Regional Directors to emergency incidents;
- ◆ Directs Assistant Deputy Administrator of PPQ–EDP to initiate support activities;
- ◆ Directs Regional Directors to cooperate with the State departments of agriculture where infestations occur; and
- ◆ Issues Delegation of Authority to the Incident Commanders.

### **Assistant Deputy Administrator**

The Assistant Deputy Administrator is also the Director of PPQ–Emergency and Domestic Programs (PPQ–EDP). This Administrator is also responsible for PPQ Emergency Programs at the national level. This position oversees the PPQ–EDP staff in PPQ Headquarters and ensures that PPQ emergency response objectives and goals are accomplished.

The Emergency Program responsibilities of the Assistant Deputy Administrator of PPQ–EDP are:



- ◆ Supervises the Director of EDP–Emergency Management (EDP–EM); and
- ◆ Oversees coordination and development of budget planning to support emergency incident response and emergency program activities, including contingency fund requests and transfers from the Commodity Credit Corporation (CCC).

### **Director, Emergency Management**

The Director of EDP–Emergency Management serves under the Assistant Deputy Administrator and is responsible for implementing policies and carrying out activities at the national level.

Regarding emergency incidents, this position has the following responsibilities:

- ◆ Institutionalizes strategic and operational planning efforts ensuring that our emergency response plans and policies are up to date;
- ◆ Conducts After Action Reviews and recommends adjustments where warranted;
- ◆ Supervises the activities of the PPQ–EDP staff who are responsible for supporting an emergency project on a day-to-day basis;
- ◆ Coordinates the activities of the PPQ–EDP staff with the Incident Commanders, Regional Directors, Regional Program Managers, Emergency Program Coordinators, and State Plant Health Directors;
- ◆ Communicates with the National Plant Board (NPB) and other Federal agencies where appropriate;
- ◆ Coordinates the initial response activities of PPQ–EDP with other units of APHIS, including pest evaluations, quarantine establishment, pesticide exemptions, environmental documentation, environmental monitoring, aircraft and equipment needs, response guidelines, and technical support;
- ◆ Assists in acquiring personnel resources outside of PPQ;
- ◆ Consults with the Regional Director on selecting Incident Commanders for high visibility incidents;
- ◆ Initiates the development or modification of operational plans;
- ◆ Works with the Regional Director to ensure that emergency projects have the necessary human and equipment resources;
- ◆ Directs PPQ–EDP staff to develop and process regulatory work plans when regulations are needed in support of emergency programs;
- ◆ Coordinates compensation needs with budget staffs and Incident Commanders;

- ◆ Represents APHIS at industry and interest group meetings; and
- ◆ Responds to APHIS and interest group inquiries regarding project status.

### State Governor

The chain of command of State-level emergency staff responding to a plant health emergency begins with the Governor.

### State Plant Health Director

The State Plant Health Director (SPHD) has responsibility for APHIS scientific and administrative plant regulatory activities within the State(s). These activities include the following:

- ◆ Pest and disease risk analysis;
- ◆ Exclusion and prevention of:
  - ❖ Effective export certification program for plant products and animal by-products,
  - ❖ Design and implementation of survey programs for early pest detection, eradication of pest or disease outbreaks; and
- ◆ Conducting regulatory programs for domestic pests.

A SPHD is responsible for preparation and response to intentional (bioterrorism) and non-intentional introductions of plant pests and disease. The SPHD directs the State activities and sets priorities that balance consideration of public and industry demands against those of economics, efficiency and available resources and serves as the primary point of contact for plant health protection and emergency management and response in the State.

### Regional Directors

Regional Directors have ultimate, day-to-day responsibilities of all aspects of emergency incidents and work closely with the office of the PPQ–EDP Director regarding policy, coordination, funding, and regulatory support.

During emergency incidents, Regional Directors are responsible for availing their region's support to the management of the incident in the initial phases of setup while maintaining close contact with its development. Regional Directors interact with the incident through the State Plant Health Director, if appropriate, or if different directly with the Incident Commanders and the PPQ–EDP staff.

Regional Directors have the following responsibilities:

- ◆ Reports to the Deputy Administrator;

- ◆ Disseminates daily, weekly reports to all interested parties;
- ◆ Directs the initial response in the field, in coordination with PPQ–EDP;
- ◆ Monitors the incident, in cooperation with State officials for Federal/ State incidents, to ensure effective and efficient operation;
- ◆ Selects an Incident Commander or makes the decision to setup a Unified Command structure, in consultation with the Director of PPQ–EDP and State officials, if involved;
- ◆ Selects an administrative officer;
- ◆ Assists with selection of a location for the field headquarters;
- ◆ Arranges initial staffing for administrative and operational personnel;
- ◆ Arranges for transporting and distributing needed material from regional emergency caches;
- ◆ Requests materials from the national emergency cache, if necessary;
- ◆ Starts appropriate action within 72 hours of notification following the guidelines in this manual and the New Pest Response Guidelines (if available);
- ◆ Estimates or arranges for the estimation of future needs from State, Federal land management agencies, and military resources (for example, access to an airstrip); and
- ◆ Develops a Memorandum of Understanding (MOU) with the Department of Defense.

### **Coordinator, National Emergency Response**

The Coordinator of National Emergency Response at PPQ headquarters works under the direction of the Director of Emergency Management to take national leadership in preparedness and response by PPQ to plant health and all hazard emergencies.

The following are roles and responsibilities of the National Emergency Response Coordinator:

- ◆ Provides national leadership in coordinating the agency’s response and recovery from plant health and all hazards emergencies;
- ◆ Develops budgets, operational plans, strategies, and guidelines, for each of emergency assignment;
- ◆ Coordinates and directs PPQ programs utilizing existing PPQ and cooperator resources;
- ◆ Coordinates with other PPQ units, departmental agencies, Federal and State agencies, industry, professional organizations, and others when responding to plant health and all hazards emergencies;

- ◆ Keeps PPQ officials fully informed of PPQ program activities and results that may have a significant bearing on the planning, development and administration of APHIS programs;
- ◆ Participates with PPQ–EDP–Prevention and Preparedness (PP) staff in developing program goals, objectives, budgets, strategic plans and action plans;
- ◆ Develops and writes status reports, briefing papers, decision memoranda and other administrative documents; and
- ◆ Identifies and acquires human, fiscal, and physical resources needed in support of PPQ emergency programs.

### Regional Emergency Program Coordinators

Each region has a Regional Emergency Program Coordinator (REPC) who provides guidance and is responsible in their region for the overall implementation of emergency preparedness and response in the field.

The following are some of the roles and responsibilities of the Regional Emergency Program Coordinators:

- ◆ Provides input into Incident Command System (ICS) training and full-scale exercises;
- ◆ Acts as a liaison between Headquarters (HQ), State Plant Health Directors (SPHDs) and State Plant Regulatory Officials (SPROs) for Emergency Response information;
- ◆ Coordinates emergency preparedness efforts;
- ◆ Coordinates implementation of the National Response Framework (NRF), National Incident Management System (NIMS) and associated directives;
- ◆ Collaborates with SPHDs, SPROs, the PPQ–Professional Development Center (PDC), the U.S. Department of Homeland Security (DHS), the USDA– Cooperative State Research and Extension Education Service (CSREES), the APHIS–Office of Emergency Management and Homeland Security (OEMHS) in the development of emergency response exercises.
- ◆ Assists coordination of PPQ emergency programs;
- ◆ Advises and coordinates PPQ Incident Management Teams (IMT); and
- ◆ Develops and updates Continuity of Operations Plan (COOP) for the region.

### Rapid Assessment Team

For high-consequence plant pests a Rapid Assessment Team (RAT) may be utilized to quickly assess the pest situation in the area where the pest was detected. A RAT can be deployed quickly, usually within 24 hours of Federal confirmation of a pest of high consequence. The RAT will provide PPQ–Emergency and Domestic Programs staff and the regional staff with a focused and unbiased quick assessment of the pest situation on the ground. Because this is a rapid assessment, it is neither complete nor thorough and must be supplemented by additional information as necessary.

The RAT is usually composed of several members, but the groups are intentionally small and mobile. The RAT consists of one PPQ regional staff member, one USDA–CPHST scientist, one PPQ–EDP staff member, one or two USDA–Agricultural Research Service (USDA–ARS) or university scientific experts, and State regulatory officials. Usually the PPQ–EDP or USDA–CPHST staff member will author the report with input from all members. All members are an important part of the RAT and need to be included in the reporting process. Preliminary reports are often transmitted via email to the appropriate regulatory officials at day’s end. Final RAT reports are transmitted via email within 24 hours of completion of the assessment.

### Incident Management Team

The Incident Management (IM) teams function is to assist PPQ and States in the response efforts of plant health emergencies. The major responsibilities of the National IMTs include responding to the following requests:

- ◆ From a SPHD or SPRO of any State or locality to assist in State plant health emergencies of nationally significant pests;
- ◆ By the Regional Director or Deputy Administrator to assist in regional or national plant health emergencies of nationally significant pests;
- ◆ From the Deputy Administrator, Secretary of Agriculture or Presidential Directive administered by the Secretary of Homeland Security to assist in all hazard emergency responses including ESF #11 and general all hazard activities.

### Incident Commanders

Incident Commanders manage the plant health emergency at the field location where support operations are occurring. See [Single Command Structure](#) on **page 5-2** and [Unified Command Structure](#) on **page 5-4** for a comprehensive description.

# 4

Emergency Response  
Manual

# Incident Command System

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## Introduction

This chapter describes how PPQ Headquarters and PPQ–Emergency and Domestic Programs (EDP) staff use the Incident Command System (ICS) to respond to plant health emergencies.

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## History

The Incident Command System (ICS) is a standardized management tool used for meeting the demands of emergency or nonemergency situations. ICS was developed in the early 1970s by an interagency task force as a new approach to the problem of managing rapidly moving wildfires in California. ICS is now widely used throughout the United States for emergency and event

management, including plant health emergencies. It is applicable to simple and complex emergencies. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations.

The Incident Command System includes the combination of facilities, equipment, personnel, procedures, and communications, operating within a common organizational structure and designed to aid in the management of resources during incidents.

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### Organization

PPQ staff members responding to a plant health emergency are designated as Command Staff or General Staff. The organization of Command Staff and General Staff is illustrated in [Figure 4-1](#) on page 4-3.

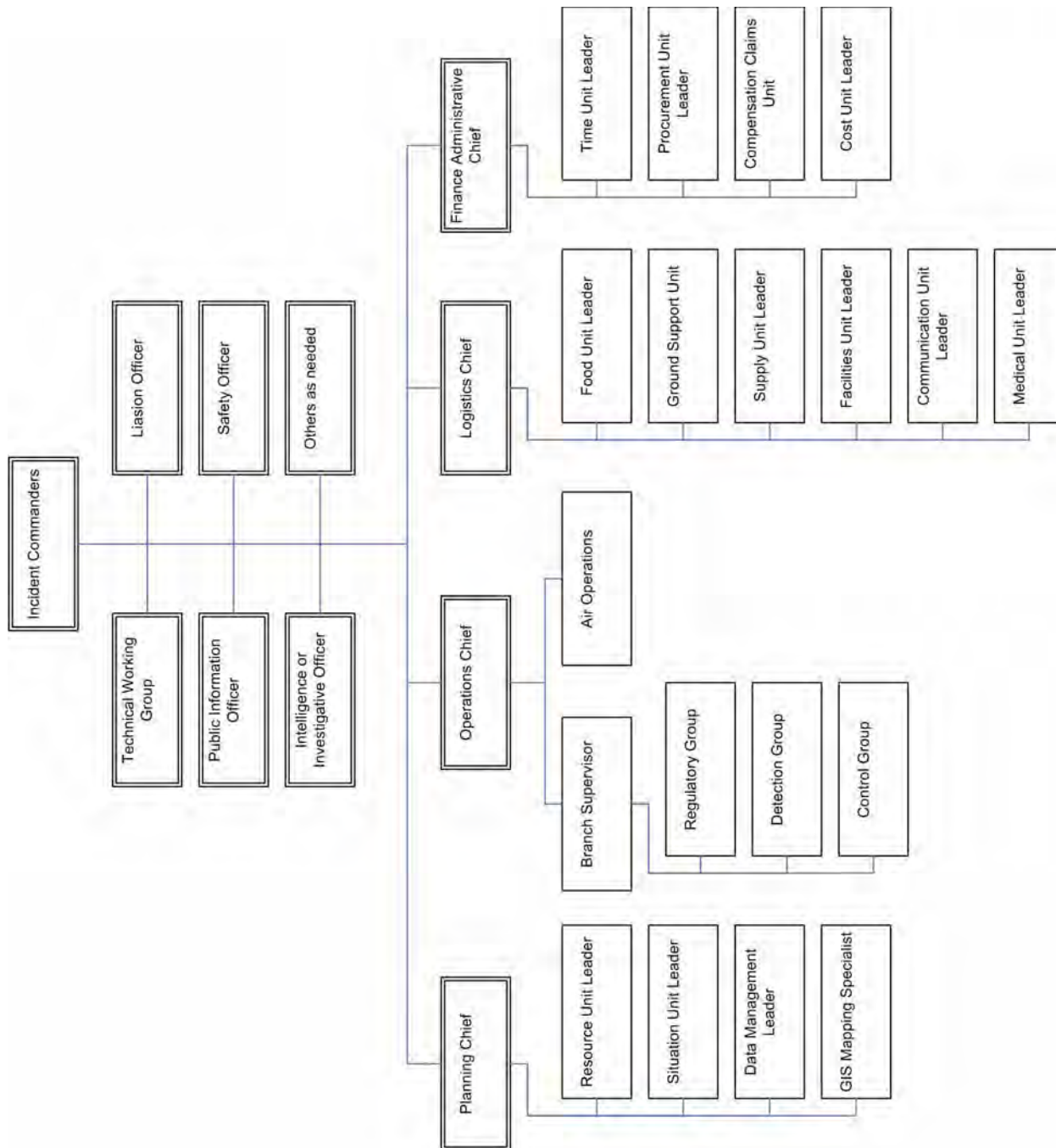


Figure 4-1 Organization of PPQ Command Staff and General Staff Responding to a Plant Health Emergency



## Command Structure

Command structures may be Single or Unified. Small incidents will be managed as a Single Command structure implemented by one Incident Commander.

For incidents that fall under the multiple jurisdictions of both Federal and State government, a Unified Command structure will most likely be implemented cooperatively by the State Plant Health Directors and State authorities. Under the Unified Command structure, agencies will work together through one or more Incident Commanders to establish a common set of objectives and priorities.

Together, the multiple Incident Commanders in a Unified Command structure have the same responsibilities as the single Incident Commander in a Single Command structure. However, the Incident Commanders in a Unified Command structure have additional responsibilities. See *Unified Command Structure* on page 5-4 for additional information concerning the responsibilities of Incident Commanders in a Unified Command structure.

Both Single and Unified Command structures are managed by emergency personnel using a collaborative approach with the following characteristics:

- ◆ Common organizational structure
- ◆ One command post
- ◆ Unified planning process
- ◆ Unified resource management
- ◆ One Incident Action Plan (IAP)

In a Unified Command structure, the Incident Commander position can be made up of more than one individual. All other positions within the Command Staff structure are filled by one individual. Larger incidents may require the use of deputies or assistants for some positions. Additionally, new sections may be created if necessary. For smaller incidents, one person may take on several positions. Very small incidents may require only one individual who would fill all of the roles.

The lead program unit will determine if more than one Incident Commander is needed to manage the incident. Once established, the Incident Commanders will be responsible for all aspects of the response, including developing

incident objectives and managing all incident operations. These responsibilities remain with the Incident Commanders until they are assigned to another individual.

<b>If the plant health emergency is at this level:</b>	<b>Then the lead program unit is:</b>	<b>And the Incident Commanders are selected by and accountable to:</b>
Federal	State Plant Health Director	State Plant Health Director
State	State Plant Regulatory Official	State Plant Regulatory Official
Combined Federal and State government	State Plant Health Director and State authorities	State Plant Health Director and State authorities

At the beginning of a larger visible incident, the qualified State Plant Health Director (SPHD) and State Plant Regulatory Official (SPRO) within the State may assume the roles of Incident Commanders in a Unified Command structure. They may delegate the functions by mutual agreement. For smaller incidents, any qualified regulatory official can assume the role of the Incident Commander.

In a Unified Command structure, the Federal-level Incident Commander will consult with the Director of PPQ–EDP–Emergency Management, SPHDs, and with Regional Directors (RDs). The State-level Incident Commander consults with their State management structure. Both Federal and State personnel are encouraged to maintain a flexible attitude when setting up a structure to best accomplish the goals that are stated in the Incident Action Plan.

<b>If an Incident Commander in a Unified Command structure is at this level:</b>	<b>Then they consult with:</b>
Federal	Director, PPQ–EDP–Emergency Management, State Plant Health Directors, and Regional Directors
State	Their State management

Under a Unified Command structure, the Incident Action Plan (IAP) is developed by the Planning Chief and is approved by the Incident Commanders. An Operations Chief will develop and direct the tactical implementation of the IAP. The Incident Commanders will designate the Operations Chief. *See Incident Action Plan* on **page 4-10** for more information.

If this Command structure:	Then:
Single	One individual can assume all roles
Unified	<ul style="list-style-type: none"> <li>◆ Incident Action Plan is developed by the Planning Chief and approved by the Incident Commanders</li> <li>◆ Operations Chief will develop and direct the tactical implementation of the Incident Action Plan</li> <li>◆ Incident Commanders will designate the Operations Chief</li> </ul>

## Command Staff

The organization of the Command Staff is illustrated in *Figure 4-2* on **page 4-8**. Command Staff positions are established to assign responsibility for key activities not specifically identified in the General Staff functional elements.

When the Secretary of Agriculture issues a Declaration or authorizes the funding needed for an emergency project, the PPQ Deputy Administrator will delegate authority to the Command Staff. This process was described in greater detail in *Responsibilities* on **page 3-4**.

Command Staff positions include the following:

- ◆ Incident Commanders
- ◆ Public Information Officer
- ◆ Liaison Officer
- ◆ Safety Officer
- ◆ Technical Working Group Liaison Officer
- ◆ Intelligence and Investigations Officer
- ◆ Information Technology Officer
- ◆ Others as needed

### **Incident Commanders**

The Incident Commanders manage the plant health emergency at the field location where support operations are occurring. See *Single Command Structure* on page 5-2 and *Unified Command Structure* on page 5-4 for a comprehensive description.

### **Public Information Officer**

The Public Information Officer is responsible for interfacing with the public, media, congress and other agencies and disseminating incident-related information. See *Public Information Officer* on page 6-1 for a comprehensive description.

### **Liaison Officer**

The Liaison Officer is the point of contact for representatives of all organizations responding to the incident. See *Liaison Officer* on page 7-1 for a comprehensive description.

### **Safety Officer**

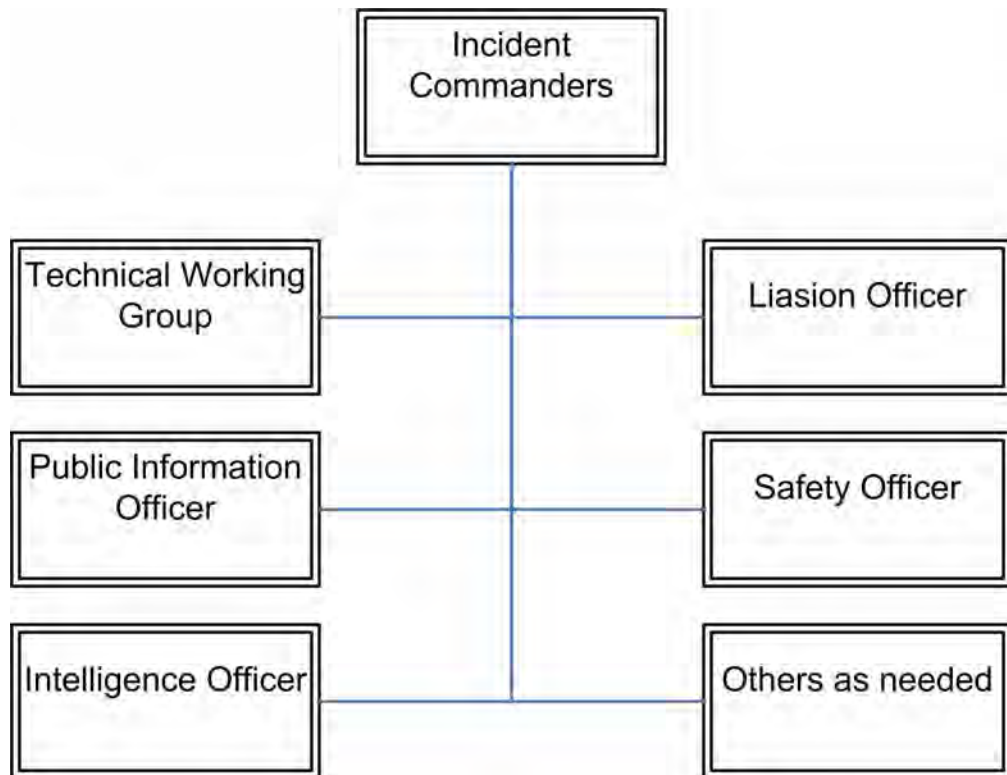
The Safety Officer is responsible for monitoring safety procedures. See *Safety Officer* on page 9-1 for a comprehensive description.

### **Technical Working Group**

The Technical Working Group Liaison identifies experts capable of addressing the objectives of the Incident Action Plan. See *Technical Working Group Liaison Officer* on page 8-1 for a comprehensive description.

### **Intelligence and Investigation Officer**

The Intelligence and Investigation Officer develops and coordinates activities related to traceback and trace forward information. See *Intelligence and Investigation Officer* on page 10-1 for a comprehensive description.



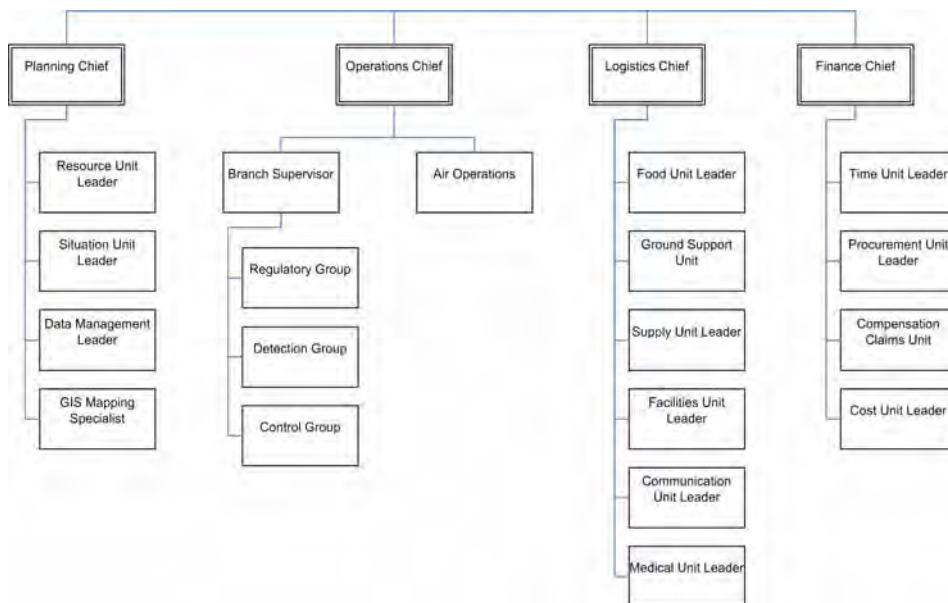
**Figure 4-2 Organization of PPQ Command Staff**

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## General Staff

The organization of the General Staff is illustrated in [Figure 4-3 on page 4-9](#). The General Staff includes emergency management personnel who represent the major functional elements of the Incident Command System, including planning, operations, logistics, and finance or administrative

responsibilities. When established as separate functions under the Incident Commanders, they are managed by a Section Chief and can be supported by other functional units.



**Figure 4-3 Organizational Structure of General Staff**

### Planning Chief

The role of PPQs Planning Chief is to ensure the incident response is run in a cohesive and proactive manner. See [Planning Chief](#) on **page 11-1** for a comprehensive description.

### Operations Chief

The Operations Chief implements the strategy and tactics and actively pursues the objectives laid out in the Incident Action Plan. See [Operations Chief](#) on **page 12-1** for a comprehensive description.

### Logistics Chief

The Logistics Chief is responsible for providing facilities, services, and material in support of the incident. See [Logistics Chief](#) on **page 13-1** for a comprehensive description.

### **Finance and Administration Chief**

The Finance and Administration Chief has the overall responsibility of coordinating the site finance and administrative operations for the incident response. See *Finance and Administration Chief* on **page 14-1** for a comprehensive description.

---

### **Incident Action Plan**

The Incident Action Plan (IAP) is a guide that responders should use to eradicate or contain a new or reintroduced plant pest or disease. Under the Unified Command structure, the IAP is developed by the Planning Chief and approved by the Incident Commanders. Under the Single Command structure, the Incident Commander is responsible for ensuring that the IAP is prepared, and for achieving its objectives.

The Operations Chief will develop and direct the tactical implementation of the IAP. Both Federal and State personnel are encouraged to maintain a flexible attitude when setting up a plan to best accomplish the goals that are stated in the IAP.

# 5

Emergency Response  
Manual

# Incident Commander

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---

## Introduction

This chapter describes the functions of Incident Commanders under both Single Command and Unified Command structures.

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## Organization

Incident Commanders are part of the Command Staff. See *Command Staff* on page 4-6 for a description of the Command Staff.

---

## Selection

Incident Commanders are selected by the State Plant Health Director, State Plant Regulatory Official, and/or State authorities.



## Roles

The Incident Commanders manage the plant health emergency at the field location where support operations are in progress.

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## Responsibilities

### Single Command Structure

Within the Single Command structure, one Incident Commander will be selected. The Incident Commander in a Single Command structure is solely responsible (within the confines of his or her authority) for establishing incident management objectives. This Commander is directly responsible for ensuring that all activities are directed toward accomplishment of the objectives.

The Incident Commander in a Single Command structure may have a deputy from the same agency, or from an assisting agency. Deputies may also be used at section and branch levels. Deputies must have the same qualifications as the person for whom they work because they must be ready to take over that position at any time. The extent of the incident, and the incident response, will determine if a Deputy Incident Commander is necessary.

The responsibilities of the Incident Commander in a Single Command structure are as follows:

- ◆ Receive, agree to, and implement direction in the Delegation of Authority from the appropriate upper level of management for the incident;
- ◆ Accomplish tasks for any position left unassigned;
- ◆ Report directly to the State Plant Health Director (SPHD) or State Plant Regulatory Officer (SPRO) or a higher authority;
- ◆ Establish an Incident Command Post with input from the SPHD and SPRO;
- ◆ Organize the managing structure of the incident response;
- ◆ Review all Environmental Assessments and Environmental Impact Statements, and ensure their provisions are followed;
- ◆ Analyze the scale of the incident and fill Command and General Staff positions as needed;

- ◆ Conduct periodic briefings and staff meetings with Command and General Staff<sup>1</sup>;
- ◆ Determine objectives for dealing with the incident;
- ◆ Authorize the implementation of the Incident Action Plan;
- ◆ Select Command Staff, Section Chiefs, and field personnel<sup>2</sup>;
- ◆ Supervise Section Chiefs and/or Officers dependent on span of control;
- ◆ Identify or delegate preliminary scientific, data and technical support needs and reporting structure;
- ◆ Ensure appropriate section heads provide plans, reports;
- ◆ Maintain or delegate a chronology of project events;
- ◆ Authorize release of information to the news media as per delegation of authority;
- ◆ Approve necessary purchases and requests exceeding an established amount;
- ◆ Approve release of incident resources;
- ◆ Arrange for notification of initiating a project to concerned individuals and agencies or groups including but not limited to
  - ❖ State departments of agriculture
  - ❖ Affected county and/or city governments
  - ❖ Tribal governments
  - ❖ Concerned agricultural industries
  - ❖ Federal and affected State environmental protection agencies
  - ❖ Federal/State extension and research agencies
  - ❖ Federal/State wildlife services for compliance with the Endangered Species Act
  - ❖ General public
  - ❖ Special interest groups;
- ◆ Establish performance measurements for all supervised personnel;
- ◆ Evaluate or delegate the evaluation of performance of APHIS employees; and
- ◆ Approve transfer of command and transition plan.

1 At the onset of the response, the frequency of staff meetings should be daily, or at least twice a week.

2 For larger incidents Section Chiefs manage Branches, Divisions and Groups that perform incident response activities. For smaller incidents, Section Chiefs may not be assigned, and individual officers within the sections report directly to the Incident Commander.

## Unified Command Structure

Within a Unified Command structure, more than one individual will be designated as Incident Commanders by their jurisdictional authorities (or by departments within a single jurisdiction). Incident Commanders within a Unified Command structure must jointly determine objectives and priorities and work together to execute integrated incident operations and maximize the use of assigned resources.

PPQ Incident Commanders working as part of a Unified Command structure are to complete the same tasks as described for the Incident Commander in a Single Command structure (see [Single Command Structure](#) on page 5-2). The following are additional responsibilities for Incident Commanders working in a Unified Command structure:

- ◆ Work cooperatively with other members of the Command Staff and General Staff, and other incident personnel;
- ◆ Establish consolidated incident objectives and priorities;
- ◆ Coordinate to establish a single system for ordering resources;
- ◆ Approve the Incident Action Plan for the next operational period;
- ◆ Establish procedures for joint decision-making and documentation; and
- ◆ Continue to follow the chain of command in reporting to the upper levels of their respective agencies or organizations.

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## Section Chiefs

For larger incidents, Section Chiefs will manage Branches, Divisions and Groups that perform incident response activities. For smaller incidents, Section Chiefs may not be assigned, and individual officers within the sections will report directly to the Incident Commanders.

---

## State Support

State relationships are an important element of the nature of a plant health organization. There is a critical need for teamwork between State regulatory agencies and PPQ during an emergency response because of an increasing interest and sophistication of State agencies, declining State and Federal budgets, increasing accessibility to critical expertise, and the reconciling of traditional agricultural and emerging environmental interests.

Refer to the National Plant Board Web site for a list of State and Territory Plant Regulatory Officials.

In order to clearly understand the shared responsibilities among cooperators and to adequately allocate funds and resources to a specific project, two kinds of cooperative documents are established:

- ◆ Cooperative Agreements, which identify financial issues; and
- ◆ Memorandums of Understanding, which identify roles of cooperators.

Address

National Plant Board

<https://www.nationalplantboard.org/>

# 6

Emergency Response  
Manual

# Public Information Officer

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## Introduction

This chapter describes the roles and responsibilities of the Public Information Officer.

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## Organization

The Public Information Officer (PIO) is part of the Command Staff. See *Responsibilities* on page 3-4 for a description of the Command Staff. The Incident Commanders will select the individual to fill the position of the PIO.

---

## Roles

The Public Information Officer (PIO) plays an important role in providing accurate information and projecting the image of the incident response before the media and public. Legislative and Public Affairs (LPA) staff may fill the

role of the PIO for some incidents. In all cases, the PIO must maintain communication with LPA staff who will provide advice and counsel on public information policy and procedures.

---

## Responsibilities

Beginning at an early stage of the emergency incident, the Public Information Officer (PIO) works directly with the Incident Commanders at the Incident Command Post. After the need for a PIO has passed, future support may be provided from another location.

The Public Information Officer has the following responsibilities:

- ◆ Report directly to the Incident Commanders;
- ◆ Plan, coordinate, and implement an effective public information program to support the objectives of the Incident Action Plan and APHIS program goals;
- ◆ Be aware of all changes in emergency project operations, policies, and plans in order to provide the most current and accurate information;
- ◆ Provide information to emergency project personnel, headquarters personnel, State information officers, industry representatives, the general public, media representatives, and others;
- ◆ Provide training, or guidance as needed, to project personnel on proper procedures for dealing with the media;
- ◆ Distribute slides, exhibits, brochures, and other visual materials for emergency project personnel;
- ◆ Act as primary contact for the emergency project to the mass media and the general public;
- ◆ Coordinate and assist emergency project personnel when it is necessary or desirable for them to be interviewed by the media;
- ◆ Maintain clearance procedures after consultation with and approval by the Incident Commanders;
- ◆ Coordinate tours and interviews for reporters, other Federal agency personnel, headquarters personnel, and, on occasion, for foreign visitors;
- ◆ Setup telephone hotline, if necessary;
- ◆ Supervise phone bank and other personnel;
- ◆ Put classified legal notices of Environmental Assessments in the local paper prior to treatment; and

- 
- ◆ Write press releases.
- 

## Media and Other Communication

APHIS–Legislative and Public Affairs (APHIS–LPA) has published fact sheets, press releases, and question and answer sheets for use during emergency programs. They coordinate meetings between the spokesperson for PPQ and the media. LPA also determines how to inform the public, what to inform the public of, and when to inform the public based on program activities.

APHIS–LPA is also open to direct contact by employees and the media when problems occur or the requested information is not known.

### Press Releases

The Public Information Officer (PIO) should write feature articles and fact sheets for print, radio and television. Obtain clearance from the Incident Commanders and Legislative and Public Affairs headquarters as necessary. The PIO provides advance notification to Public Affairs staff at APHIS Headquarters and the Director of PPQ–EDP–Emergency Management for all information releases. Press releases for dockets and declarations must be cleared by the Director of PPQ–EDP–Emergency Management. The Director is also responsible for immediately sending copies of cleared press releases to the Incident Commanders and PIO.

### Contact With Commanders

The Public Information Officer (PIO) advises the Incident Commanders on the release of information to the public. The PIO must ensure that APHIS–LPA is continuously informed of all incident response operations that have impact on public information activities. In turn, PPQ Headquarters will ensure that the Director of PPQ–EDP–Emergency Management is informed of developments that have impact on media coverage or public reaction.

### Clearance Procedures

APHIS–LPA is charged with ensuring that information provided to congressional representatives and reporters is up to date, accurate, and consistent with information being provided by officials at the Department level, including the Office of Communications, the Office of Congressional Relations, and the Office of Intergovernmental Affairs.

PPQ staff members must refer the following types of requests to APHIS–LPA:

- ◆ Congressional calls;
- ◆ Written inquiries from Congress, other agencies, countries, or industry;
- ◆ Requests to testify before or brief a State legislature;
- ◆ Requests for PPQ records; and
- ◆ National and local media calls from network news programs, television shows, radio networks, news wire services, and daily newspapers.

### Response to Media Requests

Follow the steps outlined below when a request is received from the media:

1. Ask for the name, affiliation, and phone number of the individual.
2. Determine the topic for the interview or visit.
3. Find out when the media representative needs the information.
4. Respond to the request according to the clearance guidelines outlined earlier.
5. Tell interviewers that someone will get back to them after the most appropriate and knowledgeable spokesperson for the Agency is identified.
6. Notify your supervisor and APHIS–LPA.

### Freedom of Information Act

Agency records that are not published, bound, or in brochure format for public dissemination, or that are not found on the USDA–APHIS Web site, are subject to review and analysis under the Freedom of Information Act (FOIA). If you receive a phone call or a written request for records or information that your office does not normally give out, then the requester needs to make a written FOIA request for the information.

### Media Referral Guide

If you receive this type of inquiry:	Then refer the call to:
Congressional calls	(202) 720-2511
Congressional letters	(301) 734-7776 and fax the letter to (301) 734-5387
Media inquiries	National [(202) 720-2511] or local LPA Office
Freedom of Information Act	Refer the call to (301) 734-8296

Address

APHIS–Legislative and Public Affairs  
<https://www.aphis.usda.gov/contact>



## **Tips for Positive Communication**

Listed below are tips on dealing with reporters, community leaders, or members of organizations so you can help them inform the public about APHIS activities and programs:

- ◆ Be courteous and polite
- ◆ Stay within your area of expertise
- ◆ Do not debate
- ◆ Do not speculate
- ◆ Do not offer opinions
- ◆ Do not justify Agency programs
- ◆ Offer information to clarify a story
- ◆ Avoid jargon and technical terms
- ◆ Be aware of deadlines
- ◆ Use pre-cleared information pieces
- ◆ Keep PPQ Headquarters informed



# Liaison Officer

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## Introduction

This chapter describes the roles and responsibilities of the Liaison Officer.

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## Organization

The Liaison Officer is part of the Command Staff. See *Responsibilities* on **page 3-4** for a description of the Command Staff. The Incident Commanders will select the individual to fill this position.

---

## Roles

The Liaison Officer is the point of contact for representatives of all organizations responding to the incident.

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## Responsibilities

The Liaison Officer has the following responsibilities:

- ◆ Report directly to the Incident Commanders;

- ◆ Act as a clearinghouse for information between PPQ Command Staff and other agencies;
- ◆ Act as the contact point for Federal, State, and local, government representatives, keeping supporting agencies aware of the incident status;
- ◆ Monitor incident operations to identify current or potential interorganizational problems;
- ◆ Participate in planning meetings, providing current resource status, including limitations and capability of assisting agency resources; and
- ◆ Develop a list of contacts and cooperators and act as a liaison with cooperators.

# 8

Emergency Response  
Manual

# Technical Working Group Liaison Officer

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## Introduction

This chapter describes the roles and responsibilities of the Technical Working Group Liaison Officer.

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## Organization

The Technical Working Group Liaison Officer is part of the Command Staff. See *Responsibilities* on page 3-4 for a description of the Command Staff. The Incident Commanders will select the individual to fill this position.

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## Roles

The Technical Working Group Liaison Officer provides technical support and contact with the Technical Working Group.

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## Responsibilities

The Technical Working Group (TWG) is an ad hoc group of subject matter experts that provide PPQ with timely technical information about the particular pest or disease for which the response is being mounted.

The TWG Liaison Officer has the following responsibilities:

- ◆ Report directly to the Incident Commanders;
- ◆ Identify experts capable of addressing the objectives of the Incident Action Plan;
- ◆ Provide and coordinate regular communication between the TWG and the Incident Commanders;
- ◆ Provide guidance and recommendations concerning the biology, epidemiology, survey protocols, dispersal, predictive modeling, identification, and treatment of the pest;
- ◆ Convene meetings and teleconferences as often as necessary to provide timely technical information in support of the emergency;
- ◆ Assist the Information Technology and Geographic Information Systems (GIS) specialist in the development of necessary infrastructure for data collection, including hand held devices, mapping, and communications;
- ◆ Incorporate improved identification procedures; and
- ◆ Coordinate, communicate, test, and assist in implementing new procedures recommended by the TWG.

# 9

Emergency Response  
Manual

# Safety Officer

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## Introduction

This chapter describes the roles and responsibilities of the Safety Officer.

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## Organization

The Safety Officer is part of the Command Staff. See *Responsibilities* on page 3-4 for a description of the Command Staff. The Incident Commanders will select the individual to fill this position.

## Roles

The role of the Safety Officer (SO) is to reduce the risks associated with the program. The SO as well as all supervisors are responsible for monitoring safety procedures. The SO should demonstrate a genuine concern for the well-being of every individual working toward making the objectives of the incident response a reality.

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## Responsibilities

The following are the responsibilities of the Safety Officer:

- ◆ Gather information and plan safety activities;
- ◆ Follow all regulations pertaining to safety;
- ◆ Prepare Safety Officer's kit;
- ◆ Identify hazards, prioritize risks, and mitigate as necessary;
- ◆ Manage staff to meet incident needs;
- ◆ Coordinate with Command Staff and General Staff to safely accomplish incident objectives;
- ◆ Ensure agency documentation and regulations are completed and filed with the administrator; and
- ◆ Write the Incident Safety Action Plan.

Each responsibility has been described in greater detail in the remaining sections of this chapter.

---

## Gathering Information

The Safety Officer is responsible for gathering information and planning safety activities. In that capacity, the Safety Officer will:

- A.** Report directly to the Incident Commanders.
- B.** Obtain incident briefing from direct supervisor, which may include the following:
  - i.** Current situation

- 
- ii. Current resource commitments
  - iii. Identified hazards or risks
  - iv. Reportable injuries or accidents that have occurred
  - v. Incident communications that are in place
  - vi. Incident policies and procedures
- C.** Review the following components of the Incident Action Plan (*Incident Action Plan* on page A-44) for the current operational period and determine support needs:
- i. Incident Objectives (*ICS 202* on page A-50)
  - ii. Organization Assignment List (*ICS 203* on page A-52)
    - Is span of control being met or exceeded?*
    - Is position contact information up to date?*
  - iii. Assignment List (*ICS 204* on page A-54)
    - What are the assigned resources?*
    - Are work assignments valid?*
    - Are there any special instructions of concern?*
  - iv. Incident Communication Plan (*ICS 205* on page A-56)
    - Is information accurate and updated?*
  - v. Medical Plan (*ICS 206* on page A-58)
    - Have medical facilities and their locations been identified?*
    - Are emergency procedures in place?*
    - Is contact information up to date?*
  - vi. Air Operations Summary (*ICS 220* on page A-72)
    - What are the aircraft types?*
    - Is contact information up to date?*
    - What is the schedule of operation for aircraft?*
  - vii. Safety Message
    - Are hazards and risks identified?*
    - Are there any special concerns?*

---

## Safety Regulations

The Safety Officer is responsible for following all regulations pertaining to safety.



Knowledge of Occupational Safety and Health Act (OSHA) regulations is key to a Safety Officer's success in creating that environment. Though the regulations may help guide the Safety Officer in some areas, the Safety Officer should consult qualified APHIS personnel for guidance on subjects specific to the agency. Additional regulations may apply. See [Authorities and Enabling Legislation](#) on **page 1-6** for information concerning OSHA and other Acts.

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## Safety Officer Kit

The Safety Officer is responsible for preparing the Safety Officers kit.

Information and materials specific to the Safety Officers' duties should be assembled and prepared in a Safety Officer kit. Suggested items include the following:

- ◆ *APHIS Safety and Health Manual*
- ◆ Measuring tape (100 feet)
- ◆ Flagging tape
- ◆ Clipboard
- ◆ Writing pad
- ◆ Flashlight and batteries
- ◆ Pencils, pens, and markers
- ◆ Pocket notebook
- ◆ Digital camera
- ◆ Safety checklists

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## Hazard Identification

The Safety Officer is responsible for identifying hazards, prioritizing risks, and mitigating as necessary.

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Hazard identification is the first step in creating a safe incident response. Classify hazards as subjective or objective.

Subjective hazards are created by incident personnel and can be controlled through attitudes and abilities. Examples include excessive speed in vehicle operation, handling pesticides without use of proper safety gear, and tangled layout of cords and wires.

Objective hazards are inherent to the incident itself which cannot be eliminated and must be dealt with. Examples include weather (rain, wind), geography (hills, rocky terrain, marshland), environmental conditions (dead tree with overhead snag), plants (irritant plants), and fauna (snakes, bees).

Use the following techniques to identify hazards:

- ◆ Personal observation or experience with a particular region or program
- ◆ Following a checklist to determine hazards present at a certain location
- ◆ Communicating with incident personnel that have been involved with the incident
- ◆ Determining trends in hazard exposure
- ◆ Contacting local groups or authorities that may have information crucial to project safety

Once the hazards are identified, a risk assessment is performed to prioritize hazard mitigation. A risk is the chance that humans take in relationship to the hazard. Safety risk management enables the supervisors at levels to manage risks. All projects and incidents have hazards connected with them. However, hazards are not equally severe, so it is up to Incident Commanders to balance the risks and benefits of an operation.

Prioritize risks by identifying which hazards to mitigate, based upon the following:

- ◆ Consequence if the accident occurs
- ◆ Likelihood of the hazard causing harm
- ◆ Actions taken to prevent the hazard from causing harm

Hazards are not equally severe. For example, overhead power lines may have the potential of causing harm, but the likelihood of operations being impacted by overhead power lines may be minimal. However, if a power line were to fall, the severity of the line is the same, but the probability of harm being caused increases dramatically.

Mitigation is the process of regulation and control for safe operations on the incident. When all of the hazards and risks have been identified and prioritized, the methods of corrective action need to be considered.

The Safety Officer should keep in mind that many hazards are easy to mitigate, and usually only require simple avoidance of the hazard itself or a reduction in exposure. However, due to limited resources, it is not possible to identify and control all of the hazards. In this case, priority should be that all serious hazards be addressed, eliminated, mitigated or controlled by management, as in [Table 9-1](#).

**Table 9-1 Examples of Actions Taken to Prevent a Hazard from Causing Harm**

Action Taken	Example
Design the hazard or risk out of the procedures of the incident response	Instruct personnel to limit driving on dirt and gravel roads and use paved roads as much as possible
Incorporate safety devices to limit or reduce exposure to a hazard or risk	Wear hats and sunscreen to reduce effects of sun exposure
Implement warning devices to alert personnel of hazards	Use orange cones or high visibility tape to identify areas of vegetation with poison oak
Develop special procedures of operation to limit hazard or risk exposure	Contact a grower or nursery owner before entering a field to ensure pesticide application reentry intervals have elapsed

Once the hazards of an incident have been identified, the risks of each hazard prioritized, and mitigation procedures developed, they will be incorporated into the Incident Safety Action Plan. See [Incident Safety Action Plan](#) on **page 9-9** for additional information.

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## Staff Management

The Safety Officer is responsible for managing staff to meet the needs of the incident. The scope of an incident may be too large or complex for a single officer to oversee. In such cases, the Safety Officer may request additional Assistant Safety Officers to oversee a divisional or functional component of the incident.

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## Incident Objectives

The Safety Officer is responsible for coordinating with the Command and General Staffs to safely accomplish the incident objectives.

Working on an incident requires working with a team. Learning to work effectively as a team takes time and experience, and how quickly a team can unify to work toward accomplishing incident objectives depends on how well the team can come together. The following responsibilities are standard on any incident response:

- ◆ Establish and maintain positive interpersonal and interagency working relationships
- ◆ Recognize functional capabilities of cooperating agencies and cooperators
- ◆ Interact and coordinate with all Command and General Staff through information exchange

Exercising authority to stop and prevent unsafe operational procedures is an important function of the Safety Officer. Along with the Incident Commanders, the Safety Officer may halt any operational procedure at any time, using direct intervention to correct any extremely dangerous act. Such actions should be discussed with the Incident Commanders and actions documented on the Unit Log (*ICS 214* on page A-64).

Training incident personnel in proper safety techniques goes a long way in reducing accidents. The Safety Officer should oversee all safety and health related training needed on the incident, based on the risk assessments completed. Certain APHIS trainings are mandated for employees involved in incidents, meeting the minimum legal requirements of OSHA. Refer to the *APHIS Safety and Health Manual* for more information. Training commonly provided during incidents may include the following topics:

- ◆ Hazardous communication
- ◆ Emergency Action Plans
- ◆ Fire prevention
- ◆ Pesticide application
- ◆ Defensive driving
- ◆ Protective equipment
- ◆ Operation of all terrain vehicles

## Agency Documentation

The Safety Officer is responsible for ensuring that agency documentation is completed and filed with the Incident Commanders.

The Safety Officer must use the following documents and policies during incidents. Many are mandated by USDA requirements.

## Facility Documentation

- ◆ APHIS Safety Inspection Checklist, Machine/Workshop (*APHIS 256-4* on page **A-13**)
- ◆ APHIS Safety Inspection Checklist, Laboratories (*APHIS 256-3* on page **A-7**)
- ◆ APHIS Facility Security Profile (*APHIS 271-R* on page **A-22**)

## Incident Command Documentation

- ◆ Incident Objectives (*ICS 202* on page **A-50**)
- ◆ Medical Plan (*ICS 206* on page **A-58**)
- ◆ Unit Log (*ICS 214* on page **A-64**)
- ◆ Incident Action Plan Safety Analysis (*ICS 215A* on page **A-66**)
- ◆ Incident Action Plan Health and Safety Message (*ICS 223* on page **A-75**)

## Incident Documentation

- ◆ Federal Employee's Notice of Traumatic Injury (*CA-1* on page **A-31**)
- ◆ Notice of Occupational Disease and Claim for Compensation (*CA-2* on page **A-37**)
- ◆ Authorization for Exam and/or Treatment (CA-16)
- ◆ Incident Report (APHIS 515)-Theft/property damage
- ◆ Workplace Incident Report (*APHIS 259-R* on page **A-19**)
- ◆ Motor Vehicle Accident Report (*SF 91* on page **A-96**)
- ◆ Defensive Driver Training Log (*MRP 125-R* on page **A-94**)
- ◆ Vehicle Inspection Checklist (*MRP 65* on page **A-92**)
- ◆ OSHA for USDA Employees (AD-1010), Standard Employer Rights
- ◆ Occupational Exposure (*APHIS 29* on page **A-3**)

- ◆ OSHA Forms for Recording Work-Related Injuries and Illnesses (OSHA 300)
  - ◆ Pesticide/Chemical Storage Questionnaire (APHIS 156R)
- 

## Incident Safety Action Plan

The Safety Officer is responsible for writing the Incident Safety Action Plan (ISAP). The Incident Safety Action Plan is a guide to enhance and establish a safe working environment for all incident personnel. Specific to each incident, the focus of the Incident Safety Action Plan is to convey the safety attitude that must be projected by the entire Incident Management Team. Components of the Plan include the following:

- ◆ Safety messages
- ◆ Incident Action Plan safety messages
- ◆ Safety briefings
- ◆ Incident bulletin boards with safety component
- ◆ News releases
- ◆ Field comments of safety concerns
- ◆ Incident Status Summary (*ICS 209* on **page A-60**)
- ◆ Communication plans
- ◆ Medical plans
- ◆ Operational briefings
- ◆ Timely correction of problems



# Intelligence and Investigation Officer

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## Introduction

This chapter describes the roles and responsibilities of the Intelligence and Investigation Officer.

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## Organization

The Intelligence and Investigation Officer is part of the Command Staff. See *National and Regional Staff* on **page 3-1** for a description of the Command Staff. Within 24 hours of arrival on the site, the Incident Commanders or Logistics Chief will contact the APHIS–Investigative and Enforcement Service (IES) regional office for the assignment of an Intelligence and Investigation Officer, if appropriate, for the incident.

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## Roles

The Intelligence and Investigation Officer will develop and coordinate activities related to traceback and trace forward information, in cooperation with the Smuggling Interdiction and Trade Compliance (SITC) Program when appropriate, and develop cases against violators if necessary.

## Responsibilities

The Intelligence and Investigation Officer has the following responsibilities:

- ◆ Report directly to the Incident Commanders (or Planning Chief or Operations Chief);
- ◆ Initiate and implement investigations on the origin, routing, and destination of infested or potentially infested articles, employing the PPQ–Smuggling Interdiction and Trade Compliance program when appropriate;
- ◆ Work with emergency incident personnel and PPQ–SITC to develop pest pathway analysis based on information gathered in investigations;
- ◆ Gather evidence on possible violations relating to pest introductions;
- ◆ Develop cases against alleged violators; and
- ◆ Keep Incident Commanders informed of investigation’s progress with regular reports.

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## Plant Protection and Quarantine

Incident response personnel will provide Investigative and Enforcement Services (IES) Investigators with specific information to assist them in establishing the extent and scope of the investigative services needed.

The Incident Commanders or the Logistics Chief will identify the availability of logistical support needed including facilities, office space, vehicles, travel, lodging, budget assistance, and funding under program accounts available for IES participation in emergency programs.

The Incident Commanders will work with IES Investigators to identify the level of coordination, assistance from SITC, and the delegation of authorities for investigative and enforcement responsibilities between IES and other Federal, State or local governmental cooperators.



## Investigative and Enforcement Services

During the initial stages of a new emergency program, it is important to identify the mode of introduction for the pest, the possible methods the pest was disseminated, and the potential pathways the pest may take for further dissemination. This traceback and trace forward information can be crucial to eventual containment or eradication in an emergency control program.

The gathering of traceback and trace forward information often requires the investigative expertise of APHIS–Investigative and Enforcement Services (IES). Investigators with IES have the tools to gather evidence and documentation that may be useful in reconstructing pest pathways. Additionally, violations that may have resulted in pest introduction and dissemination must be investigated in a way that builds a strong case for successful prosecution if necessary. IES Investigators, versed in the rules of evidence-gathering, regularly assemble such cases in their work.

In cases where pathways may involve smuggling or other illegal movements of regulated articles, traceback and trace forward investigations, and pathway analysis involving cargo or contraband, the IES investigator will solicit the assistance of PPQ–Smuggling Interdiction and Trade Compliance (SITC) teams to assist with warehouse and/or market inspections and other investigations into the movement of regulated articles.

When assistance is requested, APHIS–Investigative and Enforcement Services (IES) will strive to join the emergency program as soon as possible. IES will have the following responsibilities:

- ◆ Provide PPQ with an enforcement perspective and work with PPQ to determine which investigative components are needed;
- ◆ Work with emergency program personnel to investigate pest pathways of regulated articles (traceback and trace forward), using PPQ–Smuggling Interdiction and Trade Compliance personnel where appropriate;
- ◆ Identify investigators for rapid deployment for temporary duty and help identify short and long term staffing needs; and
- ◆ Keep Incident Commanders apprized of progress and results of the investigations.



# Planning Chief

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## Introduction

This chapter describes the roles and responsibilities of the Planning Chief.

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## Organization

The Planning Chief is part of the General Staff. See *National and Regional Staff* on page 3-1 for a description of the General Staff. The Incident Commanders will select the individual to fill this position.

## Roles

The role of PPQ's Planning Chief is to ensure the incident response is run in a cohesive and proactive manner.

---

## Responsibilities

The responsibilities of the Planning Chief are as follows:

- ◆ Report directly to the Incident Commanders;
- ◆ Oversee the resource, situation, documentation, demobilization, Geographic Information Systems and mapping, and training units as they are needed;
- ◆ Update response guidelines, or develop response guidelines if they have not yet been developed;
- ◆ Oversee official documentation for the incident;
- ◆ Conduct meetings;
- ◆ Prepare the Incident Action Plan;
- ◆ Collect, evaluate, process, and disseminate incident information;
- ◆ Identify need for specialized resources;
- ◆ Assemble information, and propose alternative strategies, when appropriate;
- ◆ Provide revisions of objectives and strategies;
- ◆ Compile and report incident status information, and report significant changes in incident status;
- ◆ Reassign out-of-service personnel already on the site to ICS organizational positions as appropriate;
- ◆ Oversee preparation of incident demobilization plan; and
- ◆ As needed, oversees the resource unit, situation unit, documentation unit, demobilization unit, training unit, data management leader, and any technical specialists.

## Unit Leaders

### Resources Unit Leader

The responsibilities of the Resources Unit Leader are as follows:

- ◆ Maintain check-in, current status and location of all personnel and tactical resources at an incident;
- ◆ Collect all parts of the Incident Action Plan and deliver the plan to the Documentation Unit Leader; and
- ◆ Participate in Tactics and Planning Meeting.

### Situation Unit Leader

The responsibilities of the Situation Unit Leader are as follows:

- ◆ Ensure that incident information is shared throughout the entire organization;
- ◆ Assign and manage staff of Display Processors, Field Observers and Technical Specialists; and
- ◆ Develop situation reports.

### GIS and Mapping Specialist

The responsibilities of the Geographic Information Systems (GIS) and Mapping Specialist are as follows:

- ◆ Develop and maintain incident related databases
- ◆ Use databases for both reports and GIS products analyzing all pertinent program related data

The GIS products and database reports will assist the program manager in making appropriate decisions on the following:

- ◆ Current distribution and intensity of the pest;
- ◆ Future effectiveness;
- ◆ Monitoring effectiveness and efficiency of survey protocol;
- ◆ Risk analysis and assessments for the establishment of quarantine and treatment boundaries, utilizing environmental and endangered species data;
- ◆ Identification of possible host introduction sites, sites of vulnerability, and short- and long-term objectives and procedures; and

- ◆ Facilities.
- 

## Data Management

The responsibilities of the Data Management Leader are as follows:

- ◆ Report to the Planning Chief, and cooperate with the Mapping, Detection, Control, and Regulatory Groups to field worksheets and or implement electronic data collection devices suitable for project data collection;
- ◆ Upload data from data collection devices, or coordinate the entry of worksheet data into the database;
- ◆ Ensure the accuracy of data collection methods;
- ◆ Prepare reports and maps, as needed;
- ◆ Develop life cycle information from the life stage and temperature data;
- ◆ Establish needs and request personnel to maintain data management activities; and
- ◆ Provide Cooperative Agricultural Pest Survey (CAPS) positive and negative survey data and ensure data is entered into the National Agricultural Pest Information System (NAPIS).

The use of Geographic Information Systems (GIS) methods in an emergency situation greatly facilitates the gathering of local information for analysis of products to determine pest distribution. An emergency-based GIS is used to predict geographic areas where program intervention will be necessary to prevent further spread of the pest. Also, control strategies can be efficiently planned with a GIS and then the results can be monitored, documented, and evaluated.

The responsibilities of other Data Management personnel are listed below.

## Computer Technical Specialist

The responsibilities of the Computer Technical Specialist are as follows:

- ◆ Setup computers and Local Area Network
- ◆ Maintain and support computer operations
- ◆ Assist users as necessary
- ◆ Report to Planning Chief

---

## Identification Diagnostic Specialist

The responsibilities of the Identification Diagnostic Specialist are as follows:

- ◆ Identify all specimens promptly and accurately;
- ◆ Be present at the beginning, during, and end of the emergency incident;
- ◆ Maintain records of all identifications;
- ◆ Incorporate improved identification procedures;
- ◆ Train personnel and issue identification authority if appropriate;
- ◆ Coordinate procedures with science panel;
- ◆ Establish needs and request personnel to provide continuous identification support such as establishing laboratories, and negotiating resources with National Identification Services, Agricultural Research Service, Biological Control Institute, and others;
- ◆ Maintain written laboratory protocols; and
- ◆ Supervise personnel.

To be most effective, the USDA–APHIS must have the resources to recognize and identify new or reintroduced plant pests, and then to delimit their population. Discovery or reports of new or reintroduced plant pests can come from various sources. Survey results, monitoring activities, literature reports, research, or interceptions are all possible sources. Plant pests may also be brought to USDA attention by other government agencies, or the public.

The following all have a role in the identification and tracking of new pests:

- ◆ Federal and State cooperators;
- ◆ University scientists;
- ◆ PPQ identifiers and managers;
- ◆ PPQ–Emergency and Domestic Programs–National Agricultural Pest Information System (NAPIS) (Database identifies new plant pests found in the United States and alerts the National Survey Coordinator, a position within PPQ–EDP);
- ◆ PPQ–Regulations, Permits, and Manuals–Manuals Unit, and PPQ–National Identification Services (NIS) (Technical personnel research literature and identify plant pests); and
- ◆ Systematic Entomology Laboratory (SEL), Agricultural Research Service (ARS) (Taxonomist confirms suspect insect plant pest from surveys).

Suspect plant pests are submitted to a Regional Survey Identifier or an Area Identifier. When a suspect plant pest is positively identified, the confirmation is communicated to the Regional Office. Cooperatively, PPQ–National Identification Service (NIS), and the Region determine the identification support that will be needed in the field for the emergency situation. Nationally-known experts for particular taxa must confirm pest identifications before emergency actions are declared. PPQ–EDP has the responsibility to contact PPQ–Regulations, Permits, and Manuals, and PPQ–NIS for emergency guidelines established for pest and host identification.

Once a new or reintroduced plant pest is confirmed, a delimiting survey or screening of target hosts will begin in the field or at the work site. PPQ–Emergency and Domestic Programs, and the Incident Commanders will consult with PPQ–NIS to clarify or develop identification protocols for an Emergency Program once it begins.

### Documentation Unit Leader

The responsibilities of the Documentation Unit Leader are as follows:

- ◆ Manage all incident related information
- ◆ Prepare copies of the Incident Action Plan
- ◆ Assemble the final incident package

The following are examples of documentation related to the incident:

- ◆ Incident Management Documentation from other ICS functions
- ◆ Data generated during the incident
- ◆ New Pest Response Guidelines
- ◆ Operational Plan
- ◆ Quarantine regulations
- ◆ Cooperative Agreements
- ◆ Memorandums of Understanding
- ◆ Briefing papers
- ◆ State Plant Regulatory Official (SPRO) letters
- ◆ Environmental documents
- ◆ Orientation package

*See Orientation Package* on **page H-1** for related information.

### Demobilization Unit Leader

The responsibilities of the Demobilization Unit Leader are as follows:

- ◆ Coordinate with Command and General Staff for release of personnel
- ◆ Coordinate with Dispatch for release of personnel
- ◆ Complete Demobilization Plan
- ◆ Ensure checkout form is completed

### Termination

An emergency incident response, project, or program can be terminated under any of the following conditions:

- ◆ Successful eradication of the target pest;
- ◆ Target pest becomes established and available resources are insufficient for eradication;
- ◆ Target pest becomes established and a domestic quarantine is established;
- ◆ Control measures (i.e., pest management, biological control) are found and an emergency project or program is no longer necessary;
- ◆ Sociopolitical opposition prevents emergency action; and
- ◆ Pest is reclassified, so that it is no longer actionable.

### Training Specialist

The responsibilities of the Training Specialist are as follows:

- ◆ Work with trainee and mentor
- ◆ Maintain training records and send copies to trainees home unit
- ◆ Advise Planning Chief if trainee/trainer ration needs adjusting





# Operations Chief

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## Introduction

This chapter describes the roles and responsibilities of the Operations Chief.

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## Organization

The Operations Chief is part of the General Staff. See *Responsibilities* on **page 3-4** for a description of the General Staff. The Incident Commanders will select the individual to fill this position.

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## Roles

The Operations Chief implements the Incident Action Plan and actively pursues the project objectives.

## Responsibilities

Early in an incident, the Operations Chief will take on all the responsibilities described in this chapter. As the project expands over the coming weeks or months, the Operations Chief may assign qualified individuals to fill the following positions, as well as additional people to work within the groups. If the project continues to expand, branches may be established. Each branch would likely contain each one of the four groups described here.

Branches may be used to serve several purposes, and may be functional or geographical in nature. In general, branches are established when the number of divisions or groups exceeds the recommended span of control of one supervisor to three to seven subordinates for the Operations Chief. A ratio of 1 to 5 is normally recommended.

## Operations Chief

The following are responsibilities of the Operations Chief:

- ◆ Report directly to the Incident Commanders;
- ◆ Oversee the Survey, Control, and Regulatory groups;
- ◆ Interact with Branch Director and Division or Group Supervisor(s) to develop and implement the operations portion of the Incident Action Plan;
- ◆ Make or approve expedient changes to the Incident Action Plan during the operational period as necessary.
- ◆ Provide overall supervision, direction, and coordination for the operations section throughout the process of Incident Action Plan implementation and follow through;
- ◆ Request resources needed to implement the Operations portion of the Incident Action Plan. Request any exemptions necessary for pesticides, and implement environmental monitoring when necessary;
- ◆ Approve release of resources from assigned status; and
- ◆ Work with the Safety Officer to ensure safe tactical operations.

## Survey Group Supervisor

The following are responsibilities of the Survey Group Supervisor:

- ◆ Report to Operations Chief
- ◆ Provide orientation for survey procedures
- ◆ Implement delimiting survey plan

- ◆ Resolve logistics problems
- ◆ Conduct or lead other surveys as required
- ◆ Carry out Quality Assurance protocols for all surveys

### Control Group Supervisor

Within 24 hours of arrival, the Incident Commanders will select a qualified employee as the Control Group Supervisor. For introduced plant pests, the Control Group Supervisor will immediately establish a treatment program to either eradicate the introduced pest or to reduce the initial population.

Any modification of the treatment program must be coordinated through the Incident Commanders and the Operations Chief.

The responsibilities of the Control Group Supervisor are as follows:

- ◆ Report to Operations Chief;
- ◆ Establish the needs and request personnel, equipment, and material to maintain a continuous treatment program;
- ◆ Provide orientation for control procedures. Ensure that all pesticide safety and other safety issues are addressed; and
- ◆ Implement and oversee treatment plans, and ensure that logistical support relating to control is provided. Inform PIO via the Operations Chief, treatment activities for dissemination of information to stakeholders.

### Regulatory Group Supervisor

The following are responsibilities of the Regulatory Group Supervisor:

- ◆ Report to Operations Chief;
- ◆ Provide orientation and overall direction for the enforcement of regulations. Monitor quarantines and regulated movements for compliance;
- ◆ Actively seek compliance with regulations, gather evidence, and prepare all necessary documents to assist in the prosecution of violators; and
- ◆ Work through the Liaison Officer and Incident Commanders to make contact and maintain working relationships with local police, sheriffs, and other law enforcement agents to gain assistance and advice when needed.

### Air Operations Branch Director

The role of the Air Operations Branch Director is to ensure that Aircraft and Equipment Operations provides oversight for aerial application equipment.

The following are responsibilities of the Air Operations Branch Director:

- ◆ Report to the Operations Chief
- ◆ Responsible for all phases of aviation operations for the incident
- ◆ Coordinate with the Contracting Officer Representative for treatment contracts oversight



# Logistics Chief

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## Introduction

This chapter describes the roles and responsibilities of the Logistics Chief.

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## Organization

The Logistics Section is part of the General Staff. See *Responsibilities* on **page 3-4** for a description of the General Staff. The Incident Commanders will select the individual to fill this position.

## Roles

PPQ's Logistics Chief is responsible for providing facilities, services, and material in support of the incident.

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## Responsibilities

The following are responsibilities of the Logistics Chief:

- ◆ Report directly to the Incident Commanders;
- ◆ Oversee the Supply, Facilities, Ground Support, Communications, Food, and Medical units as they are needed;
- ◆ Establish and maintain an inventory control system for property and supplies;
- ◆ Arrange for office, parking, storage space, and associated utilities;
- ◆ Arrange for computers and communication equipment;
- ◆ At demobilization of an incident, make the proper distribution of the records and correspondence;
- ◆ Arrange for incident security if necessary, to include all phases of security (i.e., facilities, personnel, property, bid-containment, and information); and
- ◆ Request and mobilize emergency equipment and supplies.

## Space and Utilities

The Logistics Chief arranges for office, parking, storage space, and associated utilities such as electric, water, sewage, and telephone lines for communications and to support computer equipment. Initially, temporary space is obtained where project members can assess the scope, impact, and extended nature of the emergency situation and determine long-term space needs for the duration of the emergency project.

## Services, Supplies, Equipment

The Logistics Chief arranges for the purchase or lease the necessary services, supplies and equipment to setup and support project operations. Local blanket purchase arrangements/orders will be established to meet these needs, where appropriate, to support ongoing operational needs. Regional and national

emergency caches are used to satisfy immediate needs to the extent available; then standard supply sources can be used. Provide assistance in developing contract specifications when necessary.

### **Communication**

The Logistics Chief arranges for computers and communication equipment, e.g., computer hardware and software for word processing, financial systems, electronic mail and Internet; telephone; facsimile machines; and modems.

### **Vehicles**

The Logistics Chief acquires and maintains vehicles and related equipment, and prepares and submits associated reports.

---

## **Logistics Units**

The following are responsibilities of the Unit Leaders.

### **Supply Unit Leader**

- ◆ Places all orders for overhead and equipment
- ◆ Manages and accounts for supplies
- ◆ Setup of resource cache as needed
- ◆ Reports to Logistics Chief

### **Facilities Unit Leader**

- ◆ Sets up and manages work areas
- ◆ Sets up and manages sleep areas
- ◆ Supervises incident security needs
- ◆ Reports to Logistics Chief

### **Ground Support Unit Leader**

- ◆ Acquires needed vehicles
- ◆ Manages and maintains vehicles
- ◆ Corrects deficiencies in vehicles
- ◆ Reports to Logistics Chief

### **Communications Unit Leader**

- ◆ Requests, manages and maintains communication equipment
- ◆ Reports to Logistics Chief
- ◆ Prepares and maintains Communications Plan

### **Food Unit Leader**

- ◆ Supervises contracts for food providers
- ◆ Takes action in case of food illness
- ◆ Reports to Logistics Chief

### **Medical Unit Leader**

- ◆ Reports to Logistics Chief
- ◆ Provides medical assistance to incident personnel
- ◆ Supervises medical staff
- ◆ Prepares and maintains the Medical Plan in the Incident Action Plan



# 14

Emergency Response  
Manual

# Finance and Administration Chief

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## Introduction

Use *Chapter 14 Finance and Administration* to learn more about the costs and paperwork that are associated with responding to a plant health emergency.

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## Organization

The Finance and Administration Chief is part of the General Staff. See *Responsibilities* on **page 3-4** for a description of the General Staff. The Incident Commanders will select the individual to fill this position.

## Roles

In large, complex scenarios involving significant funding originating from multiple sources, the Finance and Administration section is vital to maintaining a clear understanding of incident finances. The Finance and Administration Chief has the overall responsibility of coordinating the site finance and administrative operations for the incident response.

---

## Responsibilities

This section describes the responsibilities of the Finance and Administration staff.

### Finance and Administration Chief

The following are responsibilities of the Finance and Administration Chief:

- ◆ Report directly to the Incident Commanders;
- ◆ Oversee the following units as they are needed:
  - ❖ Time
  - ❖ Procurement
  - ❖ Compensation and Claims, and
  - ❖ Cost
- ◆ Acquire permanent employees and hire temporary employees for both administrative and field positions;
- ◆ Maintain accurate personnel records on all employees;
- ◆ As necessary, prepare and provide administrative orientation packages and training to employees as they arrive on site;
- ◆ Work with the Safety Officer to review and process accident reports;
- ◆ Monitor the use of resources, and modify budget estimates in response to changing conditions;

- ◆ Arrange for prompt and accurate payment of salaries, incident expenses, and authorized compensation to individuals or organizations for economic losses incurred;
- ◆ Setup Cooperative Agreements; and
- ◆ Maintain accurate budget and fiscal records.

### **Time Unit Leader**

The following are responsibilities of the Time Unit Leader:

- ◆ Report to the Finance and Administration Chief on time and attendance
- ◆ Ensure that all personnel are aware of time and attendance procedures
- ◆ Maintain accurate overtime reporting

### **Procurement Unit Leader**

The following are responsibilities of the Procurement Unit Leader:

- ◆ Report to the Finance and Administration Chief on all procurement related activities
- ◆ Responsible for procurement and coordination with MRPBS

### **Compensation and Claims Unit Leader**

The following are responsibilities of the Compensation and Claims Unit Leader:

- ◆ Report to the Finance and Administration Chief
- ◆ Investigate all claims involving property associate with or involving the incident
- ◆ Investigate all incident accidents
- ◆ Develop incident claims
- ◆ Maintain all files on injuries and illnesses associated with the incident

### **Cost Unit Leader**

The following are responsibilities of the Cost Unit Leader:

- ◆ Report to the Finance and Administration Chief
- ◆ Prepare incident cost summaries
- ◆ Prepare budgets for the incident

### Incident Commanders

The Incident Commanders may also have financial or administrative responsibilities. In emergency programs for which compensation is a part, the Incident Commanders may be responsible for developing procedures, in consultation with the PPQ–EDP staff, for various aspects ensuring the proper awarding of funds is implemented. Some of these responsibilities include the following:

- ◆ Provide to SEPPC staff information necessary to formulate a compensation rule and economic analysis, including acres and crops affected, market value of crop, estimating costs to growers of regulatory or control measures, or future lost incomes cost estimates;
- ◆ In cooperation with the Financial Management Analysis staff, development of a payment method to ensure proper accounting and documentation, in cooperation with the USDA Farm Service Agency if agreements can be developed;
- ◆ Distributing information to affected parties on instructions for applying for compensation;
- ◆ Verification of claims made by those seeking compensation once a program is established; and
- ◆ Maintaining detailed records (phone logs, complaint letters, audits, requests of information) in case there are future disputes, audits, or threats of litigation.

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### Emergency Eradication

If the pest situation escalates to an economic one that impacts trade and results in the implementation of an emergency eradication program by PPQ, then PPQ–EDP works with the Deputy Administrator and the Financial Management Analysis Staff (FMAS) to secure funding for emergency eradication programs. FMAS keeps the Budget and Accounting Service Enhancement Staff (BASE) updated on the emergency and the funding needed.

If the emergency eradication is projected to cost less than \$50,000 and action can be taken quickly, then most likely regional allocations are used. FMAS would work with the regional office to implement and maintain support.

If the emergency eradication is projected to cost over \$50,000, then a preliminary cost estimate is prepared and submitted to FMAS. BASE is informed that PPQ will be submitting a formal request and provided an estimate. The cost estimate is based on what needs to be done to eradicate the

plant pests. The program headquarters, regional office, SEPPC, and FMAS work together through the process of allocating and distributing funds for emergency projects. FMAS, along with the headquarters program staff, maintain constant dialog to keep BASE updated. BASE immediately is involved in the process. They will begin to work on the required decision memorandums, etc.

There are different ways funds can be allocated for emergency eradications and most likely there will be a combination of ways used. One way is reprogramming funds and combining funds, and another is APHIS contingency funds. The program units work with BASE to evaluate and weigh the political significance when affecting critical programs.

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## Unforeseen and Unpredictable Programs

APHIS contingency funds take care of unforeseen, unpredictable programs. According to APHIS Directive 2210.1, the following four conditions must exist to qualify for the release of Agency contingency funds:

- ◆ Outbreak must pose an economic threat
- ◆ Eradication technology must be feasible and cost effective
- ◆ Program or effective program are currently absent
- ◆ Proposed program must have industry support

When regional allocations, contingency funds, reprogramming or combining funds have been considered or used, then a declaration of emergency would be prepared for approval by the Office of Management and Budget (OMB) for access of emergency funds. The program units work with BASE to prepare the background information. BASE prepares the paperwork and negotiation with OMB; however, the document is forwarded to the Office of Budget and Program Analysis who in turn forwards to OMB.

## Program Costs

Accessing emergency funds is difficult—the process is inflexible and there are few resources readily available. Therefore, the Agency’s practice is to share program costs. The following are cost measures that project directors and other personnel can use as a guide.

### Controlling Costs

Use the right number of people and use local people first. As much as possible, share human resources among Federal and State agencies, local Tribes, and military services.

Evaluate travel. In conjunction with the Supply Unit Leader, research different ways to acquire supplies, equipment, and services. Local Federal or State agencies may have inventory, or may be able to purchase cheaper.

Maintain the flow of information. Make sure the appropriate unit is notified early in the process about needs. For example, when requiring supplies or requiring special equipment and aircraft, notify Aircraft and Equipment Operations (AEO). If AEO does not have supplies on hand or cannot meet equipment needs, contact the Regional Office or the appropriate Field Servicing Office (FSO) team.

### Compensation and Claims Unit Leader

The Plant Protection Act (Section 415, e) states:

The Secretary may pay compensation to any person for economic losses incurred by the person as a result of action taken by the Secretary under this section. The determination by the Secretary of amount of any compensation to be paid under this subsection shall be final and shall not be subject to judicial review.

In some emergency programs, growers are compensated for losses incurred from control or regulatory measures carried out to eradicate a pest. Compensation is not guaranteed or appropriate for all emergency programs, but is usually included in order to better gain the cooperation of those directly affected by regulatory actions taken to control a pest. Individuals suffering financial loss can be eligible for compensation only if certain conditions are met and a regulatory mechanism is in place.

If compensation is deemed necessary by USDA–APHIS, then the staff within PPQ–Emergency and Domestic Programs will develop a decision memo for the Secretary of Agriculture including the estimated cost for his consideration. After the Secretary’s approval, in order for emergency funds to be used for compensation, they must be first authorized through a Declaration of Extraordinary Emergency. The steps necessary for a Declaration of Extraordinary Emergency include a regulatory workplan prepared by the SEPPC Staff, docket for publication in the *Federal Register* prepared by the Regulatory Analysis and Development (RAD) Staff, and an economic analysis conducted by the Policy Analysis and Development (PAD) Staff.

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## Declaration of Extraordinary Emergency

When PPQ detects a plant pest or disease which poses a serious economic threat to American plant resources, PPQ is required to estimate the level of program, budgetary, and personnel resources that will be required to combat the infestation. If the estimated resources cannot be met within the existing PPQ appropriation, reprogramming from other line items or accessing the contingency fund, PPQ must pursue having the Secretary declare an emergency and request a transfer of funds from other appropriations available to the Department, usually the Commodity Credit Corporation (CCC).

A Declaration of Extraordinary Emergency is issued by the Secretary to request a transfer of CCC or other USDA funds to the Animal and Plant Health Inspection Service (APHIS) for a specific PPQ program activity. The Declaration may be issued in conjunction with regulations (for example, an interim or proposed rule to contain a plant pest or disease). A Declaration of Emergency is sometimes used in conjunction with a Declaration of Extraordinary Emergency. A Declaration of Extraordinary Emergency provides PPQ with the following authority:

- ◆ Conduct surveys and implement eradication measures
- ◆ Control movement of regulated articles within a State
- ◆ Pay compensation

A Declaration of Extraordinary Emergency is almost always accompanied by either an interim or proposed rule for a specific pest. However, Declarations of Emergency and Declarations of Extraordinary Emergency, in and of themselves, require only a notice in the *Federal Register*. The transfer of CCC or other USDA funds (Declaration of Emergency) and Declaration of Extraordinary Emergency are usually announced in separate *Federal Register* notices. If necessary, subsequent *Federal Register* notices are used to publish interim, proposed, and/or final rule.

## Alternative Funding of Compensation Programs

In the cases where a special appropriation is made by Congress for compensation, the Declaration of Extraordinary Emergency is not necessary. However, other requirements such as *Federal Register* publication and economic analysis must still take place. States may also share in funding compensation by their own appropriations. These funds may be included in the package of information developed by APHIS for review and approval by the Secretary and the Office of Management and Budget (OMB).

### **Duties of Project Directors**

In emergency programs for which compensation is a part, Project Directors may be responsible for developing procedures, in consultation with the PPQ-EDP staff, for various aspects ensuring the proper awarding of funds is implemented. Some of these responsibilities include:

- ◆ Provide to SEPPC Staff information necessary to formulate compensation rule and economic analysis, including acres and crops affected, market value of crop, estimating costs to growers of regulatory or control measures, future lost incomes cost estimates, etc.;
- ◆ In cooperation with the Financial Management Analysis Staff, development of a payment method to ensure proper accounting and documentation, including cooperation with the USDA Farm Service Agency if agreements can be developed;
- ◆ Distributing information to affected parties on instructions for applying for compensation;
- ◆ Verification of claims made by those seeking compensation once a program is established; and
- ◆ Maintaining detailed records (phone logs, complaint letters, audits, requests of information) in case there are future disputes, audits, or threats of litigation.





# Operational Planning for Incident Commanders

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## Introduction

This chapter describes the planning process that Incident Commanders should follow in order to manage employees and resources most effectively when responding to a plant health emergency.

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## Delegation of Authority

Authority is a right or obligation to act on behalf of a department, agency, or jurisdiction. The process of granting authority to carry out specific functions is called the Delegation of Authority.

Key components of a Delegation of Authority include the following:

- ◆ Granting authority to carry out specific functions of the response;
- ◆ Issuing by the chief elected official, chief executive officer, or agency administrator;
- ◆ Allowing the Incident Commanders to assume command of the response; and
- ◆ Maintaining ultimate responsibility of incident to granting authority.

A Delegation of Authority is a letter issued by an agency's Administrator to delegate authority and responsibilities to the Incident Commanders and the incident management team assigned to the response, included in the original

Administrator briefing. Only when a signed Delegation of Authority letter is completed will the incident management team assume the authority to manage the incident.

The Delegation of Authority should encompass the following critical aspects of a program:

- ◆ Legal aspects or restrictions of the response
- ◆ Financial aspects or restrictions
- ◆ Reporting requirements and timeliness
- ◆ Demographic issues
- ◆ Political ramifications of the response
- ◆ Agency or jurisdictional priorities
- ◆ Public information plans
- ◆ Communication process
- ◆ Plan for ongoing incident evaluation

In most cases, the Delegation of Authority will be distributed from the Agency Administrator to the State Plant Health Director overseeing the response, who may in turn distribute another Delegation of Authority to the Incident Commanders.

When a response occurs, a Delegation of Authority should be issued when:

- ◆ Response activities are considered outside of the Incident Commander's jurisdiction
- ◆ Scope of the incident is complex or goes beyond existing authorities
- ◆ Required by the agency or law

On any response, the Incident Commanders must have the authority to establish objectives for the incident, determine strategies, and acquire necessary resources. The Incident Commanders must also have the delegated authority to develop an organizational structure in order to provide for public and project safety, to protect environmental infrastructure, and to reach objectives.

The development of a Delegation of Authority is the beginning of the process of assigning program management to the Incident Commanders. From there, the Commander will implement a plan using the ICS Planning Process.

## Operational Period

Responders follow the Incident Action Plan in order to accomplish certain operational tasks within a specified time period, termed an operational period. An operational period can vary between a few hours to over 24 hours or even several days. The Incident Commanders will determine the length of an operational period, which is the primary step before the Incident Command System planning process begins. See *Incident Action Plan* on page 4-10 for more information concerning the Incident Action Plan.

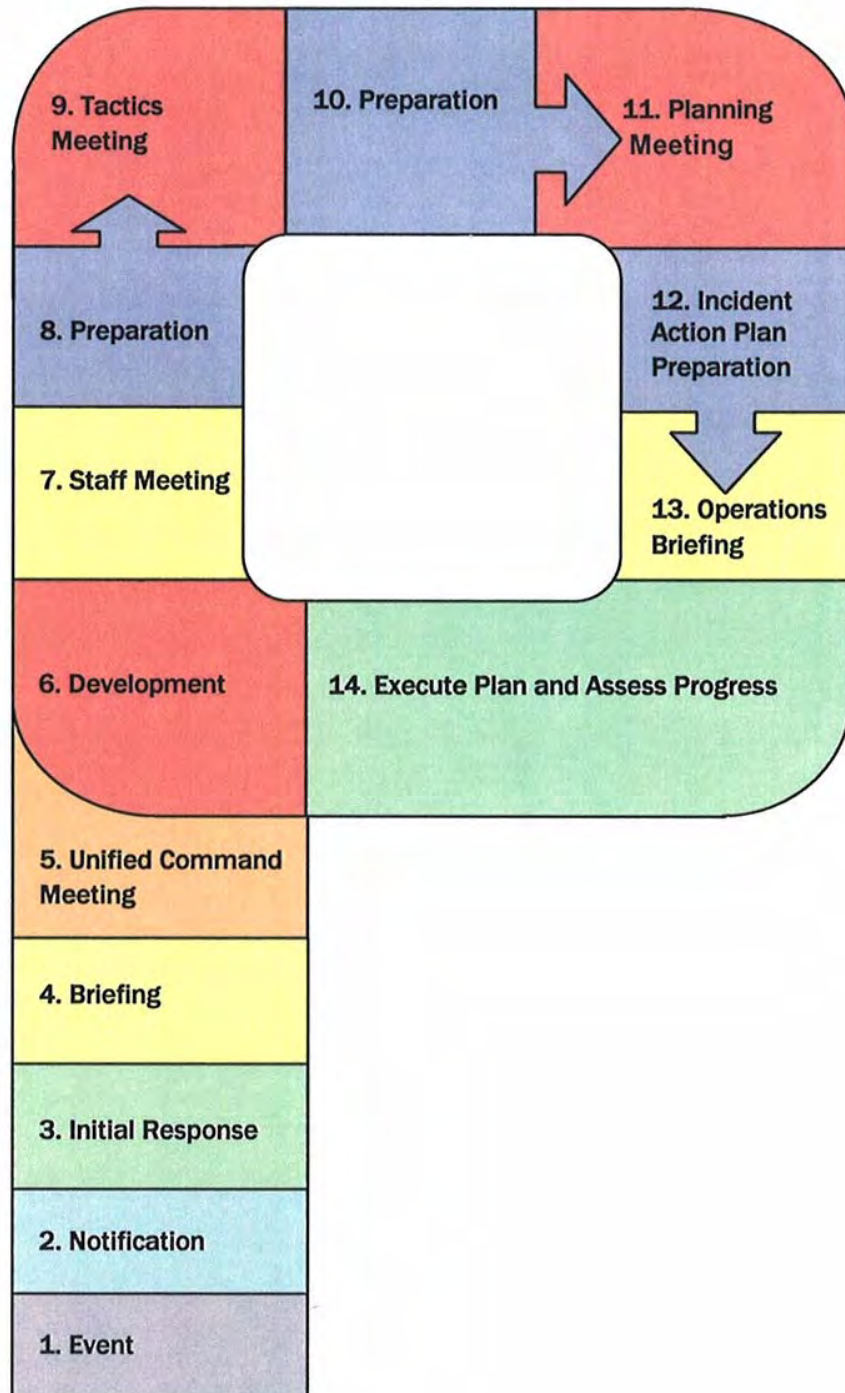
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## Incident Command System Operational Planning Process

During a plant health emergency, it is up to the Incident Commanders to assign employees and other resources to various tasks. Regardless of the size of the emergency, the planning process described in this section helps to determine which resources are available and where they should be assigned.

The steps in the ICS operational planning process are illustrated in the Operational Planning P (*Figure 15-1* on page 15-4). Incident Commanders should use the ICS Operational Planning P as a job aide to manage an emergency response at the site of operations. The Operational Planning P encompasses all of the steps necessary to effectively respond to a plant health emergency. Becoming familiar with the Operational Planning P will help a response team to move through the steps and activities necessary to develop an Incident Action Plan.

The ICS Operational Planning P consists of two parts, the initial response followed by the planning response.



**Figure 15-1 Graphic Illustration of ICS Operational Planning P (Adapted from U.S. Coast Guard, U.S. Department of Homeland Security)**

## Initial Response

The objective of the initial response period is to determine the length of an operational period. The first five steps of the ICS Operational Planning P are the initial response activities of an incident. The five steps happen only once at the beginning of each emergency. The activities are operationally driven and have few or no planning considerations and instead rely on initial resources and personnel. Plant health emergencies can use just a few of the steps or all of the steps based on need. Step numbers one through five are described in this section.

### Step 1 First Event

During a plant health emergency, the incident officially begins when PPQ–National Identification Services staff members confirm the identity of the new pest in a geographic area.

### Step 2 Notification

Notification occurs when leaders in PPQ–EDP–Pest Detection declare that an emergency situation exists. Pest Detection personnel will notify other PPQ staff members.

### Step 3 Initial Response and Assessment

Initial response and assessment activities are usually dictated by agency protocols and standard operating procedures. The Incident Commanders will perform most of the Command Staff and General Staff functions at this time, until the functions are delegated to another individual. Initial response and assessment activities include the following:

- ◆ Ensure that an appropriate initial response is deployed
- ◆ Provide direction as needed
- ◆ Monitor initial response operations
- ◆ Complete the Incident Action Plan (*ICS 201* on page A-45)

### Step 4 Briefing with Incident Action Plan

The Incident Commanders will use the completed ICS Form 201 as the Incident Action Plan to provide a briefing to incoming response personnel. Responsibilities of the Incident Commanders during the briefing include the following:

- ◆ Determine Incident Action Plan briefing time frame and receive briefing
- ◆ Initiate change of command
- ◆ Brief Command Staff on initial response activities

- ◆ Clarify issues and concerns
- ◆ Discuss planned operations and direction
- ◆ Determine incident complexity
- ◆ Brief superiors

### Step 5 Initial Meeting of Unified Command Staff

Incident Commanders will meet with personnel from all of the agencies participating in the incident. The meeting participants will define the objectives and priorities of the incident. The Incident Commanders will define the operational period. This meeting between agencies will set the stage for an effective response. The participants also share the following responsibilities:

- ◆ Identify Unified Command representatives
- ◆ Agree on the organization structure
- ◆ Identify the command post and support facilities
- ◆ Clarify the roles and responsibilities of the Unified Command Staff
- ◆ Select Operations Section Chief
- ◆ Order appropriate staffing
- ◆ Make key decisions

### Planning Response

The remaining steps in the Operational Planning P (numbers 6 through 14) are grouped together as a circle that can be repeated as the response to an incident proceeds. Each new cycle begins with a meeting to update the objectives, and ends when the plan is executed and then assessed. After the last step, the planning response can begin again, incorporating changes that occur as the incident evolves. Step numbers 6 through 14 are described below.

### Step 6 Development

In this step, personnel will develop the objectives for the next operational period. Because the incident situation may change, the objectives can change between operational periods. During most plant health emergencies, the objectives will remain the same. Staff members will complete the following tasks:

- ◆ Establish priorities
- ◆ Identify constraints and limitations
- ◆ Develop response objectives
- ◆ Identify necessary standard operating procedures for the Incident Management Team

- ◆ Identify response emphasis
- ◆ Agree on operating policy procedures and guidelines
- ◆ Identify staff assignments
- ◆ Determine the division of the workload of the Unified Command

### **Step 7 Command Staff and General Staff Meeting**

The Incident Commanders will meet with Section Chiefs from both the Command and General Staffs, as well as State-level personnel. Together, they will

- ◆ Discuss relevant issues and clarify information, objectives, and priorities
- ◆ Assign work tasks
- ◆ Resolve problems
- ◆ Clarify the roles and responsibilities of staff

### **Step 8 Preparation for Tactics Meeting**

Incident Commanders will take the following actions in order to prepare for the tactics meeting:

- ◆ Meet one-on-one with Command Staff and General Staff members for follow-up on assignments
- ◆ Prepare further guidance and clarification as needed
- ◆ Receive operations briefing

### **Step 9 Tactics Meeting**

In the tactics meeting, staff members will discuss how tactical operations will be conducted during the next operational period. The strategies developed will be presented to the Resources Unit Leader, Logistics Chief, Situation Unit Leader, and Safety Officer, to ensure the strategies can be properly supported.

### **Step 10 Preparation for Planning Meeting**

This step ensures that all of the information to be presented at the upcoming Planning Meeting is as accurate and up-to-date as possible and that resource availability is confirmed. The Incident Commanders have the following responsibilities:

- ◆ Select an individual to present the Unified Command's response emphasis and motivation remarks
- ◆ Review task assignments, objectives, decisions, and directions
- ◆ Receive operations briefing

### **Step 11 Planning Meeting**

The Planning Meeting is the step in the planning process where members of the Command Staff and General Staff agree on the Incident Action Plan for the next operational period. The responsibilities of the Incident Commanders are as follows:

- ◆ Provide opening remarks
- ◆ Review response plan as presented to ensure that the Command Staff's directions and objectives have been properly addressed
- ◆ Provide further guidance and resolve issues
- ◆ Give tacit approval of the proposed plan
- ◆ Agree when written plan will be ready for review and approval

### **Step 12 Incident Action Plan Preparation and Approval**

The Planning Section develops and assembles the components of the Incident Action Plan, and forwards it to the Incident Commanders where it receives final approval. The responsibilities of the Incident Commanders are as follows:

- ◆ Review the Incident Action Plan for completion and make changes as needed
- ◆ Approve the Plan

### **Step 13 Operations Briefing**

The Operations Briefing ensures the Operations Chief briefs the organization and clarifies any questions on the tactical assignments for the operational period. It is attended by the Incident Commanders, most of the Command Staff and General Staff, and Operations Section Directors and Leaders. The Incident Commander has the following responsibilities:

- ◆ Provide overall guidance and clarification
- ◆ Provide leadership presence and motivational remarks
- ◆ Emphasize response philosophy

### **Step 14 Execute Plan & Assess Progress**

This step in the planning process ensures the developed plan is meeting the operational situation and that decisions and direction support the objectives of the Incident Commanders. The Incident Commanders have the following responsibilities:

- ◆ Monitor ongoing operations
- ◆ Review progress of assigned tasks



- ◆ Receive periodic situation briefings
  - ◆ Review work progress
  - ◆ Identify changes that need to be made during current and future operations
  - ◆ Prepare for the Unified Command's Update Objectives Meeting
- 

### **Resource Ordering and Status System**

Use the Resource Ordering and Status System (ROSS) as a tool to quickly dispatch qualified personnel and resources to an incident. Dispatchers utilize ROSS for current information on availability and location of personnel, equipment, supplies and services. Resources can be tracked to and from an incident, mobilized, and requested utilizing ROSS. The system allows managers to identify and mobilize resources at the national level within a short time period. It is also used at an incident to track costs and resources as well as enhance planning efforts.

# Glossary

Use this glossary to find the meaning of specialized words, abbreviations, acronyms, and terms used by USDA–APHIS–PPQ–EDP. To locate where in the manual a given definition, term, or abbreviation is mentioned, refer to the Index.

## Definitions, Terms, and Abbreviations

If:	Then:	At this Web site:
You need to define a term or acronym in this manual	Look for the term or acronym and its corresponding definition in this glossary	
You need more information about the acronyms or special terms that are related to Federal emergency management	Consult the glossary of Federal emergency management terms at the Web site of the USDHS–FEMA–NIMS–Resource Center	<a href="http://www.fema.gov/emergency/nims/Glossary.shtm">http://www.fema.gov/emergency/nims/Glossary.shtm</a>
You need to define a PPQ acronym that is <b>not</b> included in this manual	Consult the Acronym Dictionary in <i>Internal Communication Guidelines for PPQ</i>	
	Consult the acronym dictionary in <i>U.S. Government Printing Office Style Manual</i> .	<a href="https://www.govinfo.gov/content/pkg/GPO-STYLEMANUAL-2016/pdf/GPO-STYLEMANUAL-2016.pdf">https://www.govinfo.gov/content/pkg/GPO-STYLEMANUAL-2016/pdf/GPO-STYLEMANUAL-2016.pdf</a>

**AAR.** After Action Review

**AC.** Area Command

**All Hazards Emergency.**

**APHIS.** USDA–Animal and Plant Health Inspection Service

**AQAS.** Agricultural Quarantine Activity System, a Web database

**AQIPT.** USDA–CPHST–Agricultural Quarantine Inspection and Port Technology

**AQI.** Agricultural Quarantine and Inspection

**ARS.** USDA–Agricultural Research Service

**authorities.** Accepted source of expert information or advice; reference book often cited as an authority; one that is invested with this power, especially a

government or body of government officials  
**BASE.** Budget and Accounting Service Enhancement  
**bioterrorism.** Intentional introductions of plant pests and disease  
**CAPS.** Cooperative Agricultural Pest Survey Program, a partnership between all 50 States and USDA to detect and monitor exotic pests of economic impact  
**CCC.** Commodity Credit Corporation, a Federally owned and operated corporation within the USDA  
**COOP.** Continuity of Operations Plan  
**COP.** Continuation of pay  
**CPHST.** USDA–Center for Plant Health Science and Technology  
**CSREES.** USDA–Cooperative State Research, Education, and Extension Service  
**DHS.** U. S. Department of Homeland Security  
**DEE.** Declaration of Extraordinary Emergency  
**EC.** EDP–Environmental Compliance  
**EDP.** PPQ–Emergency and Domestic Programs  
**EM.** PPQ–Emergency Management  
**EP.** EDP–Emergency Planning  
**EPC.** Emergency Program Coordinator  
**ERC.** Emergency Response Coordinator  
**ES.** EDP–Environmental Services  
**ESF.** Emergency Support Function  
**FOI.** Freedom of Information  
**GIS.** Geographic Information System  
**HQ.** PPQ Headquarters  
**HSPD.** Homeland Security Presidential Directive  
**hot zone.** Also known as a targeted area. Area in which to concentrate surveys based on known pathway information  
**ICP.** Incident Command Post  
**ICS.** Incident Command System  
**IMT.** Incident Management Team  
**ISIS.** Integrated Survey Information System  
**JFO.** Joint Field Office.  
**MDB.** Molecular Diagnostics and Biology  
**MRPBS.** APHIS–Marketing and Regulatory Programs Business Services  
**NIMS.** National Incident Management System  
**NIS.** PPQ–National Identification Service  
**NITC.** National Information Technology Center  
**NPAG.** New Pest Advisory Group  
**NPDRS.** National Plant Disease Recovery System  
**NRCC.** National Response Coordination Center  
**NPRG.** New Pest Response Guidelines  
**OBPA.** USDA–Office of Budget and Program Analysis  
**OGC.** USDA–Office of General Counsel  
**OMB.** U.S. Office of Management and Budget

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**OPIS.** Offshore Pest Information System  
**OSHA.** Occupational Safety and Health Administration  
**OWCP.** Office of Worker's Compensation Program  
**PARC.** PPQ–Planning, Analysis, and Regulatory Coordination  
**PERAL.** Plant Epidemiology and Risk Analysis Laboratory  
**pest.** insects, weeds, plant disease agents, microorganisms  
**PestID.** Pest Identification System, a database containing all the information recorded from the PPQ Form 309 Pest Interception Record  
**PHIS.** Plant Health Information System  
**PHP.** PPQ–Plant Health Programs  
**PPA.** Plant Protection Act of 2000  
**PPD.** APHIS–Policy Program and Development  
**PPQ.** APHIS–Plant Protection and Quarantine  
**PRA.** PPQ–Regulations, Permits, and Manuals  
**QPAS.** Quarantine Policy Analysis and Support  
**REM.** Regional Emergency Management  
**REPC.** Regional Emergency Program Coordinator  
**ROSS.** Resource Ordering and Status System  
**RPM.** PPQ–Regional Program Managers; also PPQ–PHP–Regulations, Permits, and Manuals  
**RRCC.** Regional Response Coordination Center  
**select agents.** Pathogens that have been deemed a severe threat to the public, animal or plant health, or animal or plant products  
**SEL.** Systematic Entomology Laboratory  
**SEPPC.** Surveillance and Emergency Program, Planning and Coordination  
**SITC.** PPQ–Smuggling Interdiction and Trade Compliance  
**SPHD.** State Plant Health Director  
**SPRO.** State Plant Regulatory Official  
**SDI.** Survey Detection and Identification  
**TED.** APHIS–Marketing and Regulatory Programs Business Services–Human Resources Division–Training and Employee Development  
**TWG.** Technical Working Group  
**UC.** Unified Commander  
**Unified Command Structure.** Application of ICS when there is more than one agency with incident jurisdiction, or when incidents cross political jurisdictions  
**UCG.** Unified Coordination Group  
**USDA.** United States Department of Agriculture



# Appendix A

## *Forms*

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## Introduction

*Appendix A* contains images of forms that PPQ staff will use when responding to a plant health emergency. Some of the forms are also available as electronic documents online.

For electronic versions of:

ICS forms, refer to <https://training.fema.gov/icsresource/icsforms.aspx>

APHIS, MRPBS, or PPQ forms, refer to <https://www.aphis.usda.gov/organization/business-services/forms>

OSHA forms, refer to <https://www.osha.gov/recordkeeping/forms>

## APHIS 29

UNITED STATES DEPARTMENT OF AGRICULTURE  
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

**OCCUPATIONAL MEDICAL MONITORING PROGRAM  
OCCUPATIONAL EXPOSURES**  
*(Please print all information)*

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**Section A (To be completed by employee)**

Name (Last, First, Middle Initial)		Social Security Number	Work Address (Include Laboratory, Building and Room)	
Date of Birth	Title, Series, Grade			
Sex <input type="checkbox"/> Female <input type="checkbox"/> Male	Telephone Number			

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**Section B (To be completed by employee)**

Are you a respirator user? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, what type? (Check all that apply) <input type="checkbox"/> Negative Pressure <input type="checkbox"/> PAPR <input type="checkbox"/> SCBA			Pesticide Applicator <input type="checkbox"/> Yes <input type="checkbox"/> No						
Name of Occupational Exposure (List all actual/potential occupational exposures with which you work. Use continuation sheet, if necessary)	CAS or EPA Number	Work Use (Note 1)	Route of Entry S, I, R (Note 2)	Check box(es) Frequency (Note 3)				Check box(es) Duration (Note 4)		
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**Appendix A**  
Forms

CONTINUATION SHEET

Name (Last, First, Middle Initial)	Social Security Number	Telephone Number	Date							
Name of Occupational Exposure (List all actual/potential occupational exposures with which you work)	CAS or EPA Number	Work Use (Note 1)	Route of Entry S, I, R (Note 2)	Check box(es) Frequency (Note 3)				Check box(es) Duration (Note 4)		
				1F	2F	3F	4F	1D	2D	3D
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### **Purpose**

APHIS Form 29, Occupational Medical Monitoring Program, Occupational Exposures is designed to protect Agency employees from actual or potential occupational exposures in their environment and to reduce these actual/potential exposures. The medical information collected is necessary in making accurate medical determinations and conclusions about the impact on employees of actual or potential exposure to possible biological, chemical, or other physical threats. Medical records maintained will document health status, changes in physical conditions through the years, and provide an account of any care rendered, advice given, and consultations recommended. The physical examination and laboratory tests provided by this program are not intended to substitute for the care provided by a personal physician.

### **Instructions**

Print or type all information requested. If you have more than 19 items to list in section B, use the Continuation Sheet, as needed. On the Continuation Sheet, fill in your name, telephone number, and the date. Omit your Social Security number. Additional instructions are provided in [Table A-1](#) on [page A-6](#).

### **Distribution**

The Safety Officer is responsible for ensuring that agency documentation is completed and filed with the Incident Commander.

**Table A-1 Instructions for Completing APHIS Form 29**

Section	Description	Instructions
A	Site Data	ENTER your name, date of birth, title, series, grade, work address, and telephone number in the appropriate sections; mark an X in the appropriate box to indicate your sex
B	Respirator Use	MARK an X in the appropriate boxes
	Pesticide Applicator	MARK an X in the appropriate box
	Occupational Exposure <sup>1</sup>	LIST all actual or potential occupational exposures with which you work; be specific; use continuation sheet, if necessary
	CAS or EPA Number <sup>2</sup>	ENTER the CAS or EPA number
	Work Use	ENTER one or more of the following to describe how you use the exposure listed in the first column: FH–Fume Hood, BT–Bench Top, BS–Back Sprayer, T–Tractor, BSC–Biological Safety Cabinet, O–Outdoors, AP–Aircraft, E–Explosives, or SH–Shooting
	Route of Entry	ENTER one or more of the following to describe the route of entry of the exposure listed in the first column: S–Skin Exposure, I–Ingestion Exposure, or R–Respiratory Exposure
	Frequency	MARK an X in the appropriate box to indicate the frequency of use of the exposure listed in the first column: F1–Daily, F2–Weekly, F3–Monthly, or F4–Seasonal
	Duration	MARK an X in the appropriate box to indicate the possible exposure time per day for each exposure listed in the first column: 1D–Less than 1 hour, 2D–Less than 8 hours, 3D–Greater than 8 hours. Do <b>not</b> use < or > signs
C	Employee Certification	Review the information provided and certify that it is accurate to the best of your knowledge; SIGN, complete address, telephone number, and date in area provided in this section <sup>3</sup>
D	Employee's Supervisor Certification	Review the information provided on this form with your employee; make corrections as necessary; have employee INITIAL any changes; determine if recommended participation is appropriate; SIGN, complete address, telephone number, and date in area provided in this section <sup>3, 4</sup>

- 1 For potential or actual exposures due to spills, equipment failures, etc., attach any available documentation showing the date and the amount of spill or accidental exposure.
- 2 CAS Number = Chemical Abstract Serial Number  
EPA Number = Environmental Protection Agency Number
- 3 If you have questions, contact the APHIS Safety Office at 301-734-6116.
- 4 Some employees may be initially required to take a physical examination due to their work environment as covered by Occupational Safety and Health Administration (OSHA) or other regulatory standards.

## APHIS 256-3

USDA-APHIS		INSTRUCTIONS: Questions regarding specific standards may be directed to the Collateral Duty Safety and Health Officer, or to SHES, MSD, Unit 115, 4700 River Road, Riverdale, MD 20737-1228. Refer to the APHIS Safety and Health Manual, Chapter 2 and 10 for additional information.		
<b>APHIS SAFETY INSPECTION CHECKLIST (Laboratories)</b>				
NAME OF INSPECTOR		LOCATION OF FACILITY INSPECTED		DATE OF INSPECTION
Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."		Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."		
<b>A. Refrigerator &amp; Environmental Chambers:</b> 1. Are the proper types of refrigerators being used, where necessary? 2. Are refrigerators properly labeled? 3. Is food prohibited in the laboratory refrigerators? 4. Can walk-in refrigerators be opened from inside, even when locked? 5. Are fire alarms or warning devices installed inside walk-in environmental chambers and refrigerators? <b>B. Autoclaves and Sterilizers:</b> 6. Are all safety valves and safety interlocks checked regularly? 7. Is the floor gasket in good condition and sealing properly? 8. Are temperature and pressure gauges legible and in good condition? 9. Are drains clean and free flowing? 10. Are protective gloves available for handling hot items? 11. Are procedures for autoclaving liquids clearly posted? 12. Are only authorized personnel allowed to use autoclaves and sterilizers? <b>C. Compressed Gases:</b> 13. Are cylinders fastened securely? 14. Are cylinders stored upright? 15. Are cylinders capped except when in use? 16. Are flammables stored away from ignition sources? 17. Are cylinders legibly marked? 18. Are empty cylinders marked? 19. Are gauges for oxygen regulators marked "use no oil?" 20. Have compressed gas cylinders received a pressure test in the past 5 years?	YES	NO	N/A	<b>D. Emergency Showers and Eye Wash Stations:</b> 21. Are emergency showers and eye wash stations within 10 seconds or 100 feet of hazards? 22. Are they within 10 feet of corrosives? 23. Is the shower water flow rate 30 gpm? 24. Is the eye wash flow rate 0.4 gpm? 25. Are they tested quarterly? <b>E. Laboratory Hoods:</b> 26. Are containers and equipment at least 6 inches back from the face of the hood? 27. Is the airflow not obstructed by the arrangement of equipment? 28. Is the storage of chemicals or non-essential apparatus in the hood prohibited? 29. Is the hood performance checked annually and anytime a malfunction is suspected? 30. Is the hood smoke tested semi-annually? 31. If the hood sash is required to be partially closed for proper operation, is the hood labeled and the appropriate sash closure point clearly indicated? 32. Are hood performance records maintained and accessible to employees? <b>F. Hazardous Chemical Storage:</b> 33. Are flammable chemicals stored in specialized storage rooms or cabinets? 34. Is chemical compatibility considered? 35. Is spark-proof electrical equipment provided in flammable storage rooms? 36. Are chemical storage rooms ventilated? 37. Are provisions made to prevent excessive heat or freezing of stored chemicals? 38. Does an inventory system exist for receiving chemicals? 39. Are records kept on the shelf life of chemicals? 40. Are chemical containers labeled properly and clearly?
	YES	NO	N/A	

APHIS FORM 256-3 (APR 95) Previous edition is obsolete

**Figure A-3 Example of APHIS Form 256-3, Safety Inspection Checklist (Laboratories), page 1**

**Appendix A**  
**Forms**

Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."				Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."			
<b>F. Hazardous Chemical Storage: (continued)</b>				<b>I. Biological Safety Program:</b>			
41. Do emergency cleanup procedures and equipment exist for chemicals?	YES	NO	N/A	62. Brucella, Chlamydia, Leptospira Laboratories, Biosafety Level 2	YES	NO	N/A
42. Are adequate adsorptive materials and neutralizing agents available?				a. Is access limited or restricted?			
43. Has the fire department been notified of any hazardous chemicals or pesticides stored at the location, if necessary?				b. Are work surfaces decontaminated daily?			
44. Are aisles and emergency exit routes clear?				c. Are work surfaces decontaminated after any spill of viable material?			
<b>G. Hazardous Waste:</b>				d. Are bench tops impervious to water?			
45. Are hazardous waste containers in good condition and free from leaks, spills, or damage?				e. Are all areas readily accessible for cleaning?			
46. Are the containers properly closed?				f. Is a sink available for hand washing?			
47. Are hazardous wastes compatible with containers being used for storage?				g. Is an autoclave available?			
48. Are incompatible hazardous wastes separated?				h. Are infectious wastes decontaminated?			
49. Are spill containment supplies available?				i. Is eating, drinking, and applying cosmetics prohibited in the work area?			
50. Are employees trained in spill cleanup procedures?				j. Are wastes stored in leak proof durable containers?			
51. Are "Hazardous Waste Storage" signs posted ("Flammable, No Smoking," etc., if necessary)?				k. Are warning signs posted?			
52. Are containers properly labeled?				l. Is there an insect and rodent control program?			
53. Are procedures written for disposal of waste materials, including hazardous chemicals, biological waste, and radioactive waste?				m. Are laboratory coats, gowns, smocks, uniforms, or safety glasses worn in the laboratory?			
54. Are monthly records maintained of hazardous waste generation?				n. Are only needle-locking syringes or disposable syringes used?			
55. Is the waste collected, stored and disposed of in accordance with applicable regulations (e.g., 40 CFR, Parts 261, 262, etc.)?				o. Are waste syringes and other sharps properly disposed of in puncture-resistant, leak-proof containers?			
56. Are programs in place to minimize waste, when possible?				p. Is a safety manual available?			
<b>H. Personal Protective Equipment:</b>				q. Are biological safety cabinets or other physical containment devices used for procedures with a potential for creating infectious aerodols?			
57. Is the appropriate personal protective equipment available?				63. Is Biosafety Level 3 containment equipment available, where necessary?			
58. Are employees trained in the handling, use, and care of the equipment?				<b>J. Infectious Waste:</b>			
59. Are respirators stored in a convenient and sanitary location?				64. Is infectious waste contained and stored in a manner which affords protection from animals, weather, and does not provide a breeding place or food source for insects and rodents?			
60. Are respirators inspected routinely?				65. Is infectious waste stored in containers which are impervious to moisture?			
61. Have employees who are required to wear respirators received medical approval, as described in Chapter 11, Section 3 of the Safety and Health manual?				66. Do waste containers have a strength sufficient to preclude ripping, tearing, leaking, or bursting?			
				67. Are waste containers labeled properly (red or orange in color with biohazard label)?			
				68. Are sharps stored in rigid puncture-resistant containers?			
				69. Are autoclaves routinely tested?			
				70. Is infectious waste disposed of properly?			

APHIS FORM 256-3 (Page 2 of 4)

**Figure A-4 Example of APHIS Form 256-3, Safety Inspection Checklist (Laboratories), page 2**

Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."				Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."			
<b>K. Records:</b>				<b>L. Miscellaneous:</b>			
	YES	NO	N/A		YES	NO	N/A
Are the following written records or materials available?				Are broken glass containers available?			
a. Employee safety training?				Are no eating, drinking, and smoking restrictions enforced?			
b. OSHA injury and illness records?				Do employees participate in the Occupational Medical Monitoring Program?			
c. Material safety data sheets?				Are employees trained to know the symptoms of chemical exposure?			
d. List or inventory of hazardous chemicals?							
e. Emergency procedures?							
f. Chemical Hygiene Plan?							
g. Safety Manual?							
h. Safety inspections and assessments?							
i. Exposure monitoring data?							
j. Medical surveillance data?							
<b>M. Other</b> (Enter items not listed in this checklist that are applicable to your section)							

Figure A-5 Example of APHIS Form 256-3, Safety Inspection Checklist (Laboratories), page 3

N. Corrective Action			
ITEM NO.	DEFICIENCIES IDENTIFIED	REQUIRED ACTIONS TO CORRECT DEFICIENCIES	ACCOMPLISHMENT

APHIS FORM 256-3 (Page 3 of 4)

**Figure A-6 Example of APHIS Form 256-3, Safety Inspection Checklist (Laboratories), page 4**

### Purpose

Use APHIS Form 256-3, Safety Inspection Checklist (Laboratories), to evaluate the safety of laboratories.

### Instructions

Follow the instructions in [Table A-2](#) on **page A-12**. If an item applies to your section and is not in this checklist, then describe the item in Section Other on page 3. Use Section P-Corrective Action on page 4 to explain all negative responses. Direct questions regarding this form to the Collateral Duty Safety and Health Officer, or to Safety, Health, and Environmental Protection Branch.

Address	Safety, Health, and Environmental Protection Branch Emergency Management, Safety, and Security Division Marketing and Regulatory Programs-Business Services Unit 124 4700 River Road Riverdale, MD, 20737
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Refer to the *APHIS Safety and Health Manual*, Chapters 2 and 10, for additional information.

### Distribution

During a plant health incident, the Safety Officer is responsible for ensuring that agency documentation is completed and filed with the Incident Commanders.

**Table A-2 Instructions for Completing APHIS Form 256-3**

Section	Description	Instructions
Top of Page 1	Site Data	ENTER your name, the location of the facility inspected, and the date of the inspection
A	Refrigerator and Environmental Chambers	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
B	Autoclaves and Sterilizers	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
C	Compressed Gases	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
D	Emergency Showers and Eye Wash Stations	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
E	Laboratory Hoods	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
F	Hazardous Chemical Storage	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
G	Hazardous Waste	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
H	Personal Protective Equipment	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
I	Biological Safety Program	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
J	Infectious Waste	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
K	Records	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
L	Miscellaneous	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
M	Other	ENTER items not listed in this checklist that are applicable to your section
N	Corrective Action	ENTER the item number; DESCRIBE the deficiencies identified, the required actions to correct the deficiencies, and the accomplishment



## APHIS 256-4

APHIS SAFETY INSPECTION CHECKLIST (Machine/Workshop)		USDA-APHIS	INSTRUCTIONS: Questions regarding specific standards may be directed to the Collateral Duty Safety and Health Officer, or to SHES, MSD, Unit 115, 4700 River Road, Riverdale, MD 20737-1228. Refer to the APHIS Safety and Health Manual, Chapter 2 and 10 for additional information.				
NAME OF INSPECTOR		LOCATION OF FACILITY INSPECTED		DATE OF INSPECTION			
Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."			Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."				
<p><b>A. Environmental Factors and Layout:</b></p> <p>1. Are adequate ventilation systems located where needed (welding area, spray paint booth, solvent storage area, etc.)?</p> <p>2. Are no smoking signs posted?</p> <p>3. Is specialized lighting provided where necessary?</p> <p>4. Is sufficient room provided between machinery for safe operation and movement of personnel and materials?</p> <p>5. Are special metal containers available for oily rags, waste, etc.?</p> <p>6. Are containers available for excess chips or scraps from machines?</p> <p>7. Are adequate personnel available, and proper procedures established for lifting?</p> <p>8. Is waste disposed of in accordance with Federal, State, and local requirements?</p> <p><b>B. Machinery (General):</b></p> <p>9. Is the use of shop machinery limited to those employees trained in its use?</p> <p>10. Are training materials available as well as records of training?</p> <p>11. Are shop machines equipped with guards (blade guards, spreader, anti-kickback fingers or dogs, push sticks, etc.)?</p> <p>12. Are preventive maintenance schedules conducted for shop machinery (clean, lubricate, sharpen, adjust, set, dress, etc.)?</p> <p>13. Are saw blades regularly inspected for cracks, improper or uneven set, etc.? (Magna fluxing is required for saw blades whenever sharpened, to detect cracks which may be invisible to the naked eye.)</p> <p>14. Are special tools or brushes used for removing chips, etc., from machines?</p> <p>15. Are "Lock-out" procedures established when working on machinery? (Are padlocks individually issued?)</p> <p>16. Are all electrically powered machinery properly grounded?</p>	YES	NO	N/A	<p><b>B. Machinery (General) Continued:</b></p> <p>17. Are machines designed for fixed locations securely anchored?</p> <p>18. Are all gears, sprockets, pulleys, fly-wheels, blades, belts, chain drives, etc., guarded?</p> <p>19. Are machinery modifications and additions, which affect capacity and safe operation, approved in writing?</p> <p>20. Is personal protective equipment issued to employees when necessary?</p> <p><b>C. Air Compressors:</b></p> <p>21. Are drain pipe valves installed at the lowest point of every air receiver to remove accumulated oil and water? (Receiver should be drained frequently to prevent liquid accumulation.)</p> <p>22. Do air receivers equipped with an indicating pressure gauge have one or more spring-loaded safety valves? (No valve of any type will be placed between the air receiver and its safety valve or valves.)</p> <p>23. Is compressed air used correctly for cleaning purposes? (If so, it must be reduced to less than 30 psi. and then only with effective chip guarding and personal protective equipment.)</p> <p>24. Are all safety valves tested at regular intervals to determine if they are in good operating condition?</p> <p>25. Are air compressor tanks pressure tested on a frequent schedule?</p> <p><b>D. Compressed Gas Cylinders:</b></p> <p>26. Are all cylinders securely fastened (both full and empty cylinders)?</p> <p>27. Are cylinders capped except when in actual use?</p> <p>28. Are personnel instructed in the correct use of compressed gas cylinders (how to connect, the proper order of opening and closing valves, etc.)?</p> <p>29. Are cylinders legibly marked?</p> <p>30. Are gauges of oxygen regulators marked "USE NO OIL?"</p> <p>31. Are tops of cylinders kept free of materials?</p> <p>32. Are oxygen cylinders stored away from highly combustible material, especially oil and grease?</p>	YES	NO	N/A

APHIS FORM 256-4 (APR 95) Previous edition is obsolete

**Figure A-7 Example of APHIS Form 256-4, Safety Inspection Checklist (Machine/Workshop), page 1**

**Appendix A**  
**Forms**

Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."				Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."			
	YES	NO	N/A		YES	NO	N/A
<b>D. Compressed Gas Cylinders: Continued</b>							
33. Are acetylene cylinders stored valve end up?				51. Are proper ladders available to meet requirements of work to be performed (wooden ladders for electricians, etc.)?			
34. Have gas cylinders received a pressure test in the past 5 years?				52. Are ladders kept clean, properly stored, periodically inspected, and only used for purpose intended?			
<b>E. Cranes and Hoists:</b>				53. Do fixed ladders above 20' have cages?			
35. Is the rated load plainly marked on each side of the crane? (If more than one hoist on a crane, each hoist will have its rated load marked.)				54. Are scaffolds erected and used only under the supervision of an employee with full knowledge of required safety standards? (Copies of standards for scaffolds will be supplied to such employees upon request from their supervisor.)			
36. Do floor operated cranes have automatic pressure release shut off controls?				<b>I. Planers and Jointers:</b>			
37. Are stops provided at limit of travel?				55. Are planers and jointers equipped with cylindrical cutting head with knife projection not exceeding 1/8"?			
38. Are hooks equipped with safety snap or latch?				56. Does equipment with automatic guards cover the unused portion of cutter head?			
<b>F. Fork Trucks:</b>				57. Do cutting head and rear table have a clearance of 1/8"?			
39. Are only trained and authorized operators permitted to operate a fork lift truck?				<b>J. Radial Saws:</b>			
40. Is the capacity of fork trucks clearly stenciled on both sides of the truck?				58. Are radial saws equipped with upper and lower hoods? (The upper hood should completely enclose upper portion of the blade, including the end of the saw arbor. The lower hood guards the exposed portion of the blade. The saw shield automatically adjusts to thickness of stock and should remain in contact with stock being cut.)			
41. Are fork trucks equipped with overhead guards?				59. Are saws provided with anti-kickback fingers or dogs located on both sides of saw blade when used for ripping? (The direction of saw rotation must be conspicuously marked on upper hood and ripping is done against blade direction - permanent red label should be on rear of upper guard stating "DO NOT RIP OR PLOUGH FROM THIS END.")			
42. Are safety platforms correctly used to elevate personnel? (If so, platform must be firmly secured to lifting carriage or fork and personnel on platform must be able to shut off power to truck.)				60. Are saws adjustable or tables designed to prevent saw teeth from protruding beyond table edge?			
43. Are backup warning available on fork trucks?				61. Do saws return to starting position when released by operator? (The front of the unit should be installed slightly higher than the rear to cause gentle return.)			
<b>G. Grinders:</b>				<b>K. Table Saws:</b>			
44. Are grinder tool rests set at 1/8" clearance?				62. Are table saws equipped with guards completely enclosing the portions of the saw blade above the table and the portion of the saw blade above the material being cut? (If saw blade is exposed under the table where accidental contact could be made, guarding is required.)			
45. Are grinder wheels mounted between flanges 1/3 the diameter of the wheel? (If so, both flanges must be the same diameter with equal bearing surface and blotters must be used between flanges and wheel surface.)				63. Are table saws equipped with spreader and anti-kickback fingers or dogs?			
46. Do grinding wheel guards cover the spindle end and nut? (If so, flange projections, with wheel exposure beginning at a point, should be 65 degrees above the horizontal plane of the wheel spindle.)				<b>L. Storage:</b>			
47. Are grinder wheels inspected before use for roundness, chips, cracks, and metal particles embedded into the stone?				64. Are adequate storage facilities available (paint, solvents, etc.)?			
<b>H. Ladders and Scaffolding:</b>				65. Are provisions available for removal of waste materials?			
48. Are ladders in good condition with no broken, cracked, or missing steps, rungs, or cleats? (Ladders with cracked or broken side rails are repaired or discarded.)							
49. Are all stepladders Type 1 - industrial? (The top of the stepladder will not be used as a step.)							
50. Are ladders equipped with nonslip bases such as safety feet? (These are not intended to substitute for the care required in safe placing, lashing, or holding a ladder when used on slippery surfaces.)							

APHIS FORM 256-4 (Page 2 of 4)

**Figure A-8 Example of APHIS Form 256-4, Safety Inspection Checklist (Machine/Workshop), page 2**

Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."				Complete all items ("X" one column). A "Not Applicable" (N/A) column is provided because all items and conditions may not apply to each area. Explain all "NO" responses in "Section F - Corrective Action."			
<b>L. Storage: (Continued)</b>							
66. Are special racks provided for storage of such items as pipe, flat and round stock, angle iron, etc.?	YES	NO	N/A	73. Are empty drums, tanks, or containers cleaned and purged thoroughly before cutting, burning, or welding?	YES	NO	N/A
67. Are noncompatible materials segregated in storage (oxygen cylinders, greases, etc.)?				74. Do the ventilation systems remove metal fumes away from operator and other personnel in the area?			
<b>M. Tools:</b>							
68. Are portable electrical tools properly grounded or double insulated and inspected prior to use?				75. Are hoods and local exhaust systems provided when welding is done in a central location?			
69. Are all hand tools in good condition (properly dressed, sharpened, set, etc.)?				76. Is splicing of electric welding cables prohibited?			
70. Do tool rooms, boxes, or racks provide adequate storage?				77. Are fire resistant curtains or shields set up around the job to protect passers-by or operators of nearby equipment?			
71. Are sheaths or holders provided for sharp edged tools?				78. Are guards used to confine the heat, slag, and sparks if the object to be cut or welded cannot be moved to fire-safe locations?			
<b>N. Welding, Cutting, and Brazing:</b>							
72. Is equipment use limited to authorized personnel trained in the safe use of that equipment? (Qualified personnel must analyze each job to determine necessary safeguards, personal protective equipment, etc., needed for the job.)							
<b>O. Other</b> (Enter items not listed in this checklist that are applicable to your section)							

Figure A-9 Example of APHIS Form 256-4, Safety Inspection Checklist (Machine/Workshop), page 3

P. Corrective Action			
ITEM NO.	DEFICIENCIES IDENTIFIED	REQUIRED ACTIONS TO CORRECT DEFICIENCIES	ACCOMPLISHMENT

APHIS FORM 256-4 (Page 4 of 4)

Figure A-10 Example of APHIS Form 256-4, Safety Inspection Checklist (Machine/Workshop), page 4

### Purpose

Use APHIS Form 256-4, Safety Inspection Checklist (Machine/Workshop), to evaluate the safety of machine shops and work shops.

### Instructions

Follow the instructions in [Table A-3](#) on **page A-18**. For each question, mark an X in the appropriate box to indicate yes, no, or not applicable (N/A). If an item applies to your section and is not in this checklist, describe the item in Section Other on page 3. Use Section P-Corrective Action on page 4 to explain all no responses. Direct questions regarding this form to the Collateral Duty Safety and Health Officer, or to Safety, Health, and Environmental Protection Branch.

Address	Safety, Health, and Environmental Protection Branch Emergency Management, Safety, and Security Division Marketing and Regulatory Programs-Business Services Unit 124 4700 River Road Riverdale, MD, 20737
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Refer to the *APHIS Safety and Health Manual*, Chapters 2 and 10, for additional information.

### Distribution

During a plant health incident, the Safety Officer is responsible for ensuring that agency documentation is completed and filed with the Incident Commanders.

**Table A-3 Instructions for Completing APHIS Form 256-4**

Section	Description	Instructions
Top of Page 1	Site Data	ENTER your name, the location of the facility inspected, and the date of the inspection
A	Refrigerator and Environmental Chambers	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
B	Autoclaves and Sterilizers	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
C	Compressed Gases	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
D	Emergency Showers and Eye Wash Stations	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
E	Laboratory Hoods	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
F	Hazardous Chemical Storage	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
G	Hazardous Waste	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
H	Personal Protective Equipment	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
I	Biological Safety Program	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
J	Infectious Waste	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
K	Records	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
L	Miscellaneous	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
M	Other	ENTER items not listed in this checklist that are applicable to your section
N	Corrective Action	ENTER the item number. DESCRIBE the deficiencies identified, the required actions to correct the deficiencies, and the accomplishment

## APHIS 259-R

USDA-APHIS		HEADQUARTERS USE ONLY		
<b>WORKPLACE INCIDENT REPORT</b>		INCIDENT TRACKING NUMBER	REGION/UNIT	LEVEL <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
INSTRUCTIONS: It is recommended that APHIS Form 259-R be completed for all incidents involving alleged assault, threats of assault (including telephone and electronic), intimidation, or interference. Provide all supporting documents such as police reports, written witness reports, written threats, etc. Send one copy to your supervisor and one copy to the Workplace Violence Prevention and Resolution Program Office, 4700 River Road, Unit 151, Riverdale, MD 20737, FAX: (301) 734-7439. This form is available electronically at <a href="http://www.aphis.usda.gov/mrpbs/forms/aphis/aphis259.pdf">www.aphis.usda.gov/mrpbs/forms/aphis/aphis259.pdf</a> . You also have the option of dialing our hotline at 1-866-234-3174 to report the incident.				
DATE OF INCIDENT	DATE REPORTED	TIME OF INCIDENT <input type="checkbox"/> A.M. <input type="checkbox"/> On Duty <input type="checkbox"/> P.M. <input type="checkbox"/> Off Duty	LOCATION OF THE INCIDENT OFFICE: OTHER:	
<b>DESCRIPTION OF THE INCIDENT</b>				
DID THE INCIDENT INVOLVE VERBAL ABUSE ( <i>Includes belligerent language meant to demean, intimidate, coerce, or threaten</i> ) <input type="checkbox"/> YES <input type="checkbox"/> NO		DID THE INCIDENT INVOLVE PHYSICAL ABUSE ( <i>Includes pushing shoving, or hitting</i> ) <input type="checkbox"/> YES <input type="checkbox"/> NO		DESCRIBE WEAPON ( <i>if used</i> )
PROVIDE DESCRIPTION OF THE INCIDENT ( <i>Describe any injuries</i> )				
<b>WHO WAS INVOLVED IN THE INCIDENT</b>				
NAME OF COMPLAINANT	RELATIONSHIP TO OFFENDER ( <i>Family member, supervisor, subordinate, coworker, visitor, broker, activist, exhibitor, etc.</i> )	AGENCY/ORGANIZATION		
OFFICE ADDRESS		TELEPHONE NUMBER		
NAME OF OFFENDER	SEX <input type="checkbox"/> Male <input type="checkbox"/> Female	ADDRESS AND TELEPHONE NUMBER		
PHYSICAL DESCRIPTION OF OFFENDER ( <i>if needed to help identify perpetrator</i> )				
PLEASE TYPE OR PRINT THE FOLLOWING:				
NAME AND TITLE OF MANAGEMENT OFFICIAL NOTIFIED		PHONE NUMBER OF MGMT OFFICIAL NOTIFIED	DATE OFFICIAL NOTIFIED	
NAME AND TITLE OF PERSON COMPLETING REPORT			DATE REPORT COMPLETED	
APHIS FORM 259-R DEC 2001				

**Figure A-11 Example of APHIS Form 259-R, Workplace Incident Report**

### Purpose

Use APHIS Form 259-R, Workplace Incident Report, to report all incidents involving alleged assault, threats of assault (including telephone and electronic), intimidation, or interference.

### Instructions

Follow the instructions in the instructions block at the top of APHIS Form 259-R. Additional instructions are provided in **Table A-5 on page A-9**. Provide all supporting documents such as police reports, written witness reports, written threats, etc. This form is available electronically at the APHIS Forms Web site.

### Distribution

The Safety Officer is responsible for completing APHIS Form 259-R. Send one copy to your supervisor and one copy to the Workplace Violence Prevention and Resolution Program Office. If you have questions, call the Program Office hotline.

Address

Workplace Violence Prevention and Resolution Program Office  
4700 River Road, Unit 151  
Riverdale, MD 20737  
FAX: (301)734-7439  
Program Office Hotline: 1(866)234-3174



**Table A-4 Instructions for Completing APHIS Form 259-R**

Section	Description	Instructions
Top of Page 1	Site Data	ENTER your name, the location of the facility inspected, and the date of the inspection
A		MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
B		MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
C		MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
D		MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
E		MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
F	Hazardous Chemical Storage	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
G	Hazardous Waste	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
H	Personal Protective Equipment	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
I	Biological Safety Program	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
J	Infectious Waste	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
K	Records	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
L	Miscellaneous	MARK an X in the appropriate boxes to indicate YES, NO, or NOT APPLICABLE (N/A)
M	Other	ENTER items not listed in this checklist that are applicable to your section
N	Corrective Action	ENTER the item number. DESCRIBE the deficiencies identified, the required actions to correct the deficiencies, and the accomplishment

## APHIS 271-R

United States Department of Agriculture Marketing and Regulatory Programs Animal and Plant Health Inspection Service			<b>APHIS FACILITY SECURITY PROFILE</b>		
APHIS Security Officer and Western Region POC: 970-494-7169 APHIS Security Specialist Eastern Region and LENEL Enterprise System Administrator: 919-855-7012 APHIS Security Specialist Ft. Collins NWRC: 970-494-7165					
Date:			APHIS Region: <input type="checkbox"/> East <input type="checkbox"/> West		
Facility Name:					
Facility Address:			Point of Contact:		
			Email:		
			Phone Number:		
City:	State:	ZIP Code:	Fax Number:		
<b>Note: The information requested below should reflect the normal security environment and operations on a day-to-day basis. Please use numbers in the brackets when applicable. All entries will be used for databases and input for budgetary and other security associated decisionmaking.</b>					
<b>1. This section provides a description of the general physical environment associated with your facility/operation.</b>					
<b>A. Type of Access/Egress to/from the Building:</b> <input type="checkbox"/> Paved <input type="checkbox"/> Dirt <input type="checkbox"/> Gravel <input type="checkbox"/> Other ( <i>please specify</i> )					
Maintenance in Winter Months: <input type="checkbox"/> Yes <input type="checkbox"/> No			Major Highway Within: <input type="checkbox"/> 1 mile <input type="checkbox"/> 2-3 miles <input type="checkbox"/> 4-6 miles Other:		
Nearest Major City ( <i>Airport, Railhead, Bus Terminal</i> ): Name of City:			Name of Airport:		
<b>B. Characteristic of Surrounding Area:</b> <input type="checkbox"/> Rural <input type="checkbox"/> Industrial <input type="checkbox"/> College Campus <input type="checkbox"/> Neighborhood					
<b>C. Facility Description:</b> <input type="checkbox"/> Federal Courthouse Only <input type="checkbox"/> Multi-Tenant Federal Building <input type="checkbox"/> Single Tenant Federal Building <input type="checkbox"/> Multi-Tenant Leased Building <input type="checkbox"/> Single Tenant Leased Building <input type="checkbox"/> Other					
<b>D. The following plans are known to exist and are available onsite:</b> Building Plan: <input type="checkbox"/> Yes <input type="checkbox"/> No Floor Plans: <input type="checkbox"/> Yes <input type="checkbox"/> No					
<b>E. Construction:</b> Year Completed:					
Exterior Material(s): <input type="checkbox"/> Brick <input type="checkbox"/> Block <input type="checkbox"/> Concrete <input type="checkbox"/> Glass Exterior <input type="checkbox"/> Metal Panels <input type="checkbox"/> Other					
Total Square Footage ( <i>include office, storage, and circulation space</i> ):		Total Number of Floors Above Ground:		Total Number of Floors Below Ground:	
[ ]		[ ]		[ ]	
Total Number of <b>Building</b> Occupants:	Total Number of <b>APHIS</b> Occupants:	Total Number of <b>USDA</b> Occupants:	Total Number of Daily Visitors ( <i>estimate</i> ):		
<b>F. Critical USDA Areas in Operation:</b> <input type="checkbox"/> Classified Processing Area <input type="checkbox"/> Chemical Storage Area <input type="checkbox"/> Research Lab <input type="checkbox"/> Network System ( <i>computer</i> ) Room <input type="checkbox"/> Weapons Storage Area <input type="checkbox"/> Ammunition Storage <input type="checkbox"/> Explosives Storage <input type="checkbox"/> Aircraft Operations/Hangars/Parking <input type="checkbox"/> Government Vehicles _____ <input type="checkbox"/> Day Care Center <input type="checkbox"/> Outside Playground Area <input type="checkbox"/> Other					
<b>G. Public Access:</b>					
Distance in yards from the building to the <b>nearest public street</b> :		Distance in yards from the building to the <b>nearest public on-street parking</b> :		Distance in yards from the building to the <b>nearest public parking lot</b> :	
Are there public parks, plazas, or other public areas immediately adjacent to the building? <input type="checkbox"/> Yes <input type="checkbox"/> No			Are there any commercial businesses (e.g., restaurants, drug stores, and/or banks) with uncontrolled external access in the building? <input type="checkbox"/> Yes <input type="checkbox"/> No		

APHIS FORM 271-R  
DEC 2009

FOR OFFICIAL USE ONLY

**Figure A-12 Example of APHIS Form 271-R, Facility Security Profile, page 1**

<b>H. Onsite Parking Description (check all that apply):</b>			<input type="checkbox"/> No Onsite Parking Available	<input type="checkbox"/> Underground Parking
<input type="checkbox"/> Above Ground Parking	<input type="checkbox"/> Public/Visitor Parking	<input type="checkbox"/> Controlled Public/Visitor Access		
<input type="checkbox"/> Controlled Employee Access	<input type="checkbox"/> Security Guard	<input type="checkbox"/> Automated/Electronic Control	<input type="checkbox"/> Vehicle Barrier(s)	
<b>I. Perimeter Security (check all that apply):</b>			<input type="checkbox"/> No Alarm System	
<input type="checkbox"/> Alarm System: <input type="checkbox"/> Operational <input type="checkbox"/> Non-operational			<input type="checkbox"/> Alarms Monitored by:	
<input type="checkbox"/> Partially Operational (specify)			<input type="checkbox"/> GSA <input type="checkbox"/> U.S. Marshal Service	
<input type="checkbox"/> Alarmed Doors <input type="checkbox"/> Alarmed Windows <input type="checkbox"/> Other			<input type="checkbox"/> Private/Contract Security	
<input type="checkbox"/> Video Surveillance (e.g., CCTV):			<input type="checkbox"/> Exterior Roving Patrol by:	
<input type="checkbox"/> Operational <input type="checkbox"/> Non-operational			<input type="checkbox"/> GSA FPOs <input type="checkbox"/> GSA Contract Guards	
<input type="checkbox"/> Partially Operational <input type="checkbox"/> Locally Operational			<input type="checkbox"/> Owner/Lessor Provided Security Guards	
<input type="checkbox"/> Remotely Monitored <input type="checkbox"/> Video Recording			<input type="checkbox"/> Other – County Police	
<input type="checkbox"/> Exterior Barriers:			Are dumpsters located onsite in a second area?	
<input type="checkbox"/> Operational <input type="checkbox"/> Non-operational <input type="checkbox"/> Concrete <input type="checkbox"/> Bollards			<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown	
<input type="checkbox"/> Fences <input type="checkbox"/> Vehicle Gate Control <input type="checkbox"/> Planters <input type="checkbox"/> Other None				
<b>J. Emergency Planning:</b>				
(1) Occupant Emergency Plan:		Does this building have an Occupant Emergency Plan? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown		
(APHIS has a plan for its space, other tenants unknown.)				
What portions of the plan have been practiced? <input type="checkbox"/> The plan has never been practiced. <input type="checkbox"/> Fire Drills				
<input type="checkbox"/> Natural Disaster (i.e., weather, flood, etc.) <input type="checkbox"/> Bomb Threats <input type="checkbox"/> Other (specify)				
(2) Reasons the Occupant Emergency Plan was executed real world (check all that apply):				
<input type="checkbox"/> The plan has never been practiced <input type="checkbox"/> Fire <input type="checkbox"/> Natural Disaster (i.e., weather flood, etc.)				
<input type="checkbox"/> Bomb Threat <input type="checkbox"/> HAZMAT Event <input type="checkbox"/> Biochemical Event				
<input type="checkbox"/> Event Associated with Weapons/Explosives <input type="checkbox"/> Vehicle/Aircraft Accident				
<input type="checkbox"/> Other (specify)				
<b>K. Security Guards:</b> If your site is the recipient of security guard protection, please enter the total number of guards and number of weekly hours of coverage, as appropriate. Check all that apply.				
Type:		Number:	Hours:	
<input type="checkbox"/> No Security Guard Services				
<input type="checkbox"/> GSA FPO Response/Patrol		<input type="checkbox"/> U.S. Marshal Service Court Security Officers		
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<input type="checkbox"/> GSA Contract Guards		<input type="checkbox"/> Owner/Lessor Provided Guards		
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<b>L. Security Systems (check all that apply):</b>				
<b>(1) Monitoring Systems:</b>				
<input type="checkbox"/> Duress Alarms <input type="checkbox"/> Perimeter <input type="checkbox"/> Interior				
<input type="checkbox"/> Other Alarms (specify)				
<input type="checkbox"/> CCTV <input type="checkbox"/> Perimeter <input type="checkbox"/> Interior				
<input type="checkbox"/> Remote Monitoring Facility				
<input type="checkbox"/> Security Console Onsite <input type="checkbox"/> <input type="checkbox"/> Hours console monitored				
<b>(2) Areas Monitored by Electronic Means (check all that apply):</b>				
<input type="checkbox"/> Lobbies <input type="checkbox"/> Secured Corridors <input type="checkbox"/> Parking <input type="checkbox"/> Office Doors				
<input type="checkbox"/> Stairwells <input type="checkbox"/> Security Screening Posts <input type="checkbox"/> Garages <input type="checkbox"/> Interior Security Patrol Areas				
<input type="checkbox"/> Building Perimeters <input type="checkbox"/> Building Entrance <input type="checkbox"/> Other (specify)				
<b>M. Utilities (check all that apply):</b>				
<b>(1) Emergency Power:</b> <input type="checkbox"/> Generator <input type="checkbox"/> Battery Operated Lighting				

Figure A-13 Example of APHIS Form 271-R, Facility Security Profile, page 2





### **Purpose**

Use APHIS Form 271-R, Facility Security Profile, to document the security of an APHIS facility.

### **Instructions**

Follow the instructions in [Table A-5](#) on page A-27.

### **Distribution**

The Safety Officer is responsible for completing and distributing APHIS Form 271-R.

**Table A-5 Instructions for Completing APHIS Form 271-R**

Item	Description	Instructions
<b>Page 1</b>		
	<b>Top</b>	
	Date	ENTER today's date
	Region	MARK an X to indicate Eastern or Western region
	Facility Name	ENTER the name of the facility
	Facility Address	ENTER the number and street address of the facility
	Point of Contact	ENTER the name of the contact person
	Email	ENTER the email address of the contact person
	Telephone	ENTER the telephone number of the contact person
	City, State, ZIP Code	ENTER the name of the city, State, and ZIP Code
<b>1 General Physical Environment</b>		
A	Access/Egress	MARK an X to indicate paved, dirt, gravel, or other
	Winter Maintenance	MARK an X to indicate yes or no
	Major Highway	MARK an X to indicate the distance to the nearest highway
	Major Transportation	ENTER the name of the nearest city; ENTER the name of its major airport, train station, or bus terminal
B	Surrounding Area	MARK an X to indicate rural, industrial, college campus, or neighborhood
C	Facility Description	MARK an X to indicate the type of facility
D	Building Plan	MARK an X to indicate the status of building and floor plans
E	Construction	ENTER the date construction was completed; MARK an X to indicate brick, block, concrete, glass, metal, or other materials; explain other materials; ENTER the total number of floors above ground; ENTER the total number of floors below ground; ENTER the total number of building, APHIS, and USDA occupants; ENTER the total number of daily visitors (estimate if necessary)
F	Areas in Operation	MARK an X to indicate each type of critical USDA area in operation
G	Public Access	ENTER the distance in yards from the building to the nearest public street, on-street parking, and parking lot; MARK an X to indicate adjacent public areas; MARK an X to indicate uncontrolled external access
<b>Page 2</b>		
H	Onsite Parking	MARK an X to indicate the types of parking onsite
I	Perimeter Security	MARK an X to indicate the types of security
J (1)	Emergency Planning	MARK an X to indicate: ◆ Status of Occupant Emergency Plan ◆

**Table A-5 Instructions for Completing APHIS Form 271-R**

Item	Description	Instructions
J (2)	Reason for Execution	MARK an X to indicate the reason for executing the Occupant Emergency Plan
K	Security Guards	ENTER the total number of guards and number of weekly hours of coverage; MARK an X to indicate other types of guards
L (1)	Security Systems	MARK an X to indicate the types of security systems
L (2)	Areas Monitored	MARK an X to indicate the areas monitored
M (1)	Utilities	MARK an X to indicate the sources of power
<b>Page 3</b>		
M (2)	Fire System	MARK an X to indicate types of fire detection and suppression
<b>2 Threats</b>		
A	Criminal Threat	MARK an X to indicate the threats that have taken place in the past two years
B	Other Threats	DESCRIBE the documented security incidents or threats that have occurred in or around your building/facility in the past five years
C	Greatest Danger	MARK an X to indicate the greatest source of danger; explain
<b>Page 4</b>		
<b>3</b>	<b>Miscellaneous</b>	Mark an X to indicate if the building or site has animals; the site is closing within one year; the site is scheduled for major modifications within 18 months
	Additional Comments	DESCRIBE the types of activities conducted at the location



## APHIS 515-R

UNITED STATES DEPARTMENT OF AGRICULTURE MARKETING AND REGULATORY PROGRAMS ANIMAL AND PLANT HEALTH INSPECTION SERVICE EMPLOYEE SERVICES DIVISION NATIONAL SECURITY TEAM	<h3>INCIDENT REPORT</h3>	
Use this form to report: the theft of, or damage to, Government-owned property or official records; a break-in or attempted break-in at an APHIS-owned or -leased facility; or, vandalism which occurs in, or on the grounds of, Agency-occupied building or space. This includes offenses which occur in Government-controlled, -leased, or -owned parking areas.		
TYPE OF OFFENSE OR INCIDENT:		
SPECIFIC LOCATION OF INCIDENT:		
PROGRAM:	DATE OF INCIDENT:	TIME OF INCIDENT:
DATE REPORTED:	OFFICE REPORTED TO: (Federal Protective Service, Local Law Enforcement, Office of the Inspector General, etc.)	
OFFICIAL REPORTING INCIDENT:		PHONE NUMBER:
IF THEFT, APPROXIMATE VALUE OF ITEM(S) STOLEN:		
IF BREAK-IN, ATTEMPTED BREAK-IN, OR VANDALISM, AMOUNT OF DAMAGE TO FACILITY/PROPERTY:		
NARRATIVE: PLEASE PROVIDE ANY OTHER PERTINENT INFORMATION AND INCLUDE CIRCUMSTANCES SURROUNDING THEFT. (EXAMPLE: ITEM LEFT IN UNLOCKED ROOM; ITEM LEFT IN AIRPORT WAITING AREA; ETC.)		
TO FAX:  SEND REPORT TO (301) 734-3868 ATTENTION: NATIONAL SECURITY TEAM		TO MAIL:  SEND REPORT TO USDA - APHIS - MRPBS - ESD - NATIONAL SECURITY TEAM, 4700 RIVER ROAD, UNIT 114, RIVERDALE, MD 20737
APHIS FORM 515-R JUN 2004		

**Figure A-16 Example of APHIS Form 515-R, Incident Report**

## Purpose

Use APHIS Form 515-R, Incident Report, to report the following:

- ◆ Theft of Government-owned property or official records;
- ◆ Damage to Government-owned property or official records;
- ◆ Break-in or attempted break-in at an APHIS-owned or -leased facility;
- ◆ Vandalism which occurs in or on the grounds of Agency-occupied building or space, including offenses which occur in Government-controlled, -leased, or -owned parking areas.

## Instructions

Follow the instructions in [Table A-6 on page A-30](#).

## Distribution

Fax or mail the completed form to the attention of the National Security Team.

Address	USDA-APHIS-MRPBS-ESD National Security Team 4700 River Road, Unit 114 Riverdale, MD 20737 Fax: 301/734-3868
---------	---

**Table A-6 Instructions for Completing APHIS Form 515-R**

Section	Instructions
Type of Incident	ENTER a description of the offense or incident
Location	ENTER the specific location of the incident
Program	ENTER the name of the program
Date	ENTER the date of the incident
Time	ENTER the time of the incident
Reported	ENTER the date the incident was reported
Office	ENTER the name of the Office reported to; for example, Federal Protective Service, Local Law Enforcement, Office of the Inspector General, etc.
Official Reporting Incident	ENTER the name and phone number of the Official reporting the incident
Value	If theft, ENTER the approximate value of item(s) stolen
Damage	If break-in, attempted break-in, or vandalism, ENTER the amount of damage to the facility or property
Narrative	Provide any other pertinent information and include circumstances surrounding theft; for example: item left in unlocked room, item left in airport waiting area, etc.

# CA-1

## Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation

**U.S. Department of Labor**  
Employment Standards Administration  
Office of Workers' Compensation Programs

Employee: Please complete all boxes 1 - 15 below. Do not complete shaded areas.

Witness: Complete bottom section 16.

Employing Agency (Supervisor or Compensation Specialist): Complete shaded boxes a, b, and c.

Employee Data					
1. Name of employee (Last, First, Middle)				2. Social Security Number	
3. Date of birth Mo. Day Yr.	4. Sex <input type="checkbox"/> Male <input type="checkbox"/> Female	5. Home telephone	6. Grade as of date of injury Level Step		
7. Employee's home mailing address (Include city, state, and ZIP code)				8. Dependents <input type="checkbox"/> Wife, Husband <input type="checkbox"/> Children under 18 years <input type="checkbox"/> Other	
Description of Injury					
9. Place where injury occurred (e.g. 2nd floor, Main Post Office Bldg., 12th & Pine)					
10. Date injury occurred Mo. Day Yr.	Time <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.	11. Date of this notice Mo. Day Yr.	12. Employee's occupation		
13. Cause of injury (Describe what happened and why)					
14. Nature of injury (Identify both the injury and the part of body, e.g., fracture of left leg)			a. Occupation code		
			b. Type code	c. Source code	
			OWCP Use - NOI Code		
Employee Signature					
15. I certify, under penalty of law, that the injury described above was sustained in performance of duty as an employee of the United States Government and that it was not caused by my willful misconduct, intent to injure myself or another person, nor by my intoxication. I hereby claim medical treatment, if needed, and the following, as checked below, while disabled for work:					
<input type="checkbox"/> a. Continuation of regular pay (COP) not to exceed 45 days and compensation for wage loss if disability for work continues beyond 45 days. If my claim is denied, I understand that the continuation of my regular pay shall be charged to sick or annual leave, or be deemed an overpayment within the meaning of 5 USC 5584.					
<input type="checkbox"/> b. Sick and/or Annual Leave					
I hereby authorize any physician or hospital (or any other person, institution, corporation, or government agency) to furnish any desired information to the U.S. Department of Labor, Office of Workers' Compensation Programs (or to its official representative). This authorization also permits any official representative of the Office to examine and to copy any records concerning me.					
Signature of employee or person acting on his/her behalf _____				Date _____	
Any person who knowingly makes any false statement, misrepresentation, concealment of fact or any other act of fraud to obtain compensation as provided by the FECA or who knowingly accepts compensation to which that person is not entitled is subject to civil or administrative remedies as well as felony criminal prosecution and may, under appropriate criminal provisions, be punished by a fine or imprisonment or both.					
Have your supervisor complete the receipt attached to this form and return it to you for your records.					
Witness Statement					
16. Statement of witness (Describe what you saw, heard, or know about this injury)					
Name of witness		Signature of witness		Date signed	
Address		City		State ZIP Code	

Form CA-1  
Rev. Apr. 1999

**Figure A-17 Example of CA-1, Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation, page 1**

**Appendix A**  
Forms

Official Supervisor's Report: Please complete information requested below:

<b>Supervisor's Report</b>	
17. Agency name and address of reporting office (include city, state, and zip code)	
OWCP Agency Code	
OSHA Site Code	
ZIP Code	
18. Employee's duty station (Street address and ZIP code)	
19. Employee's retirement coverage <input type="checkbox"/> CSRS <input type="checkbox"/> FERS <input type="checkbox"/> Other, (identify)	
20. Regular work hours From: <input type="checkbox"/> a.m. <input type="checkbox"/> p.m. To: <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.	21. Regular work schedule <input type="checkbox"/> Sun. <input type="checkbox"/> Mon. <input type="checkbox"/> Tues. <input type="checkbox"/> Wed. <input type="checkbox"/> Thurs. <input type="checkbox"/> Fri. <input type="checkbox"/> Sat.
22. Date of Injury Mo. Day Yr.	23. Date notice received Mo. Day Yr.
24. Date stopped work Mo. Day Yr.	Time: <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.
25. Date pay stopped Mo. Day Yr.	26. Date 45 day period began Mo. Day Yr.
27. Date returned to work Mo. Day Yr.	Time: <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.
28. Was employee injured in performance of duty? <input type="checkbox"/> Yes <input type="checkbox"/> No (If "No," explain)	
29. Was injury caused by employee's willful misconduct, intoxication, or intent to injure self or another? <input type="checkbox"/> Yes (If "Yes," explain) <input type="checkbox"/> No	
30. Was injury caused by third party? <input type="checkbox"/> Yes <input type="checkbox"/> No (If "No," go to item 32.)	31. Name and address of third party (Include city, state, and ZIP code)
32. Name and address of physician first providing medical care (Include city, state, ZIP code)	33. First date medical care received Mo. Day Yr.
	34. Do medical reports show employee is disabled for work? <input type="checkbox"/> Yes <input type="checkbox"/> No
35. Does your knowledge of the facts about this injury agree with statements of the employee and/or witnesses? <input type="checkbox"/> Yes <input type="checkbox"/> No (If "No," explain)	
36. If the employing agency controverts continuation of pay, state the reason in detail.	37. Pay rate when employee stopped work \$ Per
<b>Signature of Supervisor and Filing Instructions</b>	
38. A supervisor who knowingly certifies to any false statement, misrepresentation, concealment of fact, etc., in respect of this claim may also be subject to appropriate felony criminal prosecution.	
I certify that the information given above and that furnished by the employee on the reverse of this form is true to the best of my knowledge with the following exception:	
Name of supervisor (Type or print)	
Signature of supervisor	Date
Supervisor's Title	Office phone
39. Filing instructions <input type="checkbox"/> No lost time and no medical expense: Place this form in employee's medical folder (SF-66-D) <input type="checkbox"/> No lost time, medical expense incurred or expected: forward this form to OWCP <input type="checkbox"/> Lost time covered by leave, LWOP, or COP: forward this form to OWCP <input type="checkbox"/> First Aid Injury	

Form CA-1,

Rev. Apr. 1999

**Figure A-18 Example of CA-1, Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation, page 2**

### **Purpose**

Use CA-1, Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation, to report a traumatic injury, and to file a claim for continuation of pay or compensation.

### **Instructions**

Line-by-line instructions are provided in [Table A-7](#) on page A-34.

This form includes separate sections for employees, supervisors, and employing agencies. Complete all of the items for your section of the form. If additional space is required to explain or clarify any point, attach a supplemental statement to the form.

The injured employee should complete boxes one through 15 on page one. Do not complete the shaded areas. The witness should complete the bottom section 16. The supervisor or compensation specialists should complete the shaded boxes a, b, and c.

### **Distribution**

In progress.

**Table A-7 Instructions for Completing Form CA-1**

Section	Instructions
<b>Page 1</b>	<b>Employee Data</b>
1	ENTER your last, first, and middle, name
2	Leave this item blank
3	ENTER your birth date as XX/XX/XXXX (month/date/year)
4	MARK an X in the box to indicate male or female
5	ENTER your home telephone number
6	ENTER the grade level and step of your job as on the date of your injury
7	ENTER the mailing address of your home, including the city, State, and ZIP Code
8	MARK an X in the box to indicate the following dependents: Wife, Husband, Children under 18 years, or Other
	<b>Description of Injury</b>
9	ENTER the place where the injury occurred; for example: 2nd floor, Main Post Office Bldg., 12th & Pine
10	ENTER the date on which the injury occurred
11	ENTER the date of this notice
12	ENTER your occupation
13	DESCRIBE what happened and why; describe in detail how and why the injury occurred; give appropriate details; for example: If you fell, how far did you fall and in what position did you land?
14	ENTER both the injury and the part of the body; give a complete description of the conditions resulting from your injury; specify the right or left side if applicable; for example: fracture of left leg, or cut on right index finger
15	MARK an X in the appropriate box, and then ENTER your signature and date. If another person is acting on your behalf, he/she must sign and date this section. If you are disabled for work as a result of this injury and filed CA-1 within 30 days of the injury, you may be entitled to receive continuance of pay from your employing agency. Continuance of pay is paid for up to 45 calendar days of disability, and is not charged against sick or annual leave. If you elect sick or annual leave you may not claim compensation to repurchase leave used during the 45 days of continuance of pay entitlement.
<b>Page 1</b>	<b>Witness Statement</b>
16	Witness will DESCRIBE what he/she saw, heard, or know, about this injury; include the name and address of the witness; witness will SIGN and DATE this section
<b>Page 2</b>	<b>Supervisors Report</b>
	<p>At the time the form is received, complete the receipt of notice of injury and give it to the employee. In addition to completing items 17 through 39, the supervisor is responsible for obtaining the witness statement in item 16 and for filling in the proper codes in shaded boxes a, b, and c on the front of the form. If medical expense or lost time is incurred or expected, the completed form should be sent to Office of Worker's Compensation Program (OWCP) within 10 working days after it is received.</p> <p>The supervisor should also submit any other information or evidence pertinent to the merits of this claim.</p> <p>If the employing agency controverts Continuance of Pay (COP), the employee should be notified and the reason for controversion explained to him or her.</p>

**Table A-7 Instructions for Completing Form CA-1**

Section	Instructions
17	ENTER the agency name and address of reporting office; include city, State, and ZIP Code; the name and address of the office to which correspondence from OWCP should be sent (if applicable, the address of the personnel or compensation office)
18	ENTER the address and ZIP Code of the establishment where the employee actually works
19	MARK an X to indicate the employee's retirement coverage as one of the following: CSRS, FERS, or OTHER
20	ENTER the employee's regular work hours; ENTER the day of the week, and then MARK an X to indicate a.m. or p.m.; include the starting and ending day and time
21	MARK an X in the appropriate boxes to indicate the days you work
22	ENTER the date of the injury
23	ENTER the date on which you first received notice of the injury
24	ENTER the date on which the employee stopped working
25	ENTER the date on which pay was stopped
26	ENTER the date on which the 48-hour period began
27	ENTER the date and time the employee returned to work
28	MARK an X to indicate whether the employee was injured in the performance of duties
29	MARK an X to indicate whether the injury occurred due to willful misconduct, intoxication, or intent to injure self or another
30	MARK an X to indicate whether the injury was caused by a third party; if no, skip question 31; a third party is an individual or organization (other than the injured employee or the Federal government) who is liable for the injury
31	ENTER the name and address of the third party
32	ENTER the name and address of the physician first providing medical care for this injury; if initial care given by a nurse or other health professional (not a physician) in the employing agency's health unit or clinic, indicate this on a separate sheet of paper
33	ENTER the date of the first visit to the physician listed in item 31
34	MARK an X to indicate whether medical reports show employee is disabled for work
35	MARK an X to indicate whether your knowledge of the facts about this injury agree with statements of the employee or witnesses; if no, explain

**Table A-7 Instructions for Completing Form CA-1**

Section	Instructions
36	<p>If the employing agency disputes continuation of pay, ENTER the reason in detail. COP may be disputed for any reason; however, the employing agency may refuse to pay COP only if the dispute is based upon one of the following reasons:</p> <ul style="list-style-type: none"> <li>◆ The disability was not caused by a traumatic injury</li> <li>◆ The employee is a volunteer working without pay or for nominal pay, or a member of the office staff of a former President</li> <li>◆ The employee is not a citizen or a resident of the United States or Canada</li> <li>◆ The injury occurred off the employing agency's premises and the employee was not involved in official off-premises duties</li> <li>◆ The injury was proximately caused by the employees willful misconduct, intent to bring about injury or death to self or another person, or intoxication</li> <li>◆ The injury was not reported on Form Ca-1 within 30 days following the injury</li> <li>◆ Work stoppage first occurred 45 days or more following the injury</li> <li>◆ The employee initially reported the injury after his or her employment was terminated</li> <li>◆ The employee is enrolled in the Civil Air Patrol, Peace Corps, Youth Conservation Corps, Work Study Programs, or other similar groups</li> </ul>
37	ENTER the employees rate of pay at the time work stopped
38	ENTER your signature, name, title, telephone number, and today's date
39	MARK an X to indicate filing instructions



CA-2

Notice of Occupational Disease  
and Claim for Compensation

U.S. Department of Labor  
Employment Standards Administration  
Office of Workers' Compensation Programs



Employee: Please complete all boxes 1 - 18 below. Do not complete shaded areas.  
Employing Agency (Supervisor or Compensation Specialist): Complete shaded boxes a, b, and c.

Employee Data	
1. Name of employee (Last, First, Middle)	
2. Social Security Number	
3. Date of birth MO. Day Yr.	4. Sex
5. Home telephone ( )	6. Grade as of date of last exposure Level Step
7. Employee's home mailing address (Include city, state, and ZIP code)	
6. Dependents <input type="checkbox"/> Wife, Husband <input type="checkbox"/> Children under 18 years <input type="checkbox"/> Other	
Claim Information	
9. Employee's occupation	
a. Occupation code	
10. Location (address) where you worked when disease or illness occurred (Include city, State, and ZIP code)	
11. Date you first became aware of disease or illness MO. Day Yr.	
12. Date you first realized the disease or illness was caused or aggravated by your employment MO. Day Yr.	13. Explain the relationship to your employment, and why you came to this realization

14. Nature of disease or illness	OWCP Use - HQI Code
	b. Type code    c. Source code
15. If this notice and claim was not filed with the employing agency within 30 days after date shown above in item #12, explain the reason for the delay.	
16. If the statement requested in item 1 of the attached instructions is not submitted with this form, explain reason for delay.	
17. If the medical reports requested in item 2 of attached instructions are not submitted with this form, explain reason for delay.	

**Employee Signature**

18. I certify, under penalty of law, that the disease or illness described above was the result of my employment with the United States Government, and that it was not caused by my willful misconduct, intent to injure myself or another person, nor by my intoxication. I hereby claim medical treatment, if needed, and other benefits provided by the Federal Employees' Compensation Act.

I hereby authorize any physician or hospital (or any other person, institution, corporation, or government agency) to furnish any desired information to the U.S. Department of Labor, Office of Workers' Compensation Programs (or to its official representative). This authorization also permits any official representative of the Office to examine and to copy any records concerning me.

Signature of employee or person acting on his/her behalf \_\_\_\_\_ Date \_\_\_\_\_

Have your supervisor complete the receipt attached to this form and return it to you for your records.

Any person who knowingly makes any false statement, misrepresentation, concealment of fact or any other act of fraud to obtain compensation as provided by the FECA or who knowingly accepts compensation to which that person is not entitled is subject to civil or administrative remedies as well as felony criminal prosecution and may, under appropriate criminal provisions, be punished by a fine or imprisonment or both.

Figure A-19 Example of CA-2, Notice of Occupational Disease U. S. Department of Labor and Claim for Compensation, page 1

**Appendix A**  
Forms

1

Official Supervisor's Report of Occupational Disease: Please complete information requested below

<b>Supervisor's Report</b>	
19. Agency name and address of reporting office (include city, state, and ZIP Code)	
	OWCP Agency Code
OSHA Site Code	
ZIP Code	
20. Employee's duty station (Street address and ZIP Code)	
ZIP Code	
21. Regular work hours From: <input type="checkbox"/> a.m. <input type="checkbox"/> p.m. To: <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.	22. Regular work schedule <input type="checkbox"/> Sun. <input type="checkbox"/> Mon. <input type="checkbox"/> Tues. <input type="checkbox"/> Wed. <input type="checkbox"/> Thurs. <input type="checkbox"/> Fri. <input type="checkbox"/> Sat.
23. Name and address of physician first providing medical care (include city, state, ZIP code)	24. First date medical care received _____ Day _____ Yr. _____
	25. Do medical reports show employee is disabled for work? <input type="checkbox"/> Yes <input type="checkbox"/> No
26. Date employee first reported condition to supervisor Mo. Day Yr. _____	27. Date and hour employee stopped work Mo. Day Yr. _____ Time: <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.
28. Date and hour employee's pay stopped Mo. Day Yr. _____ Time _____ <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.	29. Date employee was last exposed to conditions alleged to have caused disease or illness Mo. Day Yr. _____
30. Date returned to work Mo. Day Yr. _____ Time _____ <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.	
31. If employee has returned to work and work assignment has changed, describe new duties	
32. Employee's Retirement Coverage <input type="checkbox"/> CSRS <input type="checkbox"/> FERS <input type="checkbox"/> Other, (Specify)	
33. Was injury caused by third party? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," go to Item 34.	34. Name and address of third party (include city, state, and ZIP code)
<b>Signature of Supervisor</b>	
35. A supervisor who knowingly certifies to any false statement, misrepresentation, concealment of fact, etc., in respect to this Claim may also be subject to appropriate felony criminal prosecution.	
I certify that the information given above and that furnished by the employee on the reverse of this form is true to the best of my knowledge with the following exception:	
Name of Supervisor (Type or print)	
Signature of Supervisor	Date
Supervisor's Title	Office phone

Form CA-2  
Rev. Jan. 1997

**Figure A-20 Example of CA-2, Notice of Occupational Disease U. S. Department of Labor and Claim for Compensation, page 2**

## Purpose

Use CA-2, Notice of Occupational Disease U. S. Department of Labor and Claim for Compensation, to claim compensation for an occupational disease.

## Instructions

Line-by-line instructions are provided in *Table A-8* on page A-42.

Complete all items on your section of the form. If additional space is required to explain or clarify any point, attach a supplemental statement to the form. In addition to the information requested on the form, both the employee and the supervisor are required to submit additional evidence as described below. If this evidence is not submitted along with the form, the responsible party should explain the reason for the delay and State when the additional evidence will be submitted.

## Employee

Complete items one through 18 and submit the form to the employees supervisor along with the statement and medical reports described below. Be sure to obtain the Receipt of Notice of Disease or Illness completed by the supervisor at the time the form is submitted.

**Employees Statement**—In a separate narrative statement attached to the form, the employee must submit the following information:

- ◆ A detailed history of the disease or illness from the date it started
- ◆ Complete details of the conditions of employment which are believed to be responsible for the disease or illness
- ◆ A description of specific exposures to substances or stressful conditions causing the disease or illness, including locations where exposure or stress occurred, as well as the number of hours per day and days per week of such exposure or stress
- ◆ Identification of the part of the body affected (If disability is due to a heart condition, give complete details of all activities for one week prior to the attach with particular attention to the final 24 hours of such period)
- ◆ A statement as to whether the employee ever suffered a similar condition (If so, provide full details of onset, history, and medical care received, along with names and addresses of physicians rendering treatment)

## Medical Report—

- ◆ Dates of examination or treatment
- ◆ History given to the physician by the employee

- ◆ Detailed description of the physicians findings
- ◆ Results of x-rays, laboratory tests, etc.
- ◆ Diagnosis
- ◆ Clinical course of treatment
- ◆ Physicians opinion as to whether the disease or illness was caused or aggravated by the employment, along with an explanation of the basis for this opinion (Medical reports that do not explain the basis for the physicians opinion are given very little weight in adjudicating the claim)

**Wage Loss**—If you have lost wages or used leave for this illness, Form CA-7 should also be submitted

### Supervisor

The supervisor, or the appropriate official in the employing agency, should complete the Supervisors Section. At the time the form is received, complete the Receipt of Notice of Disease or illness and give it to the employee. In addition to completing items 19 through 34, the supervisor is responsible for filling in the proper codes in shaded boxes a, b, and c on the front of the form. If medical expense or lost time is incurred or expected, the completed form must be sent to OWCP within ten working days after it is received. In a separate narrative statement attached to the form, the supervisor must do the following:

- ◆ Describe in detail the work performed by the employee. Identify fumes, chemicals, or other irritants or situations that the employee was exposed to which allegedly caused the condition. State the nature, extent, and duration of the exposure, including hours per days and days per week, requested above.
- ◆ Attach copies of all medical reports (including x-ray reports and laboratory data) on file for the employee.
- ◆ Attach a record of the employees absence from work caused by any similar disease or illness. Have the employee State the reason for each absence.
- ◆ Attach statements from each co-worker who has first-hand knowledge about the employees condition and its cause. (The co-workers should state how such knowledge was obtained.)
- ◆ Review and comment on the accuracy of the employees statement requested above.
- ◆ Submit any other information or evidence pertinent to the merits of this claim.

## Distribution

In progress.

**Table A-8 Instructions for Completing Form CA-2**

Item	Instructions
<b>Page 1 Employee Data</b>	
1	ENTER your last, first, and middle, name
2	Leave this item blank
3	ENTER your birth date as XX/XX/XXXX (month/date/year)
4	ENTER your sex
5	ENTER your home telephone number
6	ENTER the grade level and step of your job as on the date of your last exposure
7	ENTER the mailing address of your home, including the city, State, and ZIP Code
8	MARK an X in the box to indicate the following dependents: Wife, Husband, Children under 18 years, or Other <sup>1</sup>
<b>Claim Information</b>	
9	ENTER your occupation
10	ENTER the address where you worked when the disease or illness occurred
11	ENTER the date on which you first became aware of the disease or illness
12	ENTER the date on which you first realized the disease or illness was caused or aggravated by your employment
13	DESCRIBE the relationship to your employment and why you came to this realization
14	DESCRIBE the nature of the disease or illness; give a complete description; specify the left or right side if applicable (such as rash on left leg; carpal tunnel syndrome, right wrist)
15	If more than 30 days have passed since the date in item 12, DESCRIBE the reason for the delay
16	If your statement is not submitted with this form, DESCRIBE the reason for the delay
17	If your medical reports are not submitted with this form, DESCRIBE the reason for the delay
18	SIGN your name and ENTER the date.
<b>Page 2 Official Supervisors Report</b>	
19	Enter the name and address of the office to which correspondence from OWCP should be sent (if applicable, the address of the personnel or compensation office)
20	ENTER the street address and ZIP Code of the establishment where the employee actually works
21	ENTER the hours regularly worked; MARK an X to indicate a.m. and p.m.
22	MARK an X to indicate the week days regularly worked
23	ENTER the name and address of the physician first providing medical care, including city, State, and ZIP Code; if initial care was given by a nurse or other health professional (not a physician) in the employing agency's health unit clinic, indicate this on a separate sheet of paper
24	ENTER the date of the first visit to the physician listed in item 23
25	MARK an X in the box to indicate whether medical reports indicate the employee is disabled for work
26	ENTER the date the employee first reported the condition to supervisor

**Table A-8 Instructions for Completing Form CA-2**

Item	Instructions
27	ENTER the date and hour the employee stopped work; ENTER the date as 2-digit month, 2-digit date, and 4-digit year; ENTER the hour and MARK an X in the box to indicate a.m. or p.m.
28	ENTER the date and hour the employees pay stopped; ENTER the date as 2-digit month, 2-digit date, and 4-digit year; ENTER the hour and MARK an X in the box to indicate a.m. or p.m.
29	ENTER the date the employee was last exposed to conditions alleged to have caused disease or illness; ENTER the date as 2-digit month, 2-digit date, and 4-digit year
30	ENTER the date and hour the employee returned to work; ENTER the date as 2-digit month, 2-digit date, and 4-digit year; ENTER the hour and MARK an X in the box to indicate a.m. or p.m.
31	If the employee has returned to work and the work assignment has changed, describe the new duties
32	MARK an X in the box to indicate the employees retirement coverage as CSRS, FERS, or Other; if Other, name the retirement coverage
33	MARK an X in the box to indicate whether the injury was caused by a third party; if NO, go to item 34 <sup>2</sup>
34	ENTER the name and address of the third party mentioned in item 33; include the city, State, and ZIP Code
35	ENTER your signature, name, title, telephone number, and today's date

- 1 On the Federal form, item 8 is mislabeled as item 6
- 2 A third party is an individual or organization (other than the injured employee or the Federal government) who is liable for the disease

## Incident Action Plan

### Purpose

The Incident Action Plan documents the actions developed by the Incident Commander, and Command and General Staffs, during the Planning Meeting. When all of the forms are included, the Plan specifies the control objectives, tactics to meet the objectives, resources, organization, communications plan, medical plan, and other appropriate information for use in tactical operations.

The Incident Action Plan is a compilation of the following forms:

1. Incident Briefing (ICS Form 201)
2. Incident Objectives (ICS Form 202)
3. Organization Assignment List (ICS Form 203)
4. Assignment List (ICS Form 204)
5. Radio Communications Plan (ICS Form 205)
6. Medical Plan (ICS Form 206)

### Instructions

The Incident Commander, and the Command and General Staff, will complete the Incident Action Plan following each formal planning meeting. The plan must be approved by the Incident Commander prior to distribution.

### Distribution

Reproduce sufficient copies of the Incident Action Plan and distribute to all supervisory personnel at the Section, Branch, Division/Group, and Unit leader levels.



## ICS 201

<b>INCIDENT BRIEFING</b>	1. Incident Name	2. Date Prepared	3. Time Prepared
<b>4. Map Sketch</b>			
ICS 201 Page 1 of 4	5. Prepared by (Name and Position)		

**Figure A-21 Example of ICS Form 201, Incident Briefing, page 1**

6. Summary of Current Actions	
ICS 201	Page 2

Figure A-22 Example of ICS Form 201, Incident Briefing, page 2

7. Current Organization	
ICS 201	Page 3

**Figure A-23 Example of ICS Form 201, Incident Briefing, page 3**



## Purpose

The ICS Form 201, Incident Briefing, provides the Incident Commanders (and the Command Staff and General Staff assuming command of the incident) with basic information regarding the incident situation and the resources allocated to the incident. It also serves as a permanent record of the initial response to the incident.

## Instructions

The briefing form is prepared by the Incident Commander for presentation to the incoming Incident Commander along with a more detailed oral briefing. Additional pages may be added if needed. Follow the instructions provided in [Table A-9 on page A-49](#).

## Distribution

After the initial briefing of the Incident Commander and General Staff members, distribute copies of the ICS Form 201 to the Command Staff, Section Chiefs, Branch Directors, Division/Group Supervisors, and appropriate Planning and Logistics Section Unit Leaders. Give the sketched map and summary of current action portions of the briefing form to the Situation Unit. Give the Current Organization and Resources Summary portion to the Resources Unit.

**Table A-9 Instructions for Completing ICS Form 201**

Section	Description	Instructions
1	Incident Name	ENTER the name of the incident
2	Date Prepared	ENTER the current date as MONTH/DATE/YEAR
3	Time Prepared	ENTER the current time as HOURS PM/AM
4	Map Sketch	DRAW a map of the area; indicate the location of pertinent objects such as houses, helispots, the incident command post, wooded areas, edges of fires, etc.; include also the direction of the wind, the direction of north, etc.
5	Prepared By	ENTER your name and title
6	Summary of Current Actions	ENTER a summary of the actions that have occurred; for example: established perimeter control
7	Current Organization	ENTER a summary of the current organization
8	Resources Summary	ENTER a summary of the resources

## ICS 202

<b>INCIDENT OBJECTIVES</b>	<b>1. INCIDENT NAME</b>	<b>2. DATE</b>	<b>3. TIME</b>
<b>4. OPERATIONAL PERIOD (DATE/TIME)</b>			
<b>5. GENERAL CONTROL OBJECTIVES FOR THE INCIDENT (INCLUDE ALTERNATIVES)</b>			
<b>6. WEATHER FORECAST FOR OPERATIONAL PERIOD</b>			
<b>7. GENERAL SAFETY MESSAGE</b>			
<b>8. Attachments (<input checked="" type="checkbox"/> if attached)</b> <input type="checkbox"/> Organization List (ICS 203) <input type="checkbox"/> Medical Plan (ICS 206) <input type="checkbox"/> Weather Forecast <input type="checkbox"/> Assignment List (ICS 204) <input type="checkbox"/> Incident Map <input type="checkbox"/> _____ <input type="checkbox"/> Communications Plan (ICS 205) <input type="checkbox"/> Traffic Plan <input type="checkbox"/> _____			
<b>9. PREPARED BY (PLANNING SECTION CHIEF)</b>		<b>10. APPROVED BY (INCIDENT COMMANDER)</b>	

**Figure A-25 Example of ICS Form 202, Incident Objectives**

## Purpose

The ICS Form 202, Incident Objectives, is a description of the objectives of the incident. Instructions

Follow the instructions provided in [Table A-10](#) on page A-51.

## Distribution

The ICS Form 202 is prepared by the Planning Section Chief, and reviewed by the Safety Officer. This form serves only as a cover sheet and is not considered complete until attachments are included. Attach this form to the Incident Action Plan immediately after the cover page.

**Table A-10 Instructions for Completing ICS Form 202**

Section	Description	Instructions
1	Incident Name	ENTER the name of the incident
2	Date	ENTER the current date as MONTH/DATE/YEAR
3	Time	ENTER the current time using the 24-hour clock
4	Operational Period	ENTER the range of dates and/or times of the operation
5	General Control	ENTER short, clear, and concise statements of the objectives for managing the incident including alternatives; control objectives usually apply for the duration of the incident
6	Weather	ENTER the weather that is forecasted for the operational period
7	Safety Message	ENTER information such as known safety hazards and specific precautions to be observed during this operational period; if available, a safety message should be referenced and attached
8	Attachments	MARK an X in the appropriate box to indicate documents that are attached to this form; ENTER the name of any attachments <b>not</b> included in this list
9	Signature	Planning Section Chief SIGNS here
10	Approval	Incident Commander SIGNS here

## ICS 203

<b>ORGANIZATION ASSIGNMENT LIST</b>		1. INCIDENT NAME	2. DATE PREPARED	3. TIME PREPARED
POSITION	NAME	<b>4. OPERATIONAL PERIOD (DATE/TIME)</b>		
<b>5. INCIDENT COMMAND AND STAFF</b>		<b>9. OPERATIONS SECTION</b>		
INCIDENT COMMANDER		CHIEF		
DEPUTY		DEPUTY		
SAFETY OFFICER		a. BRANCH I- DIVISION/GROUPS		
INFORMATION OFFICER		BRANCH DIRECTOR		
LIAISON OFFICER		DEPUTY		
<b>6. AGENCY REPRESENTATIVES</b>		DIVISION/GROUP		
<b>AGENCY</b>	<b>NAME</b>	DIVISION/ GROUP		
		DIVISION/ GROUP		
		DIVISION/GROUP		
		DIVISION /GROUP		
<b>7. PLANNING SECTION</b>		b. BRANCH II- DIVISIONS/GROUPS		
CHIEF		BRANCH DIRECTOR		
DEPUTY		DEPUTY		
RESOURCES UNIT		DIVISION/GROUP		
SITUATION UNIT		DIVISION/GROUP		
DOCUMENTATION UNIT		DIVISION/GROUP		
DEMOBILIZATION UNIT		DIVISION/GROUP		
TECHNICAL SPECIALISTS		c. BRANCH III- DIVISIONS/GROUPS		
		BRANCH DIRECTOR		
		DEPUTY		
		DIVISION/GROUP		
		DIVISION/GROUP		
		DIVISION/GROUP		
<b>8. LOGISTICS SECTION</b>		d. AIR OPERATIONS BRANCH		
CHIEF		AIR OPERATIONS BR. DIR.		
DEPUTY		AIR TACTICAL GROUP SUP.		
a. SUPPORT BRANCH		AIR SUPPORT GROUP SUP.		
DIRECTOR		HELICOPTER COORDINATOR		
SUPPLY UNIT		AIR TANKER/FIXED WING CRD.		
FACILITIES UNIT		<b>10. FINANCE/ADMINISTRATION SECTION</b>		
GROUND SUPPORT UNIT		CHIEF		
b. SERVICE BRANCH		DEPUTY		
DIRECTOR		TIME UNIT		
COMMUNICATIONS UNIT		PROCUREMENT UNIT		
MEDICAL UNIT		COMPENSATION/CLAIMS UNIT		
FOOD UNIT		COST UNIT		
PREPARED BY (RESOURCES UNIT)				

**Figure A-26 Example of ICS Form 203, Organization Assignment List**



## Purpose

The ICS Form 203, Organization Assignment List, provides ICS personnel with information on the units that are currently activated and the names of personnel staffing each position unit. It is used to complete the Incident Organization Chart (ICS Form 207) which is posted on the Incident Command Post display.

## Instructions

An Organization Assignment List may be completed any time the number of personnel assigned to the incident increase or decrease or a change in assignment occurs. Attach the completed form to the ICS Form 202, Incident Objectives. Follow the instructions provided in [Table A-11 on page A-53](#).

## Distribution

The list is prepared and maintained by the Resources Unit under the direction of the Planning Section Chief. The Organization Assignment List is duplicated and attached to the Incident Objectives form and given to all recipients of the Incident Action Plan. The Safety Officer must review this form.

**Table A-11 Instructions for Completing ICS Form 203**

Section	Description	Instructions
1	Incident Name	ENTER the name of the incident
2	Date	ENTER the current date as MONTH/DATE/YEAR
3	Time	ENTER the current time as HOURS PM/AM
4	Operational Period	ENTER the range of dates and/or times of the operation
5	Incident Command and Staff	ENTER the names of the individuals selected for the positions
6	Agency Representatives	ENTER the names of the agencies, and the names of each representative
7	Planning Section	ENTER the names of personnel assigned to each position; additional positions can be written in the blank spaces at the bottom of the section
8	Logistics Section	ENTER the names of the Chief and Deputy of the Logistics Section; in A, ENTER the names of the Director, Supply Unit, Facilities Unit, and Ground Support Unit; in B, ENTER the names of the Director, Communications Unit, Medical Unit, and Food Unit
9	Operations Section	ENTER the names of personnel assigned to each position
10	Finance and Administration Section	ENTER the names of personnel assigned to each position
Bottom	Signature	Resources Unit SIGNS here



### Purpose

Use the ICS Form 204, Assignment List, to inform Operations Section personnel of incident assignments. Once the assignments are agreed to by the Incident Commander and General Staff, give the assignment information to the appropriate Units and Divisions via the Communications Center.

### Instructions

The Assignment List must be approved by the Planning Section Chief. When approved, it is attached to the Incident Objectives as part of the Incident Action Plan. Follow the instructions provided in [Table A-12 on page A-55](#).

### Distribution

The Assignment List is normally prepared by the Resources Unit using guidance from the Incident Objectives (ICS Form 202), Operational Planning Worksheet (ICS Form 215), and Operations Section Chief. The Assignment List is duplicated and attached to the Incident Objectives and given to all recipients of the Incident Action Plan. In some cases, assignments may be communicated via radio.

**Table A-12 Instructions for Completing ICS Form 204**

Section	Description	Instructions
1	Branch	ENTER the name of the branch
2	Division/Group	ENTER the name of the division/group
3	Incident Name	ENTER the name of the incident
4	Operational Period	ENTER the range of dates and/or times of the operation
5	Operational Personnel	ENTER the names of the individuals selected for the positions
6	Resources	ENTER the information that applies to assignments made to this period
7	Control Operations	ENTER the control operations
8	Special Instructions	ENTER a statement calling attention to any safety problems or specific precautions to be exercised or other important information
9	Communications	ENTER the summary of communications for the division/group; resource Unit Leader SIGNS on the bottom line; Planning Section Chief SIGNS on the bottom line; ENTER the current date and time

## ICS 205

<b>INCIDENT RADIO COMMUNICATIONS PLAN</b>		1. Incident Name	2. Date/Time Prepared	3. Operational Period Date/Time	
<b>4. Basic Radio Channel Utilization</b>					
System/Cache	Channel	Function	Frequency/Tone	Assignment	Remarks
5. Prepared by (Communications Unit)					

**Figure A-28 Example of ICS Form 205, Incident Radio Communications Plan**

## Purpose

The ICS Form 205, Incident Radio Communications Plan, provides in one location information on all radio frequency assignments for each operational period. The plan is a summary of information obtained from the Radio Requirement Worksheet (ICS Form 216) and the Radio Frequency Assignment Worksheet (ICS Form 217). Information from the Radio Communications Plan on frequency assignments is normally placed on the appropriate Assignment List (ICS Form 204).

## Instructions

The Incident Radio Communications Plan is prepared by the Communications Unit Leader and given to the Planning Section Chief. Detailed instructions on preparing this form may be found in ICS 223-5, Communications Unit Position Manual. Follow the instructions provided in [Table A-13 on page A-57](#).

## Distribution

The Incident Radio Communications Plan is duplicated and given to all recipients of the Incident Objectives form including the Incident Communications Center. Information from the plan is placed on Assignment Lists.

**Table A-13 Instructions for Completing ICS Form 205**

Section	Description	Instructions
1	Incident Name	ENTER the name of the incident
2	Date/Time	ENTER the date and time of preparation
3	Operational Period	ENTER the range of dates and/or times of the operation
4	Basic Radio Channel Utilization	ENTER the radio cache system(s) assigned and used on the incident (e.g., Boise Cache, FIREMARS, Region 5 Emergency Cache, etc.)
	Channel Number	ENTER the radio channel numbers assigned
	Function	ENTER the function each channel number is assigned (i.e., command, support, division tactical, and ground-to-air)
	Frequency	ENTER the radio frequency tone number assigned to each specified function (e.g., 153.400)
	Assignment	ENTER the ICS organization assigned to each of the designated frequencies (e.g., Branch I, Division A)
	Remarks	ENTER narrative information regarding special situations
5	Prepared By	ENTER the name of the Communications Unit Leader preparing the form

## ICS 206

<b>MEDICAL PLAN</b>	1. Incident Name	2. Date Prepared	3. Time Prepared	4. Operational Period			
<b>5. Incident Medical Aid Station</b>							
Medical Aid Stations	Location			Paramedics Yes No			
<b>6. Transportation</b>							
<b>A. Ambulance Services</b>							
Name	Address	Phone	Paramedics Yes No				
<b>B. Incident Ambulances</b>							
Name	Location			Paramedics Yes No			
<b>7. Hospitals</b>							
Name	Address	Travel Time Air Ground		Phone	Helipad Yes No	Burn Center Yes No	
<b>8. Medical Emergency Procedures</b>							
Prepared by (Medical Unit Leader)				10. Reviewed by (Safety Officer)			

**Figure A-29 Example of ICS Form 206, Medical Plan**

## Purpose

The ICS Form 206, Medical Plan, provides information on incident medical aid stations, transportation services, hospitals, and medical emergency procedures.

## Instructions

The Medical Plan is prepared by the Medical Unit Leader and reviewed by the Safety Officer. Follow the instructions in [Table A-14 on page A-59](#).

## Distribution

The Medical Plan can be an attachment to the Incident Objectives, or information from the plan pertaining to incident medical aid stations and medical emergency procedures may be taken from the plan and placed on Assignment Lists.

**Table A-14 Instructions for Completing ICS Form 206**

Section	Description	Instructions
1	Incident Name	ENTER the name of the incident
2	Date	ENTER the date of preparation
3	Time	ENTER the time of preparation
4	Operational Period	ENTER the date and time of the operational period for which this plan is in effect
5	Incident Medical Aid Station	ENTER the name and location of incident medical aid stations (e.g., Cajon Staging Area, Cajon Camp Ground) and MARK an X if paramedics are located at the site
6A	Transportation Ambulance Services	ENTER the name and address of ambulance services (e.g., Shaeffer, 4358 Brown Parkway, Corona); provide phone number and indicate if ambulance company has paramedics
6B	Transportation Incident Ambulances	ENTER the name of the organization providing ambulances and the incident location; indicate if paramedics are aboard
7	Hospitals	LIST the hospitals which could serve this incident; include incident name, address, the travel time by air and ground from the incident to the hospital, phone number, and indicate with a X if the hospital is a burn center and has a helipad
8	Medical Emergency Procedures	ENTER any special emergency instructions for use by incident personnel; MARK an X in the box to indicate the availability of a helipad and burn center
9	Prepared By	ENTER the name of the Medical Unit Leader preparing the form
10	Reviewed By	ENTER the name of the Safety Officer who must review the plan

## ICS 209

INCIDENT STATUS SUMMARY FS-5100-11																					
1. Date/Time				2. Initial <input type="checkbox"/>		3. Incident Name				4. Incident Number											
		Update <input type="checkbox"/>		Final <input type="checkbox"/>																	
5. Incident Commander			6. Jurisdiction			7. County			8. Type incident			9. Location			10. Started Date/Time						
11. Cause		12. Area Involved		13. % Controlled		14. Expected Containment Date/Time			15. Estimated Controlled Date/Time			16. Declared Controlled Date/Time									
17. Current Threat						18. Control Problems															
19. Est. Loss			20. Est. Savings			21. Injuries			Deaths			22. Line Built			23. Line to Build						
24. Current Weather WS Temp WD RH				25. Predicted Weather WS Temp WD RH				26. Cost to Date				27. Est. Total Cost									
28. Agencies																					
Resources	SR		ST		SR		ST		SR		ST		SR		ST		SR		ST		Totals
Kind of Resource																					
ENGINES																					
DOZERS																					
CREWS	Number of Crews:																				
	Number of Crew Personnel:																				
HELICOPTERS																					
AIR TANKERS																					
TRUCK COS.																					
RESCUE/MED.																					
WATER TENDERS																					
OVERHEAD PERSONNEL																					
TOTAL PERSONNEL																					
30. Cooperating Agencies																					
31. Remarks																					
32. Prepared by						33. Approved by						34. Sent to:									
												Date		Time		By					

Figure A-30 Example of ICS Form 209 (FS-5100-11), Incident Status Summary



### **Purpose**

Use the ICS 209 (FS-5100-11), Incident Status Summary, to summarize the status of plant health emergencies. The Incident Status Summary is used by Situation Unit personnel for posting information on Incident Command Post displays. When duplicated and provided to Command Staff members, it provides them with basic information for use in planning for the next operational period. It provides basic information to the Information Officer for preparation of media releases. It also provides incident information to agency dispatch and off-incident coordination centers.

### **Instructions**

The Incident Status Summary is prepared by the Situation Unit. Resource information should be obtained from the Resources Unit. It is scheduled for presentation to the Planning Section Chief and other General Staff members prior to each Planning Meeting and may be required at more frequent intervals by the intervals by the Incident Commander or Planning Section Chief. Follow the instructions in *Table A-15* on **page A-62**.

### **Distribution**

When completed, the form is duplicated and copies are distributed to the Incident Commander and staff, and all Section Chiefs, Planning Section Unit Leaders, and Agency Dispatch Centers. It is also posted on the display board located at the Incident Command Post.

**Table A-15 Instructions for Completing ICS Form 209**

Section <sup>1</sup>	Description	Instructions
1 m	Date/Time	ENTER the date and time of preparation
2 m	Status	MARK an X in the box to indicate an initial, update, or final summary
3 m	Incident Name	ENTER the name given to the incident by the Incident Commander or Agency
4 m	Incident Number	ENTER the number assigned to the incident by the agency
5	Incident Commander	ENTER the first initial and last name of the Incident Commander
6 m	Jurisdiction	ENTER the name of the agency or municipality
7	County	ENTER the name of the county where the incident is occurring
8 m	Type	ENTER the type of the incident: wildland fire (enter fuel type), structure fire, hazardous chemical spill, etc.
9 m	Location	ENTER the legal description and general location; use Section 31, Remarks, for additional date if necessary
10 m	Started Date/Time	ENTER the date and time the incident started
11 m	Cause	ENTER the specific cause or "Under Investigation"
12 m	Area Involved	DESCRIBE the area involved, such as 50 acres, or top three floors of building, or other.
13 m	Percent Controlled	ENTER an estimate of percent of containment.
14 m	Expected Containment	ENTER the estimated date and time of total containment.
15 m	Estimated Controlled	ENTER the estimated date and time of control.
16 m	Declared Controlled	ENTER the actual date and time the fire was declared controlled.
17 m	Current Threat	DESCRIBE significant threats to structures, watershed, timber, wildlife habitat, or other valuable resources.
18 m	Control Problems	DESCRIBE control problems, e.g.accessibility, fuels, rocky terrain, high winds, structures.
19 m	Estimated Loss	ENTER the estimated dollar value of total damage to date. Include structures, watershed, timber, etc. Be specific.
20	Estimated Savings	ENTER an estimate of values saved as a result of all suppression efforts.
21 m	Injuries	DESCRIBE any serious injuries or deaths which have occurred since the last report. Use Section 31, Remarks, for more specific detail.
22	Line Built	DESCRIBE the extent of line completed by chains or other units of measurement.
23	Line to Build	DESCRIBE line to be constructed by chains or other units of measurement.
24 m	Current Weather	ENTER the wind speed, wind direction, temperature, and relative humidity at the incident.

**Table A-15 Instructions for Completing ICS Form 209 (continued)**

Section <sup>1</sup>	Description	Instructions
25	Predicted Weather	ENTER the predicted weather conditions for the next operational period.
26	Cost to Date	ENTER the total cost to date of the incident.
27	Estimated Total Cost	ENTER the estimated total cost for the entire incident.
28 m	Agencies	LIST the agencies which have resources assigned to the incident.
29 m		ENTER the resource information under the appropriate Agency column by single resource (SR) or strike team (ST).
30 m	Cooperating Agencies	LIST by name those agencies which are providing support (e.g. Salvation Army, Red Cross, Law Enforcement, National Weather Service, etc.).
31 m	Remarks	ENTER: 1. Additional resources not covered in Section 28/29; 2. More information on location; 3. Additional information regarding threat control problems, anticipated release or demobilization, etc.
32 m	Prepared By	ENTER the name of the Incident Situation Status Unit Leader.
33 m	Approved By	ENTER the name of the Incident Planning Section Chief.
34	Sent To	ENTER the ID of the Agency entering the report.

<sup>1</sup> If the section number is followed by **m** then the section is mandatory.



## Purpose

Use the ICS Form 214, Unit Log, to record details of unit activity including strike team activity. The file of these logs provides a basic reference from which to extract information for inclusion in any after-action report.

## Instructions

Follow the instructions in [Table A-16](#) on page A-65.

## Distribution

A Unit Log is initiated and maintained by Command Staff members, Division/Group Supervisors, Air Operations Groups, Strike Team/Task Force Leaders, and Unit Leaders. Completed logs are forwarded to supervisors who provide to the Documentation Unit. At the end of each operational period, give the completed ICS Form 214 to your immediate supervisor. The Documentation Unit maintains a file of all Unit Logs. One copy of each log must be submitted to the Documentation Unit.

**Table A-16 Instructions for Completing ICS Form 214**

Section	Description	Instructions
1	Incident Name	ENTER the name given to the incident by the Incident Commander.
2	Date	ENTER the date of preparation.
3	Time	ENTER the time of preparation.
4	Unit Name	ENTER the title of the organizational unit or resource designator (such as Facilities Unit, Safety Officer, other).
5	Unit Leader	ENTER the name and ICS position of the individual in charge of the unit.
6	Operational Period	ENTER the range of dates and/or times of the operation.
7	Personnel Roster Assigned	LIST the name, position, and home base of each member assigned to the unit during the operational period.
8	Activity Log	LIST the name and briefly describe each significant occurrence or event (such as task completions, injuries, difficulties encountered, other).
9	Prepared By	ENTER the name and title of the person completing the log. Provide log to immediate supervisor at the end of each operational period.

## ICS 215A

Incident Action Plan Safety & Risk Analysis Form, ICS 215A

INCIDENT ACTION PLAN SAFETY ANALYSIS	1. Incident Name	2. Date	3. Time				
Division or Group	Potential Hazards	Mitigations (e.g., PPE, buddy system, escape routes)					
Type of Hazard:	Type of Hazard:						
Type of Hazard:	Type of Hazard:						
Type of Hazard:	Type of Hazard:						
Type of Hazard:	Type of Hazard:						
Type of Hazard:	Type of Hazard:						
Type of Hazard:	Type of Hazard:						
Type of Hazard:	Type of Hazard:						
Type of Hazard:	Type of Hazard:						
Prepared by (Name and Position)							

**Figure A-32 Example of ICS Form 215A, Incident Action Plan Safety and Risk Analysis Form**

### Purpose

Use ICS Form 215a, Incident Action Plan Safety and Risk Analysis Form, to communicate to the Operations and Planning Section Chiefs safety and health issues identified by the Safety Officer. The Resources Unit will issue the form in order to complete ICS 204 and operations briefings.

### Instructions

Follow the instructions in [Table A-17 on page A-67](#). Use additional sheets, as needed.

### Distribution

The Safety Officer is responsible for completing this form.

**Table A-17 Instructions for Completing ICS Form 215a**

Section	Description	Instructions
1	Incident Name	ENTER the name given to the incident by the Incident Commander.
2	Date	ENTER the date of preparation.
3	Time	ENTER the time of preparation.
	Division or Group	ENTER Division or Group identifiers.
	Potential Hazards	Identify the hazards associated with the incident, and then ENTER each hazard in the column marked "Type of hazard."
	Prepared By	ENTER the name and title of the person completing the form.





### Purpose

Use ICS Form 216, Radio Requirements Worksheet, to determine the total number of personal portable radios required for each Division/Group and Branch. The form provides a listing of all units assigned to each Division, and thus depicts the total incident radio needs.

### Instructions

This worksheet need not be used if the Communications Unit Leader can easily obtain the information directly from Assignment Lists. Follow the instructions in [Table A-18](#) on page A-69.

### Distribution

The worksheet is prepared by the Communications Unit for each operational period and can only be completed after specific resource assignments are made and designated on Assignment Lists. The worksheet is for internal use by the Communications Unit and therefore there is no distribution of the form.

**Table A-18 Instructions for Completing ICS Form 216**

Section	Description	Instructions
1	Incident Name	ENTER the name given to the incident by the Incident Commander.
2	Date	ENTER the date of preparation.
3	Time	ENTER the time of preparation.
4	Branch	ENTER the Branch number (I, II, etc.) for which radio requirements are being prepared.
5	Agency	ENTER the name of the agency.
6	Operational Period	ENTER the three-letter designator of the agency staffing the Branch Director position (VNC, CDF, ANF, LFD, etc.).
7	Tactical Frequency	ENTER the radio frequency to be used by the Branch Director to communicate with each Division/Group Supervisor in the Branch.
8	Division/Group	ENTER for each Division/Group in the Branch the Division/Group identifier (A, B, etc.) and the agency assigned (e.g., LAC, VNC, etc.).
9	Agency/ID No./Radio Requirements	LIST all units assigned to each Division/Group. Record the agency designator, unit or resource identification, and total number of radios needed for each unit or resource.
10	Prepared By	ENTER the name and position of the person completing the worksheet.



## Purpose

ICS Form 217, Radio Frequency Assignment Worksheet, is used by the Communications Unit Leader to assist in determining frequency allocations.

## Instructions

List the cache radio frequencies available to the incident on the form. Major agency frequencies assigned to the incident should be added to the bottom of the worksheet. Follow the instructions provided in [Table A-19 on page A-71](#).

## Distribution

The worksheet, prepared by the Communications Unit, is for internal use.

**Table A-19 Instructions for Completing ICS Form 217**

Section	Description	Instructions
1	Incident Name	ENTER the name given to the incident by the Incident Commander.
2	Date	ENTER the date of preparation.
3	Operational Period	ENTER the time interval for which the assignment applies. Record the start date/time and end date/time.
4	Incident Organization	LIST frequencies allocated for each channel for each organizational element activated, record the number of radios required to perform the designated function on the specified frequency.
5	Radio Data	ENTER the associated function for each radio cache and frequency assigned. Functional assignments are command, support, division tactical, and ground-to-air
6	Total Radios Required	ADD each column and ENTER the total in Line 6. This provides the number of radios required by each organizational unit. Also total each row which provides the number of radios using each available frequency.
7	Prepared By	ENTER the name and position of the person completing the worksheet.



### **Purpose**

The ICS Form 220, Air Operations Summary, provides the Air Operations Branch with the number, type, location, and specific assignments of helicopters and air tankers.

### **Instructions**

General air resources assignment information is obtained from the Operational Planning Worksheet (ICS Form 215) which also is completed during each Planning Meeting. Specific designators of the air resources assigned to the incident are provided by the Air and Fixed-Wing Support Groups. Follow the instructions in *Table A-20* on **page A-74**.

### **Distribution**

The Operations Section Chief or the Air Operations Branch Director will complete this form during each Planning Meeting. After the worksheet is completed by Air Operations personnel (except item 11), the form is given to the Air Support Group Supervisor and Air Tanker/Fixed-Wing Coordinator personnel. These personnel complete the form by indicating the designators of the helicopters and air tankers assigned missions during the specified operational period. This information is provided to Air Operations personnel who, in turn, give the information to the Resources Unit.

**Table A-20 Instructions for Completing ICS Form 220**

Section	Description	Instructions
1	Incident Name	ENTER the name given to the incident by the Incident Commander.
2	Operational Period	ENTER the time interval for which the assignment applies. Record the start date/time and end date/time.
3	Air Operations Distribution	ENTER the time and date when ICS Form 220 and attachments were sent to all fixed-wing bases and helibases supporting the incident.
4	Personnel and Communications	ENTER the name of the individuals in Air Operations and the primary air/air and air/ground (if applicable) radio frequencies to be used.
5	Remarks	ENTER special instructions or information, including safety notes, hazards, and priorities for Air Operations personnel.
6	Location and Function	ENTER the name of the incident to which air resources will be assigned (i.e., Div. A, Branch II, Standby), or the function to which they will be assigned (i.e., Air Tactical Group Supervisor, Situation Unit, MEDIVAC, etc.).
7	Assignment	ENTER the specific assignment (e.g., water or retardant drops, logistical support, or availability status for a specific purpose, support backup, recon, MEDIVAC, etc.). If applicable, enter the primary air/air and air/ground radio frequency to be used.
8	Fixed-Wing	ENTER the number and type (1, 2, or 3) of air tankers allocated to the location/function.
9	Helicopters	ENTER the number and type of helicopters allocated to the location/function.
10	Time Available/Commence	As applicable, ENTER the time (24-hour clock), when allocated air resources should be available and when they should commence their assignment.
11	Aircraft Assigned	ENTER the designators of the aircraft assigned. Gather information from Resources Unit, helibases, and fixed-wing bases.
12	Operating Base	ENTER the name the base (helibase, helispot, fixed-wing base) that each air resource is expected to initiate operations from.
13	Totals	ENTER the total number of fixed-wing and helicopters assigned to the incident in the number columns. ENTER the total number of each type air tanker and helicopter assigned in the Type column.
14	Air Operations Support	ENTER the designators and location of other support resources (i.e., helicopter support units, engines, IR, etc.) assigned to Air Operations.
15	Prepared By	ENTER the name of the person in Air Operations completing the form. ENTER the date and time form was completed.



## Purpose

Use the ICS Form 223, Incident Action Plan Health and Safety Message, to summarize the major hazards and risks associated with an action plan.

## Instructions

Follow the instructions provided in [Table A-21](#) on [page A-76](#).

## Distribution

In progress.

**Table A-21 Instructions for Completing ICS Form 223**

Description	Instructions
Incident Name	ENTER the name given to the incident by the Incident Commander.
Date	ENTER the date of preparation.
Time	ENTER the time of preparation.
Operational Period Date and Time	ENTER the time interval for which the assignment applies. Record the start date/time and end date/time.
Major Hazards and Risks	LIST the major hazards and risks.
Narrative	DESCRIBE the major hazards and risks.
Prepared By	ENTER the name and position of the person completing the worksheet.



## ICS 223-5

ICS Form 223-5, Communications Unit Position Manual, has not been located.



### Purpose

Use ICS Form 309, Communications Log, as a record of communications.

### Instructions

Follow the instructions provided in [Table A-22](#) on [page A-79](#)

### Distribution

In progress.

**Table A-22 Instructions for Completing ICS Form 309**

Section	Description	Instructions
1	Incident Name	ENTER the name given to the incident by the Incident Commander.
2	Date	ENTER the date and time of preparation.
3	Unit Name and Station Identification	ENTER the name of the unit and the station identification.
4	Radio Operator	ENTER the name of the operator of the radio.
5	Operational Period	ENTER the time interval for which the assignment applies. Record the start date/time and end date/time.
6	Log	LIST the time, station identifications, and subject for each radio communication.
7	Prepared By	ENTER the name and position of the person completing the worksheet.

## PPQ 301

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE  <b>REMEDIAL MEASURES BILLING</b> <i>(Statement of Services)</i>		1. ORIGINATING OFFICE AND TELEPHONE NO.  3. SERVICE DATE	2. LOCATION CODE <i>(4 Digits)</i>  4. IRS TAX ID NO./SS NO.		
5. OWNER/AGENT NAME	6. OWNER/AGENT ADDRESS	7. OWNER/AGENT TELEPHONE NO.			
<b>NOTE: Partial units must be in quarter increments (e.g., 15 minutes = 1; 30 minutes = 2; 45 minutes = 3)</b>					
8. REIMBURSABLE TIME <i>(2 hour minimum)</i>	9. UNIT COST		10. NUMBER OF UNITS		11. TOTAL DOLLARS
	FOR HOURS	FOR QUARTERS	FOR HOURS	FOR QUARTERS	
Normal Tour of Duty	\$56.00	\$14.00			
Outside Normal Tour of Duty					
Sunday/Holiday	\$74.00	\$18.50			
Other than Sunday/Holiday	\$65.00	\$16.25			
Commuted Travel Time <i>(If applicable under 7 CFR § 354.2)</i>	\$65.00	\$16.25			
					12. TOTAL REIMBURSABLE CHARGE \$ _____
13. ADDITIONAL COSTS <i>(See Attached Invoice(s))</i>  <input type="checkbox"/> Destruction \$ _____ <input type="checkbox"/> Treatment \$ _____ <input type="checkbox"/> Handling \$ _____ <input type="checkbox"/> Transit \$ _____ <input type="checkbox"/> Other \$ _____					14. TOTAL ADDITIONAL COSTS \$ _____
15. IDENTIFICATION OF CARGO  Carrier _____ Entry No. _____ Airway Bill/ Bill of Lading No. _____ Broker Reference No. _____ (If Applicable)					16. TOTAL AMOUNT DUE \$ _____
17. REMARKS					
<b>CERTIFICATION: I CERTIFY THAT SERVICES RECORDED ABOVE WERE PERFORMED.</b>					
18. PLANT PROTECTION AND QUARANTINE OFFICER'S SIGNATURE					19. SIGNATURE DATE

PPQ FORM 301-R  
APR 2001

**Figure A-38 Example of Remedial Measures Billing, PPQ Form 301-R**

## Purpose

Use PPQ Form 301-R, Remedial Measures Billing (Statement of Services) to record costs incurred when DHS–Customs and Border Protection arranges and takes remedial action for articles (import cargo) after the importer or agent fails to comply with prescribed remedial measures.

## Instructions

**Table A-23 Instructions for Completing PPQ Form 301-R**

Block	Instructions
1	ENTER the issuing office’s city, State, and telephone number (including area code)
2	ENTER the fourth through seventh digits of your local accounting code
3	ENTER the date the service is provided. If the service extends over two or more days, enter the beginning date
4	ENTER the IRS-assigned taxpayer identification number (TIN) or the individual’s Social Security number; all Federal Agencies are required to obtain a TIN from each person doing business with the Agency
5	ENTER the company or agent’s name
6	ENTER the company or agent’s complete mailing address
7	ENTER the company or agent’s telephone number (including area code)
8	ENTER a two-hour <b>minimum</b> time, regardless of when the service is provided; the two-hour <b>minimum</b> includes the Officer’s time, time spent making all necessary arrangements, and time spent completing paperwork
9	<i>Current hourly and quarter cost for services are already listed on the form</i>
10	ENTER the number of units next to the service provided
11	1. Multiply the cost per unit by the number of units 2. ENTER the total amount for that particular line
12	1. Add all the dollar amounts in <i>Block 11</i> 2. ENTER the total dollar amount
13	1. Check the appropriate boxes 2. ENTER the actual costs for each service 3. Attach supporting documentation (invoices, etc.) to the PPQ Form 301-R to substantiate the claim
14	1. Add all the amounts in <i>Block 13, Additional Costs</i> 2. ENTER the total dollar amount
15	ENTER applicable information to identify the specific cargo abandoned or seized
16	1. Add the amounts in <i>Block 12</i> and <i>Block 14</i> 2. ENTER the total dollar amount
17	List any additional comments
18	CBP Officer performing the service signs this block
19	ENTER the date the CBP Officer signed <i>Block 18</i>

## Distribution

After the form is complete, distribute PPQ Form 301-R as follows:

- ◆ Forward the billing worksheet, and copies of all associated bills, invoices, EANs, VISA and check payments, statements, etc., to the Minneapolis Financial Services Branch. The MBS will collect the money and reimburse the funds to the national accounting code.
- ◆ Keep a copy for the port file

Address

USDA-APHIS-FMD-Minneapolis Financial Services Branch  
Attn: Billings and Collection Team  
100 N. Sixth Street, 5th Floor  
Minneapolis, MN 55403  
Telephone: 612/336-3293

# PPQ 391

This report is authorized by law (7 U.S.C. 147a). While you are not required to respond your cooperation is needed to make an accurate record of plant pest conditions.

See reverse for additional OMB information.

FORM APPROVED  
OMB NO. 0579-0010

<b>U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE</b>  <b>SPECIMENS FOR DETERMINATION</b>		Instructions: Type or print information requested. Press hard and print legibly when handwritten. Item 1 - assign number for each collection beginning with year, followed by collector's initials and collector's number. Example (collector, John J. Dingle): 83-JJD-001. <b>Pest Data Section</b> - Complete Items 14, 15 and 16 or 19 or 20 and 21 as applicable. Complete Items 17 and 18 if a trap was used.		<b>FOR IIBIII USE</b> LOT NO. _____ PRIORITY _____	
1. COLLECTION NUMBER		2. DATE MO    DA    YR		3. SUBMITTING AGENCY <input type="checkbox"/> State Cooperator <input type="checkbox"/> PPQ <input type="checkbox"/> Other _____	
SENDER AND ORIGIN	4. NAME OF SENDER		INTERCEPTION SITE	5. TYPE OF PROPERTY ( <i>Farm, Feedmill, Nursery, etc.</i> )	
	6. ADDRESS OF SENDER			7. NAME AND ADDRESS OF PROPERTY OR OWNER	
	ZIP			COUNTRY/ COUNTY	
8. REASON FOR IDENTIFICATION ( <i>"x" ALL Applicable Items</i> )					
A. <input type="checkbox"/> Biological Control (Target Pest Name _____)		E. <input type="checkbox"/> Livestock, Domestic Animal Pest			
B. <input type="checkbox"/> Damaging Crops/Plants		F. <input type="checkbox"/> Possible Immigrant ( <i>Explain in REMARKS</i> )			
C. <input type="checkbox"/> Suspected Pest of Regulatory Concern ( <i>Explain in REMARKS</i> )		G. <input type="checkbox"/> Survey ( <i>Explain in REMARKS</i> )			
D. <input type="checkbox"/> Stored Product Pest		H. <input type="checkbox"/> Other ( <i>Explain in REMARKS</i> )			
9. IF PROMPT OR URGENT IDENTIFICATION IS REQUESTED, PLEASE PROVIDE A BRIEF EXPLANATION UNDER "REMARKS".					
10. HOST INFORMATION					
NAME OF HOST ( <i>Scientific name when possible</i> )			11. QUANTITY OF HOST NUMBER OF ACRES/PLANTS		PLANTS AFFECTED ( <i>Insert figure and indicate <input type="checkbox"/> Number <input type="checkbox"/> Percent</i> ):
12. PLANT DISTRIBUTION		13. PLANT PARTS AFFECTED			
<input type="checkbox"/> LIMITED	<input type="checkbox"/> Leaves, Upper Surface	<input type="checkbox"/> Trunk/Bark	<input type="checkbox"/> Bulbs, Tubers, Corms		<input type="checkbox"/> Seeds
<input type="checkbox"/> SCATTERED	<input type="checkbox"/> Leaves, Lower Surface	<input type="checkbox"/> Branches	<input type="checkbox"/> Buds		
<input type="checkbox"/> WIDESPREAD	<input type="checkbox"/> Petiole	<input type="checkbox"/> Growing Tips	<input type="checkbox"/> Flowers		
	<input type="checkbox"/> Stem	<input type="checkbox"/> Roots	<input type="checkbox"/> Fruits or Nuts		
14. PEST DISTRIBUTION					
<input type="checkbox"/> FEW		15. <input type="checkbox"/> INSECTS		<input type="checkbox"/> NEMATODES	
<input type="checkbox"/> COMMON		<input type="checkbox"/> MOLLUSKS			
<input type="checkbox"/> ABUNDANT					
<input type="checkbox"/> EXTREME					
16. SAMPLING METHOD		17. TYPE OF TRAP AND LURE		18. TRAP NUMBER	
19. PLANT PATHOLOGY - PLANT SYMPTOMS ( <i>"X" one and describe symptoms</i> ) <input type="checkbox"/> ISOLATED <input type="checkbox"/> GENERAL					
20. WEED DENSITY <input type="checkbox"/> FEW <input type="checkbox"/> SPOTTY <input type="checkbox"/> GENERAL		21. WEED GROWTH STAGE <input type="checkbox"/> SEEDLING <input type="checkbox"/> VEGETATIVE <input type="checkbox"/> FLOWERING/FRUITING <input type="checkbox"/> MATURE			
22. REMARKS					
23. TENTATIVE DETERMINATION					
24. DETERMINATION AND NOTES ( <i>Not for Field Use</i> )					
				<i>FOR IIBIII USE</i>	
				DATE RECEIVED	
				NO. LABEL SORTED PREPARED	
				DATE ACCEPTED	
				RR	
SIGNATURE _____		DATE _____			

PPQ FORM 391 Previous editions are obsolete.  
(AUG 02)

This is a 6-Part form. Copies must be disseminated as follows:

- PART 1 - PPQ     PART 2 - RETURN TO SUBMITTER AFTER IDENTIFICATION     PART 3 - IIBIII OR FINAL IDENTIFIER  
 PART 4 - INTERMEDIATE IDENTIFIER     PART 5 - INTERMEDIATE IDENTIFIER     PART 6 - RETAINED BY SUBMITTER

Figure A-39 Example of PPQ Form 391, Specimens For Determination, page 1

**OMB Information**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0010. The time required to complete this information collection is estimated to average .25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

**Instructions**

Use PPQ Form 391, Specimens for Determination, for domestic collections (warehouse inspections, local and individual collecting, special survey programs, export certification).

BLOCK	INSTRUCTIONS
1	<p>1. Assign a number for each collection beginning the year, followed by the collector's initials and collector's number</p> <p><b>EXAMPLE</b> <span style="border: 1px solid black; padding: 2px;">In 2001, Brian K. Long collected his first specimen for determination of the year. His first collection number is 01-BLK-001</span></p> <p>2. Enter the collection number</p>
2	Enter date
3	Check block to indicate Agency submitting specimens for identification
4	Enter name of sender
5	Enter type of property specimen obtained from (farm, nursery, feedmill, etc.)
6	Enter address
7	Enter name and address of property owner
8A-8L	Check all appropriate blocks
9	Leave Blank
10	Enter scientific name of host, if possible
11	Enter quantity of host and plants affected
12	Check block to indicate distribution of plant
13	Check appropriate blocks to indicate plant parts affected
14	Check block to indicate pest distribution
15	<ul style="list-style-type: none"> <li>• Check appropriate block to indicate type of specimen</li> <li>• Enter number specimens submitted under appropriate column</li> </ul>
16	Enter sampling method
17	Enter type of trap and lure
18	Enter trap number
19	Enter X in block to indicate isolated or general plant symptoms
20	Enter X in appropriate block for weed density
21	Enter X in appropriate block for weed growth stage
22	Provide a brief explanation if Prompt or URGENT identification is requested
23	Enter a tentative determination if you made one
24	Leave blank

**Distribution of PPQ Form 391**

Distribute PPQ Form 391 as follows:

1. Send Original along with the sample to your Area Identifier.
2. Retain and file a copy for your records.

**Figure A-40 Example Of PPQ Form 391, Specimens for Determination, page 2**



### **Purpose**

Submit PPQ Form 391, Specimens for Determination, along with specimens sent for positive or negative identification. PPQ 391 is also used for other domestic collections (other special survey programs, export certification, local and individual collections, and warehouse inspections).

### **Instructions**

Follow the instructions in *Table A-24* on page A-86.

### **Distribution**

Distribute PPQ Form 391 as follows:

- 1.** Send the original along with the sample to your Area Identifier.
- 2.** Retain and file a copy for your records.

**Table A-24 Instructions for Completing PPQ Form 391, Specimens for Determination**

Block	Instructions
1 COLLECTION NUMBER	1. ASSIGN a collection number for each collection as follows: last 2 digits of the current year - collector's initials - 3-digit number, starting with 001 2. CONTINUE consecutive numbering for each subsequent collection 3. ENTER the collection number
2 DATE	ENTER the date of the collection
3 SUBMITTING AGENCY	PLACE an X in the PPQ block
4 NAME OF SENDER	ENTER the sender's or collector's name
5 TYPE OF PROPERTY	ENTER the type of property where the specimen was collected (farm, feed mill, nursery, etc.)
6 ADDRESS OF SENDER	ENTER the sender's or collector's address
7 NAME AND ADDRESS OF PROPERTY OR OWNER	ENTER the name and address of the property where the specimen was collected
8A-8H REASONS FOR IDENTIFICATION	PLACE an X in the correct block
9 IF PROMPT OR URGENT IDENTIFICATION IS REQUESTED, PLEASE PROVIDE A BRIEF EXPLANATION UNDER "REMARKS"	LEAVE blank; ENTER remarks in <i>Block 22</i>
10 HOST INFORMATION NAME OF HOST	If known, ENTER the scientific name of the host
11 QUANTITY OF HOS	If applicable, ENTER the number of acres planted with the host
12 PLANT DISTRIBUTION	PLACE an X in the applicable box
13 PLANT PARTS AFFECTED	PLACE an X in the applicable box
14 PEST DISTRIBUTION FEW/Common/ABUNDANT/EXTREME	PLACE an X in the appropriate block
15 INSECTS/NEMATODES/MOLLUSKS	PLACE an X in the applicable box to indicate type of specimen
NUMBER SUBMITTED	ENTER the number of specimens submitted as ALIVE or DEAD under the appropriate stage
16 SAMPLING METHOD	ENTER the type of sample
17 TYPE OF TRAP AND LURE	ENTER the type of sample
18 TRAP NUMBER	ENTER the sample numbers
19 PLANT PATHOLOGY-PLANT SYMPTOMS	If applicable, check the appropriate box; otherwise LEAVE blank
20 WEED DENSITY	If applicable, check the appropriate box; otherwise LEAVE blank
21 WEED GROWTH STAGE	If applicable, check the appropriate box; otherwise LEAVE blank
22 REMARKS	If PROMPT or URGENT identification is required, indicate and give a brief explanation

**Table A-24 Instructions for Completing PPQ Form 391, Specimens for Determination (continued)**

Block		Instructions
23	TENTATIVE DETERMINATION	ENTER the suspected pest; and DET: [ <i>initials and last name</i> ] for tentative determination
24	DETERMINATION AND NOTES ( <b>Not</b> for Field Use)	LEAVE blank; will be completed by the official identifier



### Purpose

The primary purpose of PPQ Form 523, Emergency Action Notification, is to order an individual or company to take an action, such as the treatment of articles, cargoes, or carriers or the destruction of articles or cargoes within a specified period of time. This form is used for all plants, plant products, animal products and animal by-products, including meat and meat products in cargo, and is issued to the owner (or owner's agent) of the article, cargo, or carrier.

PPQ Form 523 is available in electronic format and is useful for tracking and communication purposes. Ad hoc reports can be created and are useful for compliance and validation, analysis of pest and animal disease risk, regulatory enforcement, and to support domestic surveys and trapping. The data can be used by both USDA-APHIS and DHS-CBP personnel in the U.S. and International Services.

### Instructions

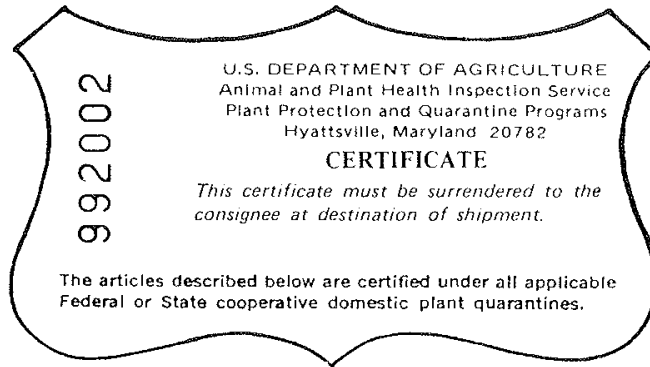
Complete instructions for using and distributing PPQ Form 523 can be found in the *PPQ Manual for Agricultural Clearance* (available to internal stakeholders **only**).

Address

PPQ Manual for Agricultural Clearance

<https://cbp.aphis.usda.gov/ppq/php/manual/mac.pdf>

## PPQ 540



1. DATE ISSUED \_\_\_\_\_ 2. VOID AFTER \_\_\_\_\_

3. NAME OF CONSIGNOR \_\_\_\_\_

4. SHIPPING POINT \_\_\_\_\_

5. NAME & ADDRESS OF CONSIGNEE \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

6. VEHICLE LICENSE NO. & STATE \_\_\_\_\_ 7. R. R. CAR INITIALS & NO. \_\_\_\_\_

8. DESCRIPTION		
QUANTITY A	ARTICLE B	REMARKS C

9. SIGNATURE OF ISSUING INSPECTOR \_\_\_\_\_

**PENALTY FOR MISUSE OR ALTERATION  
(7-USC-163)**

PPQ FORM 540 (11/76)  
 PPQ FORM 540 (1/73) MAY BE USED ISSUING INSPECTOR'S COPY

Figure A-41 Example of Federal Certificate, PPQ Form 540

### **Purpose**

PPQ Form 540 is normally used for the certification of bulk shipments of regulated articles which meet the certification requirements of all Federal or State cooperative domestic plant quarantines applicable at point of origin.

### **Instructions**

Information written on PPQ Form 540 must be legible and accurate. If erroneous entries are made, destroy the certificate and make another. Minor errors may be crossed out but must be initialed.

The void date entered in block 2 should receive the particular attention of the issuing officer and any officer intercepting shipment in transit. The issuing officer should be sure sufficient time is allowed for the shipment to reach destination. An intercepting officer should note the void date on the certificate. If the time noted has elapsed and there is question concerning it, contact should be made between the intercepting and issuing officers for clarification.

### **Distribution**

The original copy accompanies the shipment and is attached to the copy of the shipping document which is surrendered to the consignee at destination.

The first carbon (green) is forwarded, at the discretion of the issuing officer, to the destination officer to alert him about the shipment coming into the State.

The second carbon (white) is kept by the issuing officer and is retained for one year after issuance.

## MRP 65

<b>ANNUAL VEHICLE INSPECTION</b>		USDA-MPR	DATE OF INSPECTION <small>(Include on MPR Form 64 for quarter in which inspected)</small>	ODOMETER READING
VEHICLE NO.	LICENCE PLATE NO.	MAKE	MODEL	MODEL YEAR
<small>CODE: 1 = OK; 2 = Repairs or adjustments needed; 3 = Repairs or adjustments made (not to exceed \$500 without approval from Regional Office)                      IF VEHICLE IS SCHEDULED TO BE REPLACED, REPAIR SAFETY ITEMS ONLY (Not to exceed \$500 without approval from Regional Office)</small>				
<b>SECTION I – TO BE COMPLETED AT A COMMERCIAL OR GOVERNMENT FACILITY BY A QUALIFIED MECHANIC</b>				
<b>1. ENGINE</b>	CODE	<b>2. BRAKES</b>	CODE	<b>5. STEERING</b>
a. Manifold Heat Control Valve		b. Drums/rotors		d. Tire Rod Ends
b. PCV Valve		c. Cylinder/Caliper leaks		e. Wheel
c. Motor Mounts		d. Wheel Bearings		1. Sway or Drift
d. Emissions control/catalytic converter		e. Fluid level		2. Excessive Play
e. Hoses		f. Pedal operation		3. Binding
f. Belts		g. Parking/Emergency Brakes		<b>6. LIGHTS</b>
g. Battery		<b>3. SUSPENSION</b>		a. Headlights
1. Connections		a. Front-end alignment		1. Alignment
2. Carrier and hold down		b. Upper and lower control arms		b. Parking Lights
h. Fuses		c. Springs		c. Tail Lights
i. Speedometer/odometer		d. Ball joints		d. Breaking Lights
j. Radiator		e. Center bolts		e. Turn Signals
1. Pressure Cap		f. U-bolts		f. License Plate Light
2. Antifreeze level		g. Shock absorbers		g. Interior/Trunk
k. Transmission		h. Differential fluid		h. Instrument Panel
1. Bends		<b>4. EXHAUST SYSTEM</b>		<b>7. TIRES</b>
2. Linkage		a. Muffler		a. Rotation
3. Fluid level		b. Pipes		b. Pressure
l. Heating/Air Conditioning System		c. Hangers and clamps		c. Tread
m. Horn		<b>5. STEERING</b>		<b>8. STATE OR COUNTY INSPECTION REQUIREMENTS MET</b>
n. Clutch		a. Arms		<input type="checkbox"/> Met <input type="checkbox"/> Not Met
<b>2. BRAKES</b>		b. Mounting Bolts		
a. Lining/Pads		c. Drag Link		
<b>SECTION II – TO BE COMPLETED BY THE DRIVER, VEHICLE ACCOUNTABLE OFFICER, OR SAFETY OFFICER</b>				
<b>9. EXTERIOR</b>	CODE	<b>11. WINDOWS</b>	CODE	<b>12. SAFETY ITEMS/EMERGENCY KIT</b>
a. Body Condition		a. Condition		h. Spare Tire
b. License Plates		b. Opening/closing operation		i. List of Poison Control Centers Emergency #s
c. Brackets and Bolts – Hood Latch		c. Defrosters		j. Toxic Material Antidote Information
d. Molding		d. Wipers/washers		
e. Bumper		<b>12. SAFETY ITEMS/EMERGENCY KIT</b>		
f. Decals		a. First Aid Kit		
g. General appearance		b. Flashlight		
h. Doors		c. Pliers/Screwdriver		
<b>10. INTERIOR</b>		d. Warning Signals/Flares		
a. Mirrors		e. Hammer		<b>13. MAINTENANCE SCHEDULE COMPLIANCE</b>
b. Seatbelts		f. Jack		<input type="checkbox"/> Met <input type="checkbox"/> Not Met
c. Decals		g. Accident Reporting Kit (includes Instructions and forms)		
d. Instrument panel gauges				
14. NAME, ORGANIZATION, AND ADDRESS OF PERSON DOING INSPECTION (Commercial or Government Facility)		15. NAME, ORGANIZATION, AND ADDRESS OF DRIVER, VAO, OR SAFETY OFFICER DOING INSPECTION		
16. SIGNATURE OF QUALIFIED MECHANIC		17. SIGNATURE OF DRIVER/VAO/SAFETY OFFICER		
18. REPAIRS WERE NOT MADE BECAUSE:				

Repairs between \$500 - \$1,000 require approval at regional level. Repairs over \$1,000 require approval by Property Section, MBS

MRP FORM 65  
AUG 2000

**Figure A-42 Example of MRP Form 65, Annual Vehicle Inspection**



### **Purpose**

Use MRP Form 65, Annual Vehicle Inspection, as a record of vehicle inspections. The need for vehicle inspections will vary among agencies and States. Follow the guidelines outlined in the MRP *Motor Vehicle Fleet Management Manual*. The *Manual* provides guidance to MRP employees and contractors operating MRP-owned and -leased motor vehicles in support of the MRP mission. The *Manual* is intended to aid motor vehicle operators in maintaining vehicle safety, obtaining better fuel efficiency, and ensuring maximum vehicle utilization.

During plant health emergencies, staff members may be assigned Government-owned or leased vehicles from other programs. If so, the vehicle remains under the parent program's administrative control, unless the vehicle requires servicing while being used for the emergency. If a vehicle requires inspection or service while being used in for a plant health emergency, then the emergency program is responsible for providing the necessary service.

Consult with Incident Commanders for more detailed information.

### **Instructions**

Section I should be completed at a commercial or government facility by a qualified mechanic. Section II should be completed by the driver, Vehicle Accountable Officer, or Safety Officer.

### **Distribution**

The Incident Commanders, and the Safety Officer, are responsible for maintaining a local file for the MRP Form 65.



### **Purpose**

Use the MRP Form 125-R, Defensive Driver Training Log, as a record of Driver Safety Training for all emergency staff. Employees must complete the Driver Safety Training course prior to driving a Government-owned or -leased vehicle. A refresher course is required every three years.

The Driver Safety Training course is available for new and returning students on the Safety Serve Web site. Before taking the online course, students must request a password from the Safety, Health, and Wellness Branch.

Additional information concerning the operation of vehicles can be found in the MRP *Motor Vehicle Fleet Management Manual*. The *Manual* provides guidance to MRP employees and contractors operating MRP-owned and -leased motor vehicles in support of the MRP mission. The *Manual* is intended to aid motor vehicle operators in maintaining vehicle safety, obtaining better fuel efficiency, and ensuring maximum vehicle utilization.

Consult with Incident Commanders for information that may be specific to the plant health emergency.

### **Instructions**

The supervisor is responsible for ensuring that the employee's defensive driving training is current, and employees are to inform them of successful completion of training. Employees will keep their course completion card readily available in the event of emergency program call-up.

### **Distribution**






Employees should inform their supervisors when they have successfully completed defensive driver training.

# SF 91

<b>MOTOR VEHICLE ACCIDENT REPORT</b>	Please read the Privacy Act Statement on Page 3.	INSTRUCTIONS: Sections I thru IX are filled out by the vehicle operator. Section X, Items 72 thru 82c are filled out by the operator's supervisor. Sections XI thru XII are filled out by an accident investigator for bodily injury, fatality, and/or damage exceeding \$500.			
<b>SECTION I - FEDERAL VEHICLE DATA</b>					
1. DRIVER'S NAME (Last, first, middle)		2. DRIVER'S LICENSE NO./STATE/LIMITATIONS		3. DATE OF ACCIDENT	
4a. DEPARTMENT/FEDERAL AGENCY PERMANENT OFFICE ADDRESS			4b. WORK TELEPHONE NUMBER		
5. TAG OR IDENTIFICATION NUMBER	6. EST. REPAIR COST \$	7. YEAR OF VEHICLE	8. MAKE	9. MODEL	
11. DESCRIBE VEHICLE DAMAGE				10. SEAT BELTS USED <input type="checkbox"/> YES <input type="checkbox"/> NO	
<b>SECTION II - OTHER VEHICLE DATA (Use Section VII if additional space is needed.)</b>					
12. DRIVER'S NAME (Last, first, middle)			13. DRIVER'S LICENSE NUMBER/STATE/LIMITATIONS		
14a. DRIVER'S WORK ADDRESS			14b. WORK TELEPHONE NUMBER		
15a. DRIVER'S HOME ADDRESS			15b. HOME TELEPHONE NUMBER		
16. DESCRIBE VEHICLE DAMAGE			17. ESTIMATED REPAIR COST \$		
18. YEAR OF VEHICLE	19. MAKE OF VEHICLE	20. MODEL OF VEHICLE		21. TAG NUMBER AND STATE	
22a. DRIVER'S INSURANCE COMPANY NAME AND ADDRESS			22b. POLICY NUMBER		
			22c. TELEPHONE NUMBER		
23. VEHICLE IS <input type="checkbox"/> CO-OWNED <input type="checkbox"/> RENTAL <input type="checkbox"/> LEASED <input type="checkbox"/> PRIVATELY OWNED		24a. OWNER'S NAME(S) (Last, first, middle)		24b. TELEPHONE NUMBER	
25. OWNER'S ADDRESS(ES)					
<b>SECTION III - KILLED OR INJURED (Use Section VIII if additional space is needed.)</b>					
26. NAME (Last, first, middle)			27. SEX	28. DATE OF BIRTH	
29. ADDRESS					
A	30. MARK "X" IN TWO APPROPRIATE BOXES <input type="checkbox"/> KILLED <input type="checkbox"/> DRIVER <input type="checkbox"/> PASSENGER <input type="checkbox"/> INJURED <input type="checkbox"/> HELPER <input type="checkbox"/> PEDESTRIAN		31. IN WHICH VEHICLE <input type="checkbox"/> FED <input type="checkbox"/> OTHER (2)	32. LOCATION IN VEHICLE	33. FIRST AID GIVEN BY
	34. TRANSPORTED BY		35. TRANSPORTED TO		
	36. NAME (Last, first, middle)			37. SEX	38. DATE OF BIRTH
39. ADDRESS					
B	40. MARK "X" IN TWO APPROPRIATE BOXES <input type="checkbox"/> KILLED <input type="checkbox"/> DRIVER <input type="checkbox"/> PASSENGER <input type="checkbox"/> INJURED <input type="checkbox"/> HELPER <input type="checkbox"/> PEDESTRIAN		41. IN WHICH VEHICLE <input type="checkbox"/> FED <input type="checkbox"/> OTHER (2)	42. LOCATION IN VEHICLE	43. FIRST AID GIVEN BY
	44. TRANSPORTED BY		45. TRANSPORTED TO		
	a. NAME OF STREET OR HIGHWAY		b. DIRECTION OF PEDESTRIAN (SW corner to NE corner, etc.) FROM _____ TO _____		
46. Pedestrian	c. DESCRIBE WHAT PEDESTRIAN WAS DOING AT TIME OF ACCIDENT (Crossing intersection with signal, against signal, diagonally; in roadway playing, walking, hitchhiking, etc.)				

Previous edition not usable This form was electronically produced by National Production Services **STANDARD FORM 91 PAGE 1 (REV. 2-93)**  
Prescribed by GSA - FPMR 101-38.6

Figure A-44 Example of Motor Vehicle Accident Report, SF 91, page 1

SECTION IV - ACCIDENT TIME AND LOCATION <i>(Use Section VIII if additional space is needed.)</i>																													
47. DATE OF ACCIDENT	48. PLACE OF ACCIDENT <i>(Street address, city, state, ZIP Code; Nearest landmark; Distance nearest intersection; Kind of locality (industrial, business, residential, open country, etc.); Road description).</i>																												
49. TIME OF ACCIDENT	<div style="text-align: center;">AM</div> <div style="text-align: center;">PM</div>																												
50. INDICATE ON THIS DIAGRAM HOW THE ACCIDENT HAPPENED		51. POINT OF IMPACT <i>(Check one for each vehicle)</i>																											
<p><i>Use one of these outlines to sketch the scene. Write in street or highway names or numbers.</i></p> <p>a. Number Federal vehicle as 1, other vehicle as 2, additional vehicle as 3 and show direction of travel with arrow.</p> <p>Example: </p> <p>b. Use solid line to show path before accident and broken line after the accident </p> <p>c. Show pedestrian by </p> <p>d. Show railroad by </p> <p>e. Place arrow in this circle to indicate NORTH </p>		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;">FED</td> <td style="width: 10%;">2</td> <td style="width: 80%;">AREA</td> </tr> <tr> <td></td> <td></td> <td>a. FRONT</td> </tr> <tr> <td></td> <td></td> <td>b. R. FRONT</td> </tr> <tr> <td></td> <td></td> <td>c. L. FRONT</td> </tr> <tr> <td></td> <td></td> <td>d. REAR</td> </tr> <tr> <td></td> <td></td> <td>e. R. REAR</td> </tr> <tr> <td></td> <td></td> <td>f. L. REAR</td> </tr> <tr> <td></td> <td></td> <td>g. R. SIDE</td> </tr> <tr> <td></td> <td></td> <td>h. L. SIDE</td> </tr> </table>	FED	2	AREA			a. FRONT			b. R. FRONT			c. L. FRONT			d. REAR			e. R. REAR			f. L. REAR			g. R. SIDE			h. L. SIDE
FED	2	AREA																											
		a. FRONT																											
		b. R. FRONT																											
		c. L. FRONT																											
		d. REAR																											
		e. R. REAR																											
		f. L. REAR																											
		g. R. SIDE																											
		h. L. SIDE																											
52. DESCRIBE WHAT HAPPENED <i>(Refer to vehicles as "Fed", "2", "3", etc. Please include information on posted speed limit, approximate speed of the vehicles, road conditions, weather conditions, driver visibility, condition of accident vehicles, traffic controls (warning light, stop signal, etc.) condition of light (daylight, dusk, night, dawn, artificial light, etc.) and driver actions (making U-turn, passing, stopped in traffic, etc.).</i>																													

SECTION V - WITNESS/PASSENGER <i>(Witness must fill out SF 94, Statement of Witness) (Continue in Section VIII.)</i>			
A	53. NAME <i>(Last, first, middle)</i>	54. WORK TELEPHONE NUMBER	55. HOME TELEPHONE NUMBER
	56. BUSINESS ADDRESS	57. HOME ADDRESS	
B	58. NAME <i>(Last, first, middle)</i>	59. WORK TELEPHONE NUMBER	60. HOME TELEPHONE NUMBER
	61. BUSINESS ADDRESS	62. HOME ADDRESS	

SECTION VI - PROPERTY DAMAGE <i>(Use Section VIII if additional space is needed.)</i>			
63a.	NAME OF OWNER	63b. OFFICE TELEPHONE NUMBER	63c. HOME TELEPHONE NUMBER
63d.	BUSINESS ADDRESS	63e. HOME ADDRESS	
64a.	NAME OF INSURANCE COMPANY	64b. TELEPHONE NUMBER	64c. POLICY NUMBER
65.	ITEM DAMAGED	66. LOCATION OF DAMAGED ITEM	67. ESTIMATED COST \$

SECTION VII - POLICE INFORMATION			
68a.	NAME OF POLICE OFFICER	68b. BADGE NUMBER	68c. TELEPHONE NUMBER
69.	PRECINCT OR HEADQUARTERS	70a. PERSON CHARGED WITH ACCIDENT	70b. VIOLATION(S)

STANDARD FORM 91 PAGE 2 (REV. 2-93)

Figure A-45 Example of Motor Vehicle Accident Report, SF 91, page 2

**SECTION VIII - EXTRA DETAILS**

SPACE FOR DETAILED ANSWERS. INDICATE SECTION AND ITEM NUMBER FOR EACH ANSWER. IF MORE SPACE IS NEEDED, CONTINUE ITEMS ON PLAIN BOND PAPER.

**SECTION IX - FEDERAL DRIVER CERTIFICATION**

In compliance with the Privacy Act of 1974, solicitation of the information requested on this form is authorized by Title 40 U.S.C. Section 491. Disclosure of the information by a Federal employee is mandatory as the first step in the Government's investigation of a motor vehicle accident. The principal purposes for using this information is to provide necessary data for legal counsel in legal actions resulting from the accident and to provide accident information/statistics in analyzing accident causes and developing methods of reducing accidents. Routine use of information may be by Federal, State or local governments, or agencies, when relevant to civil, criminal, or regulatory investigations or prosecutions. An employee of a Federal agency who fails to report accurately a motor vehicle accident involving a Federal vehicle or who refuses to cooperate in the investigation of an accident may be subject to administrative sanctions.

I certify that the information on this form (Sections I thru VIII) is correct to the best of my knowledge and belief.

71a. NAME AND TITLE OF DRIVER	71b. DRIVER'S SIGNATURE AND DATE
-------------------------------	----------------------------------

**SECTION X - DETAILS OF TRIP DURING WHICH ACCIDENT OCCURRED**

72. ORIGIN	73. DESTINATION
------------	-----------------

74. EXACT PURPOSE OF TRIP

75. TRIP BEGAN	DATE	TIME (Circle one)	76. ACCIDENT OCCURRED	DATE	TIME (Circle one)
		a.m. p.m.			a.m. p.m.

77. AUTHORITY FOR THE TRIP WAS GIVEN TO THE OPERATOR <input type="checkbox"/> ORALLY <input type="checkbox"/> IN WRITING (Explain)	78. WAS THERE ANY DEVIATION FROM DIRECT ROUTE <input type="checkbox"/> NO <input type="checkbox"/> YES (Explain)
---	---

79. WAS THE TRIP MADE WITHIN ESTABLISHED WORKING HOURS <input type="checkbox"/> YES <input type="checkbox"/> NO (Explain)	80. DID THE OPERATOR, WHILE ENROUTE, ENGAGE IN ANY ACTIVITY OTHER THAN THAT FOR WHICH THE TRIP WAS AUTHORIZED. <input type="checkbox"/> NO <input type="checkbox"/> YES (Explain)
--	--

81. COMPLETED BY DRIVER'S SUPERVISOR	a. DID THIS ACCIDENT OCCUR WITHIN THE EMPLOYEE'S SCOPE OF DUTY <input type="checkbox"/> YES <input type="checkbox"/> NO	b. COMMENTS
--------------------------------------	---	-------------

82a. NAME AND TITLE OF SUPERVISOR	82b. SUPERVISOR'S SIGNATURE AND DATE	82c. TELEPHONE NUMBER
-----------------------------------	--------------------------------------	-----------------------

STANDARD FORM 91 PAGE 3 (REV. 2-93)

**Figure A-46 Example of Motor Vehicle Accident Report, SF 91, page 3**

**SECTION XI - ACCIDENT INVESTIGATION DATA**

83. DID THE INVESTIGATION DISCLOSE CONFLICTING INFORMATION.  YES  NO *(If "Yes", explain below.)*

84. PERSONS INTERVIEWED			
NAME	DATE	NAME	DATE
a.		c.	
b.		d.	

85. ADDITIONAL COMMENTS *(Indicate section and item number for each comment.)*

**SECTION XII - ATTACHMENTS**

LIST ALL ATTACHMENTS TO THIS REPORT

**SECTION XIII - COMMENTS/APPROVAL**

86. REVIEWING OFFICIAL'S COMMENTS

87. ACCIDENT INVESTIGATOR	88. ACCIDENT REVIEWING OFFICIAL
a. SIGNATURE AND DATE	a. SIGNATURE AND DATE
b. NAME <i>(First, middle, last)</i>	b. NAME <i>(First, middle, last)</i>
c. TITLE	c. TITLE
d. OFFICE	d. OFFICE
e. OFFICE TELEPHONE NUMBER	e. OFFICE TELEPHONE NUMBER

STANDARD FORM 91 PAGE 4 (REV. 2-93)

**Figure A-47 Example of Motor Vehicle Accident Report, SF 91, page 4**

### **Purpose**

Use SF Form 91, Motor Vehicle Accident Report, to report an accident involving a Government-owned motor vehicle.

### **Instruction**

Follow the instructions provided in [Table A-25](#) on page A-101.

### **Distribution**

Give the completed form to your supervisor. Within seven days, your supervisor must send the completed form to Marketing and Regulatory Programs Business Services–Administrative Services Division–Personal Property. Find contact information at the MRPBS–ASD–Personal Property Web site.



**Table A-25 Instructions for Completing SF Form 91, Motor Vehicle Accident Report**

Section	Description	Instructions
I	Federal Vehicle Data	
1	Driver's Name	ENTER the last, first, and middle names of the driver
2	Driver's License	ENTER the driver's license number, State, and limitations
3	Date	ENTER the date of the accident
4a	Address	ENTER the name of the Department and Federal Agency, and the permanent office address of the driver
4b	Telephone Number	ENTER the office telephone number of the driver
5	Tag	ENTER the number of the tag or identification
6	Estimate Repair	ENTER the amount of the estimate of costs, in dollars, to repair the vehicle
7	Year of Vehicle	ENTER the year of the vehicle
8	Make of Vehicle	ENTER the make of the vehicle
9	Model of Vehicle	ENTER the model of the vehicle
10	Seat Belts Used	MARK the appropriate box with an X to indicate Yes or No
11	Vehicle Damage	DESCRIBE the damage to the Federal vehicle
II	Other Vehicle Data (Use Section VII if additional space is needed)	
12	Driver's Name	ENTER the last, first, and middle names of the driver
13	Driver's License	ENTER the driver's license number, State, and limitations
14a	Driver's Address	ENTER the address of the driver's place of work
14b	Work Telephone	ENTER the office telephone number of the driver
15a	Driver's Address	ENTER the home address of the driver
15b	Home Telephone	ENTER the home telephone number of the driver
16	Vehicle Damage	DESCRIBE the damage to the vehicle
17	Estimate Repair	ENTER the amount of the estimate of costs, in dollars, to repair the vehicle
18	Year of Vehicle	ENTER the year of the vehicle
19	Make of Vehicle	ENTER the make of the vehicle
20	Model of Vehicle	ENTER the model of the vehicle
21	Tag and State	ENTER the tag number and State of the vehicle
22a	Insurance	ENTER the name and address of the driver's insurance company
22b	Policy Number	ENTER the number of the driver's insurance policy
22c	Telephone Number	ENTER the telephone number of the owner
23	Ownership	MARK the appropriate box with an X to indicate the ownership of the vehicle: co-owned, rental, leased, or privately owned
24a	Name of Owner	ENTER the last, first, and middle names of the owner
24b	Telephone Number	ENTER the telephone number of the owner
25	Owner's Address	ENTER the addresses of the owners
III	Killed or Injured (Use Section VIII if additional space is needed)	

**Table A-25 Instructions for Completing SF Form 91, Motor Vehicle Accident Report**

Section	Description	Instructions
26	Name of A	ENTER the last, first, and middle name of killed or injured person designated as A
27	Sex	ENTER F to indicate female; ENTER M to indicate male
28	Birth Date	ENTER the date of birth for the killed or injured individual
29	Address	ENTER the address of the killed or injured individual
30	Status and Role	MARK an X in the appropriate box to indicate killed or injured, and then MARK an X in a box to indicate their role as one of the following: Driver, Helper, Passenger, or Pedestrian
31	In Which Vehicle	MARK an X in the appropriate box to indicate whether or not the vehicle was Federally-owned
32	Location in Vehicle	ENTER the seating location of the individual inside the vehicle
33	First-Aid	ENTER the name of the person performing first-aid
34	Transported	ENTER the means of transportation away from the site
35	Transported To	ENTER the destination of the individual
36	Name of B	ENTER the last, first, and middle name of killed or injured person designated as B
37	Sex	ENTER F to indicate female. ENTER M to indicate male
38	Birthdate	ENTER the date of birth for the killed or injured person
39	Address	ENTER the address of the killed or injured person
40	Status and Role	MARK an X in the appropriate box to indicate killed or injured, and then MARK an X in a box to indicate their role as one of the following: Driver, Helper, Passenger, or Pedestrian
41	In Which Vehicle	MARK an X in the appropriate box to indicate whether or not the vehicle was Federally-owned
42	Location in Vehicle	ENTER the seating location of the person inside the vehicle
43	First-Aid	ENTER the name of the person performing first-aid
44	Transported	ENTER the means of transportation away from the site
45	Transported To	ENTER the destination of the person
46a	Street or Highway	ENTER the location of the pedestrian at the time of the accident
46b	Direction	ENTER the direction of travel of the pedestrian; for example: from SW corner to NE corner
46c	Description	ENTER what the pedestrian was doing at the time of the accident



# Appendix B

## *All Hazards Management*

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### Introduction

Use this appendix to learn more about the roles of PPQ staff members when responding to emergencies that are unrelated to outbreaks of pests and diseases that threaten agricultural production.

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### Emergency Support Function #11

*Emergency Support Function #11–Agriculture and Natural Resources Annex* provides guidance for all USDA agencies during an emergency response, including APHIS–PPQ staff members. The incidents are referred to as all hazards incidents, and their management is referred to as all hazards management. All hazards emergencies are those unrelated to outbreaks of pests and diseases threatening agricultural production.

Address *Emergency Support Function # 11–Agriculture and Natural Resources Annex*  
<http://www.fema.gov/pdf/emergency/nrf/nrf-esf-11.pdf>

The National Response Framework (NRF) presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies—from the smallest incident to the largest catastrophe. As part of the NRF, Emergency Support Functions (ESFs) are primary mechanisms at the operational level used to organize and provide

assistance. This series of courses provides an overview of each of the 15 ESFs. This course introduces *Emergency Support Function #11–Agriculture and Natural Resources Annex*.

APHIS follows the statutory authority to respond to animal and plant health emergencies. The National Response Framework designates fifteen Emergency Support Function (ESF) annexes that define various components of potential emergency response needs. Coordinated by the Federal Emergency Management Agency (FEMA), the 15 ESFs are activated as appropriate during emergencies.

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## All Hazards Management

Emergency Support Function #11 (ESF #11) encompasses the agricultural components of emergency response. Three agencies within USDA (APHIS, Food and Nutrition Service (FNS), and Food Safety and Inspection Service (FSIS)) and the Department of the Interior (DOI) support FEMA in ESF #11 functions. Areas of support include:

- ◆ Nutrition assistance
- ◆ Animal disease and plant disease response activities
- ◆ Safety and security of the commercial food supply
- ◆ Protection of natural and cultural resources and historic properties
- ◆ Safety and well-being of household pests.

USDA-APHIS has been designated by FEMA as the Federal coordinator for ESF #11 efforts, which includes preparation and response activities. APHIS' Office of Emergency Management and Homeland Security (OEMHS) is the lead program in ESF #11 oversight, coordinating communication and activities among APHIS, FNS, FSIS and DOI on behalf of USDA, ensuring each program is properly prepared and capable of responding to an all-hazards emergency should ESF #11 activation occur by FEMA.

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## Activation

The Secretary of Homeland Security and the Federal Emergency Management Agency (FEMA) will activate ESF #11 in response to a potential or actual incident that will require a coordinated effort by Federal agencies. Coordinated with State, Tribal and local incident management officials and private entities,

ESF #11 actions are conducted with the Joint Field Office (JFO) Unified Coordination Group, the Regional Response Coordination Center (RRCC), and the National Response Coordination Center (NRCC) as required.

---

## Coordination

National coordination by USDA occurs at the National Response Coordination Center. The coordinator, together with support agencies and non-Federal partners, assesses the situation and appropriate actions. Supporting organizations are alerted and requests are forwarded that they provide representation. At the regional level, USDA provides the regional point of contact at the Regional Response Coordination Center. Staffing for ESF #11 will also occur on a 24 hour basis at the Joint Field Office for the duration of the incident.

---

## Incident Management Assistance Team

The U.S. Department of Homeland Security–Federal Emergency Management Agency (FEMA), in coordination with the Regional Response Coordination Center and the State government, may initiate and deploy an Incident Management Assistance Team. Composed of subject matter experts and Incident Command System professionals, Team members may be drawn from national or regional Federal department and agency staff according to established protocols. The Teams may make arrangements to establish Federal field facilities and initiate the establishment of the Joint Field Office.



# Appendix C

## *Data Systems*

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### **Introduction**

In an effort to ensure program objectives are met, PPQ Emergency Programs requires a great deal of resources and personnel in collecting and report of data. Operational information is collected from activities including survey and detection, regulatory and compliance, pesticide treatment applications, and identification.

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### **Plant Health Information System**

The Plant Health Information System (PHIS) will be used in PPQ emergency programs by integrating current data systems focused on the core program functions of survey, detection, diagnostics, and regulation. With a standard data definition, each core program has been developed and integrated with one current system, those being the Integrated Survey Information System (ISIS) for Survey and Detection activities; the Pest Identification Database and included PHIS module for Diagnostic efforts; and the Emergency Action Notification (EAN) database for required Regulatory needs. Being adaptable, PHIS has the capability to integrate other systems as long as standard definitions are met and communication protocols are followed.

## **Geographic Information System**

Geographic Information System (GIS) is a type of software program that enables the management of location data and associated attributes related to the spatial reference of Earth. GIS is utilized in PPQ's emergency programs to provide a visual display of operational activities, including survey and detection (trap location) regulatory and compliance (establishment location), and treatment activities (grower location).



# Appendix D

## *Identification Services*

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### **National Identification Services**

The USDA–APHIS–PPQ–National Identification Services (PPQ–NIS) coordinates the identification of plant pests in support of USDA’s emergency and regulatory programs. Accurate and timely identifications provide the foundation for quarantine action decisions and are essential in the effort to safeguard the nation’s agricultural and natural resources.

National Identification Services works with scientists who specialize in various plant pest groups, including weeds, insects, mites, snails, and plant diseases. These scientists are stationed at a variety of institutions around the country, including Federal research laboratories, plant inspection stations, land grant universities, and natural history museums.

Additionally, the NIS–Molecular Diagnostics Laboratory is responsible for providing biochemical testing services in support of pest monitoring programs.



On June 13, 2007, the PPQ Deputy Administrator issued PPQ Policy No. PPQ-DA-2007-02 which established the role of PPQ–NIS as the point of contact for all domestically-detected and -introduced plant pest confirmations and communications. For additional information, contact the Domestic Diagnostics Coordinator.

Address	Joel Floyd, Domestic Diagnostics Coordinator USDA–APHIS–PPQ–Plant Safeguarding and Pest Identification National Identification Service 4700 River Rd., Unit 52 Riverdale, MD 20737 Telephone: (301) 734-4396 Fax (301) 734-5276 Email: joel.p.floyd@aphis.usda.gov
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## Procedure for New Pest Detection Initiating a Potential Response

Prior to the initiation of an emergency response, a suspected new pest must be identified by a NIS-recognized authority in order for Federal action to proceed. Use the following procedures:

### Identifiers, Taxonomists, or Laboratories

If identifiers, taxonomists, or laboratories at the State, university, or institution level suspect they have a plant pest that is new to the United States, or a quarantine pest of limited distribution in a new State, the specimens should be forwarded to a NIS-recognized taxonomic authority for final confirmation. Before forwarding suspect specimens from a Cooperative Agricultural Pest Survey Program (CAPS) survey, please complete a PPQ Form 391 ([page A-83](#)) with the tentative determination and notify the State Plant Regulatory Official (SPRO), State Plant Health Director (SPHD) in your State

along with the PPQ Regional Office and the PPQ Domestic Diagnostics Coordinator. *See Shipping* on page D-4 and *Taxonomic Authority* on page D-4 for additional information.

If you have a plant pest that is:	Then:	And:	And:
<ul style="list-style-type: none"> <li>◆ New to the United States, or</li> <li>◆ A quarantine pest of limited distribution in a new State</li> </ul>	Forward the specimens to a NIS-recognized taxonomic authority for final confirmation	Complete a PPQ Form 391 with the tentative determination ( <i>See PPQ 391</i> on page A-83)	Notify your: <ul style="list-style-type: none"> <li>◆ State Plant Regulatory Official</li> <li>◆ State Plant Health Director</li> <li>◆ PPQ Regional Office</li> <li>◆ PPQ Domestic Diagnostics Coordinator</li> </ul>

### State Taxonomist, University, or Area Identifier

If a State taxonomist, or a university or area identifier believes they have a plant pest that is new to the United States, special routing and documentation may be necessary depending on the suspect pest. Notify the Regional Program Manager and the Domestic Diagnostics Coordinator to determine where to send it for confirmation if guidelines are not clear. Most suspect specimens will be sent to an address found in the *Manual for Agricultural Clearance, Appendix G, Lists of PPQ Area Identifiers and PPQ National Specialists*, Tables G-1-4 and G-1-5. Use Table G-1-4 (urgent listings) for suspected new country or State record; and, use Table G-1-5 (prompt listings) for all others. *See Shipping* on page D-4 and *Taxonomic Authority* on page D-4 for additional information.

Address	Joel Floyd, Domestic Diagnostics Coordinator USDA–APHIS–PPQ–Plant Safeguarding and Pest Identification National Identification Service 4700 River Rd., Unit 52 Riverdale, MD 20737 Telephone: (301) 734-4396 Fax: (301) 734-5276 Email: joel.p.floyd@aphis.usda.gov
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Address	<i>Manual for Agricultural Clearance</i> (available to internal stakeholders <b>only</b> ) <a href="https://cbp.aphis.usda.gov/ppq/php/manual/mac.pdf">https://cbp.aphis.usda.gov/ppq/php/manual/mac.pdf</a>
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## Shipping

When the specimen is being forwarded to a specialist, follow these steps:

1. Select an overnight carrier.
2. Ensure the specimen is properly and securely packaged.
3. Include the hard copy of the PPQ Form 391 (*PPQ 391* on page A-83) marked as urgent if it is a suspect new pest, or prompt as above.
4. Fax a copy of the completed PPQ Form 391 to the Domestic Diagnostics Coordinator, or send a PDF in an email to [nis.urgents@usda.gov](mailto:nis.urgents@usda.gov) with the tracking number of the overnight carrier.

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## Taxonomic Authority

The USDA–ARS–Systematic Entomology Laboratory (SEL) is typically the taxonomic authority for insects and mites. For mollusks and weeds, PPQ has their own identifiers at the national level for confirmations of new introductions. In the case of plant diseases requiring molecular confirmation, laboratories performing screening of suspect samples may have to be accredited by USDA–CPHST and proficiency tested for a particular organism before being authorized to process program samples. The final confirmation of a new plant diseases and nematodes of regulatory importance require confirmation at our laboratories in Beltsville, Maryland.

All final confirmations received from PPQ–NIS recognized authorities, positive or negative, are communicated by PPQ–NIS to the PPQ Emergency and Domestic Programs (PPQ–EDP) staff in PPQ headquarters. PPQ–EDP then notifies the appropriate PPQ program managers and the SPHD and SPRO simultaneously.

---

## Identification Confirmations of Pests from New Areas

Once the first U.S. detection is made for a new pest requiring a response by PPQ and States, subsequent new detections may require further confirmation by an PPQ–NIS recognized authority until a system is agreed upon for confirming pests by the State or locally. Depending on the visibility of the pest program and the difficulty of identifying the pest, new county records may also

require a PPQ–NIS recognized authority for confirmation of the pest. If a new detection of the same pest is made in other States, this normally requires confirmation by an NIS recognized authority.

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## Sorting and Screening of Samples

During delimitation surveys, samples should be prepared prior to examination by an identifier. Sample preparation includes sorting, screening, and documentation. Training of surveyors to properly prepare samples is essential for smooth processing during an emergency.

Sorting is the first level of activity that assures samples are of the correct target group of pests. Sorting insect samples includes removing debris and confirming the insect order or family. Sorting of plant disease survey samples includes selecting samples with appropriate symptoms. Surveyors may be required to demonstrate their ability to recognize the target pest.

Screening requires a higher level of expertise. Screening of samples includes separation of suspect target pests from known nontarget pests, or from a native species of similar taxa. Only the suspect target species or unknown species are forwarded to an identifier for confirmation. There can be first level screening and second level depending on the difficulty and complexity of the group. The degree of screening required is dependent on the difficulty of identifying the target group. Screeners require training, experience, and demonstrated ability.

Check individual survey protocols to determine if samples should be sorted, screened or sent entire (raw) before submitting for identification. If not specified in the protocol, assume that samples should be sorted at some level.

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## Setting Up a Local Identification Center for an Emergency Response

The Incident Commanders and Regional Program Managers should consult with PPQ–NIS when setting up an identification infrastructure, during the initial stages of a response. After the first confirmation, subsequent confirmations may continue to require national level confirmations. Depending on the pest species targeted for a response, it may be necessary for a local laboratory or identification center to be established in order to handle samples collected during delimiting surveys or trace forward investigations. This may be as simple as microscopic examination of a pest. Identification of some pests

might require the establishment of a center where certain extraction protocols are performed in order to properly obtain samples for identification from plant or soil samples. There may be a molecular diagnostic component conducted at the center as well.

Standards for receiving samples should be in place including logging them in, and tracking them as they are processed. Laboratories must be arranged to prevent contamination, either from the environment, or from other samples being processed in the same facility. If samples are being tested from other States, and are potentially alive or viable, USDA–APHIS permits for interstate movement of samples are required for the laboratory. The facility, if being considered within, or especially outside a quarantine area, may have certain additional containment requirements assessed at the time permits are issued. Contact the PPQ–Permit Unit for more information.

If final determinations are being made on samples at the response identification center or laboratory, then qualified identifiers or diagnosticians with that responsibility must be making those determinations. This may be in the form of identification authority conferred by PPQ–NIS or some kind of accreditation system put in place for the location. Specialized training of diagnosticians and identifiers may be necessary along with prior experience, demonstrated ability, and educational credentials. A system of quality control that includes labeled unknown specimens may be necessary to test the integrity of the processing and diagnostic processes.

Procedures for extractions and processing samples for identification must be written, including methods for decontamination, documentation, routing, sample data recording and reporting, as well as safety precautions. A laboratory or facility manager must take responsibility to ensure everyone involved in the activity is qualified and trained properly and that standards are adhered to for proper sample integrity and accountability.

Address [USDA–APHIS–Plant Health Permits  
https://www.aphis.usda.gov/plant-imports](https://www.aphis.usda.gov/plant-imports)



# Appendix E

## *Pesticide Use*

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### Authority

In accordance with Section 18 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) as Amended, the Environmental Protection Agency (EPA) permits PPQ to make off-label treatments for an emergency project on a short-term basis under a crisis or quarantine exemption. PPQ develops and makes control measures available with involved States. If treatments selected or proposed are not in conformance with current pesticide labels, an emergency exemption can be requested and obtained under Section 18, or 24(c), special local need, of FIFRA, as amended.

### Exemptions

Detailed information on exemptions is available in the *Code of Federal Regulations* (CFR 40, Chapter I, Part 166).

The FIFRA Coordinator in the Emergency Management Staff of PPQ's Emergency Domestic Programs will submit the appropriate paperwork to EPA.

Under the provisions of Section 18 of FIFRA, EPA can grant exemptions of FIFRA if emergency conditions exist. Emergency conditions exist only when the situation is urgent and non-routine; in addition, the following two conditions must be met:

- ◆ No effective pesticides are registered and available
- ◆ No feasible alternative practices are available

There are three types of emergency exemptions used by APHIS–PPQ:

- ◆ Specific
- ◆ Quarantine

◆ Crisis

However, using a pesticide in an emergency project on a long-term basis requires a specific or quarantine exemption.

At times, PPQ will cooperate on emergency projects where the State holds the Section 18 or Special Local Need under FIFRA section 24(c).

### Specific Exemptions

Specific exemptions, which last one year, are usually requested by States. They may be authorized in an emergency situation to: Avert a significant economic loss or significant risk to endangered species, threatened species, beneficial organisms, or the environment.

### Quarantine Exemptions

Quarantine exemptions, which last three years, may be granted in an emergency situation to either State or Federal authorities to control the introduction or spread of any pest new to or not known to be widely distributed in the United States or its Territories.

### Crisis Exemptions

Crisis exemptions may be used in an emergency situation by either States or Federal authorities when: The time from discovery of the emergency to the time when the pesticide use is needed is insufficient to allow for the authorization of a quarantine exemption. After a crisis exemption is authorized by EPA, the requesting authority has 15 days to submit a quarantine exemption application to EPA.

Address

Pesticide Emergency Exemptions  
<https://www.epa.gov/pesticide-registration/pesticide-emergency-exemptions>

Guidance on FIFRA registrations  
<https://www.epa.gov/laws-regulations/summary-federal-insecticide-fungicide-and-rodenticide-act>

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## Labeling

Pesticides may be applied legally only to those sites specifically listed on the label as follows:

- ◆ On a standard pesticide label;
- ◆ On an EPA quarantine exemption authorization letter (40 CFR Part 166; “Exemption of Federal and State Agencies for use of pesticides under emergency conditions”);

- ◆ Upon verbal approval by EPA, as described in a Crisis Request Letter written to the EPA by a Federal or State Agency (40 CFR Part 166.40);  
or
- ◆ On a Section 18 or 24(c) Special Local Need label.

A standard pesticide label must be registered within the State where its use is intended. Some States may also require State registrations for Federally-approved Crisis or Quarantine Exemptions.

While the proposed chemicals below are approved for an effective eradication program, these chemicals may not be labeled, at the time of a pest detection, for the specific use-site where treatment is required. If a chemical is not labeled for the needed use, it may be possible to request a Federal crisis or quarantine exemption from EPA under Section 18 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA).

All applicable label directions for use must be followed, including requirements for personal protection equipment, maximum treatment rates, storage and disposal.





# Appendix F

## *Remedial Measures and Cost Recovery*

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### Emergency Action Notification

In emergency programs where regulatory or treatment actions are taken to mitigate or prevent the potential spread of a new or uncommon pest or noxious weed, an Emergency Action Notification is issued generally specifying remedial measures that must be carried out by the owner of an infested, or potentially infested item. These regulatory actions are ordered to take place within a specified, reasonable time period (length depending on the pest risk) in order to properly safeguard an item from potentially disseminating pests that are new or not widely prevalent. For further information, refer to [PPQ 523](#) on [page A-88](#).

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### Cost Recovery

If owners or agents of these regulated articles fail to comply with the recommended actions within the specified time period, PPQ has the authority under section 414 (a) (1,2,3) of the Plant Protection Act, to take the action and recover costs from the owner or agent. This policy applies to domestic regulatory activities and to programs situations where a Declaration of Extraordinary Emergency has been made by the Secretary of Agriculture.

## **Violations**

Violations are documented and then the owner or agent is given a warning to take action, after which PPQ arranges for the remediations to take place. The Remedial Measures Billing Form (*PPQ 391* on **page A-83**) is used to document these costs and is submitted to the Minneapolis business site where collections are processed.



# Appendix G

## *Environmental Compliance*

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### **Overview**

Virtually all programs and emergency responses require documentation of compliance with environmental laws prior to the start of program activities, which is usually done via consultation with Environmental Services (ES), a unit of APHIS' Policy and Program Development Staff (PPD). ES prepares environmental documentation such as Environmental Impact Statements (EIS) and Environmental Assessments (EA) to aid in program operational decisions, as well as Endangered Species Act consultation. ES also coordinates pesticide registration and approvals for APHIS pest control and eradication programs, ensuring that registrations and approvals meet program use needs and conform to pesticide use requirements.

In addition, PPQs Environmental Compliance Team assists ES in the development of required documentation and implements any environmental monitoring that may be required of program activities.

To answer questions about PPQ environmental compliance and to ensure that any regulatory and other program actions anticipated have the proper environmental documentation, contact the Environmental Compliance team in PPQ headquarters. They are within the PPQ Emergency and Domestic Programs (EDP) staff.

## National Environmental Policy Act

The National Environmental Policy Act (NEPA) requires that Federal agencies document the potential adverse effects of their actions. The process often requires public input. The exact nature of the documentation and public involvement is dictated by the potential for adverse effects and the significance of those effects.

It is likely that most pest control responses will include actions that need up to 30 days of public comment prior to initiation. Therefore, it is imperative to involve Environmental Services and Environmental Compliance early in the planning process. Doing so assures public involvement and a quick response. Depending on the proposed program, NEPA requirements will be met with a categorical exclusion, environmental assessment, or environmental impact statement. Some programs can prepare their own NEPA documentation.

Contact Environmental Services (ES) or Environmental Compliance (EC) if you are unsure which document should be prepared, or if you have little experience writing such document.

Address

EPA- NEPA

<https://www.epa.gov/nepa/what-national-environmental-policy-act>

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## Endangered Species Act

The Endangered Species Act (ESA) requires that all Federal actions, including emergency responses, do not harm Federally protected threatened or endangered species. Before an action can begin, it must be determined if protected species are in the project area. If such species are present, measures must be put in place to protect them from potential adverse effects of the action. Such work requires coordination with the U.S. Fish and Wildlife Service and/or the National Marine Fisheries Service. Several methods are available to ensure compliance with ESA, but the exact one chosen is dictated by the nature of the emergency, proposed response, and location.

As soon as possible in the early stages of the response, contact staff at Environmental Services (ES) or Environmental Compliance (EC), who can provide the necessary guidance and support in conducting the necessary analyses and developing the required documentation.

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### **Federal Insecticide, Fungicide, and Rodenticide Act**

The Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) requires that chemicals used for control have approved labels and that all label requirements are followed. These requirements can include applicable uses, maximum application rates, handling instructions, and personal protective equipment. If no label is available for the emergency in question (i.e., the pest of concern is not listed as one for which the chemical may be used), it is possible to obtain a new label or a label exemption. If a label change is needed or no label can be located for your program needs, immediately contact Environmental Services (ES), who can assist in label changes and emergency use exemptions.

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### **Other Laws**

The National Environmental Policy Act, Endangered Species Act, and the Federal Insecticide, Fungicide, and Rodenticide Act, are of critical importance to all pest control programs, but other laws may apply depending on program locations and activities. These include the Migratory Bird Treaty Act, the Coastal Zone Management Act, and the Bald and Golden Eagle Protection Act. By including Environmental Services (ES) and Environmental Compliance (EC) early in program planning, guidance can be provided on meeting the requirements of these and other laws that may apply.

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## **Environmental Monitoring**

Environmental monitoring of APHIS pest control activities may be required as part of compliance with the above laws, as requested by program managers, or as suggested to address concerns with controversial activities. This is especially true for less benign chemical controls and aerial application of chemicals.

Monitoring may be conducted with regards to worker exposure, quality assurance and control, off-site deposition, or program efficacy. Different tools and techniques are used depending on the monitoring goals, program chemicals, and control techniques. Environmental monitoring is coordinated by Environmental Compliance (EC). Staff from EC will work with the program manager to develop an environmental monitoring plan, conduct training to implement the plan, provide day-to-day guidance on monitoring, and provide an interpretive report of monitoring activities.



# Appendix H

## *Orientation Package*

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### **Introduction**

One of the personnel responsibilities of the Planning Section is to prepare orientation packages and provide orientation and training to the employees coming on site. The orientation packages may include information about the program's mission, directions on completing record keeping forms such as time and attendance records and travel vouchers, maps and information about the local area and motel accommodations, and details of assignments, responsibilities, safety hazards and precautions, and work hours.

---

### **Topics for Orientation Packages**

Following is a list of common topics found in orientation packages that were prepared for emergency program orientations.

#### **Program Orientation**

- ◆ Program organizational chart
- ◆ Project work sites
- ◆ Plant pest life history
- ◆ Pesticide fact sheet information
- ◆ List of hosts
- ◆ Guidelines for dealing with the news media
- ◆ Daily activity report
- ◆ Program questionnaire
- ◆ Safety information specific to the program

## Personnel

- ◆ Personal data sheet
- ◆ Personnel emergency information
- ◆ Employment data sheet
- ◆ Policy on performance evaluation
- ◆ Sexual harassment statement
- ◆ Local hiring requirements

## Communication

- ◆ Authorized card number for business calls
- ◆ Identification codes and passwords for data entry
- ◆ Telephone toll call register (blanks and samples)
- ◆ Radio procedures
- ◆ List of program numbers for telephone, FAX, and email

## Travel

- ◆ Travel voucher checklist
- ◆ Travel voucher (blanks and samples)
- ◆ Lodging (hotel/apartment)/restaurants
- ◆ Per diem/general information
- ◆ Rental vehicle/air transportation

## Procurement

- ◆ Accounting code
- ◆ Credit card or accounts
- ◆ Procedures
- ◆ VISA
- ◆ Office supplies

## Vehicles

- ◆ Federal vehicle policy
- ◆ Driver's license verification
- ◆ Vehicle maintenance and repair
- ◆ Monthly vehicle report (blanks and samples)
- ◆ Vehicle problems



- ◆ Vehicle accident procedures

### **Time And Attendance**

- ◆ Worksheet (blanks and samples)
- ◆ How to complete, when to send, where to send
- ◆ Unscheduled overtime (blank)

### **Miscellaneous**

- ◆ Earthquake information
- ◆ Sources for maps (aerial, city, county)

To support the regulatory aspects of a program, the orientation package may include information on such topics as:

- ◆ List and map of quarantine area
- ◆ Copy of authority to enforce quarantine
- ◆ Daily regulatory activity report
- ◆ Models of Compliance Agreements for regulated public
- ◆ Guidelines for seizures
- ◆ Notice of violation forms
- ◆ Civil penalties flow chart

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