National Response Plan

December 2004

Homeland Security

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Preface

In Homeland Security Presidential Directive (HSPD)-5, the President directed the development of a new National Response Plan (NRP) to align Federal coordination structures, capabilities, and resources into a unified, all-discipline, and all-hazards approach to domestic incident management. This approach is unique and far reaching in that it, for the first time, eliminates critical seams and ties together a complete spectrum of incident management activities to include the prevention of, preparedness for, response to, and recovery from terrorism, major natural disasters, and other major emergencies. The end result is vastly improved coordination among Federal, State, local, and tribal organizations to help save lives and protect America's communities by increasing the speed, effectiveness, and efficiency of incident management.

The NRP represents a true "national" framework in terms of both product and process. The NRP development process included extensive vetting and coordination with Federal, State, local, and tribal agencies, nongovernmental organizations, private-sector entities, and the first-responder and emergency management communities across the country. The NRP incorporates best practices from a wide variety of incident management disciplines to include fire, rescue, emergency management, law enforcement, public works, and emergency medical services. The collective input we received from our public- and private-sector partners has been, and will continue to be, absolutely critical to the implementation and continued refinement of the core concepts included in this groundbreaking national plan.

The NRP is built on the template of the National Incident Management System (NIMS), which provides a consistent doctrinal framework for incident management at all jurisdictional levels, regardless of the cause, size, or complexity of the incident. The activation of the NRP and its coordinating structures and protocols—either partially or fully—for specific Incidents of National Significance provides mechanisms for the coordination and implementation of a wide variety of incident management and emergency assistance activities. Included in these activities are Federal support to State, local, and tribal authorities; interaction with nongovernmental, private donor, and private-sector organizations; and the coordinated, direct exercise of Federal authorities, when appropriate.

The NRP is also an essential element of the broader policy coordination and reconciliation mechanisms of the Federal Government. The operational and resource coordinating structures described in the NRP are designed to support existing White House policy mechanisms and decisionmaking entities during the response to a specific threat or incident. Also, while the NRP itself creates no new authorities, it serves to unify and enhance the incident management capabilities and resources of individual agencies and organizations acting under their own authorities in response to a wide array of potential threats and hazards.

Implementation of the NRP and its supporting protocols will require extensive cooperation, collaboration, and information-sharing across jurisdictions, as well as between the government and the private sector at all levels. The Letter of Instruction included with the NRP provides specific guidance on the phased implementation of the plan. I ask for your continued cooperation and assistance as we begin the implementation process for the NRP. I look forward to working with you as we use this new foundational plan to improve our national incident management capability across the board.

Tom Ridge
Secretary
Department of Homeland Security

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Letter of Agreement

The National Response Plan (NRP) is an all-discipline, all-hazards plan that establishes a single, comprehensive framework for the management of domestic incidents. It provides the structure and mechanisms for the coordination of Federal support to State, local, and tribal incident managers and for exercising direct Federal authorities and responsibilities. The NRP assists in the important homeland security mission of preventing terrorist attacks within the United States; reducing the vulnerability to all natural and manmade hazards; and minimizing the damage and assisting in the recovery from any type of incident that occurs.

By signing this letter of agreement, Federal departments and agencies and other organizations commit to:

- Supporting NRP concepts, processes, and structures and carrying out their assigned functional responsibilities to ensure effective and efficient incident management, including designating representatives to staff interagency coordinating structures, as required;
- Agreeing to the terms and conditions, as if separately signed, in the "Memorandum of Agreement: Mutual Aid for Incidents of National Significance (non-Stafford Act)," set forth in the Financial Management Support Annex, Attachment 3, December 2004, in the NRP (this provision is applicable only to Federal departments and agencies);
- Providing cooperation, resources, and support to the Secretary of Homeland Security in the implementation of the NRP, as appropriate and consistent with their own authorities and responsibilities;
- Cooperating with appropriate Federal incident management leadership including the Principal Federal Official, Federal Coordinating Officer, and Federal Resource Coordinator, as appropriate and consistent with their own authorities and responsibilities, in order to enable effective and efficient incident management;
- Modifying existing interagency and agency incident management and emergency response plans to facilitate compliance with the NRP;
- Forming and maintaining incident management partnerships with State, local, tribal, and regional entities, the private sector, and nongovernmental organizations;
- Utilizing department- and agency-specific authorities, resources, and programs to facilitate incident management activities in accordance with the NRP; and
- Developing, exercising, and refining headquarters and regional capabilities to ensure sustained operational readiness in support of the NRP.

Signatory departments and agencies follow.

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Letter of Instruction

Implementation Guidance

General

The National Response Plan (NRP) is effective upon issuance with a phased implementation process during the first year. During the first 120 days of this implementation process, the Initial NRP (INRP), Federal Response Plan (FRP), U.S. Government Domestic Terrorism Concept of Operations Plan (CONPLAN), and Federal Radiological Emergency Response Plan (FRERP) remain in effect. The implementation phases are as follows:

- **Phase I – Transitional Period (0 to 60 days):** This 60-day timeframe is intended to provide a transitional period for departments and agencies and other organizations to modify training, designate staffing of NRP organizational elements, and become familiar with NRP structures, processes, and protocols.
- **Phase II – Plan Modification (60 to 120 days):** This second 60-day timeframe is intended to provide departments and agencies the opportunity to modify existing Federal interagency plans to align with the NRP and conduct necessary training.
- **Phase III – Initial Implementation and Testing (120 days to 1 year):** Four months after its issuance, the NRP is to be fully implemented, and the INRP, FRP, CONPLAN, and FRERP are superseded. Other existing plans remain in effect, modified to align with the NRP. During this timeframe, the Department of Homeland Security (DHS) will conduct systematic assessments of NRP coordinating structures, processes, and protocols implemented for actual Incidents of National Significance (defined on page 4 of the NRP), national-level homeland security exercises, and National Special Security Events (NSSEs). These assessments will gauge the plan's effectiveness in meeting specific objectives outlined in Homeland Security Presidential Directive-5 (HSPD-5). At the end of this period, DHS will conduct a 1-year review to assess the implementation process and make recommendations to the Secretary on necessary NRP revisions. Following this initial review, the NRP will begin a deliberate 4-year review and reissuance cycle.

The Secretary of Homeland Security may accelerate the implementation of the NRP if warranted by circumstances.

Requirements

This section provides specific requirements or recommendations for the Secretary of Homeland Security; Federal departments and agencies; State, local, and tribal governments; and private-sector and nongovernmental organizations (NGOs) to enable full NRP implementation.

Secretary of Homeland Security

Within 120 days of the issuance of this plan, in coordination and consultation with other departments and agencies, the Secretary of Homeland Security will:

- Develop and publish detailed operational procedures for the Homeland Security Operations Center (HSOC), National Response Coordination Center (NRCC), Interagency Incident Management Group (IIMG), and Joint Field Office (JFO);
- Identify appropriate assets and establish agreements and procedures for their rapid deployment and employment in accordance with the NRP Catastrophic Incident Supplement;
- Designate representatives to staff the HSOC, NRCC, and IIMG; and
- Develop appropriate training programs for HSOC, IIMG, NRCC, Principal Federal Official (PFO), and Federal Coordinating Officer (FCO) cadres.

Within 1 year of its effective date, the Secretary of Homeland Secretary will conduct an interagency review to assess the effectiveness of the NRP, identify improvements, and provide recommendations regarding plan modifications and reissuance, if required.

Federal Departments and Agencies

As required by HSPD-5, Federal departments and agencies will:

- Provide cooperation, resources, and support to the Secretary of Homeland Security in the implementation of the NRP, as appropriate and consistent with their own authorities and responsibilities;
- Designate representatives to staff the HSOC, NRCC, and IIMG;

- Carry out responsibilities assigned in the Emergency Support Function (ESF) Annexes to the NRP, developing supplemental plans and procedures as required;
- Establish connectivity with and report incidents to the National Joint Terrorism Task Force (NJTTF), the HSOC, and the National Counterterrorism Center (NCTC) as outlined in section V (page 46) of this document; and
- Within 120 days of the issuance of this plan, modify existing interagency incident management and emergency response plans and protocols, to the extent authorized by law, incorporating:
  - Linkages to key NRP processes and coordinating structures (i.e., the IIMG, HSOC, NRCC, Regional Response Coordination Center (RRCC), JFO, etc.);
  - Principles and terminology used in the National Incident Management System (NIMS) and NRP;
  - NRP incident-reporting requirements;
  - Procedures for transitioning from localized incidents to Incidents of National Significance; and
  - Accelerated resource activation, mobilization, and deployment requirements outlined in the NRP Catastrophic Incident Annex.

Modifications to existing Federal interagency plans must be completed and reported to DHS within 120 days of the publication of the NRP. When it may not be feasible for plan modifications to be completed within 120 days (such as the National Oil and Hazardous Substances Pollution Contingency Plan (NCP)[1]), agencies must commence modification within this timeframe and provide a timeline for completion to the Secretary of Homeland Security.

State, Local, and Tribal Governments and Nongovernmental Organizations

State, local, and tribal governments and NGOs are requested to:

- Utilize established incident reporting protocols to notify local and regional Joint Terrorism Task Forces (JTTFs) and the HSOC, as appropriate, as outlined in section V (page 46) of this document.
- Coordinate with the HSOC regarding procedures for establishing connectivity for domestic incident management purposes. Local government procedures should be coordinated with the respective State government and/or emergency management agency.
- Modify existing incident management and emergency operations plans within 120 days (or no later than the next major plan maintenance cycle) to ensure proper alignment with NRP coordinating structures, processes, and protocols.
- Notify the Secretary of Homeland Security of any substantial conflicts between this plan and State or tribal government laws or regulations. This plan is not intended to compromise existing State or tribal government laws or corresponding incident management or emergency response plans.

Federal Regional Organizations

Federal regional organizations will:

- Designate representatives to the RRCC and Regional Interagency Steering Committee (RISC) at the request of the Secretary of Homeland Security;
- Develop regional supplements to the NRP as required; and
- Update existing standard operating procedures (SOPs) pertaining to the RRCC to align with NRP requirements.

Private Sector

Private-sector owners and operators, particularly those who represent critical elements of infrastructure or key resources whose disruption may have national or major regional impact, are encouraged (or in some cases required under law) to develop appropriate emergency response and business continuity plans and information-sharing and incident-reporting protocols that are tailored to the unique requirements of their respective sector or industry, and that clearly map to regional, State, and local emergency response plans and information-sharing networks.

These plans and information-sharing and reporting protocols should be consistent with the NRP Base Plan and supporting annexes.

[1] The NCP is a regulation subject to notice and comment requirements. For modifications to the NCP, rulemaking activities will be commenced within 120 days of publication of this plan.

Foreword

Organization of the National Response Plan

The National Response Plan (NRP) consists of the components depicted in Figure 1 on the following page. The paragraphs below describe each of the components.

- The **Base Plan** describes the structure and processes comprising a national approach to domestic incident management designed to integrate the efforts and resources of Federal, State, local, tribal, private-sector, and nongovernmental organizations. The Base Plan includes planning assumptions, roles and responsibilities, concept of operations, incident management actions, and plan maintenance instructions.
- **Appendixes** provide other relevant, more detailed supporting information, including terms, definitions, acronyms, authorities, and a compendium of national interagency plans.
- The **Emergency Support Function (ESF) Annexes** detail the missions, policies, structures, and responsibilities of Federal agencies for coordinating resource and programmatic support to States, tribes, and other Federal agencies or other jurisdictions and entities during Incidents of National Significance. The introduction to the ESF Annexes summarizes the functions of ESF coordinators and primary and support agencies. The chart on page 12 provides a summary of the scope of each ESF.
- The **Support Annexes** provide guidance and describe the functional processes and administrative requirements necessary to ensure efficient and effective implementation of NRP incident management objectives. The Support Annexes are described below.

Support Annexes

- **Financial Management** provides guidance for NRP implementation to ensure that incident-related funds are provided expeditiously and that financial management activities are conducted in accordance with established law, policies, regulations, and standards.
- **International Coordination** provides guidance for carrying out responsibilities regarding international coordination in support of the Federal response to domestic Incidents of National Significance.
- **Logistics Management** describes the framework within which the overall NRP logistics management function operates. It also outlines logistics management responsibilities and mechanisms for integrating Federal, State, local, and tribal resource providers.
- **Private-Sector Coordination** outlines processes to ensure effective incident management coordination and integration with the private sector, including representatives of the Nation's Critical Infrastructure/Key Resources (CI/KR) sectors and other industries.
- **Public Affairs** describes interagency incident communications procedures designed to enable the coordination and dissemination of timely public information during Incidents of National Significance.
- **Science and Technology** provides guidance and mechanisms to ensure that all levels of government can leverage the Nation's science and technology resources efficiently and effectively in the management of Incidents of National Significance.
- **Tribal Relations** describes the policies, responsibilities, and concept of operations for effective coordination and interaction with tribal governments and communities during Incidents of National Significance.
- **Volunteer and Donations Management** provides guidance on volunteer and donations management functions related to Incidents of National Significance.
- **Worker Safety and Health** details processes to ensure coordinated, comprehensive efforts to identify responder safety and health risks and implement procedures to minimize or eliminate illness or injuries during incident management and emergency response activities.

FIGURE 1. Organization of the National Response Plan

Base Plan

Appendixes

- Glossary of Key Terms
- List of Acronyms
- Authorities and References
- Compendium of National/International Interagency Plans
- Overview of Initial Federal Involvement Under the Stafford Act
- Overview of Federal-to-Federal Support in Non-Stafford Act Situations

Emergency Support Function Annexes

- ESF #1 - Transportation
- ESF #2 - Communications
- ESF #3 - Public Works and Engineering
- ESF #4 - Firefighting
- ESF #5 - Emergency Management
- ESF #6 - Mass Care, Housing, and Human Services
- ESF #7 - Resource Support
- ESF #8 - Public Health and Medical Services
- ESF #9 - Urban Search and Rescue
- ESF #10 -Oil and Hazardous Materials Response
- ESF #11 -Agriculture and Natural Resources
- ESF #12 -Energy
- ESF #13 -Public Safety and Security
- ESF #14 - Long-Term Community Recovery and Mitigation
- ESF #15 -External Affairs

Support Annexes

- Financial Management
- International Coordination
- Logistics Management
- Private-Sector Coordination
- Public Affairs
- Science and Technology
- Tribal Relations
- Volunteer and Donations Management
- Worker Safety and Health

Incident Annexes

- Biological Incident
- Catastrophic Incident
- Cyber Incident
- Food and Agriculture Incident (to be published in a subsequent version of this plan)
- Nuclear/Radiological Incident
- Oil and Hazardous Materials Incident
- Terrorism Incident Law Enforcement and Investigation

- The **Incident Annexes** address contingency or hazard situations requiring specialized application of the NRP. The Incident Annexes describe the missions, policies, responsibilities, and coordination processes that govern the interaction of public and private entities engaged in incident management and emergency response operations across a spectrum of potential hazards. These annexes are typically augmented by a variety of supporting plans and operational supplements. The Incident Annexes are described below.

Incident Annexes

- The **Biological Incident Annex** describes incident management activities related to a biological terrorism event, pandemic, emerging infectious disease, or novel pathogen outbreak.
- The **Catastrophic Incident Annex** establishes the strategy for implementing and coordinating an accelerated national response to a catastrophic incident.
- The **Cyber Incident Annex** establishes procedures for a multidisciplinary, broad-based approach to prepare for, remediate, and recover from catastrophic cyber events impacting critical national processes and the national economy.
- The **Food and Agriculture Incident Annex** describes incident management activities related to a terrorist attack, major disaster, or other emergency involving the Nation's agriculture and food systems. (To be published in a subsequent version of this plan.)
- The **Nuclear/Radiological Incident Annex** describes incident management activities related to nuclear/radiological incidents.
- The **Oil and Hazardous Materials Incident Annex** describes incident management activities related to certain nationally significant oil and hazardous materials pollution incidents.
- The **Terrorism Incident Law Enforcement and Investigation Annex** describes law enforcement and criminal investigation coordinating structures and processes in response to a terrorist event.

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Emergency Support Function Annexes

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ESF #6 – Mass Care, Housing, and Human Services
ESF #7 – Resource Support
ESF #8 – Public Health and Medical Services
ESF #9 – Urban Search and Rescue
ESF #10 – Oil and Hazardous Materials Response
ESF #11 – Agriculture and Natural Resources
ESF #12 – Energy
ESF #13 – Public Safety and Security
ESF #14 – Long-Term Community Recovery and Mitigation
ESF #15 – External Affairs

Support Annexes

Financial Management
International Coordination
Logistics Management
Private-Sector Coordination
Public Affairs
Science and Technology
Tribal Relations
Volunteer and Donations Management
Worker Safety and Health

Incident Annexes

Biological Incident
Catastrophic Incident
Cyber Incident
Food and Agriculture Incident (to be published in a subsequent version of this plan)
Nuclear/Radiological Incident
Oil and Hazardous Materials Incident
Terrorism Incident Law Enforcement and Investigation

I. Introduction

The Nation's domestic incident management landscape changed dramatically following the terrorist attacks of September 11, 2001. Today's threat environment includes not only the traditional spectrum of manmade and natural hazards—wildland and urban fires, floods, oil spills, hazardous materials releases, transportation accidents, earthquakes, hurricanes, tornadoes, pandemics, and disruptions to the Nation's energy and information technology infrastructure—but also the deadly and devastating terrorist arsenal of chemical, biological, radiological, nuclear, and high-yield explosive weapons.

These complex and emerging 21st century threats and hazards demand a unified and coordinated national approach to domestic incident management. The National Strategy for Homeland Security; Homeland Security Act of 2002; and Homeland Security Presidential Directive-5 (HSPD-5), Management of Domestic Incidents, establish clear objectives for a concerted national effort to prevent terrorist attacks within the United States; reduce America's vulnerability to terrorism, major disasters, and other emergencies; and minimize the damage and recover from attacks, major disasters, and other emergencies that occur.

The NRP

A concerted national effort to prevent terrorist attacks within the United States; reduce America's vulnerability to terrorism, major disasters, and other emergencies; and minimize the damage and recover from attacks, major disasters, and other emergencies that occur.

Development and Implementation of a National Response Plan

Achieving these homeland security objectives is a challenge requiring bold steps and adjustments to established structures, processes, and protocols. An important initiative called for in the above documents is the development and implementation of a National Response Plan (NRP), predicated on a new National Incident Management System (NIMS), that aligns the patchwork of Federal special-purpose incident management and emergency response plans into an effective and efficient structure. Together, the NRP and the NIMS (published March 1, 2004) integrate the capabilities and resources of various governmental jurisdictions, incident management and emergency response disciplines, nongovernmental organizations (NGOs), and the private sector into a cohesive, coordinated, and seamless national framework for domestic incident management.

The NRP, using the NIMS, is an all-hazards plan that provides the structure and mechanisms for national-level policy and operational coordination for domestic incident management. Consistent with the model provided in the NIMS, the NRP can be partially or fully implemented in the context of a threat, anticipation of a significant event, or the response to a significant event. Selective implementation through the activation of one or more of the system's components allows maximum flexibility in meeting the unique operational and information-sharing requirements of the situation at hand and enabling effective interaction between various Federal and non-Federal entities.

The NIMS

Provides a nationwide template enabling Federal, State, local, and tribal governments and private-sector and nongovernmental organizations to work together effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents regardless of cause, size, or complexity.

The NRP incorporates relevant portions of and, upon full implementation, supersedes the Initial National Response Plan (INRP), Federal Response Plan (FRP), U.S. Government Interagency Domestic Terrorism Concept of Operations Plan (CONPLAN), and Federal Radiological Emergency Response Plan (FRERP). The NRP, as the core operational plan for national incident management, also establishes national-level coordinating structures, processes, and protocols that will be incorporated into certain existing Federal interagency incident- or hazard-specific plans (such as the National Oil and Hazardous Substances Pollution Contingency Plan (NCP)) that are designed to implement the specific statutory authorities and responsibilities of various departments and agencies in particular contingency

scenarios. These plans are linked to the NRP in the context of Incidents of National Significance (defined on page 4), but remain as stand-alone documents in that they also provide detailed protocols for responding to routine incidents that normally are managed by Federal agencies without the need for Department of Homeland Security (DHS) coordination. The NRP also incorporates other existing Federal emergency response and incident management plans (with appropriate modifications and revisions) as integrated components, operational supplements, or supporting tactical plans. Further details on NRP-supporting plans and documents are included in section VI (page 60).

Existing Authorities

Nothing in this plan alters or impedes the ability of Federal, State, local, or tribal departments and agencies to carry out their specific authorities or perform their responsibilities under all applicable laws, Executive orders, and directives. Additionally, nothing in this plan is intended to impact or impede the ability of any Federal department or agency head to take an issue of concern directly to the President, the Assistant to the President for Homeland Security, the Assistant to the President for National Security Affairs, or any other member of the President's staff.

Purpose

The purpose of the NRP is to establish a comprehensive, national, all-hazards approach to domestic incident management across a spectrum of activities including prevention, preparedness, response, and recovery.

The NRP incorporates best practices and procedures from various incident management disciplines—homeland security, emergency management, law enforcement, firefighting, hazardous materials response, public works, public health, emergency medical services, and responder and recovery worker health and safety—and integrates them into a unified coordinating structure.

Purpose

To establish a comprehensive, national, all-hazards approach to domestic incident management across a spectrum of activities including prevention, preparedness, response, and recovery.

The NRP provides the framework for Federal interaction with State, local, and tribal governments; the private sector; and NGOs in the context of domestic incident prevention, preparedness, response, and recovery activities. It describes capabilities and resources and establishes responsibilities, operational processes, and protocols to help protect the Nation from terrorist attacks and other natural and manmade hazards; save lives; protect public health, safety, property, and the environment; and reduce adverse psychological consequences and disruptions. Finally, the NRP serves as the foundation for the development of detailed supplemental plans and procedures to effectively and efficiently implement Federal incident management activities and assistance in the context of specific types of incidents.

The NRP, using the NIMS, establishes mechanisms to:

- Maximize the integration of incident-related prevention, preparedness, response, and recovery activities;
- Improve coordination and integration of Federal, State, local, tribal, regional, private-sector, and nongovernmental organization partners;
- Maximize efficient utilization of resources needed for effective incident management and Critical Infrastructure/Key Resources (CI/KR) protection and restoration;
- Improve incident management communications and increase situational awareness across jurisdictions and between the public and private sectors;
- Facilitate emergency mutual aid and Federal emergency support to State, local, and tribal governments;
- Facilitate Federal-to-Federal interaction and emergency support;
- Provide a proactive and integrated Federal response to catastrophic events; and
- Address linkages to other Federal incident management and emergency response plans developed for specific types of incidents or hazards.

Scope and Applicability

The NRP covers the full range of complex and constantly changing requirements in anticipation of or in response to threats or acts of terrorism, major disasters, and other emergencies. The NRP also provides the basis to initiate long-term community recovery and mitigation activities.

NRP Scope

Covers the full range of complex and constantly changing requirements in anticipation of or in response to threats or acts of terrorism, major disasters, and other emergencies.

The NRP establishes interagency and multijurisdictional mechanisms for Federal Government involvement in, and DHS coordination of, domestic incident management operations.

This includes coordinating structures and processes for incidents requiring:

- Federal support to State, local, and tribal governments;
- Federal-to-Federal support;
- The exercise of direct Federal authorities and responsibilities, as appropriate under the law; and
- Public and private-sector domestic incident management integration.

This plan distinguishes between incidents that require DHS coordination, termed Incidents of National Significance, and the majority of incidents occurring each year that are handled by responsible jurisdictions or agencies through other established authorities and existing plans.

In addition, the NRP:

- Recognizes and incorporates the various jurisdictional and functional authorities of Federal departments and agencies; State, local, and tribal governments; and private-sector organizations in domestic incident management.
- Details the specific domestic incident management roles and responsibilities of the Secretary of Homeland Security, Attorney General, Secretary of Defense, Secretary of State, and other departments and agencies involved in domestic incident management as defined in HSPD-5 and other relevant statutes and directives.
- Establishes the multiagency organizational structures and processes required to implement the authorities, roles, and responsibilities of the Secretary of Homeland Security as the "principal Federal official" for domestic incident management.

This plan is applicable to all Federal departments and agencies that may be requested to provide assistance or conduct operations in the context of actual or potential Incidents of National Significance. This includes the American Red Cross, which functions as an Emergency Support Function (ESF) primary organization in coordinating the use of mass care resources in a Presidentially declared disaster or emergency. The NRP is applicable to incidents that may occur at sites under the control of the Legislative or Judicial Branches of the Federal Government.

NRP Applicability

The NRP applies to all Federal departments and agencies that may be requested to provide assistance or conduct operations in actual or potential Incidents of National Significance. These incidents require a coordinated response by an appropriate combination of Federal, State, local, tribal, private-sector, and nongovernmental entities.

Based on the criteria established in HSPD-5, Incidents of National Significance are those high-impact events that require a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, private-sector, and nongovernmental entities in order to save lives, minimize damage, and provide the basis for long-term community recovery and mitigation activities.

Incidents of National Significance

Pursuant to HSPD-5, as the principal Federal official for domestic incident management, the Secretary of Homeland Security declares Incidents of National Significance (in consultation with other departments and agencies as appropriate) and provides coordination for Federal operations and/or resources, establishes reporting requirements, and conducts ongoing communications with Federal, State, local, tribal, private-sector, and nongovernmental organizations to maintain situational awareness, analyze threats, assess national implications of threat and operational response activities, and coordinate threat or incident response activities.

The NRP bases the definition of Incidents of National Significance on situations related to the following four criteria set forth in HSPD-5:

1. A Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security.
2. The resources of State and local authorities are overwhelmed and Federal assistance has been requested by the appropriate State and local authorities. Examples include:
   - Major disasters or emergencies as defined under the Stafford Act; and
   - Catastrophic incidents (see definition on page 43).
3. More than one Federal department or agency has become substantially involved in responding to an incident. Examples include:
   - Credible threats, indications or warnings of imminent terrorist attack, or acts of terrorism directed domestically against the people, property, environment, or political or legal institutions of the United States or its territories or possessions; and
   - Threats or incidents related to high-profile, large-scale events that present high-probability targets such as National Special Security Events (NSSEs) and other special events as determined by the Secretary of Homeland Security, in coordination with other Federal departments and agencies.
4. The Secretary of Homeland Security has been directed to assume responsibility for managing a domestic incident by the President.

Incident Management Activities

This plan addresses the full spectrum of activities related to domestic incident management, including prevention, preparedness, response, and recovery actions. The NRP focuses on those activities that are directly related to an evolving incident or potential incident rather than steady-state preparedness or readiness activities conducted in the absence of a specific threat or hazard.

Additionally, since Incidents of National Significance typically result in impacts far beyond the immediate or initial incident area, the NRP provides a framework to enable the management of cascading impacts and multiple incidents as well as the prevention of and preparation for subsequent events. Examples of incident management actions from a national perspective include:

- Increasing nationwide public awareness;
- Assessing trends that point to potential terrorist activity;
- Elevating the national Homeland Security Advisory System (HSAS) alert condition and coordinating protective measures across jurisdictions;
- Increasing countermeasures such as inspections, surveillance, security, counterintelligence, and infrastructure protection;
- Conducting public health surveillance and assessment processes and, where appropriate, conducting a wide range of prevention measures to include, but not be limited to, immunizations;
- Providing immediate and long-term public health and medical response assets;
- Coordinating Federal support to State, local, and tribal authorities in the aftermath of an incident;
- Providing strategies for coordination of Federal resources required to handle subsequent events;
- Restoring public confidence after a terrorist attack; and
- Enabling immediate recovery activities, as well as addressing long-term consequences in the impacted area.

Authorities

Various Federal statutory authorities and policies provide the basis for Federal actions and activities in the context of domestic incident management. The NRP uses the foundation provided by the Homeland Security Act, HSPD-5, and the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) to provide a comprehensive, all-hazards approach to domestic incident management. Nothing in the NRP alters the existing authorities of individual Federal departments and agencies. The NRP does not convey new authorities upon the Secretary of Homeland Security or any other Federal official.

Rather, this plan establishes the coordinating structures, processes, and protocols required to integrate the specific statutory and policy authorities of various Federal departments and agencies in a collective framework for action to include prevention, preparedness, response, and recovery activities. Appendix 3 provides a summary of key statutes, Executive orders, and Presidential directives that provide additional authority and policy direction relevant to domestic incident management.

The NRP may be used in conjunction with other Federal incident management and emergency operations plans developed under these and other authorities as well as memorandums of understanding (MOUs) among various Federal agencies.

Key Concepts

This section summarizes key concepts that are reflected throughout the NRP.

- Systematic and coordinated incident management, including protocols for:
  - Incident reporting;
  - Coordinated action;
  - Alert and notification;
  - Mobilization of Federal resources to augment existing Federal, State, local, and tribal capabilities;
  - Operating under differing threats or threat levels; and
  - Integration of crisis and consequence management functions.

- Proactive notification and deployment of Federal resources in anticipation of or in response to catastrophic events in coordination and collaboration with State, local, and tribal governments and private entities when possible.

- Organizing interagency efforts to minimize damage, restore impacted areas to pre-incident conditions if feasible, and/or implement programs to mitigate vulnerability to future events.

- Coordinating incident communication, worker safety and health, private-sector involvement, and other activities that are common to the majority of incidents (see Support Annexes).

- Organizing ESFs to facilitate the delivery of critical Federal resources, assets, and assistance. Federal departments and agencies are assigned to lead or support ESFs based on authorities, resources, and capabilities.

- Providing mechanisms for vertical and horizontal coordination, communications, and information-sharing in response to threats or incidents. These mechanisms facilitate coordination among State, local, and tribal entities and the Federal Government, as well as between the public and private sectors.

- Facilitating Federal support to Federal departments and agencies acting under the requesting department's or agency's own authorities.

- Developing detailed supplemental operations, tactical, and hazard-specific contingency plans and procedures.

- Providing the basis for coordination of interagency and intergovernmental planning, training, exercising, assessment, coordination, and information exchange.

II. Planning Assumptions & Considerations

The NRP is based on the planning assumptions and considerations presented in this section.

- Incidents are typically managed at the lowest possible geographic, organizational, and jurisdictional level.

- Incident management activities will be initiated and conducted using the principles contained in the NIMS.

- The combined expertise and capabilities of government at all levels, the private sector, and nongovernmental organizations will be required to prevent, prepare for, respond to, and recover from Incidents of National Significance.

- Incidents of National Significance require the Secretary of Homeland Security to coordinate operations and/or resources, and may:
  - Occur at any time with little or no warning in the context of a general or specific threat or hazard;
  - Require significant information-sharing at the unclassified and classified levels across multiple jurisdictions and between the public and private sectors;
  - Involve single or multiple geographic areas;
  - Have significant international impact and/or require significant international information-sharing, resource coordination, and/or assistance;
  - Span the spectrum of incident management to include prevention, preparedness, response, and recovery;
  - Involve multiple, highly varied hazards or threats on a local, regional, or national scale;
  - Result in numerous casualties; fatalities; displaced people; property loss; disruption of normal life-support systems, essential public services, and basic infrastructure; and significant damage to the environment;
  - Impact critical infrastructures across sectors;
  - Overwhelm capabilities of State, local, and tribal governments, and private-sector infrastructure owners and operators;
  - Attract a sizeable influx of independent, spontaneous volunteers and supplies;
  - Require extremely short-notice Federal asset coordination and response timelines; and
  - Require prolonged, sustained incident management operations and support activities.

- Top priorities for incident management are to:
  - Save lives and protect the health and safety of the public, responders, and recovery workers;
  - Ensure security of the homeland;
  - Prevent an imminent incident, including acts of terrorism, from occurring;
  - Protect and restore critical infrastructure and key resources;
  - Conduct law enforcement investigations to resolve the incident, apprehend the perpetrators, and collect and preserve evidence for prosecution and/or attribution;
  - Protect property and mitigate damages and impacts to individuals, communities, and the environment; and
  - Facilitate recovery of individuals, families, businesses, governments, and the environment.

- Deployment of resources and incident management actions during an actual or potential terrorist incident are conducted in coordination with the Department of Justice (DOJ).

- Departments and agencies at all levels of government and certain NGOs, such as the American Red Cross, may be required to deploy to Incidents of National Significance on short notice to provide timely and effective mutual aid and/or intergovernmental assistance.

- The degree of Federal involvement in incident operations depends largely upon specific Federal authority or jurisdiction. Other factors that may be considered include:
  - The State, local, or tribal needs and/or requests for external support, or ability to manage the incident;
  - The economic ability of the affected entity to recover from the incident;
  - The type or location of the incident;
  - The severity and magnitude of the incident; and
  - The need to protect the public health or welfare or the environment.

- Federal departments and agencies support the homeland security mission in accordance with national authorities and guidance and are expected to provide:
  - Initial and/or ongoing response, when warranted, under their own authorities and funding;
  - Alert, notification, pre-positioning, and timely delivery of resources to enable the management of

potential and actual Incidents of National Significance; and
- Proactive support for catastrophic or potentially catastrophic incidents using protocols for expedited delivery of resources.

- For Incidents of National Significance that are Presidentially declared disasters or emergencies, Federal support to States is delivered in accordance with relevant provisions of the Stafford Act (see Appendix 3, Authorities and References). (Note that while all Presidentially declared disasters and emergencies under the Stafford Act are considered Incidents of National Significance, not all Incidents of National Significance necessarily result in disaster or emergency declarations under the Stafford Act.)

  Under provisions of the Stafford Act and applicable regulations:
  - A Governor may request the President to declare a major disaster or emergency if the Governor finds that effective response to the event is beyond the combined response capabilities of the State and affected local governments. Based on the findings of a joint Federal-State-local Preliminary Damage Assessment (PDA) indicating the damages are of sufficient severity and magnitude to warrant assistance under the act, the President may grant a major disaster or emergency declaration. (Note: In a particularly fast-moving or clearly devastating disaster, the PDA process may be deferred until after the declaration.)
  - If the President determines that an emergency exists where the primary responsibility for response rests with the Government of the United States, or because the emergency involves an area or facility for which the Federal Government exercises exclusive or preeminent primary responsibility and authority, the President may unilaterally direct the provision of assistance under the act and will, if practicable, consult with the Governor of the State.
  - DHS can use limited pre-declaration authorities to move initial response resources (critical goods typically needed in the immediate aftermath of a disaster such as food, water, emergency generators, etc.) closer to a potentially affected area.
  - Federal assistance takes many forms—including the direct provision of goods and services, financial assistance (through insurance, grants, loans, and direct payments), and technical assistance—and can come from various sources.
  - In a major disaster or emergency as defined in the Stafford Act, the President "may direct any Federal agency, with or without reimbursement, to utilize its authorities and the resources granted to it under Federal law (including personnel, equipment, supplies, facilities, and managerial, technical, and advisory services) in support of State and local assistance efforts…" [sections 402(a)(1) and 502(a)(1) of the Stafford Act, 42 U.S.C. § 5170a(1) and § 5192(a)(1)].
  - In an actual or potential Incident of National Significance that is not encompassed by the Stafford Act, the President may instruct a Federal department or agency, subject to any statutory limitations on the department or agency, to utilize the authorities and resources granted to it by Congress. In accordance with HSPD-5, Federal departments and agencies are expected to provide their full and prompt cooperation, available resources, and support, as appropriate and consistent with their own responsibilities for protecting national security.

- Federal-to-Federal support refers to the circumstance in which a Federal department or agency requests Federal resource support under the NRP that is not addressed by the Stafford Act or other mechanisms (e.g., Executive orders, MOUs, memorandums of agreement (MOAs), etc.).

  This support:
  - Is coordinated by DHS using the multiagency coordination structures established in the NRP and in accordance with the NIMS;
  - Generally is funded by the Federal entity with primary responsibility and statutory authority for the incident in accordance with provisions of the Economy Act, 31 U.S.C. 1535, unless other statutory authorities exist;
  - Is facilitated by the interagency MOU for Mutual Aid, and executed at the time of the incident through interagency agreements (see the Financial Management Support Annex for more information);
  - May include support to incident operations at sites under the control of the Legislative or Judicial Branches of the Federal Government; and
  - May be used to coordinate U.S. Government support in the event of an overseas incident, if recommended by the Department of State (DOS).

III. Roles and Responsibilities

This section discusses the roles and responsibilities of Federal, State, local, tribal, private-sector, and nongovernmental organizations and citizens involved in support of domestic incident management.

State, Local, and Tribal Governments

Police, fire, public health and medical, emergency management, public works, environmental response, and other personnel are often the first to arrive and the last to leave an incident site. In some instances, a Federal agency in the local area may act as a first responder, and the local assets of Federal agencies may be used to advise or assist State or local officials in accordance with agency authorities and procedures. Mutual aid agreements provide mechanisms to mobilize and employ resources from neighboring jurisdictions to support the incident command.

When State resources and capabilities are overwhelmed, Governors may request Federal assistance under a Presidential disaster or emergency declaration. Summarized below are the responsibilities of the Governor, Local Chief Executive Officer, and Tribal Chief Executive Officer.

Governor

As a State's chief executive, the Governor is responsible for the public safety and welfare of the people of that State or territory. The Governor:

- Is responsible for coordinating State resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents in an all-hazards context to include terrorism, natural disasters, accidents, and other contingencies;
- Under certain emergency conditions, typically has police powers to make, amend, and rescind orders and regulations;
- Provides leadership and plays a key role in communicating to the public and in helping people, businesses, and organizations cope with the consequences of any type of declared emergency within State jurisdiction;
- Encourages participation in mutual aid and implements authorities for the State to enter into mutual aid agreements with other States, tribes, and territories to facilitate resource-sharing;
- Is the Commander-in-Chief of State military forces (National Guard when in State Active Duty or Title 32 Status and the authorized State militias); and
- Requests Federal assistance when it becomes clear that State or tribal capabilities will be insufficient or have been exceeded or exhausted.

Local Chief Executive Officer

A mayor or city or county manager, as a jurisdiction's chief executive, is responsible for the public safety and welfare of the people of that jurisdiction. The Local Chief Executive Officer:

- Is responsible for coordinating local resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents involving all hazards including terrorism, natural disasters, accidents, and other contingencies;
- Dependent upon State and local law, has extraordinary powers to suspend local laws and ordinances, such as to establish a curfew, direct evacuations, and, in coordination with the local health authority, to order a quarantine;
- Provides leadership and plays a key role in communicating to the public, and in helping people, businesses, and organizations cope with the consequences of any type of domestic incident within the jurisdiction;
- Negotiates and enters into mutual aid agreements with other jurisdictions to facilitate resource-sharing; and
- Requests State and, if necessary, Federal assistance through the Governor of the State when the jurisdiction's capabilities have been exceeded or exhausted.

Tribal Chief Executive Officer

The Tribal Chief Executive Officer is responsible for the public safety and welfare of the people of that tribe. The Tribal Chief Executive Officer, as authorized by tribal government:

- Is responsible for coordinating tribal resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents involving all hazards including terrorism, natural disasters, accidents, and other contingencies;
- Has extraordinary powers to suspend tribal laws and ordinances, such as to establish a curfew, direct evacuations, and order a quarantine;

- Provides leadership and plays a key role in communicating to the tribal nation, and in helping people, businesses, and organizations cope with the consequences of any type of domestic incident within the jurisdiction;
- Negotiates and enters into mutual aid agreements with other tribes/jurisdictions to facilitate resource-sharing;
- Can request State and Federal assistance through the Governor of the State when the tribe's capabilities have been exceeded or exhausted; and
- Can elect to deal directly with the Federal Government. (Although a State Governor must request a Presidential disaster declaration on behalf of a tribe under the Stafford Act, Federal agencies can work directly with the tribe within existing authorities and resources.)

Federal Government

Department of Homeland Security

The Homeland Security Act of 2002 established DHS to prevent terrorist attacks within the United States; reduce the vulnerability of the United States to terrorism, natural disasters, and other emergencies; and minimize the damage and assist in the recovery from terrorist attacks, natural disasters, and other emergencies. The act also designates DHS as "a focal point regarding natural and manmade crises and emergency planning."

Secretary of Homeland Security

Pursuant to HSPD-5, the Secretary of Homeland Security is responsible for coordinating Federal operations within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. HSPD-5 further designates the Secretary of Homeland Security as the "principal Federal official" for domestic incident management.

In this role, the Secretary is also responsible for coordinating Federal resources utilized in response to or recovery from terrorist attacks, major disasters, or other emergencies if and when any of the following four conditions applies:

(1) a Federal department or agency acting under its own authority has requested DHS assistance;
(2) the resources of State and local authorities are overwhelmed and Federal assistance has been requested;
(3) more than one Federal department or agency has become substantially involved in responding to the incident; or
(4) the Secretary has been directed to assume incident management responsibilities by the President.

Department of Justice

The Attorney General is the chief law enforcement officer in the United States.

Attorney General

In accordance with HSPD-5 and other relevant statutes and directives, the Attorney General has lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States, or directed at U.S. citizens or institutions abroad, where such acts are within the Federal criminal jurisdiction of the United States, as well as for related intelligence-collection activities within the United States, subject to applicable laws, Executive orders, directives, and procedures.

Generally acting through the Federal Bureau of Investigation (FBI), the Attorney General, in cooperation with other Federal departments and agencies engaged in activities to protect national security, coordinates the activities of the other members of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the United States. This includes actions to prevent, preempt, and disrupt specific terrorist threats or actual incidents that are based upon specific intelligence or law enforcement information. Nothing in this plan derogates the Attorney General's status or responsibilities.

Following a terrorist threat or an actual incident that falls within the criminal jurisdiction of the United States, the full capabilities of the United States will be dedicated to assisting the Attorney General to identify the perpetrators and bring them to justice, consistent

with U.S. law and with authorities of other Federal departments and agencies to protect national security.

Department of Defense (DOD)

DOD has significant resources that may be available to support the Federal response to an Incident of National Significance.

Secretary of Defense

The Secretary of Defense authorizes Defense Support of Civil Authorities (DSCA) for domestic incidents as directed by the President or when consistent with military readiness operations and appropriate under the circumstances and the law. The Secretary of Defense retains command of military forces under DSCA, as with all other situations and operations.

Concepts of "command" and "unity of command" have distinct legal and cultural meanings for military forces and operations. For military forces, command runs from the President to the Secretary of Defense to the Commander of the combatant command to the commander of the forces. The "Unified Command" concept utilized by civil authorities is distinct from the military chain of command.

Nothing in this plan impairs or otherwise affects the authority of the Secretary of Defense over the DOD, including the chain of command for military forces from the President as Commander in Chief, to the Secretary of Defense, to the commander of military forces, or military command and control procedures. The Secretary of Defense shall provide defense support of civil authorities for domestic incidents as directed by the President or when consistent with military readiness and appropriate under the circumstances and the law. The Secretary of Defense shall retain command of military forces providing civil support.

Department of State

DOS has international coordination responsibilities.

Secretary of State

The Secretary of State is responsible for coordinating international prevention, preparedness, response, and recovery activities relating to domestic incidents, and for the protection of U.S. citizens and U.S. interests overseas.

Other Federal Agencies

During an Incident of National Significance, other Federal departments or agencies may play primary, coordinating, and/or support roles based on their authorities and resources and the nature of the incident. In situations where a Federal agency has jurisdictional authority and responsibility for directing or managing a major aspect of the response, that agency is part of the national leadership for the incident and participates as a Senior Federal Official (SFO) or Senior Federal Law Enforcement Official (SFLEO) in the Joint Field Office (JFO) Coordination Group at the field level, and as part of the Interagency Incident Management Group (IIMG) and/or Homeland Security Council (HSC)/National Security Council (NSC) Policy Coordination Committees (PCC). (See section IV, page 22.)

Some Federal agencies with jurisdictional authority and responsibility may also participate in the Unified Command at the Incident Command Post (ICP). Federal departments and agencies participate in the ESF structure as coordinators, primary agencies, and/or support agencies and/or as required to support incident management activities.

Emergency Support Function

A grouping of government and certain private-sector capabilities into an organizational structure to provide support, resources, and services.

HSPD-5 directs the heads of all Federal departments and agencies, in the context of domestic incident management, to "provide their full and prompt cooperation, resources, and support, as appropriate and consistent with their own responsibilities for protecting our national security, to the Secretary of Homeland Security, the Attorney General, the Secretary of Defense, and the Secretary of State."

Several Federal agencies have independent authorities to declare disasters or emergencies. These authorities may be exercised concurrently with or become part of a major disaster or emergency declared under the Stafford Act. Some examples of agencies exercising independent authorities include the following scenarios:

- The Secretary of Agriculture may declare a disaster in certain situations in which a county sustained production loss of 30 percent or greater in a single major enterprise, authorizing emergency loans for physical damages and crop loss.

- The Administrator of the Small Business Administration may make a disaster declaration based on physical damage to buildings, machinery, equipment, inventory, homes, and other property as well as economic injury.
- The Secretary of Commerce may make a declaration of a commercial fisheries failure or fishery resources disaster.
- The Secretary of Health and Human Services may declare a public health emergency.
- The U.S. Army Corps of Engineers (USACE) Chief of Engineers may issue a disaster declaration in response to flooding and coastal storms. USACE is authorized to undertake emergency operations and activities.
- A Federal On-Scene Coordinator (OSC), designated by the Environmental Protection Agency (EPA), DHS/U.S. Coast Guard (DHS/USCG), DOD, or the Department of Energy (DOE) under the NCP, has the authority to direct response efforts at the scene of a discharge or release of oil, hazardous substance, pollutants, or contaminants, depending on the substance and the location and source of release.

The ESF, Support, and Incident Annexes provide further discussion of the domestic incident management roles and responsibilities of other Federal departments and agencies.

Emergency Support Functions

The NRP applies a functional approach that groups the capabilities of Federal departments and agencies and the American Red Cross into ESFs to provide the planning, support, resources, program implementation, and emergency services that are most likely to be needed during Incidents of National Significance. The Federal response to actual or potential Incidents of National Significance is typically provided through the full or partial activation of the ESF structure as necessary. The ESFs serve as the coordination mechanism to provide assistance to State, local, and tribal governments or to Federal departments and agencies conducting missions of primary Federal responsibility. ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents where Federal departments or agencies request DHS assistance or under other circumstances as defined in HSPD-5. The ESFs provide staffing for the National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), JFO, and ICP as required by the situation at hand.

Each ESF is composed of primary and support agencies. The NRP identifies primary agencies on the basis of authorities, resources, and capabilities. Support agencies are assigned based on resources and capabilities in a given functional area. The resources provided by the ESFs reflect the resource-typing categories identified in the NIMS. The scope of each ESF is summarized in Figure 2 on the following page. ESFs are expected to support one another in carrying out their respective roles and responsibilities. Additional discussion on roles and responsibilities of ESF coordinators, primary agencies, and support agencies can be found in the introduction to the ESF Annexes.

Note that not all Incidents of National Significance result in the activation of ESFs. It is possible that an Incident of National Significance can be adequately addressed by DHS and other Federal agencies through activation of certain NRP elements (e.g., Principal Federal Official (PFO), IIMG) without the activation of ESFs. Similarly, operational security considerations may dictate that activation of NRP elements be kept to a minimum, particularly in the context of certain terrorism prevention activities.

Nongovernmental and Volunteer Organizations

NGOs collaborate with first responders, governments at all levels, and other agencies and organizations providing relief services to sustain life, reduce physical and emotional distress, and promote recovery of disaster victims when assistance is not available from other sources. For example, the American Red Cross is an NGO that provides relief at the local level and also coordinates the Mass Care element of ESF #6. Community-based organizations (CBOs) receive government funding to provide essential public health services.

The National Voluntary Organizations Active in Disaster (NVOAD) is a consortium of more than 30 recognized national organizations of volunteers active in disaster relief. Such entities provide significant capabilities to incident management and response efforts at all levels. For example, the wildlife rescue and rehabilitation activities conducted during a pollution emergency are often carried out by private, nonprofit organizations working with natural resource trustee agencies.

FIGURE 2. Emergency Support Functions

ESF	Scope
ESF #1 - Transportation	▪ Federal and civil transportation support ▪ Transportation safety ▪ Restoration/recovery of transportation infrastructure ▪ Movement restrictions ▪ Damage and impact assessment
ESF #2 - Communications	▪ Coordination with telecommunications industry ▪ Restoration/repair of telecommunications infrastructure ▪ Protection, restoration, and sustainment of national cyber and information technology resources
ESF #3 - Public Works and Engineering	▪ Infrastructure protection and emergency repair ▪ Infrastructure restoration ▪ Engineering services, construction management ▪ Critical infrastructure liaison
ESF #4 - Firefighting	▪ Firefighting activities on Federal lands ▪ Resource support to rural and urban firefighting operations
ESF #5 - Emergency Management	▪ Coordination of incident management efforts ▪ Issuance of mission assignments ▪ Resource and human capital ▪ Incident action planning ▪ Financial management
ESF #6 - Mass Care, Housing, and Human Services	▪ Mass care ▪ Disaster housing ▪ Human services
ESF #7 - Resource Support	▪ Resource support (facility space, office equipment and supplies, contracting services, etc.)
ESF #8 - Public Health and Medical Services	▪ Public health ▪ Medical ▪ Mental health services ▪ Mortuary services
ESF #9 - Urban Search and Rescue	▪ Life-saving assistance ▪ Urban search and rescue
ESF #10 - Oil and Hazardous Materials Response	▪ Oil and hazardous materials (chemical, biological, radiological, etc.) response ▪ Environmental safety and short- and long-term cleanup
ESF #11 - Agriculture and Natural Resources	▪ Nutrition assistance ▪ Animal and plant disease/pest response ▪ Food safety and security ▪ Natural and cultural resources and historic properties protection and restoration
ESF #12 - Energy	▪ Energy infrastructure assessment, repair, and restoration ▪ Energy industry utilities coordination ▪ Energy forecast
ESF #13 - Public Safety and Security	▪ Facility and resource security ▪ Security planning and technical and resource assistance ▪ Public safety/security support ▪ Support to access, traffic, and crowd control
ESF #14 - Long-Term Community Recovery and Mitigation	▪ Social and economic community impact assessment ▪ Long-term community recovery assistance to States, local governments, and the private sector ▪ Mitigation analysis and program implementation
ESF #15 - External Affairs	▪ Emergency public information and protective action guidance ▪ Media and community relations ▪ Congressional and international affairs ▪ Tribal and insular affairs

Private Sector

DHS and NRP primary and support agencies coordinate with the private sector to effectively share information, form courses of action, and incorporate available resources to prevent, prepare for, respond to, and recover from Incidents of National Significance. Further, the Secretary of Homeland Security utilizes a private-sector advisory group with broad representation to provide advice on incident management and emergency response issues impacting their stakeholders.

Roles: The roles, responsibilities, and participation of the private sector during Incidents of National Significance vary based on the nature of the organization and the type and impact of the incident. The roles of private-sector organizations are summarized below.

Type of Organization	Role
Impacted Organization or Infrastructure	Private-sector organizations may be affected by direct or indirect consequences of the incident, including privately owned critical infrastructure, key resources, and those main private-sector organizations that are significant to local, regional, and national economic recovery from the incident. Examples of privately owned infrastructure include transportation, telecommunications, private utilities, financial institutions, and hospitals.
Response Resource	Private-sector organizations provide response resources (donated or compensated) during an incident—including specialized teams, equipment, and advanced technologies—through local public-private emergency plans, mutual aid agreements, or incident-specific requests from government and private-sector-volunteered initiatives.
Regulated and/or Responsible Party	Owners/operators of certain regulated facilities or hazardous operations may bear responsibilities under the law for preparing for and preventing incidents from occurring, and responding to an incident once it occurs. For example, Federal regulations require owners/operators of Nuclear Regulatory Commission (NRC)-regulated nuclear facilities and activities to maintain emergency (incident) preparedness plans, procedures, and facilities and to perform assessments, prompt notifications, and training for a response to an incident.
State/Local Emergency Organization Member	Private-sector organizations may serve as an active partner in local and State emergency preparedness and response organizations and activities.

Responsibilities: Private-sector organizations support the NRP (voluntarily or to comply with applicable laws and regulations) by sharing information with the government, identifying risks, performing vulnerability assessments, developing emergency response and business continuity plans, enhancing their overall readiness, implementing appropriate prevention and protection programs, and donating or otherwise providing goods and services through contractual arrangement or government purchases to assist in response to and recovery from an incident.

Certain organizations are required by existing law and regulation to bear the cost of planning and response to incidents, regardless of cause. In the case of an Incident of National Significance, these private-sector organizations are expected to mobilize and employ the resources necessary and available in accordance with their plans to address the consequences of incidents at their own facilities or incidents for which they are otherwise responsible.

Response Resources: Unless the response role is inherently governmental (e.g., law enforcement, etc.), private-sector organizations are encouraged to develop and maintain capabilities to respond to and manage a complete spectrum of incidents and emergencies. The Federal Government maintains ongoing interaction with the critical infrastructure and key resources industries to provide coordination for prevention, preparedness, response, and recovery activities. When practical, or when required under Federal law, private-

sector representatives should be included in planning and exercises. The government may, in some cases, direct private-sector response resources when they have contractual relationships, using government funds. Through the Defense Production Act of 1950, 64 Stat. 798 (1950), as amended, and the Homeland Security Act, DHS has the authority to redirect production and distribution of certain response and incident management resources.

Functional Coordination: The primary agency(ies) for each ESF maintains working relations with its associated private-sector counterparts through partnership committees or other means (e.g., ESF #2, Communications – telecommunications industry; ESF #10, Oil and Hazardous Materials Response – oil and hazardous materials industries; etc.).

Citizen Involvement

Strong partnerships with citizen groups and organizations provide support for incident management prevention, preparedness, response, recovery, and mitigation.

The U.S. Citizen Corps brings these groups together and focuses efforts of individuals through education, training, and volunteer service to help make communities safer, stronger, and better prepared to address the threats of terrorism, crime, public health issues, and disasters of all kinds.

Local Citizen Corps Councils implement Citizen Corps programs, which include Community Emergency Response Teams (CERTs), Medical Reserve Corps, Neighborhood Watch, Volunteers in Police Service, and the affiliate programs; provide opportunities for special skills and interests; develop targeted outreach for special-needs groups; and organize special projects and community events.

Citizen Corps Affiliate Programs expand the resources and materials available to States and local communities through partnerships with programs and organizations that offer resources for public education, outreach, and training; represent volunteers interested in helping to make their communities safer; or offer volunteer service opportunities to support first responders, disaster relief activities, and community safety efforts.

Citizen Corps

The Citizen Corps works through a national network of State, local, and tribal Citizen Corps Councils, which bring together leaders from law enforcement, fire, emergency medical and other emergency management, volunteer organizations, local elected officials, the private sector, and other community stakeholders.

Other programs unaffiliated with Citizen Corps also provide organized citizen involvement opportunities in support of Federal response to major disasters and events of national significance. One example is the National Animal Health Emergency Response Corps (NAHERC), which helps protect public health by providing a ready reserve of private and State animal health technicians and veterinarians to combat threats to U.S. livestock and poultry in the event of a large outbreak of a foreign animal disease.

IV. Concept of Operations

General

This section describes the Federal coordinating structures, processes, and protocols employed to manage Incidents of National Significance. These coordinating structures and processes are designed to enable execution of the responsibilities of the President through the appropriate Federal departments and agencies, and to integrate Federal, State, local, tribal, NGO, and private-sector efforts into a comprehensive national approach to domestic incident management.

A basic premise of the NRP is that incidents are generally handled at the lowest jurisdictional level possible. Police, fire, public health and medical, emergency management, and other personnel are responsible for incident management at the local level. In some instances, a Federal agency in the local area may act as a first responder and may provide direction or assistance consistent with its specific statutory authorities and responsibilities. In the vast majority of incidents, State and local resources and interstate mutual aid normally provide the first line of emergency response and incident management support.

When an incident or potential incident is of such severity, magnitude, and/or complexity that it is considered an Incident of National Significance according to the criteria established in this plan, the Secretary of Homeland Security, in coordination with other Federal departments and agencies, initiates actions to prevent, prepare for, respond to, and recover from the incident. These actions are taken in conjunction with State, local, tribal, nongovernmental, and private-sector entities as appropriate to the threat or incident. In the context of Stafford Act disasters or emergencies, DHS coordinates supplemental Federal assistance when the consequences of the incident exceed State, local, or tribal capabilities.

A basic premise of the NRP is that incidents are generally handled at the lowest jurisdictional level possible.

In an Incident of National Significance, the Secretary of Homeland Security, in coordination with other Federal departments and agencies, initiates actions to prevent, prepare for, respond to, and recover from the incident. These actions are taken in conjunction with State, local, tribal, nongovernmental, and private-sector entities.

Overall Coordination of Federal Incident Management Activities

The President leads the Nation in responding effectively and ensuring the necessary resources are applied quickly and efficiently to all Incidents of National Significance. As necessary, the Assistant to the President for Homeland Security convenes interagency meetings to coordinate policy issues. Though White House-level coordination mechanisms are not described in detail in the NRP, all other Federal coordinating mechanisms and entities described in the NRP support, and are consistent with, White House-level interagency coordination.

During actual or potential Incidents of National Significance, the overall coordination of Federal incident management activities is executed through the Secretary of Homeland Security. Other Federal departments and agencies carry out their incident management and emergency response authorities and responsibilities within this overarching coordinating framework.

The Secretary of Homeland Security utilizes multiagency structures at the headquarters, regional, and field levels to coordinate efforts and provide appropriate support to the incident command structure. At the Federal headquarters level, incident information-sharing, operational planning, and deployment of Federal resources are coordinated by the Homeland Security Operations Center (HSOC), and its component element, the NRCC.

Strategic-level interagency incident management coordination and course of action development are facilitated by the IIMG, which also serves as an advisory body to the Secretary of Homeland Security. Issues beyond the Secretary's authority to resolve are referred to the appropriate White House entity for resolution.

At the regional level, interagency resource coordination and multiagency incident support are provided by the RRCC. In the field, the Secretary of Homeland Security is represented by the PFO (and/or the Federal Coordinating Officer (FCO)/Federal Resource Coordinator (FRC) as appropriate). Overall Federal support to the incident command structure on-scene is coordinated through the JFO.

The **RRCC** coordinates regional response efforts, establishes Federal priorities, and implements local Federal program support until a JFO is established.

The **JFO** is a temporary Federal facility established locally to coordinate operational Federal assistance activities to the affected jurisdiction(s) during Incidents of National Significance.

For terrorist incidents, the primary responsibilities for coordinating and conducting all Federal law enforcement and criminal investigation activities are executed by the Attorney General acting through the FBI. During a terrorist incident, the local FBI Special Agent-in-Charge (SAC) coordinates these activities with other members of the law enforcement community, and works in conjunction with the PFO, who coordinates overall Federal incident management activities. Notwithstanding any other provision of the NRP, when a terrorist threat or actual incident falls within the criminal jurisdiction of the United States, any incident management activity by any other Federal department or agency that could adversely affect the Attorney General's ability to prevent, preempt, disrupt, and respond to such a threat or incident must be coordinated with the Attorney General through the SFLEO (i.e., the FBI SAC).

The framework created by these coordinating structures is designed to accommodate the various roles the Federal Government plays during an incident, whether it is Federal support to (and in coordination with) State, local, or tribal authorities; Federal-to-Federal support; or direct implementation of Federal incident management authorities and responsibilities when appropriate under Federal law. This structure also encompasses the dual roles and responsibilities of the Secretary of Homeland Security for operational and resource coordination in the context of domestic incident management.

Concurrent Implementation of Other Plans

The NRP is the core plan for managing domestic incidents and details the Federal coordinating structures and processes used during Incidents of National Significance. Other supplemental agency and interagency plans provide details on authorities, response protocols, and technical guidance for responding to and managing specific contingency situations (such as hazardous materials spills, wildland fires, etc.).

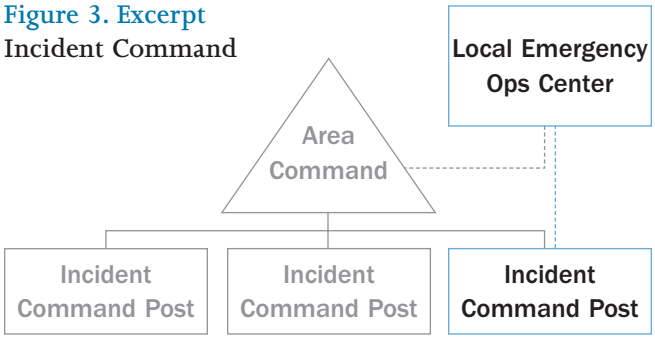
In many cases, Federal agencies manage localized incidents under these plans using their own authorities without the need for coordination by the Secretary of Homeland Security. In the context of Incidents of National Significance, these supplemental agency or interagency plans may be implemented concurrently with the NRP, but are subordinated to the overarching core coordinating structures, processes, and protocols detailed in the NRP. In this case, the department or agency with primary responsibility for execution of the supplemental agency or interagency plan is also responsible for ensuring that all ongoing activities conform to the processes and protocols prescribed in the NRP. This helps enable effective and coordinated Federal incident management operations, consistent with individual department and agency authorities and responsibilities. Similarly, this same principle applies to the implementation of security plans developed to support special security events, particularly NSSEs. A comprehensive listing and summary of representative national agency and interagency plans is included in Appendix 4.

Organizational Structure

The national structure for incident management establishes a clear progression of coordination and communication from the local level to regional to national headquarters level. This structure is diagramed in Figure 3 on page 19.

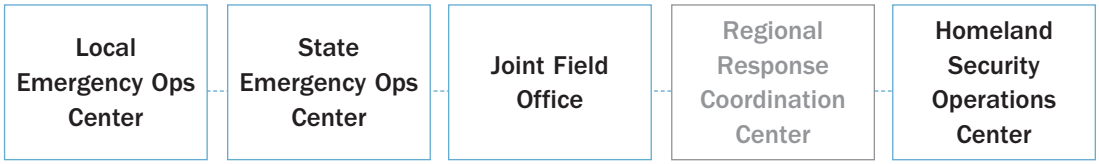
As illustrated in Figure 3, the local incident command structures (namely the ICP(s) and Area Command) are responsible for directing on-scene emergency management and maintaining command and control of on-scene incident operations.

Figure 3. Excerpt
Incident Command



The support and coordination components consist of multiagency coordination centers/emergency operations centers (EOCs) and multiagency coordination entities. Multiagency coordination centers/EOCs provide central locations for operational information-sharing and resource coordination in support of on-scene efforts.

Figure 3. Excerpt
EOCs/Multiagency Coordination Centers



Multiagency coordination entities aid in establishing priorities among the incidents and associated resource allocations, resolving agency policy conflicts, and providing strategic guidance to support incident management activities.

Figure 3. Excerpt
Multiagency Coordination Entities

In accordance with NIMS processes, resource and policy issues are addressed at the lowest organizational level practicable. If the issues cannot be resolved at that level, they are forwarded up to the next level for resolution. Reflecting the NIMS construct, the NRP includes the following command and coordination structures:

- ICPs on-scene using the Incident Command System (ICS)/Unified Command;
- Area Command (if needed);
- State, local, tribal, and private-sector EOCs;
- JFO, which is responsible for coordinating Federal assistance and supporting incident management activities locally;
- RRCC and HSOC, which serve as regional and national-level multiagency situational awareness and operational coordination centers;
- IIMG, which serves as the national headquarters-level multiagency coordination entity for domestic incident management; and
- HSC and other White House organizations, which serve as the national-level multiagency coordination entities to advise and assist the President on homeland security and other policy issues.

The NRP organizational structure addresses both site-specific incident management activities and the broader regional or national issues related to the incident, such as impacts to the rest of the country, immediate regional or national actions required to avert or prepare for potential subsequent events, and the management of multiple threats or incidents (particularly those that are non-site specific, geographically dispersed, or evolve over a long period of time).

The role of regional coordinating structures varies depending on the situation. Many incidents may be coordinated by regional structures primarily using regional assets. Larger, more complex incidents may require direct coordination between the JFO and national level, with regional structures continuing to play a supporting role.

Variations of the basic structure are diagramed in the following figures:

- Figure 4 reflects modifications for terrorist incidents and the role of the DOJ working through the FBI's Strategic Information and Operations Center (SIOC) and the Joint Operations Center (JOC).
- Figure 5 depicts the coordination structure for Federal-to-Federal support when DHS is coordinating resources to support another Federal agency in non-Stafford Act situations.

Additional information about each component of these organizational structures is presented following the figures.

FIGURE 3. Structure for NRP coordination

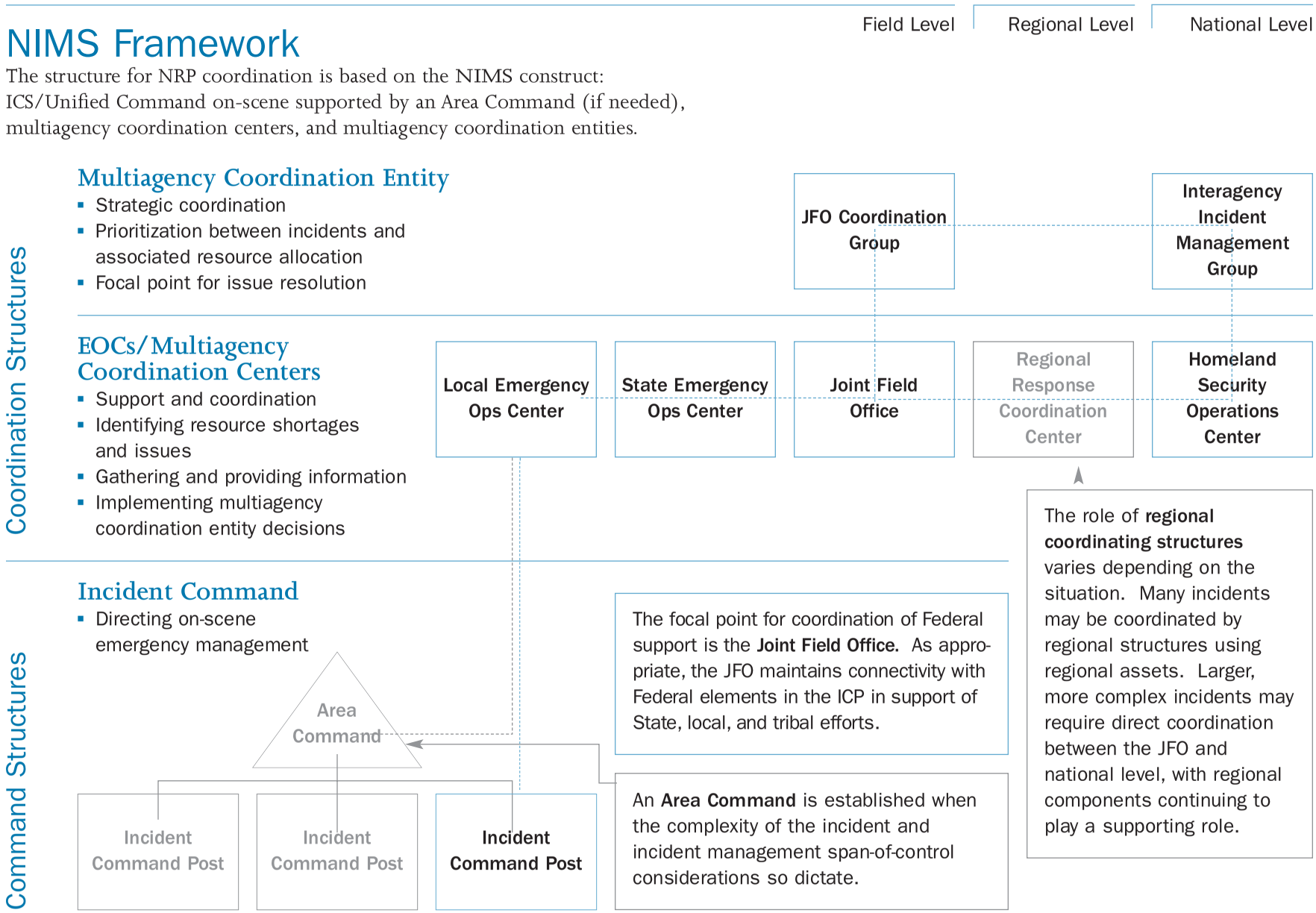


FIGURE 4. Structure for NRP coordination: Terrorist incident

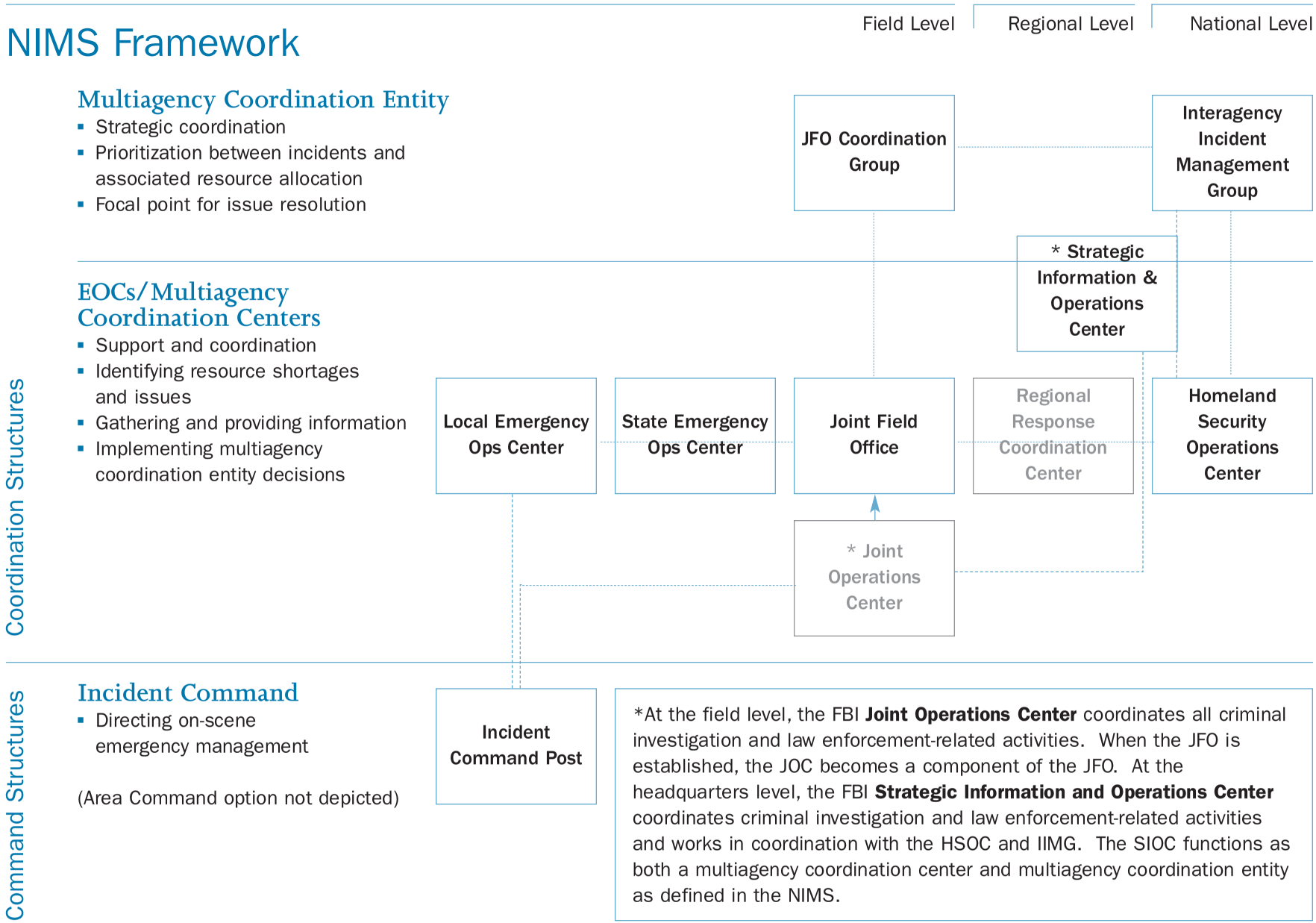
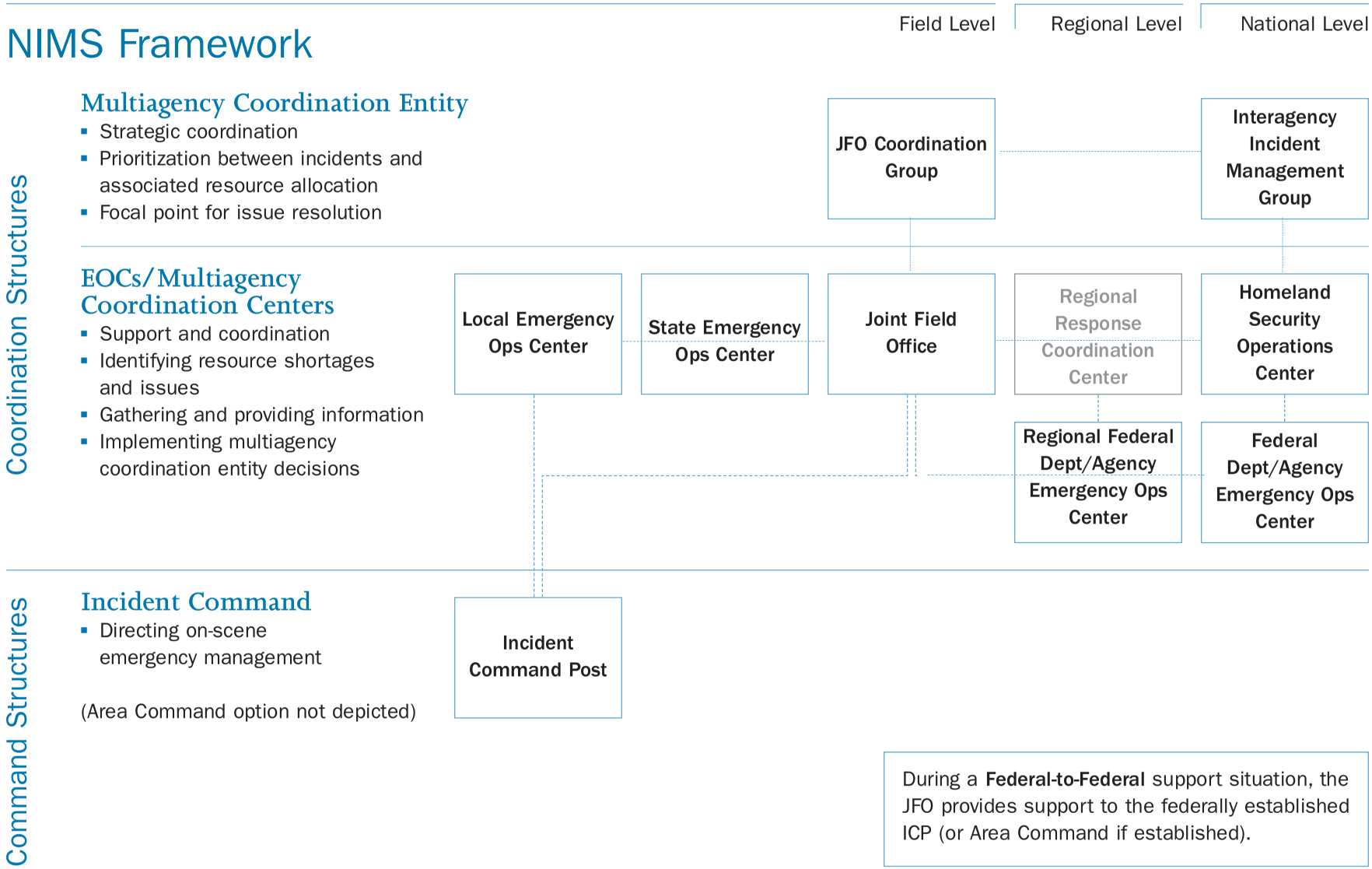


FIGURE 5. Structure for NRP coordination: Federal-to-Federal support



Principal NRP Organizational Elements

This section discusses the major organizational elements in the structure for Federal NRP coordination diagramed in Figures 3 through 5. Included in the discussion are special teams and other associated components, to include White House-level entities.

Homeland Security Council/National Security Council

As stated in HSPD-5, the Assistant to the President for Homeland Security and the Assistant to the President for National Security Affairs are responsible for interagency policy coordination regarding domestic and international incident management, respectively, as directed by the President. Following an initial assessment by the Secretary of Homeland Security, interagency policy issues and courses of action framed by the IIMG, particularly those of a time-sensitive nature, those that require policy adjudication, or those outside the authorities of the Secretary, as defined in the Homeland Security Act, Stafford Act, and other relevant statutes, Executive orders, and directives, are elevated for resolution through the HSC/NSC system.

The Assistant to the President for Homeland Security and the Assistant to the President for National Security Affairs work together to ensure that domestic and international incident management efforts are seamlessly united.

Policy Coordination Committees (PCCs)

PCCs coordinate policy issues as part of the White House process. PCCs may be convened at the request of any member agency on an emergency basis based on a threat, an Incident of National Significance, or a policy issue of an urgent nature.

Interagency Incident Management Group

The IIMG is a Federal headquarters-level multiagency coordination entity that facilitates strategic Federal domestic incident management for Incidents of National Significance. The Secretary of Homeland Security activates the IIMG based on the nature, severity, magnitude, and complexity of the threat or incident. The Secretary of Homeland Security may activate the IIMG for high-profile, large-scale events that present high-probability targets, such as NSSEs, and in heightened threat situations. The IIMG is comprised of senior representatives from DHS components, other Federal departments and agencies, and NGOs, as required. (For incident-specific activities, the IIMG replaces the Catastrophic Disaster Response Group that served as the policy-level multiagency coordination entity under the FRP.)

The IIMG membership is flexible and can be tailored or task-organized to provide the appropriate subject-matter expertise required for the specific threat or incident at hand. When activated, the IIMG:

- Serves as a focal point for Federal strategic incident management planning and coordination;
- Maintains situational awareness of threat assessments and ongoing incident-related operations and activities;
- Provides decisionmaking support for threat or incident-related prevention, preparedness, response, and recovery efforts;
- Synthesizes information, frames issues, and makes recommendations to the Secretary of Homeland Security on:
  - Actions to take in response to credible threats,
  - Changes in the national HSAS alert level,
  - Policy issues,
  - Operational courses of action, and
  - Priorities for the use or allocation of Federal resources;
- Provides strategic coordination and recommendations for the application of Federal resources in cooperation with existing agency and interagency resource management and private-sector entities;
- Assesses national impacts of the incident(s) as well as those associated with the actual or proposed Federal response;
- Anticipates evolving Federal resource and operational requirements according to the specifics of the situation;
- Maintains ongoing coordination with the PFO and the JFO Coordination Group;
- Coordinates with the FBI SIOC on terrorism-related issues;

- Facilitates interagency operational coordination and coordination with other public and private entities required for implementation of decisions and directions from the President or other appropriate White House entities; and
- Develops strategies for implementing existing policies and provides incident information to DHS and the White House to facilitate policymaking. The White House originates any new policies pertaining to a major incident and resolves interagency policy disputes.

IIMG Director, Deputy, or Designee

The IIMG coordinates with and provides information to the White House including, but not limited to: situational awareness and operational prevention, protection, preparedness, response, and recovery activities, as well as policy course of action recommendations. The IIMG Director, deputy, or designee, in support of the Secretary of Homeland Security, may participate in White House organization meetings. Policy decisions made through the HSC/NSC system are referred to the IIMG and the appropriate departments and agencies for implementation.

The IIMG monitors policy and operational courses of action implemented by individual departments and agencies, monitors progress, and reports status back through the DHS representative on a timely basis.

IIMG Staffing

As indicated below, the IIMG consists of an Executive Staff, Core Group, and Subject-Matter Expert Augmentation.

IIMG Executive Staff

The Executive Staff includes a Director, Deputy Director, Operations Deputy, Information Analyst, Information Requirements Manager, Recorder, Situation Briefer, Resource Tracker, and Administrative Assistant. The Secretary of Homeland Security will designate a senior department representative to serve as the IIMG Director.

IIMG Core Group

The IIMG Core Group includes representatives from Federal departments and agencies, DHS components, and other organizations as required. Affected States may be represented on the IIMG either through the DHS Office of State and Local Government Coordination and Preparedness (OSLGCP) or, if needed, through a State liaison to the IIMG. At the time of activation of the IIMG, actual IIMG membership and participation is tailored to include departments and agencies with the appropriate jurisdictional authority and expertise for the incident at hand, including the following scenarios: chemical, biological, radiological, or nuclear event; non-WMD terrorist event; cyber event; oil/hazardous materials spill; natural disaster; mass migration event; and other emergencies as required.

IIMG Core Group Staffing

- Department of Agriculture
- Department of Commerce
- Department of Defense
- Department of Energy
- Department of Health and Human Services
- Department of Homeland Security
  - Border and Transportation Security
  - Citizenship and Immigration Services
  - Congressional Liaison
  - Customs and Border Protection
  - Emergency Preparedness and Response/Federal Emergency Management Agency
  - Immigration and Customs Enforcement
  - Information Analysis and Infrastructure Protection
  - International Affairs Office
  - Legislative Affairs
  - Office of General Counsel
  - Office of National Capital Region Coordination
  - Office of State and Local Government Coordination and Preparedness
  - Public Affairs
  - Science and Technology
  - Special Assistant to the Secretary for the Private Sector
  - Transportation Security Administration
  - U.S. Coast Guard
  - U.S. Secret Service
- Department of Housing and Urban Development
- Department of the Interior
- Department of Justice
  - Bureau of Alcohol, Tobacco, Firearms and Explosives
  - Drug Enforcement Agency
  - Federal Bureau of Investigation
  - U.S. Marshals Service

- Department of Labor
- Department of State
- Department of Transportation
- Department of the Treasury
- Department of Veterans Affairs
- Central Intelligence Agency
- Environmental Protection Agency
- General Services Administration
- National Aeronautics and Space Administration
- Nuclear Regulatory Commission
- Office of Personnel Management
- Small Business Administration
- U.S. Postal Service
- White House Office of Science and Technology Policy
- American Red Cross

Subject-Matter Expert Augmentation

In addition to the Executive Staff and Core Group, the IIMG integrates immediately available and on-call operational subject-matter expertise and reach-back capability to meet the demands of the particular incident. For some responses, pre-established subject-matter expert groups are part of ESF, Support, or Incident Annex planning efforts, and provide appropriate technical advice. For example, for incidents involving hazardous materials, the National Response Team (NRT) can provide assistance to the IIMG. (See the Science and Technology Support Annex for additional information.)

IIMG Procedures

Procedures governing the designation, activation, recall, assembly, and operational interaction of IIMG members will be developed in concert with other Federal departments and agencies and published by the Secretary of Homeland Security in a separate document.

Homeland Security Operations Center

The HSOC is the primary national hub for domestic incident management operational coordination and situational awareness. The HSOC is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private-sector reporting. The HSOC facilitates homeland security information-sharing and operational coordination with other Federal, State, local, tribal, and nongovernmental EOCs.

HSOC roles and responsibilities include:

- Establishing and maintaining real-time communications links to other Federal EOCs at the national level, as well as appropriate State, tribal, local, regional, and nongovernmental EOCs and relevant elements of the private sector;
- Maintaining communications with private-sector critical infrastructure and key resources information-sharing entities;
- Maintaining communications with Federal incident management officials;
- Coordinating resources pertaining to domestic incident management, and the protection against and prevention of terrorists attacks;
- Coordinating with the Terrorist Screening Center (TSC), FBI SIOC, National Counterterrorism Center (NCTC), and other Federal Government entities for terrorism-related threat analysis and incident response, consistent with applicable Executive orders;
- Providing general domestic situational awareness, common operational picture, and support to and acting upon requests for information from the IIMG and DHS leadership; and
- Acting as the primary conduit for the White House Situation Room and IIMG for domestic situational awareness.

The HSOC consists of a 24/7 multiagency watch and operational coordination center and integrated elements of DHS Information Analysis and Infrastructure Protection/Office of the Assistant Secretary for Information Analysis (DHS/IAIP/OIA) and DHS Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA). These elements work in close coordination to address information/intelligence analysis and response coordination.

HSOC (DHS Headquarters facility elements)

The HSOC integrates representatives from DHS and other Federal departments and agencies to support steady-state threat-monitoring requirements and situational awareness, as well as operational incident management coordination. The organizational structure of the HSOC is designed to integrate a full spectrum of interagency subject-matter expertise and reach-back capability to meet the demands of a wide range of potential incident scenarios.

HSOC Representatives

The HSOC includes representatives from:

- Department of Agriculture*
- Department of Commerce
  - National Oceanic and Atmospheric Administration
- Department of Defense
- Department of Energy
- Department of Health and Human Services
- Department of Homeland Security
  - Border and Transportation Security
  - Customs and Border Protection
  - Emergency Preparedness and Response/Federal Emergency Management Agency
  - Federal Protective Service
  - Immigration and Customs Enforcement
  - Information Analysis and Infrastructure Protection
  - Office of the National Capital Region Coordination
  - Office of State and Local Government Coordination and Preparedness
  - Public Affairs
  - Science and Technology
  - Transportation Security Administration
  - U.S. Coast Guard
  - U.S. Secret Service
- Department of the Interior
- Department of Justice
  - Bureau of Alcohol, Tobacco, Firearms and Explosives
  - Drug Enforcement Agency
  - Federal Bureau of Investigation
  - U.S. Marshals Service
- Department of Labor*
- Department of State
- Department of Transportation*
  - Federal Aviation Administration*
- Department of Veterans Affairs
- Central Intelligence Agency
- Environmental Protection Agency
- Nuclear Regulatory Commission*
- Office of Personnel Management
- U.S. Postal Service
- American Red Cross*
- State and local law enforcement

* Staffing from these entities is situation dependent.

This list represents a generic template for steady-state staffing for DHS Headquarters elements of the HSOC. At the time of an incident, participation may be expanded based on the specifics of the situation.

DHS component operations centers establish and maintain direct connectivity, or capability for connectivity, with the HSOC on a 24/7 basis and keep it apprised of all operational activities conducted in support of incident management requirements.

Nothing in this plan impacts or impedes the ability of other Federal departments and agencies to establish their own emergency operations centers and maintain a direct flow of information to these operations centers from government or private-sector representatives at the local incident site.

Intelligence/Information Analysis

In partnership with other elements of the HSOC, DHS/IAIP/OIA is responsible for interagency intelligence collection requirements, analysis, production, and product dissemination for DHS. DHS/IAIP/OIA:

- Coordinates or disseminates homeland security threat warnings, advisory bulletins, and other information pertinent to national incident management to Federal, State, regional, local, and nongovernmental EOCs and incident management officials and relevant elements of the private sector;
- Coordinates with the TSC, FBI SIOC, NCTC, and other Federal Government entities for terrorism-related and homeland security-related threat analysis and warning, consistent with applicable Executive orders;
- Provides direct analytical support and coordinated Request for Information (RFI) processing with the HSOC in support of the IIMG;
- Provides the threat/intelligence aspects of situational awareness and forecasting of follow-on threat activities/incidents; and
- Maintains real-time communications links to other national intelligence organizations.

The FBI develops and disseminates FBI intelligence bulletins and threat warnings to law enforcement in coordination with DHS.

Response and Resource Coordination

The NRCC is a multiagency center that provides overall Federal response coordination for Incidents of National Significance and emergency management program implementation. DHS/EPR/FEMA maintains the NRCC as a functional component of the HSOC in support of incident management operations.

The NRCC monitors potential or developing Incidents of National Significance and supports the efforts of regional and field components. NRCC functions in support of multiagency planning and coordination of incident management operations include:

- Monitoring the preparedness of national-level emergency response teams and resources;
- In coordination with RRCCs, initiating mission assignments or reimbursable agreements to activate other Federal departments and agencies;
- Activating and deploying national-level entities such as the National Disaster Medical System (NDMS), Urban Search and Rescue Task Forces, Mobile Emergency Response Support (MERS), and Emergency Response Team (ERT);
- Coordinating and sustaining the Federal response to potential and actual Incidents of National Significance, including coordinating the use of Federal remote sensing/disaster assessment support;
- Providing management of field facilities, supplies, and equipment;
- Coordinating operational response and resource allocation planning with the appropriate Federal departments and agencies, RRCCs, and the JFO;
- Tracking and managing Federal resource allocations (see the Financial Management Support Annex regarding financial tracking and management during Federal-to-Federal support situations);
- Collecting, evaluating, and disseminating information regarding the incident response and status of resources; and
- Drafting and distributing operational warnings and orders in coordination with other elements of the HSOC.

In addition, the NRCC resolves Federal resource support conflicts and other implementation issues forwarded by the JFO. Those issues that cannot be resolved by the NRCC are referred to the IIMG.

During an incident, the NRCC operates on a 24/7 basis or as required in coordination with other elements of the HSOC. To support incident operations, more than 40 departments and agencies from activated ESF primary and support agencies provide representatives to augment the NRCC. Additional interagency representatives may be requested based on the situation at hand. DHS/EPR/FEMA provides management and support staff for functions not filled by ESF personnel. The DHS/EPR/FEMA Operations Center (FOC) supports the NRCC with a 24-hour watch and provides notification to departments and agencies on the activation (or potential activation) of ESFs.

Critical Infrastructure Protection

The HSOC maintains communications and coordinates with critical infrastructure and key resources information-sharing entities through the National Infrastructure Coordinating Center (NICC). The NICC monitors the Nation's critical infrastructure and key resources on an ongoing basis, and conducts daily polling of the standing information-sharing entities for incidents and abnormalities. During an incident, the NICC provides a coordinating vehicle to share information across infrastructure and key resources sectors through appropriate information-sharing entities.

Strategic Information and Operations Center

The FBI SIOC is the focal point and operational control center for all Federal intelligence, law enforcement, and investigative law enforcement activities related to domestic terrorist incidents or credible threats, including leading attribution investigations. The SIOC serves as an information clearinghouse to help collect, process, vet, and disseminate information relevant to law enforcement and criminal investigation efforts in a timely manner. The SIOC maintains direct connectivity with the HSOC and IIMG. The SIOC, located at FBI Headquarters, supports the FBI's mission in leading efforts of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the Unites States.

The **FBI SIOC** is the focal point and operational control center for all Federal intelligence, law enforcement, and investigative law enforcement activities related to domestic terrorist incidents or credible threats, including leading attribution investigations.

The SIOC houses the National Joint Terrorism Task Force (NJTTF). The mission of the NJTTF is to enhance communications, coordination, and cooperation among Federal, State, local, and tribal agencies representing the intelligence, law enforcement, defense, diplomatic, public safety, and homeland security communities by

providing a point of fusion for terrorism intelligence and by supporting Joint Terrorism Task Forces (JTTFs) throughout the United States.

In situations other than terrorism, the Attorney General may coordinate Federal law enforcement activities through another DOJ operations center, as appropriate, in coordination with the HSOC.

National Counterterrorism Center

The NCTC serves as the primary Federal organization for analyzing and integrating all intelligence possessed or acquired by the U.S. Government pertaining to terrorism and counterterrorism, excepting purely domestic counterterrorism information. The NCTC may, consistent with applicable law, receive, retain, and disseminate information from any Federal, State, or local government or other source necessary to fulfill its responsibilities.

The NCTC also conducts strategic operational planning for counterterrorism activities, integrating all instruments of national power, including diplomatic, financial, military, intelligence, homeland security, and law enforcement activities within and among agencies. It assigns operational responsibilities to agencies for counterterrorism activities that are consistent with applicable law and support strategic plans to counter terrorism. The NCTC ensures that agencies have access to and receive intelligence needed to accomplish their assigned activities. It does not direct the execution of operations.

In addition, the NCTC serves as the central and shared knowledge bank on known and suspected terrorists and international terror groups, as well as their goals, strategies, capabilities, and networks of contacts and support. The NCTC ensures that agencies, as appropriate, have access to and receive all-source intelligence support needed to execute their counterterrorism plans or perform independent, alternative analysis.

Emergency Support Functions

The ESF structure provides a modular structure to energize the precise components that can best address the requirements of the incident. For example, a large-scale natural disaster or massive terrorist event may require the activation of all ESFs. A localized flood or tornado might only require activation of a select number of ESFs. Based on the requirements of the incident, ESFs provide the interagency staff to support operations of the NRCC, the RRCC, and the JFO. Depending on the incident, deployed assets of the ESFs may also participate in the staffing of the ICP.

Under the NRP, each ESF is structured to provide optimal support of evolving incident management requirements. ESFs may be activated for Stafford Act and non-Stafford Act implementation of the NRP (although some Incidents of National Significance may not require ESF activations). ESF funding for non-Stafford Act situations will be accomplished using NRP Federal-to-Federal support mechanisms and will vary based on the incident. ESF activities and involvement vary throughout an incident from high-visibility, high-intensity activities during the early response, to program implementation and management during recovery, to a stage of declining requirements and deactivation as ESFs or ESF components complete their missions.

Regional Coordination

Some Incidents of National Significance may be managed primarily using regional resources, with headquarters-level monitoring. In large-magnitude, high-visibility, and/or sensitive situations, the JFO coordinates directly with the headquarters-level HSOC and IIMG. In these situations, regional organizational elements remain in support roles.

The RRCC is a standing facility operated by DHS/EPR/FEMA that is activated to coordinate regional response efforts, establish Federal priorities, and implement local Federal program support until a JFO is established in the field and/or the PFO, FCO, or FRC can assume their NRP coordination responsibilities. The RRCC establishes communications with the affected State emergency management agency and the NRCC, coordinates deployment of the Emergency Response Team–Advance Element (ERT-A) to field locations, assesses damage information, develops situation reports, and issues initial mission assignments.

The DHS/EPR/FEMA Regional Director activates the RRCC based on the level of response required. The RRCC is led by an RRCC Director and includes

DHS/EPR/FEMA staff and regional ESF representatives. The RRCC may also include a DOD Regional Emergency Preparedness Liaison Officer (REPLO) who assists in coordination of requests for defense support. Financial management activity at the RRCC is monitored and reported by the Comptroller. (The RRCC replaces the Regional Operations Center (ROC) in the FRP.)

Joint Field Office

The JFO is a multiagency coordination center established locally. It provides a central location for coordination of Federal, State, local, tribal, nongovernmental, and private-sector organizations with primary responsibility for threat response and incident support. The JFO enables the effective and efficient coordination of Federal incident-related prevention, preparedness, response, and recovery actions.

The JFO utilizes the scalable organizational structure of the NIMS ICS in the context of both pre-incident and post-incident management activities. The JFO organization adapts to the magnitude and complexity of the situation at hand, and incorporates the NIMS principles regarding span of control and organizational structure: management, operations, planning, logistics, and finance/administration. Although the JFO uses an ICS structure, the JFO does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site.

As described in the NIMS, the JFO may also incorporate a sixth element focused on intelligence and information. This element may be included as a position in the Coordination Staff, a unit within the Planning Section, a branch within the Operations Section, or as a separate General Staff Section. The placement of the intelligence function is determined by the JFO Coordination Group based on the role intelligence plays in the incident and/or the volume of classified or highly sensitive information. Personnel from Federal departments and agencies, other jurisdictional entities, and private-sector and nongovernmental organizations provide staffing for the JFO, generally through their respective ESFs.

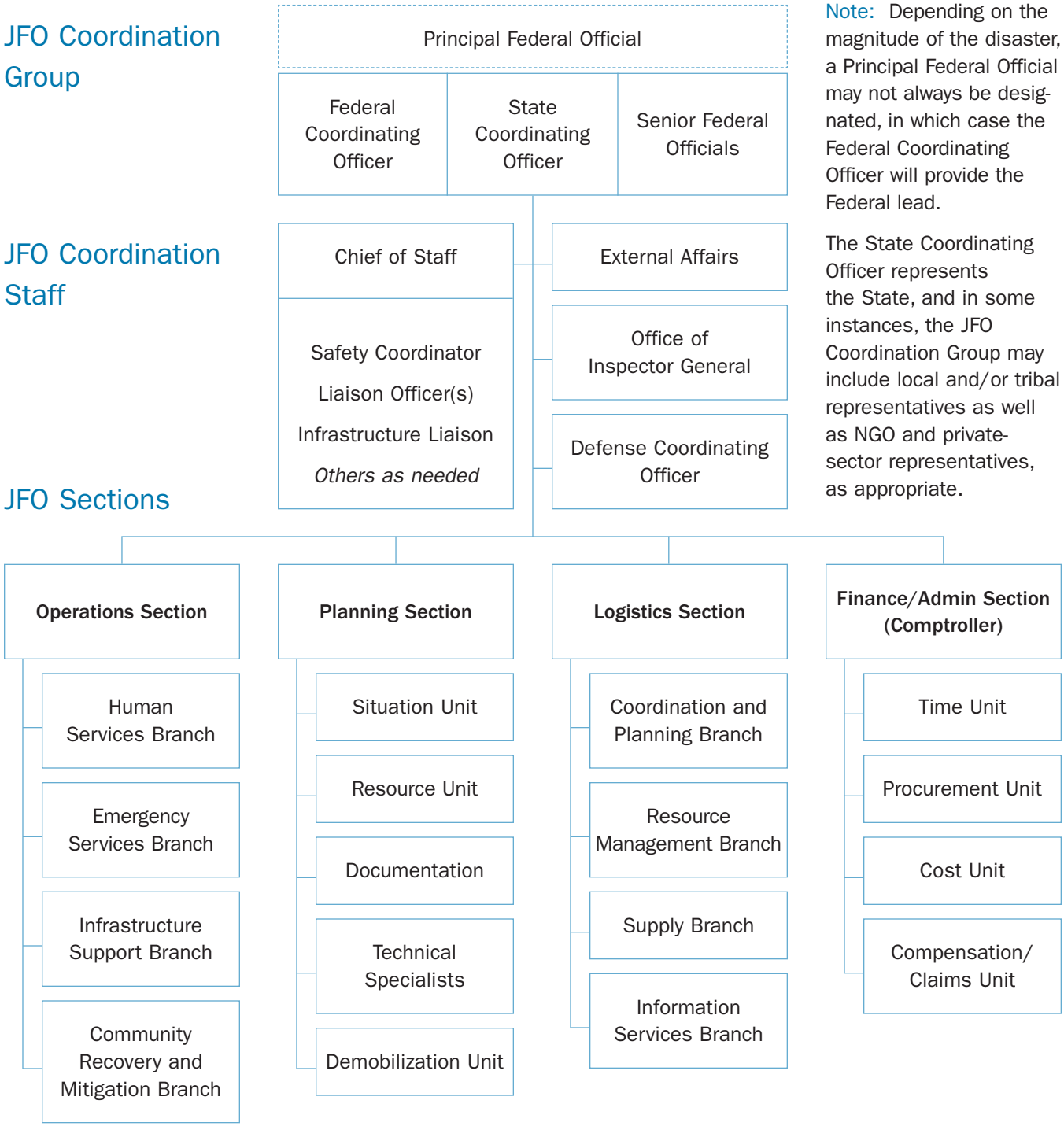
The JFO fully replaces the DHS/EPR/FEMA Disaster Field Office (DFO), and accommodates all entities (or their designated representatives) essential to incident management, information-sharing, and the delivery of disaster assistance and other support.

When activated to support an NSSE or other security coordination function, the DHS/U.S. Secret Service (USSS) Multiagency Command Center (MACC) and the FBI JOC are collocated at the JFO when possible. Other Federal operations centers collocate at the JFO whenever possible. In the event that collocation is not practical, Federal agencies are connected virtually to the JFO and assign liaisons to the JFO to facilitate the coordination of Federal incident management and assistance efforts. State, local, tribal, private-sector, and nongovernmental organizations are encouraged to assign liaisons to the JFO to facilitate interaction, communication, and coordination. Law enforcement activities are managed through the JOC, which becomes an operational branch of the JFO during terrorist-related Incidents of National Significance when required.

Threat situations or incidents that impact multiple States or localities may require separate JFOs. In these situations, one of the JFOs may be identified (typically in the most heavily impacted area) to provide strategic leadership and coordination for the overall incident management effort.

Figures 6 through 9 illustrate possible JFO organizational structures for various types of threat scenarios and incidents. Figure 6 illustrates the organization for natural disasters, Figure 7 shows modifications for terrorism, Figure 8 shows modifications for incidents involving Federal-to-Federal support, and Figure 9 depicts the JFO organization for an NSSE. All or portions of these organizational structures may be stood up based on the nature and magnitude of the threat or incident.

FIGURE 6. Sample JFO organization during natural disasters



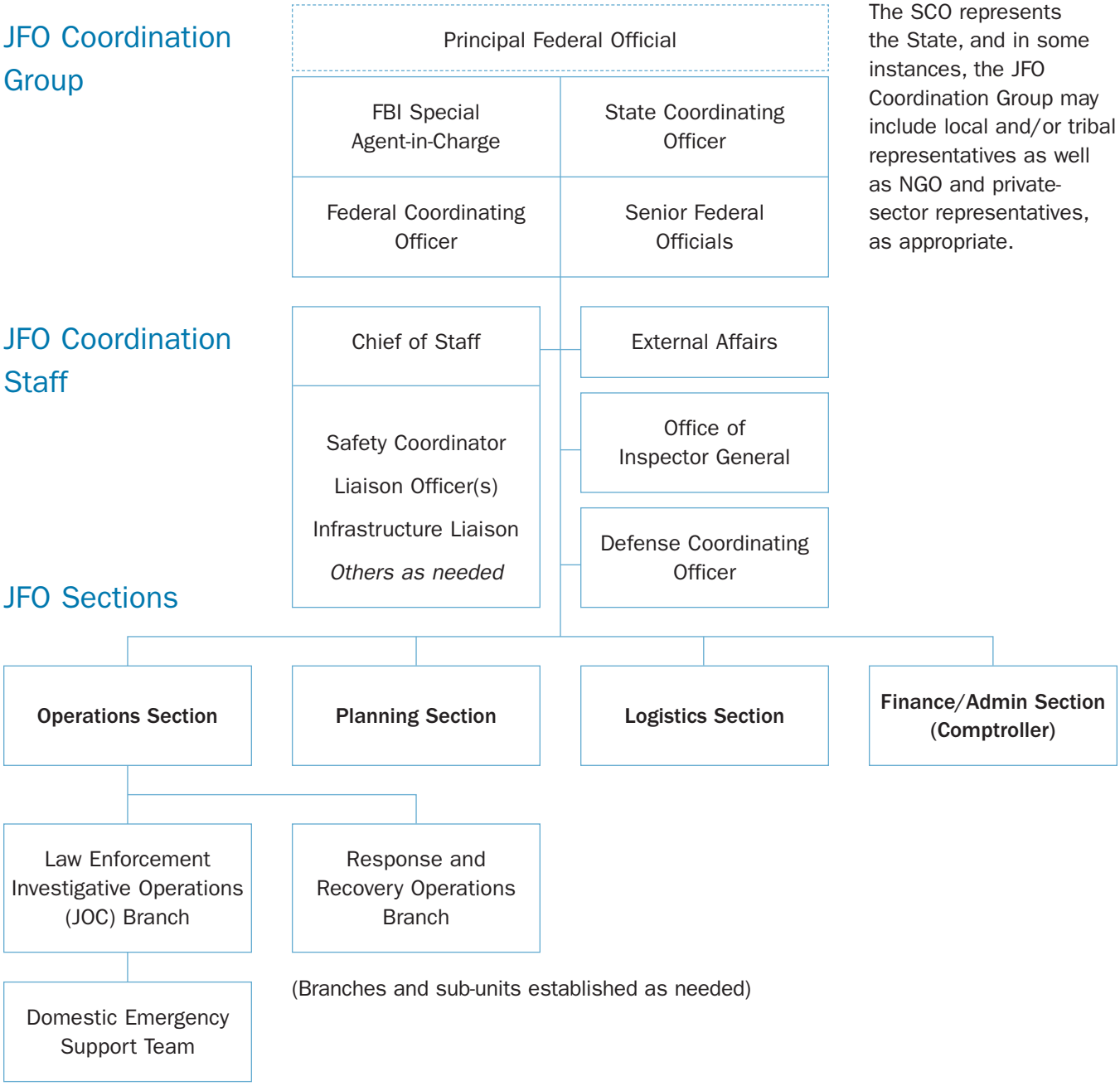
Note: Depending on the magnitude of the disaster, a Principal Federal Official may not always be designated, in which case the Federal Coordinating Officer will provide the Federal lead.

The State Coordinating Officer represents the State, and in some instances, the JFO Coordination Group may include local and/or tribal representatives as well as NGO and private-sector representatives, as appropriate.

JFO Organization for Terrorist Incidents

For terrorist threats or incidents, the establishment of the FBI JOC may precede the establishment of the other components of the JFO in time and may constitute the initial Federal coordinating presence locally. With the establishment of a JFO, the JOC is incorporated as a branch within the Operations Section (as shown in Figure 7) with appropriate consideration given to the protection of sensitive law enforcement and investigative information within this structure. Utilizing the flexibility of NIMS, this JFO structure aids in the protection of sensitive information while fully integrating law enforcement operations with other incident management activities, as appropriate.

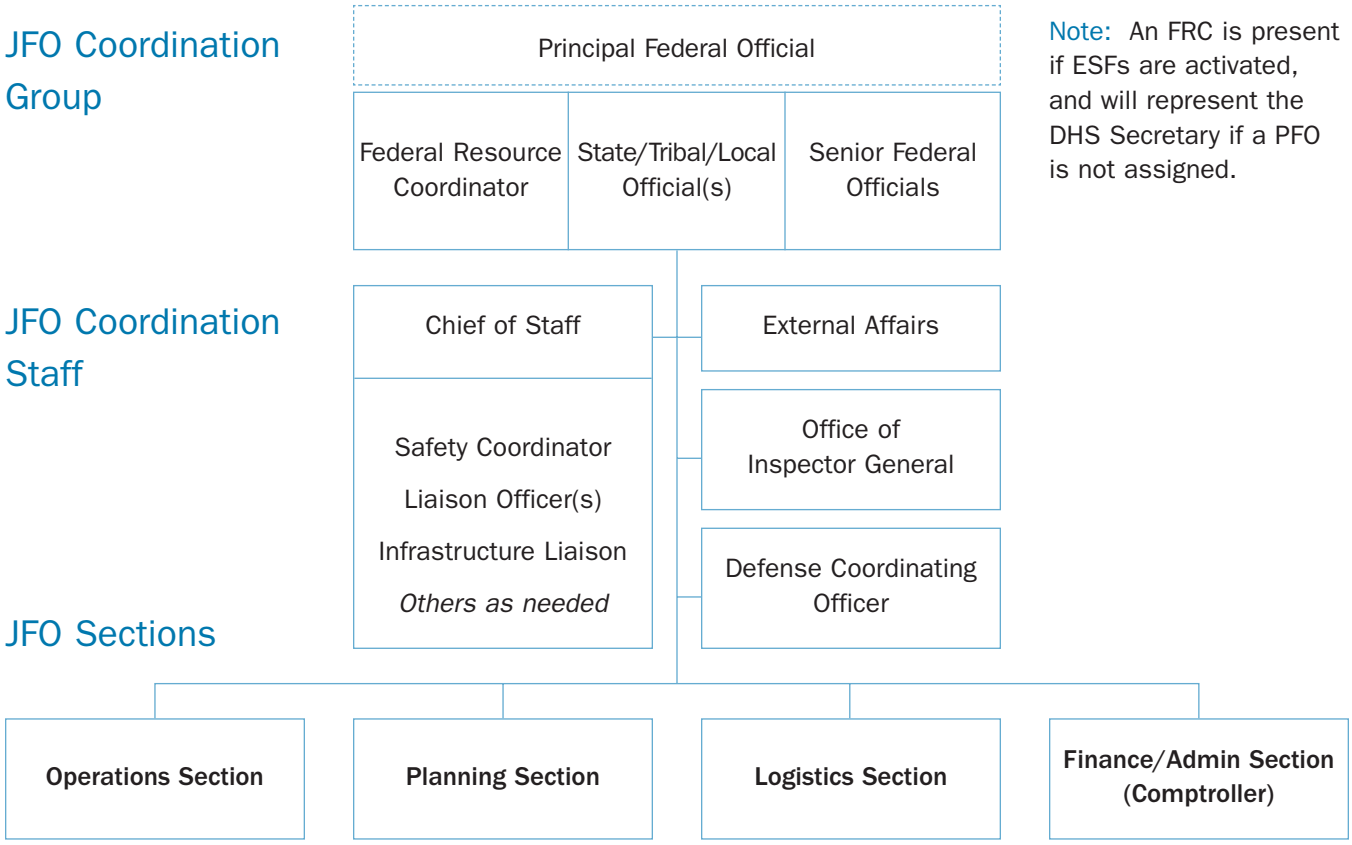
FIGURE 7. Sample JFO organization for terrorist incidents



JFO Organization for Federal-to-Federal Support

Other situations for which a JFO may be established include incidents managed by one or more Federal agencies that request DHS assistance or events that escalate to Incidents of National Significance, such as an oil spill escalating to a Spill of National Significance. Again, the JFO organization is tailored to the incident (based on NIMS), and includes SFOs from agencies with relevant authority/jurisdiction as members of the JFO Coordination Group.

FIGURE 8. Sample JFO organization for Federal-to-Federal support



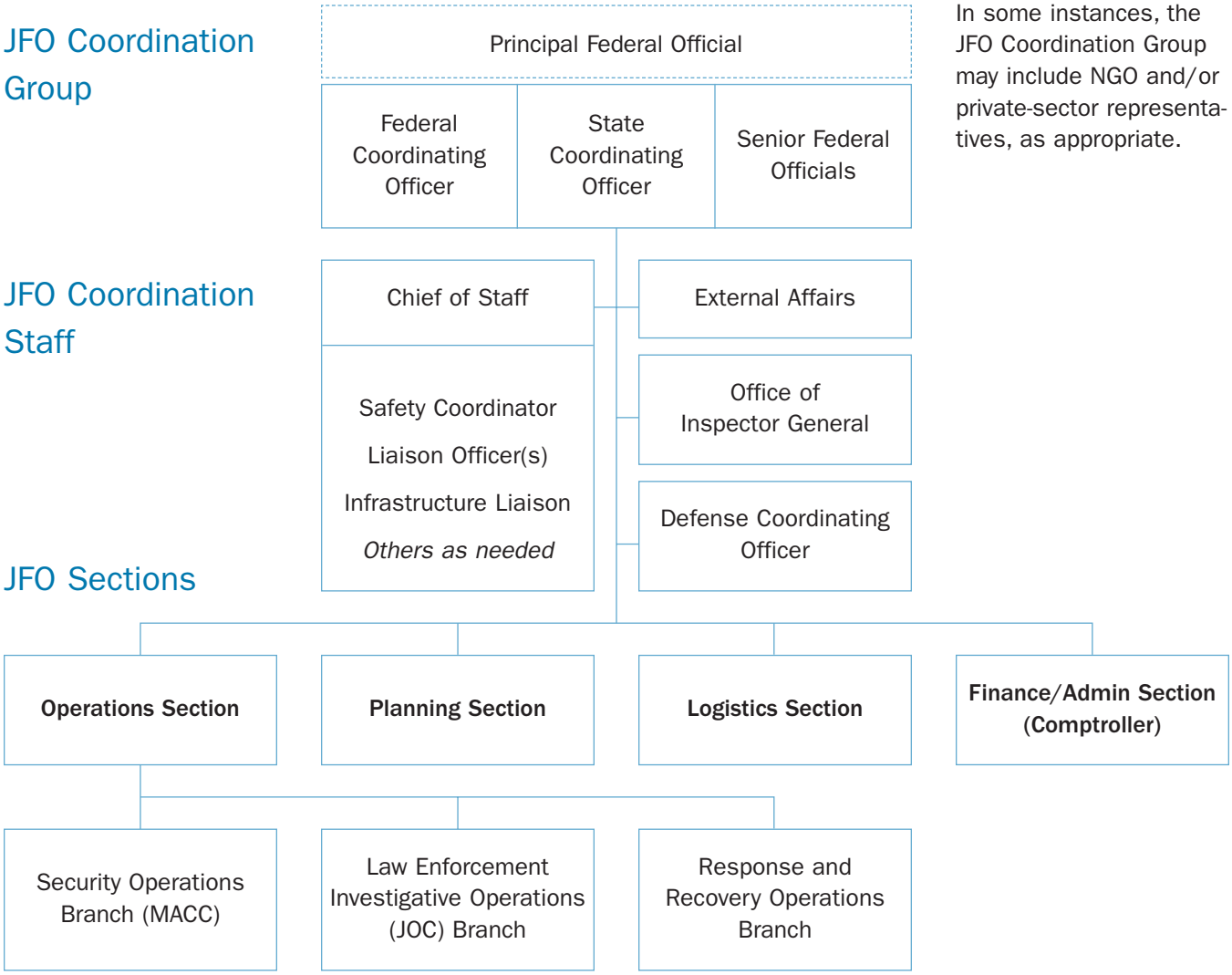
(Branches and sub-units established as needed)

JFO Organization for National Special Security Events

PDD-62 formalized and delineated the roles and responsibilities of Federal agencies in the development of security plans for NSSEs. HSPD-7 established the new process for designating events of national and international significance as NSSEs. Designated by the Secretary of Homeland Security, these events include summits of world leaders, meetings of international organizations, national political party conventions, and major national or international sporting events, which by virtue of their political, economic, social, or religious significance may be targets of terrorism or other criminal activity.

For NSSEs, DHS/USSS has primary responsibility for security design, planning, and implementation; FBI has primary responsibility for law enforcement, intelligence, hostage rescue, counterterrorism, and criminal investigation; and DHS/EPR/FEMA has primary responsibility for emergency response and recovery planning and coordination. These agencies work together using the principles of Unified Command, with a pre-designated PFO facilitating interagency incident management coordination during NSSE planning and execution. For these situations, the JFO combines the functions of the DHS/USSS MACC, the FBI JOC, and the Response and Recovery Operations Branch, as illustrated in Figure 9.

FIGURE 9. Sample JFO organization for National Special Security Events



In some instances, the JFO Coordination Group may include NGO and/or private-sector representatives, as appropriate.

JFO Organization Components

The JFO organization components are described in the following sections.

JFO Coordination Group

Utilizing the NIMS principle of Unified Command, JFO activities are directed by a JFO Coordination Group, which may include the PFO, SFLEO, FCO/FRC, or other SFOs with primary jurisdictional responsibility or functional authority for the incident.

JFO Coordination Group

Principal Federal Official		
Federal Coordinating Officer	State Coordinating Officer	Senior Federal Officials

The JFO Coordination Group also includes a limited number of principal State, local, and tribal officials (such as the SCO), as well as NGO and private-sector representatives. The JFO Coordination Group functions as a multiagency coordination entity and works jointly to establish priorities (single or multiple incidents) and associated resource allocation, resolve agency policy issues, and provide strategic guidance to support Federal incident management activities. Generally, the PFO, in consultation with the FCO and SFLEO, determines the composition of the JFO Coordination Group. The exact composition of the JFO is dependent on the nature and magnitude of the incident, and generally includes the personnel described in the following subsections.

The JFO Coordination Group provides strategic guidance and resolution of any conflicts in priorities for allocation of critical Federal resources. If policy issue resolution cannot be achieved between JFO Coordination Group members, issues can be raised to the IIMG or through the appropriate agency chain of command for consideration by higher authorities. Unresolved resource issues are forwarded to the NRCC, then to the IIMG if further deliberation is required.

Principal Federal Official

The PFO is personally designated by the Secretary of Homeland Security to facilitate Federal support to the established ICS Unified Command structure and to coordinate overall Federal incident management and assistance activities across the spectrum of prevention, preparedness, response, and recovery. The PFO ensures that incident management efforts are maximized through effective and efficient coordination. The PFO provides a primary point of contact and situational awareness locally for the Secretary of Homeland Security. The Secretary is not restricted to DHS officials when selecting a PFO.

The PFO does not direct or replace the incident command structure established at the incident, nor does the PFO have directive authority over the SFLEO, FCO, or other Federal and State officials. Other Federal incident management officials retain their authorities as defined in existing statutes and directives. The PFO coordinates the activities of the SFLEO, FCO, and other Federal officials involved in incident management activities acting under their own authorities. The PFO also provides a channel for media and public communications and an interface with appropriate jurisdictional officials pertaining to the incident. Once formally designated, PFOs relinquish the conduct of all normal duties and functions. PFOs may not be "dual-hatted" with any other roles or responsibilities that could detract from their overall incident management responsibilities.

PFO Responsibilities

The specific roles and responsibilities of the PFO include the following:

- Representing the Secretary of Homeland Security as the lead Federal official;
- Ensuring overall coordination of Federal domestic incident management and resource allocation activities;
- Ensuring the seamless integration of Federal activities in support of and in coordination with State, local, and tribal requirements;
- Providing strategic guidance to Federal entities;
- Facilitating interagency conflict resolution as necessary;

- Serving as a primary, although not exclusive, point of contact for Federal interface with State, local, and tribal senior elected/appointed officials, the media, and the private sector;
- Providing real-time incident information to the Secretary of Homeland Security through the HSOC and the IIMG, as required;
- Coordinating response resource needs between multiple incidents as necessary, or as directed by the Secretary of Homeland Security;
- Coordinating the overall Federal strategy locally to ensure consistency of Federal interagency communications to the public;
- Ensuring that adequate connectivity is maintained between the JFO and the HSOC; local, county, State, and regional EOCs; nongovernmental EOCs; and relevant elements of the private sector; and
- Participating in ongoing steady-state preparedness efforts (as appropriate for PFOs designated in a "pre-incident" mode, when a threat can be ascribed to a particular geographic area).

For an actual incident, the Secretary may designate a local Federal official as an "initial PFO" until the primary PFO is in place. The initial PFO is accountable for the same responsibilities as the PFO. In certain scenarios, a PFO may be pre-designated by the Secretary of Homeland Security to facilitate Federal domestic incident planning and coordination at the local level outside the context of a specific threat or incident. A PFO also may be designated in a pre-incident mode for a specific geographic area based on threat and other considerations. The PFO may hand off duties to the FCO or other designated Federal official as appropriate after an event transitions to long-term recovery and/or cleanup operations.

The Secretary of Homeland Security announces designation of the PFO via a message from the HSOC to other Federal, State, and local emergency operations centers, as well as through a letter to the Governor/mayor of the affected jurisdiction(s).

The PFO and a small staff component may deploy with the Domestic Emergency Support Team (DEST) to facilitate their timely arrival and enhance initial situational awareness. The PFO and supporting staff conform to the deployment timelines and other guidelines established in DEST procedures including, but not limited to, those outlined in the MOU between DHS and the FBI regarding the DEST program. Nothing in the NRP alters the existing DEST concept of operation or affects the mission of the DEST to support the FBI SAC at the scene of a weapons of mass destruction (WMD) threat or incident.

DHS conducts a formal training program for PFO-designates. Unless extenuating circumstances dictate otherwise, all PFO-designates should satisfactorily complete this training program prior to performing PFO-related responsibilities.

Federal Coordinating Officer

The FCO manages and coordinates Federal resource support activities related to Stafford Act disasters and emergencies. The FCO assists the Unified Command and/or the Area Command. The FCO works closely with the PFO, SFLEO, and other SFOs. In Stafford Act situations where a PFO has not been assigned, the FCO provides overall coordination for the Federal components of the JFO and works in partnership with the SCO to determine and satisfy State and local assistance requirements.

FCO Responsibilities

Roles and responsibilities of the FCO include the following:

- Conducting an initial appraisal of the types of assistance most urgently needed;
- Coordinating the timely delivery of Federal assistance to affected State, local, and tribal governments and disaster victims;
- Supporting the PFO, when one is designated;
- When delegated from the DHS/EPR/FEMA Regional Director, serving as Disaster Recovery Manager (DRM) to administer the financial aspects of assistance authorized under the Stafford Act;
- Working in partnership with the SCO (appointed by the Governor to oversee operations for the State) and the Governor's Authorized Representative (GAR) (empowered by the Governor to execute all necessary documents for Federal assistance on behalf of the State); and
- Taking other such action consistent with the authority delegated to him/her as deemed necessary to assist local citizens and public officials in promptly obtaining assistance to which they are entitled.

Federal Resource Coordinator

In non-Stafford Act situations when a Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security to obtain support from other Federal departments and agencies, DHS designates an FRC. In these situations, the FRC coordinates support through interagency agreements and MOUs. Relying on the same skill set, DHS may select the FRC from the FCO cadre or other personnel with equivalent knowledge, skills, and abilities.

The FRC is responsible for coordinating the timely delivery of resources to the requesting agency.

Senior Federal Law Enforcement Official

The SFLEO is the senior law enforcement official from the agency with primary jurisdictional responsibility as directed by statute, Presidential directive, existing Federal policies, and/or the Attorney General. The SFLEO directs intelligence/investigative law enforcement operations related to the incident and supports the law enforcement component of the Unified Command on-scene. In the event of a terrorist incident, this official will normally be the FBI SAC.

State/Local/Tribal Official(s)

The JFO Coordination Group also includes State representatives such as the SCO, who serves as the State counterpart to the FCO and manages the State's incident management programs and activities, and the GAR, who represents the Governor of the impacted State. The JFO Coordination Group may also include tribal and/or local area representatives with primary statutory authority for incident management.

Senior Federal Officials

The JFO Coordination Group may also include officials representing other Federal departments or agencies with primary statutory responsibility for certain aspects of incident management. SFOs utilize existing authorities, expertise, and capabilities to assist in management of the incident working in coordination with the PFO, FCO, SFLEO, and other members of the JFO Coordination Group. When appropriate, the JFO Coordination Group may also include U.S. attorneys or other senior officials or their designees from DOJ to provide expert legal counsel.

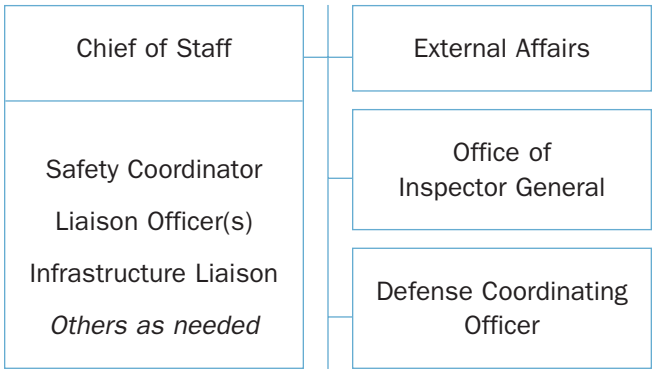
Responsible/Regulated Party

If the source of the incident is a privately owned facility or vessel, the JFO Coordination Group may also include a representative of the owners/operators of the facility or vessel.

JFO Coordination Staff

In accordance with NIMS and ICS principles, the JFO structure normally includes a Coordination Staff. The JFO Coordination Group determines the extent of staffing based on the type and magnitude of the incident.

JFO Coordination Staff



The following paragraphs provide information on typical staff positions.

Chief of Staff and Support Staff

The JFO Coordination Staff may include a Chief of Staff and representatives providing specialized assistance, which may include support in the following areas: safety, legal counsel, equal rights, security, infrastructure liaison, and other liaisons.

- The **Safety Coordinator** has the following roles: 1) ensure that the Chief of Staff and the PFO receive coordinated, consistent, accurate, and timely safety and health information and technical assistance;

2) support the Safety Officer(s) at the ICP(s) by coordinating worker safety and health resources and providing technical assistance as necessary; and 3) ensure the safety of the personnel in the JFO. The Safety Coordinator may receive technical assistance from responding safety and health personnel by implementing the Worker Safety and Health Support Annex.

- **Legal Affairs** serves as the primary legal advisor to the JFO Coordination Group and may also work with each section chief to support programmatic, logistical, and personnel matters as required.

- The **Equal Rights Officer** serves to promote a discrimination-free workplace and equal access to recovery programs and benefits.

- The **Security Officer** is responsible for safeguarding JFO personnel and JFO facility security. When not assigned elsewhere, the Security Officer also is responsible for information security and operational security, ensuring that sensitive information of all types (e.g., classified information, sensitive law enforcement information, proprietary and personal information, or export-controlled information) is handled in a way that not only safeguards the information but also ensures that it gets to those who need access to it so that they can effectively and safely conduct their missions.

- **Liaisons** serve as the point of contact for assisting and coordinating activities with various agencies and groups, and are assigned as needed.

- The **Infrastructure Liaison,** designated by DHS/IAIP, serves as the principal advisor to the JFO Coordination Group regarding all national- and regional-level CI/KR incident-related issues. The Infrastructure Liaison:
  - Acts as liaison between the national- and regional-level CI/KR, the private sector, and JFO activities;
  - Coordinates CI/KR and ESF issues between the JFO Coordination Group and IAIP representatives located at the IIMG and NRCC;
  - Provides situational awareness concerning the affected CI/KR and provides periodic updates to the JFO Coordination Group; and
  - Communicates information to the IAIP representative at the IIMG, NRCC, and NICC.

External Affairs Officer

The External Affairs Officer provides support to the JFO leadership in all functions involving communications with external audiences. External Affairs includes Public Affairs, Community Relations, Congressional Affairs, State and Local Coordination, Tribal Affairs, and International Affairs, when appropriate. Resources for the various External Affairs Functions are coordinated through ESF #15. (See the ESF #15 Annex for more information.)

The External Affairs Officer also is responsible for overseeing operations of the Federal Joint Information Center (JIC) established to support the JFO. The following is a description of the JIC:

- The JIC is a physical location where public affairs professionals from organizations involved in incident management activities work together to provide critical emergency information, crisis communications, and public affairs support. The JIC serves as a focal point for the coordination and dissemination of information to the public and media concerning incident prevention, preparedness, response, recovery, and mitigation. The JIC may be established at an on-scene location in coordination with State and local agencies depending on the requirements of the incident. In most cases, the JIC is established at, or is virtually connected to, the JFO and is coordinated by Federal and State lead Public Information Officers. In most Incidents of National Significance, the Federal lead will be a DHS Public Information Officer, who works with other Federal, State, local, tribal, NGO, and private-sector public affairs personnel. The JFO JIC works in close coordination with other JICs to integrate into a Joint Information System (JIS) providing consistent, coordinated, and timely information during an incident. (See the NIMS for more details on the JIS.)

> The **JIC** serves as a focal point for the coordination and dissemination of information to the public and media concerning incident prevention, preparedness, response, recovery, and mitigation.

- The JIC develops, coordinates, and disseminates unified news releases. News releases are cleared through the JFO Coordination Group to ensure

consistent messages, avoid release of conflicting information, and prevent negative impact on operations. This formal approval process for news releases ensures protection of law enforcement-sensitive information. Agencies may issue their own news releases related to their policies, procedures, programs, and capabilities; however, these should be coordinated with the JIC.

- The PFO is supported by a dedicated DHS Public Affairs Director who functions as the Press Secretary, coordinates media activities, provides strategic communications guidance to the JIC, and serves as a designated spokesperson when directed by the PFO and/or DHS Public Affairs.

- The following elements should be represented at the JIC: (1) DHS/EPR/FEMA Public Information Officer and staff; (2) FBI Public Information Officer and staff (when activated in support of a terrorist incident); (3) other Federal agency Public Information Officers, as required; and (4) State, local, tribal, and NGO Public Information Officers. (See the ESF #15 Annex and the Public Affairs Support Annex for additional information on the JIC, public outreach, and information dissemination.)

Defense Coordinating Officer

If appointed by DOD, the DCO serves as DOD's single point of contact at the JFO. With few exceptions, requests for DSCA originating at the JFO are coordinated with and processed through the DCO. The DCO may have a Defense Coordinating Element (DCE) consisting of a staff and military liaison officers in order to facilitate coordination and support to activated ESFs. Specific responsibilities of the DCO (subject to modification based on the situation) include processing requirements for military support, forwarding mission assignments to the appropriate military organizations through DOD-designated channels, and assigning military liaisons, as appropriate, to activated ESFs.

JFO Sections

The JFO is organized into four sections: Operations Section, Planning Section, Logistics Section, and Finance/Administration Section (Comptroller).

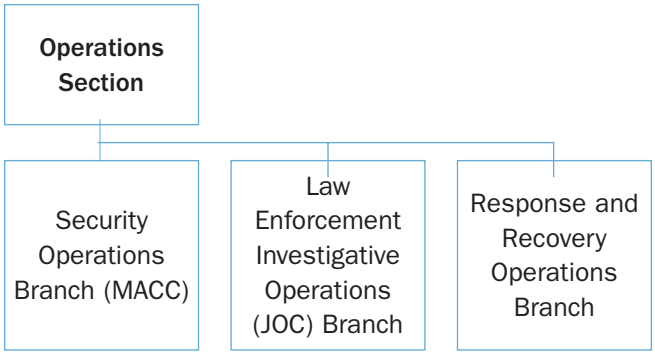
JFO Sections

Operations Section

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

For terrorist incidents, the Operations Section includes a Law Enforcement Investigative Branch and a Response and Recovery Branch. For NSSEs, a third branch, the Security Operations Branch, may be added to coordinate protection and security efforts.

Operations Section Branches



In these situations, the Operations Section Chief is designated by mutual agreement of the JFO Coordination Group based on the agency with greatest jurisdictional involvement and statutory authority for the current incident priorities. The agency providing the Operations Section Chief may change over time as incident priorities change. Each of the Operations Section branches is described below.

- **Law Enforcement Investigative Operations Branch/Joint Operations Center:** The JOC Branch is established by the SFLEO (e.g., the FBI SAC during terrorist incidents) to coordinate and direct law enforcement and criminal investigation activities related to the incident.

The JOC Branch ensures management and coordination of Federal, State, local, and tribal investigative/law enforcement activities. The emphasis of the JOC is on prevention as well as intelligence collection, investigation, and prosecution of a criminal act. This emphasis includes managing unique tactical issues inherent to a crisis situation (e.g., a hostage situation or terrorist threat).

When this branch is included as part of the JFO, it is responsible for coordinating the intelligence and information function (as described in NIMS), which includes information and operational security, and the collection, analysis, and distribution of all incident-related intelligence. Accordingly, the Intelligence Unit within the JOC Branch serves as the interagency fusion center for all intelligence related to an incident. All intelligence collected on-scene and through the investigation is gathered at the Intelligence Unit. Additionally, intelligence collected throughout the Intelligence Community that may directly relate to the incident is sent to the Intelligence Unit after being assessed and verified at the SIOC. The Intelligence Unit gathers this intelligence, declassifies it as necessary, and distributes to members of the JFO as appropriate. (See the Terrorism Incident Law Enforcement and Investigation Annex for more information on JOC functions.)

- **Response and Recovery Operations Branch:** The Response and Recovery Operations Branch coordinates the request and delivery of Federal assistance and support from various special teams. This branch is comprised of four groups: Emergency Services, Human Services, Infrastructure Support, and Community Recovery and Mitigation.
- **Security Operations Branch:** The Security Operations Branch coordinates protection and site security efforts, and incorporates the functions of the DHS/USSS MACC during NSSEs.

Planning Section

The Planning Section's function includes the collection, evaluation, dissemination, and use of information regarding the threat or incident and the status of Federal resources. The Planning Section is responsible for preparing and documenting Federal support actions, and developing strategic, contingency, long-term, and other plans related to the threat or incident, as needed.

The Planning Section provides current information to the JFO Coordination Group to ensure situational awareness, determine cascading effects, identify national implications, and determine specific areas of interest requiring long-term attention. The Planning Section also provides technical and scientific expertise. The Planning Section is comprised of the following units: Situation, Resource, Documentation, Technical Specialists, and Demobilization. The Planning Section may also include an Information and Intelligence Unit (if not assigned elsewhere) and an HSOC representative who aids in the development of reports for the HSOC and IIMG.

Logistics Section

This section coordinates logistics support that includes control and accountability for Federal supplies and equipment; resource ordering; delivery of equipment, supplies, and services to the JFO and other field locations; facility location, setup, space management, building services, and general facility operations; transportation coordination and fleet management services; information and technology systems services; administrative services such as mail management and reproduction; and customer assistance. The Logistics Section may include Coordination and Planning, Resource Management, Supply, and Information Services Branches.

Finance/Administration Section (Comptroller)

The Finance/Administration Section is responsible for the financial management, monitoring, and tracking of all Federal costs relating to the incident and the functioning of the JFO while adhering to all Federal laws, acts, and regulations. The position of the Financial/Administration Chief will be exclusively held by a Comptroller who serves as the Senior Financial Advisor to the team leader (e.g., FCO) and represents the coordinating agency's Chief Financial Officer (CFO) as prescribed by the CFO Act of 1990.

The Financial Management Support Annex provides guidance to ensure that funds are provided expeditiously and that financial operations are conducted in accordance with established law, regulations, and standards.

Other Incident Facilities

State, County, and Local Operations Centers

State, county, and local EOCs represent the physical location at which the coordination of information and resources to support incident management activities normally takes place. EOCs are typically organized by major functional discipline (fire, law enforcement, medical services, and so on); by jurisdiction (city, county, region, and so on); or, more likely, by some combination thereof.

State, county, and local EOCs facilitate the execution of local, State, and interstate mutual aid agreements to support on-scene operations. During Incidents of National Significance, the JFO works in coordination with the State, county, and local EOCs to support incident management efforts.

Incident Command Post

The tactical-level, on-scene incident command and management organization is located at the ICP. It is typically comprised of designated incident management officials and responders from Federal, State, local, and tribal agencies, as well as private-sector and nongovernmental organizations. When multiple command authorities are involved, the ICP may be led by a Unified Command, comprised of officials who have jurisdictional authority or functional responsibility for the incident under an appropriate law, ordinance, or agreement. The Unified Command provides direct, on-scene control of tactical operations and utilizes a NIMS ICS incident management team organization, typically including Operations, Planning, Logistics, and Finance/Administration Sections.

The ICP is usually located at or in the immediate vicinity of the incident site. The location is selected by the agency having primary jurisdictional authority for managing the incident at this level. Generally, there is one ICP established for each incident. Depending on the number and location of incidents, there may be multiple ICPs managed by an Area Command.

Area Command/Unified Area Command

An Area Command is established to oversee the management of multiple incidents that are each being handled by a separate ICS organization or to oversee the management of a very large or complex incident that has multiple incident management teams engaged. The Area Command has the responsibility to set overall strategy and priorities, allocate critical resources according to priorities, ensure that incidents are properly managed, and ensure that objectives are met and strategies followed. Area Command becomes Unified Area Command when incidents are multijurisdictional.

Disaster Recovery Center (DRC)

When established in coordination with State and local jurisdictions, a DRC is a satellite component of the JFO and provides a central facility where individuals affected by a disaster can obtain information on disaster recovery assistance programs from various Federal, State, local, tribal, private-sector, and voluntary organizations.

Interim Operating Facility (IOF)

The IOF is a temporary field facility used by a DHS/EPR/FEMA-led ERT in the early stages of an incident when the team cannot operate at the State EOC due to space limitations or other reasons, and the JFO is not yet established. An IOF is generally located at or near the State EOC, or near the incident site. The IOF remains in operation until the JFO is established. Functions accomplished at the IOF include interaction with State representatives and key ESF agencies, collection and assessment of information, and initiation of assistance programs.

Emergency Response and Support Teams (Field Level)

Various teams are available to deploy during incidents or potential incidents to assist in incident management, set up emergency response facilities, or provide specialized expertise and capabilities. These teams are trained and certified to the standards published by the NIMS Integration Center. Teams that may be utilized during NRP operations are described below.

Deployed PFO Support Staff

The Deployed PFO Support Staff is a small interagency team of various subject-matter experts that may deploy or be activated with the PFO to provide initial support staffing until a JFO is established. This team may include representatives from various ESFs and typically

functions during the pre-incident phase or during the initial response to conduct assessments, coordinate security and information-sharing efforts, facilitate public affairs activities, and provide technical support. When the JFO is established, this team is integrated into the JFO staff.

Emergency Response Team

The ERT is the principal interagency group that staffs the JFO. The ERT is composed of DHS/EPR/FEMA staff and ESF personnel. The ERT includes an advance element, known as the ERT-A, that conducts assessments and initiates coordination with the State and initial deployment of Federal resources. Each DHS/EPR/FEMA region maintains an ERT ready to deploy in response to threats or incidents. The National Emergency Response Team (ERT-N) deploys for large-scale, high-impact events, or as required.

The **ERT** is the principal interagency group that staffs the JFO.

The ERT provides staffing for the JFO and ensures Federal resources are available to meet Federal incident management and State requirements identified by the SCO. The size and composition of the ERT is scalable depending on the scope and magnitude of the event.

Typically, the ERT organizational structure encompasses the JFO Coordination Group, JFO Coordination Staff, and the four JFO sections (Operations, Planning, Logistics, and Finance/Administration).

The ERT-A deploys during the early stages of an incident. It is headed by a team leader from DHS/EPR/FEMA and is composed of program and support staff and representatives from selected ESF primary agencies. A part of the ERT-A deploys to the State EOC or to other locations to work directly with the State to obtain information on the impact of the event and to identify specific State requests for Federal incident management assistance. Other elements of the ERT-A (including MERS personnel and equipment) deploy directly to or near the affected area to establish field communications, locate and establish field facilities, and set up support activities.

The **ERT-A** deploys during the early stages of an incident to work directly with the State to obtain information on the impact of the event and to identify specific State requests for Federal incident management assistance.

The ERT-A consults and coordinates with State, local, and/or tribal entities to determine the location of the JFO and mobilization center(s). The ERT-A identifies or validates the suitability of candidate sites for the location of mobilization center(s) and the JFO. The ERT-A conducts initial on-the-ground situational awareness analysis to include changes in topography caused by the incident, impacts to the physical and social environment, and documentation of losses avoided based on previous mitigation measures to serve as a backdrop to the Federal support strategies.

An ERT-N may pre-deploy based on threat conditions. The Secretary of Homeland Security determines the need for ERT-N deployment, coordinating the plans with the affected region and other Federal agencies.

The **ERT-N** deploys for large-scale, high-impact events, or as required.

The ERT-N includes staff from DHS/EPR/FEMA Headquarters and regional offices as well as other Federal agencies. (Three ERT-N teams are structured, with one team on call every third month. A fourth standing team is on call year-round exclusively to manage incidents in the National Capital Region (NCR).)

Federal Incident Response Support Team (FIRST)

The FIRST is designed to be a quick and readily deployable resource to support the Federal response to Incidents of National Significance. The FIRST deploys within 2 hours of notification, to be on-scene within 12 hours of notification. DHS/EPR/FEMA maintains and deploys the FIRST.

The **FIRST** is a forward component of the ERT-A that provides on-scene support to the local Incident Command or Area Command structure.

The FIRST is a forward component of the ERT-A that provides on-scene support to the local Incident Command or Area Command structure in order to facilitate an integrated interjurisdictional response. After linking up with local and State officials, the team assesses the situation and identifies the potential requirements for Federal support, provides protective action recommendations, identifies critical unmet needs, and coordinates response activities with other Federal responders. They also oversee on-scene Federal assistance, which could include critical life-saving and life-sustaining items.

The FIRST is not intended to supplant existing response teams, but to bring a near-time immediate Federal presence to the scene of an Incident of National Significance. The FIRST is robust enough to represent a "value-added" resource in the earliest phase of a response operation. Upon the subsequent deployment of an ERT, the FIRST integrates into the Operations Section of the JFO.

Other Federal Teams

In addition, there are numerous special teams available to support incident management and disaster response and recovery operations. Examples include:

- Damage assessment teams
- Nuclear Incident Response Team (NIRT)
- Disaster Medical Assistance Teams (DMATs)
- HHS Secretary's Emergency Response Team
- DOL/OSHA's Specialized Response Teams
- Veterinarian Medical Assistance Teams (VMATs)
- Disaster Mortuary Operational Response Teams (DMORTs)
- National Medical Response Teams (NMRTs)
- Scientific and Technical Advisory and Response Teams (STARTs)
- Donations Coordination Teams
- Urban Search and Rescue (US&R) task forces
- US&R Incident Support Teams
- Federal Type 1 and Type 2 Incident Management Teams (IMTs)
- Domestic Emergency Support Team (DEST)
- Domestic Animal and Wildlife Emergency Response Teams and mitigation assessment teams

Many of these additional teams and capabilities are discussed in the annexes. Other supporting documents provide additional listing of teams and their capabilities, such as DHS/EPR/FEMA's Emergency Teams Handbook and the DHS/USCG Hazardous Materials Response Special Teams Handbook.

Defense Support of Civil Authorities

DOD provides DSCA in response to requests for assistance during domestic incidents to include terrorist attacks, major disasters, and other emergencies. DSCA refers to DOD support provided by Federal military forces, DOD civilians and contract personnel, and DOD agencies and components, in response to requests for assistance. Continuous coordination with Federal, State, local, and tribal elements before, during, and after an event is essential for efficient and effective utilization of DOD's DSCA efforts.

DSCA refers to DOD support provided by Federal military forces, DOD civilians and contract personnel, and DOD agencies and components, in response to requests for assistance during domestic incidents to include terrorist threats or attacks, major disasters, and other emergencies.

In most instances, DOD provides DSCA in response to requests for assistance from a lead or primary agency. However, support provided under Immediate Response

Authority (described below) is authorized by DOD directive and prior approval of the Secretary of Defense. DSCA normally is provided when local, State, and Federal resources are overwhelmed, provided that it does not interfere with the Department's military readiness or operations. DOD typically provides DSCA on a reimbursable basis as authorized by law.

Requesting Defense Support of Civil Authorities

Initial requests for assistance are made to the Office of the Secretary of Defense, Executive Secretariat. If approved by the Secretary of Defense, DOD designates a supported combatant commander for the response. The supported combatant commander determines the appropriate level of command and control for each response and usually directs a senior military officer to deploy to the incident site. Under most circumstances, the senior military officer at the incident site is the DCO. The DCO serves as DOD's single point of contact in the JFO.

Requests for DSCA originating at the JFO will be coordinated and processed through the DCO with the exception of requests for USACE support, National Guard forces operating in State Active Duty or Title 32 status (i.e., not in Federal service), or, in some circumstances, DOD forces in support of the FBI. These exceptions are detailed later in this section. Specific responsibilities of the DCO are subject to modification by the supported combatant commander based on the situation. In general, the DCO will:

- Collocate with the PFO/FCO/FRC/SFLEO in the JFO;
- Coordinate and process applicable requests for assistance from the PFO/FCO/FRC/SFLEO or designated representative;
- Orchestrate the accomplishment of approved mission assignments utilizing available resources;
- Assign military liaison officers as appropriate to ESF agencies at the JFO to provide technical assistance or facilitate timely coordination; and
- Refer problematic or contentious issues through the appropriate military chain of command to the Office of the Assistant Secretary of Defense for Homeland Defense.

Based on the magnitude, type of disaster, and anticipated level of resource involvement, the supported combatant commander may utilize a Joint Task Force (JTF) to consolidate and manage supporting military activities. A JTF commander exercises operational control of all allocated DOD resources (excluding USACE resources, National Guard forces operating in State Active Duty or Title 32 status, and, in some circumstances, DOD forces in support of the FBI). In the event that a JTF is utilized, the DCO may continue to perform all duties set forth above.

Exceptions

Requests for DSCA originating at the JFO will be coordinated and processed through the DCO with the exception of requests for DOD/USACE support, National Guard forces operating in State Active Duty or Title 32 status, and, in some cases, DOD forces in support of the FBI.

- **U.S. Army Corps of Engineers:** USACE is a public engineering organization within DOD providing engineering support and services to DOD activities around the globe as well as to the Nation's Civil Works flood protection and navigation infrastructure. USACE provides support as a primary agency and coordinating agency for ESF #3, and as a support agency to other ESFs as specified in the annexes. USACE performs emergency support activities under separate authorities, to include Public Law 84-99.

- **Army and Air National Guard Forces:** National Guard forces employed under State Active Duty or Title 32 status are providing support to the Governor of their State and are not part of Federal military response efforts.

- **Support to the Federal Bureau of Investigation:** Support for law enforcement and domestic counterterrorism activities is provided in limited circumstances consistent with applicable laws and, in some circumstances, independent of the DCO.

Immediate Response Authority

Imminently serious conditions resulting from any civil emergency may require immediate action to save lives, prevent human suffering, or mitigate property damage. When such conditions exist and time does not permit approval from higher headquarters, local military commanders and responsible officials from DOD components and agencies are authorized by DOD directive

and pre-approval by the Secretary of Defense, subject to any supplemental direction that may be provided by their DOD component, to take necessary action to respond to requests of civil authorities consistent with the Posse Comitatus Act (18 U.S.C. § 1385). All such necessary action is referred to as "Immediate Response."

Export of DOD Specialized Capabilities and Training

In addition to direct support for incident response, DOD possesses specialized capabilities employed in support of Federal, State, local, and tribal government agencies, to include their first responder communities. Included among these specialized capabilities are test and evaluation facilities and capabilities; education and exercise expertise; explosive detection; technical escort; medical services; the transfer of applicable technologies, including those developed through DOD science and technology programs; and the expertise of DOD personnel. The DOD Homeland Defense Coordination Office established at DHS Headquarters facilitates interdepartmental cooperation and transfer of these capabilities to the emergency responder community.

Federal Law Enforcement Assistance

Each State has jurisdiction for enforcement of State law, using State and local resources, including the National Guard (to the extent that the National Guard remains under State authority and has not been called into Federal service or ordered to active duty).

The Federal Government has jurisdiction for enforcement of Federal law, using Federal resources. State and local law enforcement agencies may be requested to provide support to Federal law enforcement during Incidents of National Significance.

Federal agencies may be requested to provide public safety and security support during Incidents of National Significance. The ESF #13 Annex provides further guidance on the integration of public safety and security resources to support the full range of incident management functions.

Proactive Federal Response to Catastrophic Events

The NRP establishes policies, procedures, and mechanisms for proactive Federal response to catastrophic events. A catastrophic event is any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened. All catastrophic events are Incidents of National Significance.

Implementation of Proactive Federal Response Protocols

Protocols for proactive Federal response are most likely to be implemented for catastrophic events involving chemical, biological, radiological, nuclear, or high-yield explosive weapons of mass destruction, or large-magnitude earthquakes or other natural or technological disasters in or near heavily populated areas.

Guiding Principles for Proactive Federal Response

Guiding principles for proactive Federal response include the following:

- The primary mission is to save lives; protect critical infrastructure, property, and the environment; contain the event; and preserve national security.

- Standard procedures regarding requests for assistance may be expedited or, under extreme circumstances, suspended in the immediate aftermath of an event of catastrophic magnitude.
- Identified Federal response resources will deploy and begin necessary operations as required to commence life-safety activities.
- Notification and full coordination with States will occur, but the coordination process must not delay or impede the rapid deployment and use of critical resources. States are urged to notify and coordinate with local governments regarding a proactive Federal response.
- State and local governments are encouraged to conduct collaborative planning with the Federal Government as a part of "steady-state" preparedness for catastrophic incidents.

Implementation Mechanisms for Proactive Federal Response to Catastrophic Events

The NRP Catastrophic Incident Supplement (described in the Catastrophic Incident Annex) addresses resource and procedural implications of catastrophic events to ensure the rapid and efficient delivery of resources and assets, including special teams, equipment, and supplies that provide critical life-saving support and incident containment capabilities. These assets may be so specialized or costly that they are either not available or are in insufficient quantities in most localities.

The procedures outlined in the NRP Catastrophic Incident Supplement are based on the following:

- The pre-identification of Federal assets and capabilities;
- The strategic location of pre-identified assets for rapid deployment; and
- The use of pre-scripted mission assignments for Stafford Act declarations, or individual agency authority and funding, to expedite deployment upon notification by DHS (in accordance with procedures established in the NRP Catastrophic Incident Supplement) of a potential catastrophic event.

Agencies responsible for these assets will keep DHS apprised, through the HSOC, of their ongoing status and location until the JFO is established. Upon arrival at the scene, Federal assets will coordinate with the Unified Command, the SFLEO, and the JFO (or its forward elements) when established. Demobilization processes, including full coordination with the JFO Coordination Group, are initiated either when the mission is completed or when it is determined the magnitude of the event does not warrant continued use of the asset.

U.S. Possessions and Freely Associated States

The NRP concept of operations, in general, is applicable to any response to Incidents of National Significance occurring within the U.S. possessions, including the insular areas,[2] as well as in the Federated States of Micronesia and the Republic of the Marshall Islands.[3] Stafford Act assistance is available to include Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, which are included in the definition of "State" in the Stafford Act. At present, Stafford Act assistance is also available to the Federated States of Micronesia and the Republic of the Marshall Islands under the Compact of Free Association.[4]

Nevertheless, there are unique factors involved in working with the U.S. possessions and Freely Associated States. The Department of the Interior (DOI), through the Office of Insular Affairs, is responsible for coordinating relationships with the insular areas and the Freely Associated States and is available to serve as a resource for agencies with disaster assistance responsibilities.

[2] Insular areas include American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, and the U.S. Virgin Islands.

[3] The Federated States of Micronesia and the Republic of the Marshall Islands are two of the Freely Associated States under the Compact of Free Association. The U.S. Government does not provide disaster assistance to the Republic of Palau, the third Freely Associated State, in accordance with the Compact of Free Association.

[4] The mechanism for the provision of disaster assistance to the Federated States of Micronesia and the Republic of the Marshall Islands has been renegotiated. Following enactment by Congress of legislation approving the new mechanism, it is anticipated that the U.S. Agency for International Development will assume the lead role in the provision of disaster assistance to these independent nations.

External Affairs

This section discusses the mechanisms for ensuring accurate, consistent, and timely communications with all of the critical external audiences—the general public, media, congressional and governmental leaders, and the international community. (See the Public Affairs and ESF #15 Annexes for additional information.)

Component	Description
Public Affairs	Public Affairs activities ensure the coordinated and timely release of incident-related prevention, preparedness, response, recovery, and mitigation information to the public. ESF #15 provides the interagency coordination mechanisms and the resource support for Federal JIC activities. The Public Affairs Support Annex provides an overview of the required protocols and processes for media relations and incident communications, including protocols for handling sensitive information, which are further outlined in the NRP Incident Communications Emergency Supplement (published as a separate document).
Community Relations	Community Relations activities provide information on assistance programs to affected individuals, groups, organizations, and local governments. Community Relations serves as a direct link to these communities and works closely with program elements to deliver messages relating to the availability of programs and resources.
Congressional Affairs	Congressional Affairs provides information to the Washington, DC, and district offices of Members of Congress and addresses incident-related questions, concerns, and problems expressed by their constituents.
International Affairs	International Affairs provides guidance for events that include cross-border issues, coordination of foreign visitors, and response to offers of assistance from foreign governments. (See the International Coordination Support Annex for additional information.)
State and Local Coordination	State and Local Coordination assists JFO leadership with direct communications, interaction, and outreach to local and State elected officials. (See the ESF #15 Annex for additional information.)
Tribal Affairs	Tribal Affairs provides procedures to facilitate incident management programs and resources available to tribal governments to assist them in protecting their families, community livelihood, and cultural and environmental resources. (See the Tribal Relations Support Annex for additional information.)

V. Incident Management Actions

Actions

This section describes incident management actions ranging from initial threat notification to early coordination efforts to assess and disrupt the threat, to preparatory activation of the ESF structure, to deployment of Federal resources in support of incident response and recovery operations. These actions do not necessarily occur in sequential order; many may be undertaken concurrently in response to single or multiple threats or incidents.

Figure 10 depicts initial incident management actions. In situations where it is apparent that an Incident of National Significance may be imminent or has already occurred, assessment and pre-incident interagency coordination typically are compressed. In these instances, DHS moves quickly to coordinate multiple Federal activities to include the following: information-sharing, interagency course of action development, alert and deployment of resources, operational coordination, and other assistance as required, in consultation and coordination with other Federal departments and agencies and the affected jurisdiction(s).

Notification and Assessment

Federal, State, local, tribal, private-sector, and nongovernmental organizations report threats, incidents, and potential incidents using established communications and reporting channels. The HSOC receives threat and operational information regarding incidents or potential incidents and makes an initial determination to initiate the coordination of Federal information-sharing and incident management activities.

Reporting Requirements

Federal, State, tribal, private-sector, and NGO EOCs are either required or encouraged, as noted below, to report incident information to the HSOC. In most situations, incident information is reported using existing mechanisms to State or Federal operations centers, which will in turn report the information to the HSOC. Suspicious activity, terrorist threats, and actual incidents with a potential or actual terrorist nexus are reported immediately to a local or regional JTTF (or the NJTTF, in the case of Federal departments/agencies). Subsequently, the FBI SIOC immediately reports the terrorist threat, if the FBI deems the threat to be credible, or the actual incident to the HSOC and the NCTC. Additionally, actual incidents, regardless of whether or not there is a terrorist nexus, are reported immediately to the HSOC by appropriate governmental and nongovernmental entities.

- **Federal Departments and Agencies:** Federal departments and agencies are required to report information relating to actual or potential Incidents of National Significance to the HSOC. This information may include:
  - Implementation of a Federal department or agency emergency response plan;
  - Actions to prevent, respond to, or recover from an Incident of National Significance for which a Federal department or agency has responsibility under law or directive;
  - Submission of requests for assistance to, or receipt of a request from, another Federal department or agency in the context of an Incident of National Significance;
  - Receipt of requests for assistance from State, local, or tribal governments; NGOs; or the private sector in the context of an Incident of National Significance; and
  - Suspicious activities or threats with a potential terrorist nexus (normally through the FBI SIOC to the HSOC and the NCTC).

- **State/Tribal Governments:** State and tribal governments and emergency management agencies use established reporting mechanisms and are encouraged to report information relating to actual or potential Incidents of National Significance to the HSOC, using procedures established by DHS. (Information regarding potential terrorist threats should be reported through the local or regional JTTF.) This information may include:
  - Implementation of an incident management or emergency response plan or action to prevent, respond to, or recover from an Incident of National Significance;
  - Announcement of emergency proclamations or declarations made under State, local, or tribal authority; and
  - Activation of State or tribal mutual-aid agreements or compacts in response to incidents resulting in emergency proclamations or declarations, or requiring Federal assistance.

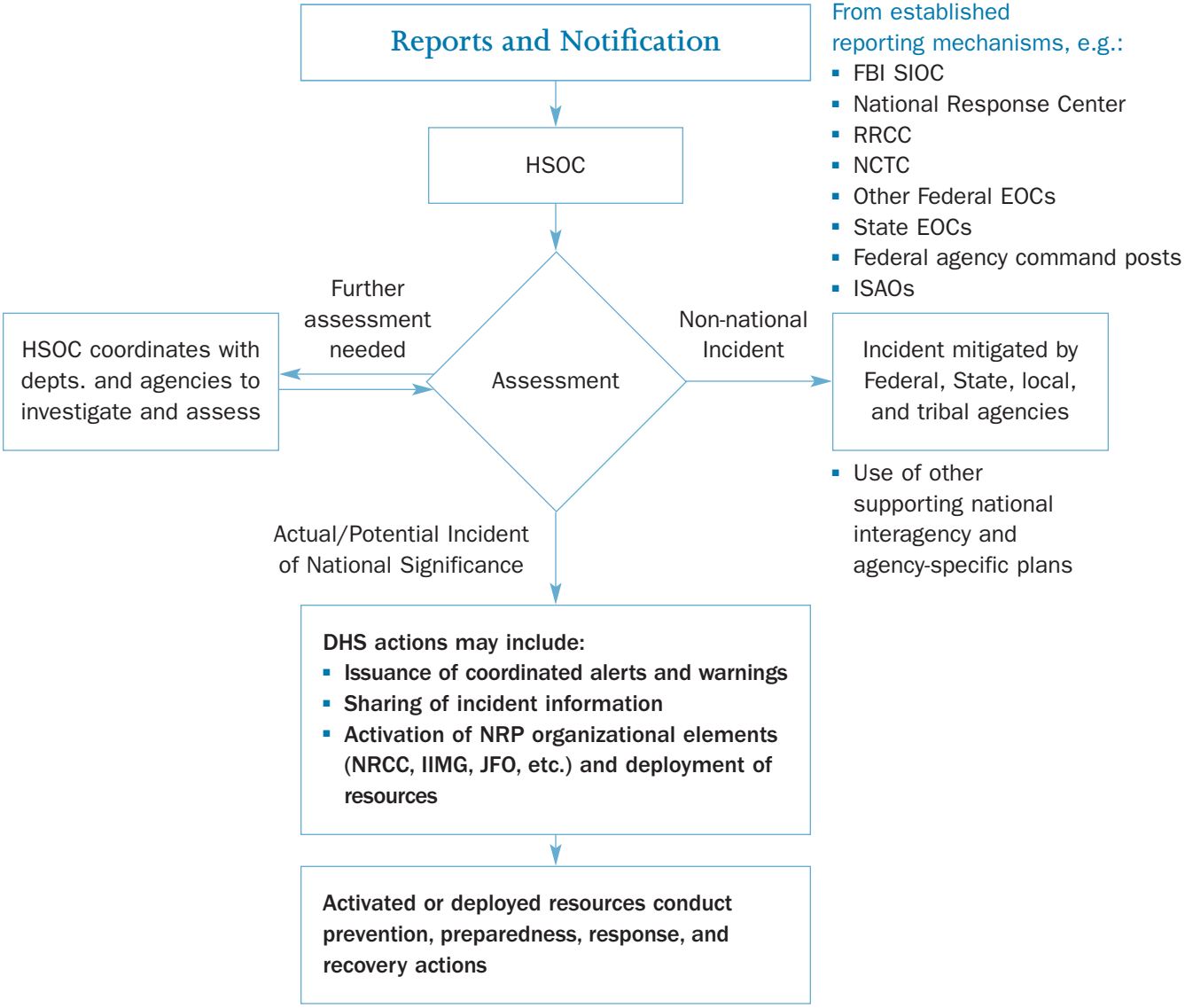
- **Local Governments:** Local governments communicate information regarding actual or potential Incidents of National Significance to the HSOC through established reporting mechanisms in coordination with State government officials and EOCs.

- **Private-Sector/Nongovernmental Organizations:** Private-sector and nongovernmental organizations are encouraged to communicate information regarding actual or potential Incidents of National Significance to the HSOC through existing jurisdictional reporting mechanisms, as well as established information-sharing and analysis organizations (ISAOs).

Situational Awareness and Initial Incident Assessment

The HSOC maintains daily situational awareness to identify and monitor threats or potential threats inside, on, or approaching the borders of the United States. Upon receipt, the HSOC passes such information to appropriate Federal, State, local, and tribal intelligence and law enforcement agencies as expeditiously as possible, according to established security protocols and in coordination with the FBI and NCTC.

FIGURE 10. Flow of initial national-level incident management actions



The **HSOC** maintains daily situational awareness to identify and monitor threats or potential threats inside, on, or approaching the borders of the United States.

The HSOC also monitors nonterrorist hazards and accidents, and receives reports from various operations centers, such as the FOC regarding natural hazards (severe storms, floods, etc.) and the National Response Center regarding oil spills and hazardous materials releases. When notified of a hazard or an incident with possible national-level implications, the HSOC assesses the situation and notifies the Secretary of Homeland Security accordingly. Based on the information, the Secretary of Homeland Security determines the need for activation of NRP elements. The HSOC coordinates with other departments and agencies regarding further field investigation, as required.

The FBI, NCTC, and DHS/IAIP evaluate intelligence relating to terrorist threats and other potential incidents. All Federal, State, local, and tribal departments and agencies must notify their local or regional FBI JTTF regarding information associated with a threat of terrorism or an actual terrorist incident. Additionally, the HSOC is notified immediately in the case of an actual incident, regardless of whether or not there is a terrorist nexus. In the case of a threat, the local FBI JTTF notifies the NJTTF. Federal department and agency headquarters should notify the NJTTF or FBI SIOC with similar information. Upon receipt of a threat of terrorism, the FBI conducts a formal threat credibility assessment, which may include assistance from select interagency experts. If a threat is deemed credible, the FBI SIOC notifies the HSOC immediately to enable subsequent NRP actions.

Dissemination of Warnings and Bulletins

Watches, warnings, and other emergency bulletins are issued by various agencies based on their statutory missions and authorities. For example, the National Weather Service issues weather-related notices to warn the public of impending storms and severe weather.

Watches, warnings, and other emergency bulletins are issued by various agencies based on their statutory missions and authorities.

The HSOC coordinates with the NCTC, TSC, FBI, Department of Health and Human Services (HHS), and similar programs for terrorism-related threat analysis and warning, and disseminates homeland security threat warnings and advisory bulletins. The HSOC performs this task consistent with normal steady-state threat monitoring, assessment, research, and reporting functions. The HSOC follows Executive orders, directives, MOUs/MOAs, and procedures in place between the NCTC, TSC, and DHS/IAIP.

The FBI disseminates terrorism law enforcement bulletins and warnings to ensure that vital information regarding terrorism reaches appropriate officials within the U.S. counterterrorism and law enforcement communities. This information is transmitted via secure teletype. Each message transmitted under this system is an alert, an advisory, or an assessment—an alert if the terrorist threat is credible and specific, an advisory if the threat is credible but general in both timing and target, or an assessment to impart facts and/or threat analysis concerning terrorism. These products are fully coordinated with DHS prior to release.

The FOC, in coordination with the HSOC, facilitates distribution of warnings, alerts, and bulletins to the emergency management community using a variety of communications systems such as:

- **National Warning System (NAWAS):** NAWAS is the primary system for emergency communications from the Federal Government to both State and county warning points.
- **Washington Area Warning System (WAWAS):** Although not directly tied to the NAWAS circuits, WAWAS is a mechanism for providing emergency communications to Washington, DC, area officials in the event of an emergency.
- **National Emergency Alert System (National EAS):** Formerly known as the Emergency Broadcast System, the National EAS is a nationwide network of broadcast stations and cable systems that provide a readily available and reliable means to communicate emergency information to the American people.
- **State and local EAS:** State and local authorities have their own EAS which may be used to broadcast information on major disasters or emergencies.

Evolving Threats Identified at the National Level

The ongoing fusion of intelligence at the national level may result in the detection of a potential terrorist threat of a specific and credible nature. Unlike incidents reported from the field, this process results in the initiation of initial incident management actions at the headquarters level and generates a "top-down" response to deter, prevent, and otherwise respond to the terrorist threat.

The HSOC, NCTC, and FBI SIOC coordinate information regarding terrorist threats. When the FBI or DHS/IAIP determines that a credible threat exists, it notifies and coordinates with the HSOC, which immediately notifies the FBI SIOC, if it has not been already informed. The HSOC then notifies the Secretary of Homeland Security, who may elect to activate any or all of the NRP organizational elements, as well as initiate the coordination of interagency policy issues and operational courses of action through the White House, as appropriate. The Secretary may also elect to activate and prepare to deploy various special teams to conduct prevention, preparedness, response, and recovery activities.

Activation

This section discusses the early-stage efforts to activate and deploy NRP organizational elements and Federal resources, including special teams, emergency facilities, and other response resources.

For actual or potential Incidents of National Significance, the HSOC reports the situation to the Secretary of Homeland Security and/or senior staff as delegated by the Secretary, who then determines the need to activate components of the NRP to conduct further assessment of the situation, initiate interagency coordination, share information with affected jurisdictions and the private sector, and/or initiate deployment of resources. Concurrently, the Secretary also makes a determination of whether an event meets the criteria established for a potential or actual Incident of National Significance as defined in this plan.

When the Secretary declares an Incident of National Significance, Federal departments and agencies are notified by the HSOC (as operational security considerations permit), and may be called upon to staff the IIMG and NRCC. The affected State(s) and tribes also are notified by the HSOC using appropriate operational security protocols. In the pre-incident mode, such notification may be conducted discreetly, on a need-to-know basis, so as to preserve the operational security and confidentiality of certain law enforcement and investigative operations.

When the Secretary declares an Incident of National Significance, Federal departments and agencies are notified by the HSOC, and may be called upon to staff the IIMG and NRCC.

(Note: NRP resources, such as a PFO, may be designated and activated in the context of a general threat, prior to a formal Incident of National Significance determination by the Secretary of Homeland Security, to facilitate pre-incident interagency and multijurisdictional coordination and threat assessment activities.) For acts of terrorism, information-sharing, deployment of resources, and incident management actions during actual or potential terrorist incidents are coordinated with DOJ.

The NRCC and RRCC deploy, track, and provide incident-related information until the JFO is established.

The next section describes the NRP organizational elements that could be activated and their initial actions.

Headquarters Organizational Elements

The headquarters organizational elements include the following:

Element	Description
Interagency Incident Management Group	The IIMG may convene at DHS Headquarters when activated for an initial meeting. IIMG members or alternates remain on call to meet at any time during a heightened period of alert or during an incident or on a 24/7 basis as required by the situation at hand. The IIMG may assign liaison officers to the FBI SIOC and/or other EOCs, as required, and may establish communication with State Homeland Security Advisor(s) and/or State Emergency Management Director(s) through the DHS OSLGCP representatives to the IIMG.
National Response Coordination Center	The NRCC begins interagency operations by coordinating initial activation, the deployment of special teams, initiation and monitoring of mission assignments (Stafford Act only) or other interagency requirements (non-Stafford Act), and RRCC(s) activities as required and as permitted by operational security considerations. The NRCC, through the FOC, informs primary agencies of the activation and provides a time to report to the NRCC. Primary agencies may notify and activate support agencies if required. Primary agencies determine the impact of an incident on their own capabilities and identify, mobilize, and deploy resources under the mission assignment process or interagency agreements to support response activities in the affected jurisdiction(s). Formal alert and notification protocols and procedures for activation of ESFs are included as part of the NRCC standard operating procedures, to be published separately.
Federal Emergency Operations Centers	Agencies may activate their headquarters EOCs to provide coordination and direction to their headquarters and regional response elements. Federal EOCs maintain ongoing contact and coordination with the HSOC.
Strategic Information and Operations Center	Upon determination that a terrorist threat is credible or that an act of terrorism has occurred, FBI Headquarters initiates liaison with other Federal agencies to activate their operations centers and provide liaison officers to the SIOC. In addition, FBI Headquarters initiates communications with the SAC of the responsible Field Office, apprising him/her of possible courses of action and discussing possible deployment of the DEST. The FBI SAC establishes initial operational priorities based upon the specific circumstances of the threat or incident. This information is then forwarded to FBI Headquarters to coordinate identification and deployment of appropriate resources. The SIOC will notify the HSOC immediately upon confirmation of a credible threat or terrorist nexus.
Principal Federal Official	The Secretary provides formal notification of the appointment of a PFO to the Governor(s)/mayor(s) of affected State(s)/municipality(ies), Tribal Chief Executive Officers, and Federal departments and agencies. The HSOC notifies other Federal, State, and tribal EOCs of the PFO designation. State EOCs are expected to pass this designation to State and local agencies and EOCs as appropriate. PFOs may be designated on a pre-incident basis according to available threat information, or in response to an incident in progress. If the designation is made based upon a pre-incident threat assessment, formal notification of the PFO designation may be made on a discreet, need-to-know basis to preserve operational security.

Regional Elements

Regional resources may be activated to monitor and assess the need for Federal incident management support. The DHS/EPR/FEMA Regional Director deploys a liaison to the State EOC to provide technical assistance including advice on the Stafford Act declaration process and available Federal assistance, and also partially or fully activates the RRCC including, where appropriate, regional representatives of Federal departments and agencies.

The RRCC and NRCC Logistics Sections support the establishment of a JFO and mobilization center(s). The RRCC coordinates Federal support of State requirements until the FCO or FRC assumes those responsibilities. A JIC may be established, as required, to provide a central point for coordinating emergency public information activities.

Field Elements

The field elements include the following:

Element	Description
Emergency Response Team	The RRCC initially deploys a DHS/EPR/FEMA-led ERT-A, including rapid needs assessment personnel and appropriate ESF representatives, to State operating facilities and incident sites to assess the impact of the situation, collect damage information, gauge immediate Federal support requirements, and make preliminary arrangements to set up Federal field facilities. When regional resources are overextended, or an event poses potentially significant consequences, DHS Headquarters may deploy an ERT-N to coordinate the initial response. The FCO/FRC heads the interagency ERT. The ERT works with the affected State and coordinates Federal support from the JFO. The ERT may establish an IOF to serve as an interim facility until the JFO is established. In a terrorism event, this activity will be coordinated with the JOC. Federal agencies and other appropriate entities provide resources to assist incident management efforts under DHS-issued mission assignments or their own authorities. The ERT-A/ERT-N coordinates damage assessment and selection of locations for field facilities with the State. It also coordinates mission assignments for direct Federal assistance and procurement of goods and services with the Comptroller and RRCC. The ERT-A/ERT-N begins the transition to a tailored Emergency Response Team and initiates establishment of the JOC.
Federal Incident Response Support Team	Based upon the nature of the incident, the FIRST may deploy to the scene to support State operations. The FIRST provides technical assistance to assess the situation, identify critical and unmet needs, provide protective action recommendations, and establish incident support facilities. The FIRST coordinates with the ERT-A and integrates into the JFO when established.
Domestic Emergency Support Team	The DEST may be deployed to provide technical support for management of potential or actual terrorist incidents. Based upon a credible threat assessment, the Attorney General, in consultation with the Secretary of Homeland Security, may request authorization through the White House to deploy the DEST. Upon arrival at the JFO or critical incident location, the DEST may act as a stand-alone advisory team to the FBI SAC providing required technical assistance or recommended operational courses of action.
Other Special Teams	Depending on the nature of the incident, other special teams may be deployed in coordination with other departments and agencies. The NRP annexes include discussion of special teams and resources.
Federal First Responders	Some Federal agencies have statutory authority and responsibility to deploy directly as first responders upon notification of an incident or potential incident (e.g., OSCs responding to oil or hazardous materials incidents). These responders may arrive on-scene before there is a determination as to whether the incident is an Incident of National Significance, but once declared, would operate under the protocols established in the NRP.

Requests for DHS Assistance

Requests for DHS assistance can come from State Governors requesting aid under the Stafford Act or from Federal agencies with a need for Federal-to-Federal support. Federal departments and agencies supporting the NRP are activated and engaged using either a mission assignment process for events supported by Stafford Act funding, or through interagency agreements or other direct funding sources when implemented using other authorities.

- **Federal Support to States:** DHS/EPR/FEMA processes a Governor's request for Presidential disaster or emergency declarations under the direction provided in the Stafford Act. Governors submit these requests to DHS/EPR/FEMA indicating the extent of damage and the types of Federal assistance required. DHS/EPR/FEMA then forwards the Governor's request to the White House, simultaneously notifying the Secretary of Homeland Security, along with a recommended course of action.

  Concurrent with a Presidential declaration of a major disaster or emergency and official appointment of an FCO, DHS/EPR/FEMA designates the types of assistance to be made available and the counties eligible to receive assistance. In large-scale or catastrophic events, the declaration process can be expedited. In certain emergencies involving Federal primary responsibility, the Stafford Act allows the President to provide emergency assistance without a Governor's request. Appendix 5 provides an overview of the request process under the Stafford Act.

  In a non-Stafford Act emergency, the President may direct Federal departments and agencies to conduct prevention, preparedness, emergency response, and incident management activities consistent with their authorities and responsibilities on a nonreimbursable basis. Appendix 6 provides an overview of Federal-to-Federal support in non-Stafford Act situations.

- **Federal-to-Federal Support:** For some incidents for which a Stafford Act declaration is not made and a Federal entity is responding to an incident under its own authorities, that entity may require additional assistance from other Federal departments or agencies that is not otherwise readily available to them. In such circumstances, the affected Federal department or agency may request DHS coordination to obtain that assistance.

  Federal agencies participating in the NRP will request and provide Federal-to-Federal support by executing interagency or intra-agency reimbursable agreements (RAs), in accordance with the Economy Act (31 U.S.C. § 1535) or other applicable authorities. Federal agencies providing mutual aid support may request reimbursement from the requesting agency for eligible expenditures. (See Financial Management Support Annex Attachment 3, Memorandum of Understanding: Mutual Aid for Incidents of National Significance (Non-Stafford Act), for additional information.)

  DHS will use the ESFs as the mechanism for coordinating required support from other agencies. When such DHS assistance is provided, the incident becomes an Incident of National Significance, and DHS coordinates Federal resources under the authority provided in HSPD-5. In these situations, DHS designates an FRC to perform the resource coordination function (rather than an FCO as occurs under a Stafford Act declaration).

  Requests for assistance are submitted to the DHS Executive Secretary for processing and Secretary consideration/approval. Upon approval of the request for assistance, the Secretary issues an operation order to the HSOC. The HSOC, through the NRCC, coordinates the activation of the appropriate ESFs. At this time, the Secretary of Homeland Security also may elect to activate the IIMG to begin monitoring the situation and developing appropriate recommendations and courses of action.

Pre-Incident Actions

At the national level, the HSOC facilitates interagency information-sharing activities to enable the assessment, prevention, or resolution of a potential incident. Based upon guidance from the HSC/NSC (Principals, Deputies, or PCC), DHS coordinates with appropriate agencies as required during developing situations to utilize agency resources and authorities to prevent an incident, as well as to initiate appropriate preparatory and mitigating measures to reduce vulnerabilities. If warranted, the IIMG may recommend the activation of additional NRP organizational elements to provide

appropriate resources to enable more robust prevention and/or preparedness activities.

Prevention

Actions taken to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions taken to protect lives and property.

Prevention actions related to terrorism threats and incidents include law enforcement activities and protective activities. All Federal law enforcement activities are coordinated by the Attorney General, generally acting through the FBI. Initial prevention efforts include, but are not limited to, actions to:

- Collect, analyze, and apply intelligence and other information;
- Conduct investigations to determine the full nature and source of the threat;
- Implement countermeasures such as surveillance and counterintelligence;
- Conduct security operations, including vulnerability assessments, site security, and infrastructure protection;
- Conduct tactical operations to prevent, interdict, preempt, or disrupt illegal activity;
- Conduct attribution investigations, including an assessment of the potential for future related incidents; and
- Conduct activities to prevent terrorists, terrorist weapons, and associated materials from entering or moving within the United States.

The majority of initial actions in the threat or hazard area are taken by first responders and local government authorities, and include efforts to protect the public and minimize damage to property and the environment, as follows:

- **Public Health and Safety:** Initial safety efforts focus on actions to detect, prevent, or reduce the impact to public health and safety. Such actions can include environmental analysis, plume modeling, evacuations, emergency sheltering, air monitoring, decontamination, emerging infectious disease tracking, emergency broadcasts, etc. These efforts may also include public health education; site and public health surveillance and testing procedures; and immunizations, prophylaxis, and isolation or quarantine for biological threats coordinated by HHS and State and local public health officials. (See the ESF #8 Annex for additional information.)

- **Responder Health and Safety:** The safety and health of responders is also a priority. Actions essential to limit their risks include full integration of deployed health and safety assets and expertise; risk assessments based upon timely and accurate data; and situational awareness that considers responder and recovery worker safety.

  A comprehensive location and/or operational response safety and health plan is key to mitigating the hazards faced by responders. These efforts include incident hazard identification and characterization; implementation and monitoring of personal protective equipment selection, use, and decontamination; exposure sampling and analysis; worker health and safety risk analysis; health and safety monitoring; and development/ongoing evolution of the site-specific safety and health plan. (See the Worker Safety and Health Support Annex for additional information.)

- **Property and the Environment:** Responders may also take incident mitigation actions to protect public and private property and the environment. Such actions may include sandbagging in anticipation of a flood, or booming of environmentally sensitive areas in response to a potential oil spill.

Response Actions

Once an incident occurs, the priorities shift from prevention, preparedness, and incident mitigation to immediate and short-term response activities to preserve life, property, the environment, and the social, economic, and political structure of the community. In the context of a terrorist threat, simultaneous activities are initiated to assess regional and national-level impacts, as well as to assess and take appropriate action to prevent and protect against other potential threats.

Response

Activities that address the short-term, direct effects of an incident. These activities include immediate actions to preserve life, property, and the environment; meet basic human needs; and maintain the social, economic, and political structure of the affected community.

Reinforcing the initial response to an incident, some Federal agencies may operate in the ICP as Federal first responders and participate in the Unified Command structure. Once the JFO is established, the JFO Coordination Group sets Federal operational priorities. The JFO provides resources in support of the Unified Command and incident management teams conducting on-scene operations through the State and local EOCs.

Depending upon the scope and magnitude of the incident, the NRCC and/or the RRCCs activate the appropriate ESFs, as needed, to mobilize assets and the deployment of resources to support the incident. The NRCC and/or the RRCCs facilitate the deployment and transportation of the ERT and other teams and specialized capabilities such as, but not limited to, teams under the NDMS, the HHS Secretary's Emergency Response Team, the Epidemic Intelligence Service, HHS behavioral health response teams, the U.S. Public Health Service Commissioned Corps, and Urban Search and Rescue teams. Other response actions include the establishment of the JFO and other field facilities and providing a wide range of support for incident management, public health, and other community needs.

Response actions also include immediate law enforcement, fire, ambulance, and emergency medical service actions; emergency flood fighting; evacuations; transportation system detours; emergency public information; actions taken to minimize additional damage; urban search and rescue; the establishment of facilities for mass care; the provision of public health and medical services, food, ice, water, and other emergency essentials; debris clearance; the emergency restoration of critical infrastructure; control, containment, and removal of environmental contamination; and protection of responder health and safety.

During the response to a terrorist event, law enforcement actions to collect and preserve evidence and to apprehend perpetrators are critical. These actions take place simultaneously with response operations necessary to save lives and protect property, and are closely coordinated with the law enforcement effort to facilitate the collection of evidence without impacting ongoing life-saving operations.

In the context of a single incident, once immediate response missions and life-saving activities conclude, the emphasis shifts from response to recovery operations and, if applicable, hazard mitigation. The JFO Planning Section develops a demobilization plan for the release of appropriate components.

Recovery Actions

Recovery involves actions needed to help individuals and communities return to normal when feasible. The JFO is the central coordination point among Federal, State, local, and tribal agencies and voluntary organizations for delivering recovery assistance programs.

Recovery

The development, coordination, and execution of service- and site-restoration plans and the reconstitution of government operations and services through individual, private-sector, nongovernmental, and public assistance programs.

The JFO Operations Section includes the Human Services Branch, the Infrastructure Support Branch, and the Community Recovery and Mitigation Branch. The Human Services and Infrastructure Support Branches of the JFO Operations Section assess State and local recovery needs at the outset of an incident and develop relevant timeframes for program delivery. These branches ensure Federal agencies that have relevant recovery assistance programs are notified of an incident and share relevant applicant and damage information with all involved agencies as appropriate, ensuring that the privacy of individuals is protected.

A brief summary of these branches is presented next.

Branch	Description
Human Services Branch	The Human Services Branch coordinates assistance programs to help individuals, families, and businesses meet basic needs and return to self-sufficiency. This branch also coordinates with volunteer organizations and is involved in donations management, and coordinates the need for and location of DRCs with local and tribal governments. Federal, State, local, tribal, voluntary, and nongovernmental organizations staff the DRCs, as needed, with knowledgeable personnel to provide recovery and mitigation program information, advice, counseling, and related technical assistance.
Infrastructure Support Branch	The Infrastructure Support Branch of the JFO coordinates "public assistance programs" authorized by the Stafford Act to aid State and local governments and eligible private nonprofit organizations with the cost of emergency protective services and the repair or replacement of disaster-damaged public facilities and associated environmental restoration.
Community Recovery and Mitigation Branch	The Community Recovery and Mitigation Branch works with the other Operations branches and State and local officials to assess the long-term impacts of an Incident of National Significance, define available resources, and facilitate the development of a course of action to most efficiently apply available resources to restore and revitalize the community as well as reduce the impacts from future disasters.

The above branches coordinate with one another to identify appropriate agency assistance programs to meet applicant needs, synchronizing assistance delivery and encouraging incorporation of hazard mitigation measures where possible. Hazard mitigation measures are identified in concert with congressionally mandated, locally developed plans. Hazard mitigation risk analysis; technical assistance to State, local, and tribal governments, citizens, and business; and grant assistance are included within the mitigation framework. Additionally, these branches work in tandem to track overall progress of the recovery effort, particularly noting potential program deficiencies and problem areas.

Long-term environmental recovery may include cleanup and restoration of public facilities, businesses, and residences; re-establishment of habitats and prevention of subsequent damage to natural resources; protection of cultural or archeological sites; and protection of natural, cultural, and historical resources from intentional damage during other recovery operations.

Mitigation Actions

Hazard mitigation involves reducing or eliminating long-term risk to people and property from hazards and their side effects. The JFO is the central coordination point among Federal, State, local, and tribal agencies and NGOs for beginning the process that leads to the delivery of mitigation assistance programs.

Mitigation

Activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident. Mitigation measures may be implemented prior to, during, or after an incident.

The JFO's Community Recovery and Mitigation Branch is responsible for coordinating the delivery of all mitigation programs within the affected area, including hazard mitigation for:

- Grant programs for loss reduction measures (if available);
- Delivery of loss reduction building-science expertise;
- Coordination of Federal flood insurance operations and integration of mitigation with other program efforts;
- Conducting flood recovery mapping to permit expedited and accurate implementation of both recovery and mitigation programs;
- Predictive modeling to protect critical assets;
- Early documentation of losses avoided due to previous hazard mitigation measures; and
- Community education and outreach necessary to foster loss reduction.

The Community Recovery and Mitigation Branch works with the Infrastructure and Human Services Branches and with State, local, and tribal officials to facilitate the development of a long-term recovery strategy for the impacted area(s).

Demobilization

When a centralized Federal coordination presence is no longer required in the affected area, the JFO Coordination Group implements the demobilization plan to transfer responsibilities and close out the JFO. After the closing of the JFO, long-term recovery program management and monitoring transitions to individual agencies' regional offices and/or headquarters, as appropriate.

Remedial Actions

DHS formally convenes interagency meetings called "hotwashes" to identify critical issues requiring headquarters-level attention, lessons learned, and best practices associated with the Federal response to Incidents of National Significance. Hotwashes typically are conducted at major transition points over the course of incident management operations, and include State, local, and tribal participation as appropriate.

Identified issues are validated and promptly assigned to appropriate organizations for remediation, in accordance with DHS/EPR/FEMA's Remedial Action Management Program (RAMP). DHS/EPR/FEMA manages the RAMP and coordinates, monitors, and reports the status of Federal remediation actions for issues arising from Incidents of National Significance.

After-Action Report

Following an incident, the JFO Coordination Group submits an after-action report to DHS Headquarters detailing operational successes, problems, and key issues affecting incident management. The report includes appropriate feedback from all Federal, State, local, tribal, nongovernmental, and private-sector partners participating in the incident. The Emergency Support Function Leaders Group (ESFLG) and the Regional Interagency Steering Committees (RISCs)—the headquarters-level and regional-level interagency NRP preparedness organizations (described in section VI on page 58)—use information from these reports to update plans and procedures as required.

Each Federal agency involved should keep records of its activity to assist in preparing its own after-action report. The DHS OSLGCP has established and maintains the Lessons Learned Information Sharing system (formerly Ready-Net) as the national repository for reports and lessons learned. The NIMS Integration Center supports and contributes to this national system.

NRP Operations Under HSAS Threat Conditions

General

The Homeland Security Advisory System, created by HSPD-3 and administered by DHS/IAIP, is a comprehensive and effective means for disseminating information regarding the risk of terrorist attacks and coordinating appropriate response measures across jurisdictions and with the private sector. The HSAS is composed of two separate elements: threat products and threat condition.

- **Threat products** include warning (advisories) and nonwarning (information bulletins) products designed to inform Federal, State, local, tribal, and nongovernmental entities and private citizens of threat or incident information.
- The **threat condition** provides a guide to assist government and private-sector entities in initiating a set of standardized actions as a result of increased terrorist threat levels within the United States, and to inform the public on updated homeland security requirements. The raising of the threat condition generally is reserved for threats that are credible, corroborated, and imminent. An elevated threat condition can be applied nationally or by region, by industry sector, or to a specific target.

During an increase in threat condition, DHS may notify, activate, and deploy NRP organizational elements in an effort to enhance the Nation's ability to prevent, prepare for, or respond to an attack. The decision to mobilize NRP organizational elements is based on the

nature and severity of the threat. In response to a heightened nationwide risk of attack, DHS may activate the national-level elements and place certain special teams on standby. For geographic-specific threats, DHS, in consultation with DOJ, may activate regional elements and deploy national coordinating elements and special teams to the affected area.

Procedures/Guidelines

Procedures/guidelines for threat conditions are described below.

Threat Conditions	Procedures/Guidelines
Green (low), Blue (guarded), Yellow (elevated)	Under Threat Conditions Green through Yellow, the HSOC maintains direct connectivity with the NCTC and the FBI SIOC regarding the terrorist threat and maintains situational awareness through the continued monitoring of reported incidents.
Orange (high)	When threat conditions warrant, DHS activates the IIMG to review the threat information, coordinate interagency activity, and recommend additional precautions needed to prevent, prepare for, or respond to an attack. If the threat is elevated regionally or locally, DHS considers designating a PFO and activating emergency response teams and appropriate RRCC(s) to coordinate with regional, State, and private-sector entities and notify (or activate) regional resources (such as the ERT) as appropriate.
Red (severe)	When threat conditions warrant, DHS fully activates the NRCC, activates the RRCCs in the designated threat locations, implements Continuity of Operations plans, and places other appropriate assets on the highest alert status. If the threat is elevated regionally or locally, the IIMG provides recommendations for the deployment of special teams to the area and establishment of a JFO. In the absence of a JFO, special teams deployed in response to a terrorist threat operate in coordination with the FBI JOC.

VI. Ongoing Plan Management and Maintenance

Coordination

The Federal Government uses the "preparedness organization" concept described in the NIMS for the ongoing management and maintenance of the NRP. These organizations typically include all agencies with a role in incident management and provide a forum for coordination of policy, planning, training, equipping, and other preparedness requirements.

Federal Headquarters Level

The HSC Domestic Threat Reduction and Incident Management (DTRIM) PCC and the ESFLG are the primary Federal-level organizations for coordinating interagency policy related to the ongoing management and maintenance of the NRP and related activities. In providing sustained management and oversight of the NRP, these organizations will comply with preparedness guidelines and standards as identified in HSPD-5 and HSPD-8.

- **Domestic Threat Reduction and Incident Management Policy Coordination Committee:** The DTRIM PCC serves as the senior interagency policy oversight group for the NRP and related issues, providing an interagency forum for review of NRP-related plans, policy guidance, and issue resolution. (The DTRIM PCC replaces the FRP Catastrophic Disaster Response Group (CDRG) for ongoing management and maintenance of the NRP in these areas.)

- **Emergency Support Function Leaders Group:** The ESFLG serves as the senior interagency planning oversight group for operational issues related to the NRP and its ongoing management and maintenance. The ESFLG is comprised of representatives from each ESF as well as those organizations responsible for maintaining the NRP Support and Incident Annexes. The ESFLG provides a forum for developing supporting plans and procedures, as well as cross-coordination of functions. The ESFLG meets at least quarterly. In addition, coordinators of the ESF, Support, and Incident Annexes will meet annually, as a minimum, to review and update plans and procedures, incorporate lessons learned and best practices, and ensure functional coordination and continuous improvement of all NRP elements. DHS will develop a charter for the ESFLG further outlining its roles and responsibilities in this area.

- **Other Federal Preparedness Organizations:** Other existing interagency preparedness organizations generally are integrated through the ESF structure. For example, the National Response Team works in coordination with ESF #10 (Oil and Hazardous Materials Response) planning efforts.

Federal Regional Level

At the Federal regional level, the RISCs are responsible for multiagency coordination under the NRP on a steady-state basis. The RISCs support the national-level groups by coordinating issues and solutions that are unique to the regions. RISCs also coordinate preparedness efforts with other regional-level preparedness organizations (such as the Regional Response Teams (RRTs) that coordinate regional ESF #10 efforts). At a minimum, the RISC is comprised of representatives from each State in the region and, where appropriate, regional-level representatives from ESF primary and support agencies. RISCs meet at least quarterly and provide an operational-level forum for regional planning, interagency information-sharing, and coordination. Each RISC includes an executive-level committee that meets at least twice yearly to provide executive-level guidance and oversight. DHS will publish a charter for the RISCs further describing their roles and responsibilities.

State and Local Levels

At the State and local levels, various preparedness organizations provide multiagency coordination functions.

Plan Maintenance

DHS/EPR/FEMA, in close coordination with the DHS Office of the Secretary, is the executive agent for NRP management and maintenance. The NRP will be updated periodically as required to incorporate new Presidential directives, legislative changes, and procedural changes based on lessons learned from exercises and actual events. This section establishes procedures for interim changes and full updates of the NRP.

The NRP will be updated periodically as required to incorporate new Presidential directives, legislative changes, and procedural changes based on lessons learned from exercises and actual events.

- **Types of Changes.** Changes include additions of new or supplementary material and deletions. No proposed change should contradict or override authorities or other plans contained in statute, Executive order, or regulation.

- **Coordination and Approval.** Any department or agency with assigned responsibilities under the NRP may propose a change to the plan. DHS is responsible for coordinating all proposed modifications to the NRP with primary and support agencies and other stakeholders, as required. DHS will coordinate review and approval for proposed modifications through the ESFLG and HSC as required.

- **Notice of Change.** After coordination has been accomplished, including receipt of the necessary signed approval supporting the final change language, DHS will issue an official Notice of Change.

  The notice will specify the date, number, subject, purpose, background, and action required, and provide the change language on one or more numbered and dated insert pages that will replace the modified pages in the NRP. Once published, the modifications will be considered part of the NRP for operational purposes pending a formal revision and reissuance of the entire document. Interim changes can be further modified or updated using the above process.

- **Distribution.** DHS will distribute Notices of Change to all participating agencies, DHS Headquarters and regional offices, and State emergency management offices. Notices of Change to other organizations will be provided upon request.

- **Reissuance of the NRP.** Working toward continuous improvement, DHS is responsible for coordinating full reviews and updates of the NRP every 4 years, or more frequently if the Secretary deems necessary. The review and update will consider lessons learned and best practices identified during exercises and responses to actual events, and incorporate new information technologies. DHS will distribute revised NRP documents to the HSC for the purpose of interagency review and concurrence.

The NIMS Integration Center

In accordance with the NIMS, the NIMS Integration Center is responsible for facilitating the development and adoption of national-level standards, guidelines, and protocols related to the NIMS. DHS/EPR/FEMA will consult with the NIMS Integration Center in the management and maintenance of the NRP as appropriate.

The NRP and National Preparedness

The NRP provides a key aspect of Federal department and agency compliance with HSPD-8, National Preparedness. HSPD-8 directs the Secretary of Homeland Security to coordinate efforts to measure and improve national preparedness. For more information on national preparedness, please refer to the National Preparedness Goal. Preparedness tasks related to the NRP and associated supplements are summarized below:

- DHS develops a national domestic all-hazards preparedness goal, in coordination with other Federal

departments and agencies, and in consultation with State and local governments. The goal establishes a National Preparedness Assessment and Reporting System, which produces an annual status report to the President regarding the Nation's level of preparedness.

- Appropriate Federal departments and agencies undertake actions to support the national preparedness goal, including adoption of quantifiable performance measurements in the areas of training, planning, equipment, and exercises for Federal preparedness. Performance measures are submitted to DHS for the National Preparedness Assessment and Reporting System.

- The annual report to the President includes, but is not limited to, information on the readiness of Federal civil response assets. Appropriate Federal departments and agencies are required to maintain specialized Federal assets, such as teams, stockpiles, and caches, at levels consistent with the national preparedness goal and to make them available for response activities as established in the NRP.

- DHS develops and maintains a Federal response capability inventory, in coordination with other appropriate Federal departments and agencies, that includes the performance parameters of the capability, the timeframe within which the capability can be brought to bear to an incident, and the readiness of such capability to manage domestic incidents. Owners (respective agencies) of Federal response capabilities are responsible for providing DHS with updated information to ensure that the inventory is current.

- DHS, in coordination with other appropriate Federal departments and agencies and in consultation with State and local governments, maintains a comprehensive National Training Program, a National Exercise Program, and a National Lessons Learned Information Sharing System (formerly Ready-Net) to meet the national preparedness goal. These programs and systems use the NIMS and include requirements to support the NRP as appropriate.

NRP-Supporting Documents and Standards for Other Federal Emergency Plans

The NRP, as the core plan for domestic incident management, provides the structures and processes for coordinating incident management activities for terrorist attacks, natural disasters, and other emergencies that meet the criteria established for Incidents of National Significance. Following the guidance provided in HSPD-5, the NRP incorporates existing Federal emergency and incident management plans (with appropriate modifications and revisions) as integrated components of the NRP, as supplements, or as supporting operational plans.

Accordingly, Federal departments and agencies must incorporate key NRP concepts and procedures for working with NRP organizational elements when developing or updating incident management and emergency response plans. When an agency develops a national interagency plan that involves events within the scope of Incidents of National Significance, these plans are coordinated with DHS to ensure consistency with the NRP, and are incorporated into the NRP, either by reference or as a whole. DHS/EPR/FEMA will maintain a complete set of all current national interagency plans and provide ready public access to those plans via website or other appropriate means.

Incident management and emergency response plans must include, to the extent authorized by law:
- Principles and terminology of the NIMS;
- Reporting requirements of the NRP;
- Linkages to key NRP organizational elements (such as the IIMG, NRCC, RRCC, JFO, etc.); and
- Procedures for transitioning from localized incidents to Incidents of National Significance.

The broader range of NRP-supporting documents includes strategic, operational, tactical, and incident-specific or hazard-specific contingency plans and procedures. Strategic plans are developed by headquarters-level entities based on long-range goals, objectives, and priorities. Operational-level plans merge the on-scene tactical concerns with overall

strategic objectives. Tactical plans include detailed, specific actions and descriptions of resources required to manage an actual or potential incident. Contingency plans are based on specific scenarios and planning assumptions related to a geographic area or the projected impacts of an individual hazard. The following is a brief description of NRP-related documents:

Document	Description
National Incident Management System	The NIMS provides a core set of doctrine, concepts, terminology, and organizational processes to enable effective, efficient, and collaborative incident management at all levels.
National Interagency Plans	National interagency plans are based either on statutory or regulatory authorities, and/or specific contingencies and types of incidents. These plans provide protocols for managing the preponderance of incidents that are likely to occur at all levels of government and that normally can be managed without the need for DHS coordination. These plans can be implemented independently or concurrently with the NRP. When the NRP is activated, these interagency plans are incorporated as supporting and/or operational plans. Examples of national interagency plans that are incorporated into the NRP as supporting and/or operational plans include: ▪ National Oil and Hazardous Substances Pollution Contingency Plan; ▪ Mass Migration Emergency Plan; ▪ National Search and Rescue Plan; ▪ National Infrastructure Protection Plan; and ▪ National Maritime Security Plan. For purposes of full incorporation into the NRP, these plans will be referred to as NRP supplements for the specific contingency or mission area that constitutes the main focus of such plans. The comprehensive listing of national interagency plans included as Appendix 4 provides a brief description of each of these plans.
Agency-Specific Plans	Agency-specific plans are created to manage single hazards or contingencies under the purview of the responsible department or agency. An example of an agency-specific plan is the NRC's Incident Response Plan.
Operational Supplements	Operational supplements typically are detailed plans relating to specific incidents or events. Operational supplements routinely are developed to support NSSEs.
Regional Plans	Regional plans typically are operational supplements to national plans and provide region-specific procedures and guidance. Examples of regional plans include regional contingency plans (RCPs) mandated by the NCP to organize oil and hazardous substance contamination response.

Document	Description
State/Local/Tribal Emergency Operations Plans	State/local/tribal emergency operations plans are created to address a variety of hazards. Examples include: ▪ State emergency operations plans designed to support State emergency management functions. ▪ Area contingency plans designed to prevent, prepare for, respond to, and recover from oil and hazardous substance incidents. These plans are developed at the direction of Federal OSCs in consultation with organizations at the State, regional, local, and tribal levels. ▪ Local emergency operations plans created at the municipal level to complement State emergency operations plans.
State/Local/Tribal Multihazard Mitigation Plans	State/local/tribal multihazard mitigation plans are developed by States, territories, tribes, and local communities to provide a framework for understanding vulnerability to and risk from hazards, and identifying the pre-disaster and post-disaster mitigation measures to reduce the risk from those hazards. Multihazard mitigation planning requirements were established by Congress through the Stafford Act, as amended by the Disaster Mitigation Act of 2000.
Private-Sector Plans	Private-sector plans are developed by privately owned companies/corporations. Some planning efforts are mandated by statute (e.g., nuclear power plant operations), while others are developed to ensure business continuity.
Volunteer and Nongovernmental Organization Plans	Volunteer and nongovernmental organization plans are plans created to support local, State, regional, and Federal emergency preparedness, response, and recovery operations. Plans include a continuous process of assessment, evaluation, and preparation to ensure that the necessary authorities, organization, resources, coordination, and operation procedures exist to provide effective delivery of services to disaster clients as well as provide integration into planning efforts at all government levels.
International Plans	International plans between the Federal Government and foreign countries typically deal with natural disasters, mass-casualty incidents, pollution incidents, terrorism, or public health emergencies.
Procedures	Procedures provide operational guidance for use by emergency teams and other personnel involved in conducting or supporting incident management operations. These documents fall into five basic categories: ▪ Overviews that provide a brief concept summary of an incident management function, team, or capability; ▪ Standard operating procedures (SOPs), standard operating guidelines (SOGs), or operations manuals that provide a complete reference document, detailing the procedures for performing a single function (i.e., SOP/SOG) or a number of interdependent functions (i.e., operations manual); ▪ Field operations guides (FOGs) or handbooks that are produced as a durable pocket or desk guide, containing essential tactical information needed to perform specific assignments or functions; ▪ Point of contact (POC) lists; and ▪ Job aids such as checklists or other tools for job performance or job training.

Appendix 1

Glossary of Key Terms

For the purposes of the NRP, the following terms and definitions apply.

Accountable Property. Property that: 1) has an acquisition cost that is $15,000 or more; 2) has a unique, identifiable serial number (e.g., computer or telecommunications equipment); and 3) is considered "sensitive" (i.e., easily pilferable), such as cellular phones, pagers, and laptop computers.

Agency. A division of government with a specific function offering a particular kind of assistance. In ICS, agencies are defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance).

Agency Representative. A person assigned by a primary, assisting, or cooperating Federal, State, local, or tribal government agency or private entity that has been delegated authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with the leadership of that agency.

Area Command (Unified Area Command). An organization established (1) to oversee the management of multiple incidents that are each being handled by an ICS organization or (2) to oversee the management of large or multiple incidents to which several Incident Management Teams have been assigned. Area Command has the responsibility to set overall strategy and priorities, allocate critical resources according to priorities, ensure that incidents are properly managed, and ensure that objectives are met and strategies followed. Area Command becomes Unified Area Command when incidents are multijurisdictional. Area Command may be established at an EOC facility or at some location other than an ICP.

Available Resources. Resources assigned to an incident, checked in, and available for use, normally located in a Staging Area.

Awareness. The continual process of collecting, analyzing, and disseminating intelligence, information, and knowledge to allow organizations and individuals to anticipate requirements and to react effectively.

Casualty. Any person who is declared dead or is missing, ill, or injured.

Catastrophic Incident. Any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened. All catastrophic events are Incidents of National Significance.

Chain of Command. A series of command, control, executive, or management positions in hierarchical order of authority.

Civil Transportation Capacity. The total quantity of privately owned transportation services, equipment, facilities, and systems from all transportation modes nationally or in a prescribed area or region.

Coastal Zone. As defined by the NCP, means all U.S. waters subject to tide, U.S. waters of the Great Lakes, specified ports and harbors on inland rivers, waters of the contiguous zone, other water of the high seas subject to the NCP, and the land surface or land substrata, ground waters, and ambient air proximal to those waters. The term "coastal zone" delineates an area of Federal responsibility for response action. Precise boundaries are determined by EPA/USCG agreements and identified in RCPs.

Command Staff. In an incident management organization, the Command Staff consists of the Incident Command and the special staff positions of Public Information Officer, Safety Officer, Liaison Officer, and other positions as required, who report directly to the Incident Commander. They may have an assistant or assistants, as needed.

Common Operating Picture (COP). A broad view of the overall situation as reflected by situation reports, aerial photography, and other information or intelligence.

Community Recovery. In the context of the NRP and its annexes, the process of assessing the effects of an Incident of National Significance, defining resources, and developing and implementing a course of action to restore and revitalize the socioeconomic and physical structure of a community.

Consequence Management. Predominantly an emergency management function and included measures to protect public health and safety, restore essential government services, and provide emergency relief to governments, businesses, and individuals affected by the consequences of terrorism. The requirements of consequence management and crisis management are combined in the NRP. See also **Crisis Management.**

Contiguous Zone. The zone of the high seas, established by the United States under Article 24 of the Convention on the Territorial Sea and Contiguous Zone, that is contiguous to the territorial sea and that extends 9 miles seaward from the outer limit of the territorial sea.

Credible Threat. A potential terrorist threat that, based on a threat assessment, is credible and likely to involve WMD.

Crisis Management. Predominantly a law enforcement function and included measures to identify, acquire, and plan the use of resources needed to anticipate, prevent, and/or resolve a threat or act of terrorism. The requirements of consequence management and crisis management are combined in the NRP. See also **Consequence Management.**

Critical Infrastructures. Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

Cultural Resources. Cultural resources include historic and prehistoric structures, archeological sites, cultural landscapes, and museum collections.

Cyber. Pertaining to computers and their support systems, such as servers, routers, and switches, that support critical infrastructure.

Defense Support of Civil Authorities (DSCA). Refers to DOD support, including Federal military forces, DOD civilians and DOD contractor personnel, and DOD agencies and components, for domestic emergencies and for designated law enforcement and other activities.

Deputy. A fully qualified individual who, in the absence of a superior, could be delegated the authority to manage a functional operation or perform a specific task. In some cases, a deputy could act as relief for a superior and therefore must be fully qualified in the position. Deputies can be assigned to the Incident Commander, General Staff, and Branch Directors.

Disaster. See **Major Disaster.**

Disaster Recovery Center (DRC). A facility established in a centralized location within or near the disaster area at which disaster victims (individuals, families, or businesses) apply for disaster aid.

District Response Group. Established in each DHS/USCG District, the District Response Group is primarily responsible for providing the OSC technical assistance, personnel, and equipment during responses typically involving marine zones.

Emergency. As defined by the Stafford Act, an emergency is "any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States."

Emergency Operations Center (EOC). The physical location at which the coordination of information and resources to support domestic incident management activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., Federal, State, regional, county, city, tribal), or by some combination thereof.

Emergency Operations Plan (EOP). The "steady-state" plan maintained by various jurisdictional levels for managing a wide variety of potential hazards.

Emergency Public Information. Information that is disseminated primarily in anticipation of an emergency or during an emergency. In addition to providing situational information to the public, it also frequently provides directive actions required to be taken by the general public.

Emergency Response Provider. Includes Federal, State, local, and tribal emergency public safety, law enforcement, emergency response, emergency medical (including hospital emergency facilities), and related personnel, agencies, and authorities. (See section 2(6), Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135 (2002).) Also known as "emergency responder."

Emergency Support Function (ESF). A grouping of government and certain private-sector capabilities into an organizational structure to provide the support, resources, program implementation, and services that are most likely to be needed to save lives, protect property and the environment, restore essential services and critical infrastructure, and help victims and communities return to normal, when feasible, following domestic incidents. The ESFs serve as the primary operational-level mechanism to provide assistance to State, local, and tribal governments or to Federal departments and agencies conducting missions of primary Federal responsibility.

Emerging Infectious Diseases. New or recurring infectious diseases of people, domestic animals, and/or wildlife, including identification, etiology, pathogenesis, zoonotic potential, and ecological impact.

Environment. Natural and cultural resources and historic properties as those terms are defined in this glossary and in relevant laws.

Environmental Response Team. Established by EPA, the Environmental Response Team includes expertise in biology, chemistry, hydrology, geology, and engineering. The Environmental Response Team provides technical advice and assistance to the OSC for both planning and response to discharges and releases of oil and hazardous substances into the environment.

Evacuation. Organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

Facility Management. Facility selection and acquisition, building services, information systems, communications, safety and health, and physical security.

Federal. Of or pertaining to the Federal Government of the United States of America.

Federal Coordinating Officer (FCO). The Federal officer who is appointed to manage Federal resource support activities related to Stafford Act disasters and emergencies. The FCO is responsible for coordinating the timely delivery of Federal disaster assistance resources and programs to the affected State and local governments, individual victims, and the private sector.

Federal Emergency Communications Coordinator (FECC). That person, assigned by GSA, who functions as the principal Federal manager for emergency telecommunications requirements in major disasters, emergencies, and extraordinary situations, when requested by the FCO or FRC.

Federal On-Scene Coordinator (FOSC or OSC). The Federal official predesignated by the EPA or the USCG to coordinate responses under subpart D of the NCP, or the government official designated to coordinate and direct removal actions under subpart E of the NCP.

Federal Resource Coordinator (FRC). The Federal official appointed to manage Federal resource support activities related to non-Stafford Act incidents. The FRC is responsible for coordinating support from other Federal departments and agencies using interagency agreements and MOUs.

First Responder. Local and nongovernmental police, fire, and emergency personnel who in the early stages of an incident are responsible for the protection and preservation of life, property, evidence, and the environment, including emergency response providers as defined in section 2 of the Homeland Security Act of 2002 (6 U.S.C. 101), as well as emergency management, public health, clinical care, public works, and other skilled support personnel (such as

equipment operators) who provide immediate support services during prevention, response, and recovery operations. First responders may include personnel from Federal, State, local, tribal, or nongovernmental organizations.

Food and Nutrition Service (FNS) Disaster Task Force. The Food Security Act of 1985 (Public Law 99-198) requires the Secretary of Agriculture to establish a Disaster Task Force to assist States in implementing and operating various disaster food programs. The FNS Disaster Task Force coordinates the overall FNS response to disasters and emergencies. It operates under the general direction of the Administrator of FNS.

Hazard. Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.

Hazard Mitigation. Any cost-effective measure which will reduce the potential for damage to a facility from a disaster event.

Hazardous Material. For the purposes of ESF #1, hazardous material is a substance or material, including a hazardous substance, that has been determined by the Secretary of Transportation to be capable of posing an unreasonable risk to health, safety, and property when transported in commerce, and which has been so designated (see 49 CFR 171.8). For the purposes of ESF #10 and the Oil and Hazardous Materials Incident Annex, the term is intended to mean hazardous substances, pollutants, and contaminants as defined by the NCP.

Hazardous Substance. As defined by the NCP, any substance designated pursuant to section 311(b)(2)(A) of the Clean Water Act; any element, compound, mixture, solution, or substance designated pursuant to section 102 of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA); any hazardous waste having the characteristics identified under or listed pursuant to section 3001 of the Solid Waste Disposal Act (but not including any waste the regulation of which under the Solid Waste Disposal Act (42 U.S.C. § 6901 et seq.) has been suspended by act of Congress); any toxic pollutant listed under section 307(a) of the Clean Water Act; any hazardous air pollutant listed under section 112 of the Clean Air Act (42 U.S.C. § 7521 et seq.); and any imminently hazardous chemical substance or mixture with respect to which the EPA Administrator has taken action pursuant to section 7 of the Toxic Substances Control Act (15 U.S.C. § 2601 et seq.).

Historic Property. Any prehistoric or historic district, site, building, structure, or object included in or eligible for inclusion in the National Register of Historic Places, including artifacts, records, and remains which are related to such district, site, building, structure, or object [16 U.S.C. § 470(w)(5)].

Incident. An occurrence or event, natural or human-caused, that requires an emergency response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

Incident Action Plan. An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

Incident Command Post (ICP). The field location at which the primary tactical-level, on-scene incident command functions are performed. The ICP may be collocated with the incident base or other incident facilities and is normally identified by a green rotating or flashing light.

Incident Command System (ICS). A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating with a common organizational structure, designed to aid in the management of resources during incidents. ICS is used for all kinds of emergencies and is applicable to small as well as large and complex incidents. ICS is used by various jurisdictions and functional agencies,

both public and private, or organized field-level incident management operations.

Incident Commander (IC). The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site. (See page 10 for discussion on DOD forces.)

Incident Management Team (IMT). The Incident Commander and appropriate Command and General Staff personnel assigned to an incident.

Incident Mitigation. Actions taken during an incident designed to minimize impacts or contain the damages to property or the environment.

Incident of National Significance. Based on criteria established in HSPD-5 (paragraph 4), an actual or potential high-impact event that requires a coordinated and effective response by and appropriate combination of Federal, State, local, tribal, nongovernmental, and/or private-sector entities in order to save lives and minimize damage, and provide the basis for long-term community recovery and mitigation activities.

Information Officer. See **Public Information Officer.**

Infrastructure. The manmade physical systems, assets, projects, and structures, publicly and/or privately owned, that are used by or provide benefit to the public. Examples of infrastructure include utilities, bridges, levees, drinking water systems, electrical systems, communications systems, dams, sewage systems, and roads.

Infrastructure Liaison. Assigned by DHS/IAIP, the Infrastructure Liaison serves as the principal advisor to the JFO Coordination Group regarding all national- and regional-level critical infrastructure and key resources incident-related issues.

Initial Actions. The actions taken by those responders first to arrive at an incident site.

Initial Response. Resources initially committed to an incident.

Initial Response Resources (IRR). Disaster support commodities that may be pre-staged, in anticipation of a catastrophic event, at a Federal facility close to a disaster area for immediate application through an NRP ESF operation. The initial response resources are provided to victims and all levels of government responders immediately after a disaster occurs. They are designed to augment State and local capabilities. DHS/EPR/FEMA Logistics Division stores and maintains critically needed initial response commodities for victims and responders and pre-positions supplies and equipment when required. The initial response resources include supplies (baby food, baby formula, blankets, cots, diapers, meals ready-to-eat, plastic sheeting, tents, and water) and equipment (emergency generators, industrial ice-makers, mobile kitchen kits, portable potties with service, portable showers, and refrigerated vans).

In-Kind Donations. Donations other than cash (usually materials or professional services) for disaster survivors.

Inland Zone. As defined in the NCP, the environment inland of the coastal zone excluding the Great Lakes and specified ports and harbors on the inland rivers. The term "coastal zone" delineates an area of Federal responsibility for response action. Precise boundaries are determined by EPA/USCG agreements and identified in RCPs.

Insular Areas. Non-State possessions of the United States. The insular areas include Guam, the Commonwealth of the Northern Mariana Islands (CNMI), American Samoa, the U.S. Virgin Islands, and the former World War II Trust Territories now known as the Federated States of Micronesia and the Republic of the Marshall Islands. These last two entities, known as Freely Associated States (FAS), are still connected with the United States through the Compact of Free Association.

Interagency Modeling and Atmospheric Assessment Center (IMAAC). An interagency center responsible for production, coordination, and dissemination of consequence predictions for an airborne hazardous material release. The IMAAC generates the single Federal prediction of atmospheric dispersions and their consequences utilizing the best available resources from the Federal Government.

Joint Field Office (JFO). A temporary Federal facility established locally to provide a central point for Federal, State, local, and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions. The JFO will combine the traditional functions of the JOC, the FEMA DFO, and the JIC within a single Federal facility.

Joint Information Center (JIC). A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media at the scene of the incident. Public information officials from all participating agencies should collocate at the JIC.

Joint Information System (JIS). Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, timely information during a crisis or incident operations. The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the IC; advising the IC concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort.

Joint Operations Center (JOC). The JOC is the focal point for all Federal investigative law enforcement activities during a terrorist or potential terrorist incident or any other significant criminal incident, and is managed by the SFLEO. The JOC becomes a component of the JFO when the NRP is activated.

Jurisdiction. A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authorities. Jurisdictional authority at an incident can be political or geographical (e.g., city, county, tribal, State, or Federal boundary lines) or functional (e.g., law enforcement, public health).

Liaison Officer. A member of the Command Staff responsible for coordinating with representatives from cooperating and assisting agencies.

Local Government. A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal organization or, in Alaska, a Native Village or Alaska Regional Native Corporation; or a rural community, unincorporated town or village, or other public entity. (As defined in section 2(10) of the Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135, et seq. (2002).)

Long-Range Management Plan. Used by the FCO and management team to address internal staffing, organization, and team requirements.

Major Disaster. As defined by the Stafford Act, any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought) or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.

Materiel Management. Requisitioning and sourcing (requirements processing); acquisition, asset visibility (resource tracking), receipt, storage, and handling; security and accountability; inventory, deployment, issue, and distribution; and recovery, reuse, and disposition.

Mission Assignment. The vehicle used by DHS/EPR/FEMA to support Federal operations in a Stafford Act major disaster or emergency declaration. It orders immediate, short-term emergency response assistance when an applicable State or local government is overwhelmed by the event and lacks the capability to perform, or contract for, the necessary work.

Mitigation. Activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident.

Mitigation measures may be implemented prior to, during, or after an incident. Mitigation measures are often developed in accordance with lessons learned from prior incidents. Mitigation involves ongoing actions to reduce exposure to, probability of, or potential loss from hazards. Measures may include zoning and building codes, floodplain buyouts, and analysis of hazard-related data to determine where it is safe to build or locate temporary facilities. Mitigation can include efforts to educate governments, businesses, and the public on measures they can take to reduce loss and injury.

Mobilization. The process and procedures used by all organizations—Federal, State, local, and tribal—for activating, assembling, and transporting all resources that have been requested to respond to or support an incident.

Mobilization Center. An off-site temporary facility at which response personnel and equipment are received from the Point of Arrival and are pre-positioned for deployment to an incident logistics base, to a local Staging Area, or directly to an incident site, as required. A mobilization center also provides temporary support services, such as food and billeting, for response personnel prior to their assignment, release, or reassignment and serves as a place to out-process following demobilization while awaiting transportation.

Multiagency Command Center (MACC). An interagency coordination center established by DHS/USSS during NSSEs as a component of the JFO. The MACC serves as the focal point for interagency security planning and coordination, including the coordination of all NSSE-related information from other intra-agency centers (e.g., police command posts, Secret Service security rooms) and other interagency centers (e.g., intelligence operations centers, joint information centers).

Multiagency Coordination Entity. Functions within a broader multiagency coordination system. It may establish priorities among incidents and associated resource allocations, deconflict agency policies, and provide strategic guidance and direction to support incident management activities.

Multiagency Coordination System. Provides the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The components of multiagency coordination systems include facilities, equipment, EOCs, specific multiagency coordination entities, personnel, procedures, and communications. The systems assist agencies and organizations to fully integrate the subsystems of NIMS.

Multijurisdictional Incident. An incident requiring action from multiple agencies that each have jurisdiction to manage certain aspects of an incident. In ICS, these incidents will be managed under Unified Command.

Mutual Aid Agreement. Written agreement between agencies, organizations, and/or jurisdictions that they will assist one another on request by furnishing personnel, equipment, and/or expertise in a specified manner.

National. Of a nationwide character, including the Federal, State, local, and tribal aspects of governance and policy.

National Coordinating Center for Telecommunications. A joint telecommunications industry–Federal Government operation established to assist in the initiation, coordination, restoration, and reconstitution of NS/EP telecommunications services and facilities.

National Counterterrorism Center (NCTC). The NCTC serves as the primary Federal organization for analyzing and integrating all intelligence possessed or acquired by the U.S. Government pertaining to terrorism and counterterrorism, excepting purely domestic counterterrorism information. The NCTC may, consistent with applicable law, receive, retain, and disseminate information from any Federal, State, or local government or other source necessary to fulfill its responsibilities.

National Disaster Medical System (NDMS). A coordinated partnership between DHS, HHS, DOD, and the Department of Veterans Affairs established for the purpose of responding to the needs of victims of a public health emergency. NDMS provides medical response assets and the movement of patients to health care facilities where definitive medical care is received when required.

National Incident Management System (NIMS). A system mandated by HSPD-5 that provides a consistent, nationwide approach for Federal, State, local, and tribal governments; the private sector; and NGOs to work

effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, local, and tribal capabilities, the NIMS includes a core set of concepts, principles, and terminology. HSPD-5 identifies these as the ICS; multiagency coordination systems; training; identification and management of resources (including systems for classifying types of resources); qualification and certification; and the collection, tracking, and reporting of incident information and incident resources.

National Infrastructure Coordinating Center (NICC). Managed by the DHS Information Analysis and Infrastructure Protection Directorate, the NICC monitors the Nation's critical infrastructure and key resources on an ongoing basis. In the event of an incident, the NICC provides a coordinating vehicle to share information with critical infrastructure and key resources information-sharing entities.

National Interagency Coordination Center (NICC). The organization responsible for coordinating allocation of resources to one or more coordination centers or major fires within the Nation. Located in Boise, ID.

National Interagency Fire Center (NIFC). A facility located in Boise, ID, that is jointly operated by several Federal agencies and is dedicated to coordination, logistical support, and improved weather services in support of fire management operations throughout the United States.

Natural Resources. Natural resources include land, fish, wildlife, domesticated animals, plants, biota, and water. Water means salt and fresh water, surface and ground water, including water used for drinking, irrigation, aquaculture, and recreational purposes, as well as in its capacity as fish and wildlife habitat, including coral reef ecosystems as defined in 16 U.S.C. 64501. Land means soil, surface and subsurface minerals, and other terrestrial features.

National Response Center. A national communications center for activities related to oil and hazardous substance response actions. The National Response Center, located at DHS/USCG Headquarters in Washington, DC, receives and relays notices of oil and hazardous substances releases to the appropriate Federal OSC.

National Response System. Pursuant to the NCP, the mechanism for coordinating response actions by all levels of government (40 CFR § 300.21) for oil and hazardous substances spills and releases.

National Response Team (NRT). The NRT, comprised of the 16 Federal agencies with major environmental and public health responsibilities, is the primary vehicle for coordinating Federal agency activities under the NCP. The NRT carries out national planning and response coordination and is the head of a highly organized Federal oil and hazardous substance emergency response network. EPA serves as the NRT Chair, and DHS/USCG serves as Vice Chair.

National Security and Emergency Preparedness (NS/EP) Telecommunications. NS/EP telecommunications services are those used to maintain a state of readiness or to respond to and manage any event or crisis (local, national, or international) that causes or could cause injury or harm to the population or damage to or loss of property, or could degrade or threaten the NS/EP posture of the United States.

National Special Security Event (NSSE). A designated event that, by virtue of its political, economic, social, or religious significance, may be the target of terrorism or other criminal activity.

National Strike Force. The National Strike Force consists of three strike teams established by DHS/USCG on the Pacific, Atlantic, and Gulf coasts. The strike teams can provide advice and technical assistance for oil and hazardous substances removal, communications support, special equipment, and services.

Nongovernmental Organization (NGO). A nonprofit entity that is based on interests of its members, individuals, or institutions and that is not created by a government, but may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross.

Nuclear Incident Response Team (NIRT). Created by the Homeland Security Act to provide DHS with a nuclear/radiological response capability. When activated, the NIRT consists of specialized Federal response teams drawn from DOE and/or EPA. These

teams may become DHS operational assets providing technical expertise and equipment when activated during a crisis or in response to a nuclear/radiological incident as part of the DHS Federal response.

On-Scene Coordinator (OSC). See **Federal On-Scene Coordinator.**

Pollutant or Contaminant. As defined in the NCP, includes, but is not limited to, any element, substance, compound, or mixture, including disease-causing agents, which after release into the environment and upon exposure, ingestion, inhalation, or assimilation into any organism, either directly from the environment or indirectly by ingestion through food chains, will or may reasonably be anticipated to cause death, disease, behavioral abnormalities, cancer, genetic mutation, physiological malfunctions, or physical deformations in such organisms or their offspring.

Preparedness. The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources.

Prevention. Actions taken to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions taken to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.

Principal Federal Official (PFO). The Federal official designated by the Secretary of Homeland Security to act as his/her representative locally to oversee, coordinate, and execute the Secretary's incident management responsibilities under HSPD-5 for Incidents of National Significance.

Private Sector. Organizations and entities that are not part of any governmental structure. Includes for-profit and not-for-profit organizations, formal and informal structures, commerce and industry, private emergency response organizations, and private voluntary organizations.

Public Assistance Program. The program administered by FEMA that provides supplemental Federal disaster grant assistance for debris removal and disposal, emergency protective measures, and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain private nonprofit organizations.

Public Health. Protection, safety, improvement, and interconnections of health and disease prevention among people, domestic animals and wildlife.

Public Information Officer (PIO). A member of the Command Staff responsible for interfacing with the public and media or with other agencies with incident-related information requirements.

Public Works. Work, construction, physical facilities, and services provided by governments for the benefit and use of the public.

Radiological Emergency Response Teams (RERTs). Teams provided by EPA's Office of Radiation and Indoor Air to support and respond to incidents or sites containing radiological hazards. These teams provide expertise in radiation monitoring, radionuclide analyses, radiation health physics, and risk assessment. RERTs can provide both mobile and fixed laboratory support during a response.

Recovery. The development, coordination, and execution of service- and site-restoration plans for impacted communities and the reconstitution of government operations and services through individual, private-sector, nongovernmental, and public assistance programs that: identify needs and define resources; provide housing and promote restoration; address long-term care and treatment of affected

persons; implement additional measures for community restoration; incorporate mitigation measures and techniques, as feasible; evaluate the incident to identify lessons learned; and develop initiatives to mitigate the effects of future incidents.

Regional Emergency Transportation Coordinator (RETCO). A senior-level executive from a DOT operating administration who is predesignated by DOT order to serve as the regional representative of the Secretary of Transportation for emergency transportation preparedness and response, including oversight of ESF #1. Depending upon the nature and extent of the disaster or major incident, the Secretary may designate another official in this capacity.

Regional Response Teams (RRTs). Regional counterparts to the National Response Team, the RRTs comprise regional representatives of the Federal agencies on the NRT and representatives of each State within the region. The RRTs serve as planning and preparedness bodies before a response, and provide coordination and advice to the Federal OSC during response actions.

Resources. Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.

Response. Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and of incident mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include: applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into the nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice.

Senior Federal Official (SFO). An individual representing a Federal department or agency with primary statutory responsibility for incident management. SFOs utilize existing authorities, expertise, and capabilities to aid in management of the incident working in coordination with other members of the JFO Coordination Group.

Shared Resources (SHARES) High Frequency Radio Program. SHARES provides a single, interagency emergency message handling system by bringing together existing HF radio resources of Federal, State, and industry organizations when normal communications are destroyed or unavailable for the transmission of NS/EP information.

Situation Assessment. The evaluation and interpretation of information gathered from a variety of sources (including weather information and forecasts, computerized models, GIS data mapping, remote sensing sources, ground surveys, etc.) that, when communicated to emergency managers and decisionmakers, can provide a basis for incident management decisionmaking.

State. Any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. (As defined in section 2(14) of the Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135, et seq. (2002).)

Strategic. Strategic elements of incident management are characterized by continuous, long-term, high-level planning by organizations headed by elected or other senior officials. These elements involve the adoption of long-range goals and objectives, the setting of priorities, the establishment of budgets and other fiscal decisions, policy development, and the application of measures of performance or effectiveness.

Strategic Plan. A plan that addresses long-term issues such as impact of weather forecasts, time-phased resource requirements, and problems such as permanent housing for displaced disaster victims, environmental pollution, and infrastructure restoration.

Subject-Matter Expert (SME). An individual who is a technical expert in a specific area or in performing a specialized job, task, or skill.

Supervisor of Salvage and Diving (SUPSALV). A salvage, search, and recovery operation established by the Department of Navy. SUPSALV has extensive experience to support response activities, including specialized salvage, firefighting, and petroleum, oil, and lubricants offloading. SUPSALV, when available, will provide equipment for training exercises to support national and regional contingency planning.

Telecommunications. The transmission, emission, or reception of voice and/or data through any medium by wire, radio, other electrical electromagnetic, or optical means. Telecommunications includes all aspects of transmitting information.

Telecommunications Service Priority (TSP) Program. The NS/EP TSP Program is the regulatory, administrative, and operational program authorizing and providing for priority treatment (i.e., provisioning and restoration) of NS/EP telecommunications services. As such, it establishes the framework for NS/EP telecommunications service vendors to provide, restore, or otherwise act on a priority basis to ensure effective NS/EP telecommunications services.

Terrorism. Any activity that (1) involves an act that (a) is dangerous to human life or potentially destructive of critical infrastructure or key resources; and (b) is a violation of the criminal laws of the United States or of any State or other subdivision of the United States; and (2) appears to be intended (a) to intimidate or coerce a civilian population; (b) to influence the policy of a government by intimidation or coercion; or (c) to affect the conduct of a government by mass destruction, assassination, or kidnapping.

Threat. An indication of possible violence, harm, or danger.

Transportation Management. Transportation prioritizing, ordering, sourcing, and acquisition; time-phasing plans; fleet management; and movement coordination and tracking.

Tribe. Any Indian tribe, band, nation, or other organized group or community, including any Alaskan Native Village as defined in or established pursuant to the Alaskan Native Claims Settlement Act (85 Stat. 688) [43 U.S.C.A. and 1601 et seq.], that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

Unaffiliated Volunteer. An individual who is not formally associated with a recognized voluntary disaster relief organization; also known as a "spontaneous" or "emergent" volunteer.

Unified Command. An application of ICS used when there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the Unified Command to establish their designated Incident Commanders at a single ICP and to establish a common set of objectives and strategies and a single Incident Action Plan. (See page 10 for discussion on DOD forces.)

United States. The term "United States," when used in a geographic sense, means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, any possession of the United States, and any waters within the jurisdiction of the United States. (As defined in section 2(16) of the Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135, et seq. (2002).)

Unsolicited Goods. Donated items offered by and/or sent to the incident area by the public, the private sector, or other source, that have not been requested by government or nonprofit disaster relief coordinators.

Urban Search and Rescue. Operational activities that include locating, extricating, and providing on-site medical treatment to victims trapped in collapsed structures.

Volunteer. Any individual accepted to perform services by an agency that has authority to accept volunteer services when the individual performs services without promise, expectation, or receipt of compensation for services performed. (See, for example, 16 U.S.C. § 742f(c) and 29 CFR § 553.101.)

Volunteer and Donations Coordination Center. Facility from which the Volunteer and Donations Coordination Team operates. It is best situated in or close by the State EOC for coordination purposes. Requirements may include space for a phone bank,

meeting space, and space for a team of specialists to review and process offers.

Weapon of Mass Destruction (WMD). As defined in Title 18, U.S.C. § 2332a: (1) any explosive, incendiary, or poison gas, bomb, grenade, rocket having a propellant charge of more than 4 ounces, or missile having an explosive or incendiary charge of more than one-quarter ounce, or mine or similar device; (2) any weapon that is designed or intended to cause death or serious bodily injury through the release, dissemination, or impact of toxic or poisonous chemicals or their precursors; (3) any weapon involving a disease organism; or (4) any weapon that is designed to release radiation or radioactivity at a level dangerous to human life.

Wireless Priority Service (WPS). WPS allows authorized NS/EP personnel to gain priority access to the next available wireless radio channel to initiate calls during an emergency when carrier channels may be congested.

Appendix 2

List of Acronyms

APHIS	Animal and Plant Health Inspection Service
CBO	Community-Based Organization
CDRG	Catastrophic Disaster Response Group
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CERT	Community Emergency Response Team
CFO	Chief Financial Officer
CI/KR	Critical Infrastructure/Key Resources
CMC	Crisis Management Coordinator
CNMI	Commonwealth of the Northern Mariana Islands
CONPLAN	U.S. Government Interagency Domestic Terrorism Concept of Operations Plan
CSG	Counterterrorism Security Group
DCE	Defense Coordinating Element
DCO	Defense Coordinating Officer
DEST	Domestic Emergency Support Team
DFO	Disaster Field Office
DHS	Department of Homeland Security
DMAT	Disaster Medical Assistance Team
DMORT	Disaster Mortuary Operational Response Team
DOC	Department of Commerce
DOD	Department of Defense
DOE	Department of Energy
DOI	Department of the Interior
DOJ	Department of Justice
DOL	Department of Labor
DOS	Department of State
DOT	Department of Transportation
DPA	Defense Production Act
DRC	Disaster Recovery Center
DRM	Disaster Recovery Manager
DSCA	Defense Support of Civil Authorities
DTRIM	Domestic Threat Reduction and Incident Management
EAS	Emergency Assistance Personnel or Emergency Alert System
EOC	Emergency Operations Center
EPA	Environmental Protection Agency
EPCRA	Emergency Planning and Community Right-to-Know Act
EPLO	Emergency Preparedness Liaison Officer
EPR	Emergency Preparedness and Response
ERL	Environmental Research Laboratories
ERT	Environmental Response Team (EPA)
ERT-A	Emergency Response Team—Advance Element
ERT-N	National Emergency Response Team
ESF	Emergency Support Function
ESFLG	Emergency Support Function Leaders Group
EST	Emergency Support Team
FAS	Freely Associated States
FBI	Federal Bureau of Investigation
FCO	Federal Coordinating Officer
FEMA	Federal Emergency Management Agency
FIRST	Federal Incident Response Support Team
FMC	Federal Mobilization Center
FNS	Food and Nutrition Service
FOC	FEMA Operations Center
FOG	Field Operations Guide
FRC	Federal Resource Coordinator
FRERP	Federal Radiological Emergency Response Plan
FRP	Federal Response Plan

GAR	Governor's Authorized Representative
GIS	Geographical Information System
GSA	General Services Administration
HHS	Department of Health and Human Services
HQ	Headquarters
HSAS	Homeland Security Advisory System
HSC	Homeland Security Council
HSOC	Homeland Security Operations Center
HSPD	Homeland Security Presidential Directive
IAIP	Information Analysis and Infrastructure Protection
IC	Incident Command
ICP	Incident Command Post
ICS	Incident Command System
IIMG	Interagency Incident Management Group
IMT	Incident Management Team
INRP	Initial National Response Plan
IOF	Interim Operating Facility
ISAO	Information-Sharing and Analysis Organization
JFO	Joint Field Office
JIC	Joint Information Center
JIS	Joint Information System
JOC	Joint Operations Center
JTF	Joint Task Force
JTTF	Joint Terrorism Task Force
MAC Entity	Multiagency Coordinating Entity
MACC	Multiagency Command Center
MERS	Mobile Emergency Response Support
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NAHERC	National Animal Health Emergency Response Corps
NASA	National Aeronautics and Space Administration
NAWAS	National Warning System
NCP	National Oil and Hazardous Substances Pollution Contingency Plan
NCR	National Capital Region
NCS	National Communications System
NCTC	National Counterterrorism Center
NDMS	National Disaster Medical System
NEP	National Exercise Program
NGO	Nongovernmental Organization
NICC	National Infrastructure Coordinating Center
NICC	National Interagency Coordination Center
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NIRT	Nuclear Incident Response Team
NJTTF	National Joint Terrorism Task Force
NMRT	National Medical Response Team
NOAA	National Oceanic and Atmospheric Administration
NRC	Nuclear Regulatory Commission
NRCC	National Response Coordination Center
NRCS	Natural Resources Conservation Service
NRP	National Response Plan
NRT	National Response Team
NSC	National Security Council
NSP	National Search and Rescue Plan
NSSE	National Special Security Event
NVOAD	National Voluntary Organizations Active in Disaster
NWCG	National Wildland Coordinating Group
OIA	Office of the Assistant Secretary for Information Analysis
OSC	On-Scene Coordinator

OSHA	Occupational Safety and Health Administration
OSLGCP	Office of State and Local Government Coordination and Preparedness
PCC	Policy Coordination Committee
PDA	Preliminary Damage Assessment
PDD	Presidential Decision Directive
PFO	Principal Federal Official
POC	Point of Contact
RA	Reimbursable Agreement
RAMP	Remedial Action Management Program
RCP	Regional Contingency Plan
RCRA	Resource Conservation and Recovery Act
REPLO	Regional Emergency Preparedness Liaison Officer
RFI	Request for Information
RISC	Regional Interagency Steering Committee
RRCC	Regional Response Coordination Center
RRT	Regional Response Team
ROC	Regional Operations Center
SAC	Special Agent-in-Charge
SAR	Search and Rescue
SCC	Secretary's Command Center (HHS)
SCO	State Coordinating Officer
SFLEO	Senior Federal Law Enforcement Official
SFO	Senior Federal Official
SIOC	Strategic Information and Operations Center
SOG	Standard Operating Guideline
SOP	Standard Operating Procedure
START	Scientific and Technical Advisory and Response Team
TSA	Transportation Security Administration
TSC	Terrorist Screening Center
US&R	Urban Search and Rescue
USACE	U.S. Army Corps of Engineers
USCG	U.S. Coast Guard
USDA	U.S. Department of Agriculture
USSS	U.S. Secret Service
VMAT	Veterinarian Medical Assistance Team
WAWAS	Washington Area Warning System
WMD	Weapons of Mass Destruction

Appendix 3

Authorities and References

The principal authorities that guide the structure, development, and implementation of the NRP are statutes, Executive orders, and Presidential directives. Congress has provided the broad statutory authority necessary for the NRP, and the President has issued Executive orders and Presidential directives to supply authority and policy direction to departments and agencies of the Executive Branch. Among the major statutes, orders, and directives relevant to the NRP are those summarized below.

A. Statutes and Regulations

1. The **Homeland Security Act of 2002,** Pub. Law 107-296, 116 Stat. 2135 (2002) (codified predominantly at 6 U.S.C. §§ 101-557 and in other scattered sections of the U.S.C.), established the Department of Homeland Security with the mandate and legal authority to protect the American people from the continuing threat of terrorism. In the act, Congress assigned DHS the primary missions to:
   - Prevent terrorist attacks within the United States;
   - Reduce the vulnerability of the United States to terrorism at home;
   - Minimize the damage and assist in the recovery from terrorist attacks that occur; and
   - Act as the focal point regarding natural and manmade crises and emergency planning.

   The Homeland Security Act gives the Secretary of Homeland Security full authority and control over the Department and the duties and activities performed by its personnel, and it vests the Secretary with the broad authority necessary to fulfill the Department's statutory mission to protect the American homeland. This statutory authority, combined with the President's direction in HSPD-5, supports the NRP's unified, effective approach to domestic prevention, preparedness, response, and recovery activities.

   Responsibilities in the Homeland Security Act of particular relevance to the development and execution of the NRP include the following:

   a. Preparedness of the United States for acts of terrorism. Executed through the DHS OSLGCP, this responsibility includes coordinating preparedness efforts at the Federal level, and working with State, local, tribal, parish, and private-sector emergency response providers on matters pertaining to combating terrorism.

   b. Response to terrorist attacks, major disasters, and other emergencies. Executed through the Directorate of Emergency Preparedness and Response, this responsibility includes:
      - Consolidating existing Federal emergency response plans into a single, coordinated national response plan;
      - Building a comprehensive national incident management system to respond to such attacks and disasters;
      - Ensuring the effectiveness of emergency response providers to terrorist attacks, major disasters, and other emergencies;
      - Providing the Federal Government's response to terrorist attacks, major disasters, and emergencies, including managing such response; and
      - Coordinating Federal response resources in the event of a terrorist attack, major disaster, or emergency.

   c. Coordination of homeland security programs with State and local government personnel, agencies, and authorities and with the private sector. Executed through the DHS OSLGCP and the Private Sector Office, this responsibility includes:
      - Coordinating to ensure adequate planning, training, and exercise activities;
      - Coordinating and consolidating appropriate Federal Government communications and systems of communications; and
      - Distributing or coordinating the distribution of warnings and information.

   d. Risk analysis and risk management. DHS/IAIP has primary authority for threat and event risk analysis and risk management within DHS, although other DHS organizations—such as the U.S. Secret Service, the OSLGCP, and the Border and Transportation Security Directorate—also engage in risk management. DHS/IAIP responsibilities include:

- Analyzing and integrating information from all available sources to identify, assess, detect, and understand terrorist threats against the United States;
- Carrying out comprehensive assessments of the vulnerabilities of the key resources and critical infrastructure, including risk assessments to determine the risks posed by particular types of terrorist attacks within the United States;
- Identifying priorities for and recommending protective and support measures for such infrastructure by all concerned;
- Developing a comprehensive national plan (the National Infrastructure Protection Plan (NIPP)) for securing critical infrastructure and key resources, such as telecommunications and power; and
- Conducting risk assessments and vulnerability assessments after other agencies have conducted those studies and ranked top items based on those studies.

e. Preventing the entry of terrorists and the instruments of terrorism into the United States. Executed through the Border and Transportation Security Directorate, this responsibility includes:
   - Securing the borders, territorial waters, ports, terminals, waterways, and air, land, and sea transportation systems of the United States; and
   - Carrying out immigration enforcement functions.

2. The **Robert T. Stafford Disaster Relief and Emergency Assistance Act,** 93 Pub. L. No. 288, 88 Stat. 143 (1974) (codified as amended at 42 U.S.C. §§ 5121-5206, and scattered sections of 12 U.S.C., 16 U.S.C., 20 U.S.C., 26 U.S.C., 38 U.S.C. (2002)), establishes the programs and processes for the Federal Government to provide disaster and emergency assistance to States, local governments, tribal nations, individuals, and qualified private nonprofit organizations. The provisions of the Stafford Act cover all hazards including natural disasters and terrorist events. Relevant provisions of the Stafford Act include a process for Governors to request Federal disaster and emergency assistance from the President. The President may declare a major disaster or emergency:
   - If an event is beyond the combined response capabilities of the State and affected local governments; and
   - If, based on the findings of a joint Federal-State-local PDA, the damages are of sufficient severity and magnitude to warrant assistance under the act. (Note: In a particularly fast-moving or clearly devastating disaster, DHS/EPR/FEMA may defer the PDA process until after the declaration.)

a. If an emergency involves a subject area for which the Federal Government exercises exclusive or preeminent responsibility and authority, the President may unilaterally direct the provision of emergency assistance under the Stafford Act. The Governor of the affected State will be consulted if practicable.

b. DHS/EPR/FEMA can pre-deploy personnel and equipment in advance of an imminent Stafford Act declaration to reduce immediate threats to life, property, and public health and safety, and to improve the timeliness of disaster response.

c. During the immediate aftermath of an incident which may ultimately qualify for assistance under the Stafford Act, the Governor of the State in which such incident occurred may request the President to direct the Secretary of Defense to utilize the resources of the DOD for the purpose of performing on public and private lands any emergency work that is made necessary by such incident and that is essential for the preservation of life and property. If the President determines that such work is essential for the preservation of life and property, the President shall grant such request to the extent the President determines practical. Such emergency work may only be carried out for a period not to exceed 10 days.

d. The Stafford Act directs appointment of an FCO by the President. The FCO is designated by the DHS Under Secretary for Emergency Preparedness and Response to coordinate the delivery of Federal assistance to the affected State, local, and tribal governments and disaster victims.

e. Federal agencies must avoid duplicating resources and benefits for disaster victims. Disaster victims are responsible for repayment of Federal assistance duplicated by private insurance, or other Federal programs, or when they have been otherwise compensated for their disaster-related losses.

f. All authorities under the Stafford Act granted to the Secretary of Homeland Security in the Homeland Security Act have been redelegated to the Under Secretary of EPR through Delegation No. 9001.

3. The **Public Health Security and Bioterrorism Preparedness and Response Act of 2002,** Pub. L. No. 107-188, 116 Stat. 294 (2002) (codified in scattered sections of 7 U.S.C., 18 U.S.C., 21 U.S.C., 29 U.S.C., 38 U.S.C., 42 U.S.C., and 47 U.S.C. (2002)), is designed to improve the ability of the United States to prevent, prepare for, and respond to bioterrorism and other public health emergencies. Key provisions of the act, 42 U.S.C. § 247d and § 300hh among others, address the development of a national preparedness plan by HHS designed to provide effective assistance to State and local governments in the event of bioterrorism or other public health emergencies; operation of the National Disaster Medical System to mobilize and address public health emergencies; grant programs for the education and training of public health professionals and improving State, local, and hospital preparedness for and response to bioterrorism and other public health emergencies; streamlining and clarifying communicable disease quarantine provisions; enhancing controls on dangerous biological agents and toxins; and protecting the safety and security of food and drug supplies.

4. The **Defense Production Act of 1950,** 64 Stat. 798 (1950) (codified as amended by the **Defense Production Act Reauthorization of 2003,** Pub. L. 108-195, 117 Stat. 2892 (2003) at 50 U.S.C. app. §§ 2061-2170 (2002)), is the primary authority to ensure the timely availability of resources for national defense and civil emergency preparedness and response. Among other things, the DPA authorizes the President to demand that companies accept and give priority to government contracts that the President "deems necessary or appropriate to promote the national defense." The DPA defines "national defense" to include critical infrastructure protection and restoration, as well as activities authorized by the emergency preparedness sections of the Stafford Act. Consequently, DPA authorities are available for activities and measures undertaken in preparation for, during, or following a natural disaster or accidental or man-caused event. The Department of Commerce has redelegated DPA authority under Executive Order 12919, National Defense Industrial Resource Preparedness, June 7, 1994, as amended, to the Secretary of Homeland Security to place and, upon application, to authorize State and local governments to place priority-rated contracts in support of Federal, State, and local emergency preparedness activities.

5. The **Economy Act,** 31 U.S.C. §§ 1535-1536 (2002), authorizes Federal agencies to provide goods or services on a reimbursable basis to other Federal agencies when more specific statutory authority to do so does not exist.

6. The**Posse Comitatus Act,** 18 U.S.C. § 1385 (2002), prohibits the use of the Army or the Air Force for law enforcement purposes, except as otherwise authorized by the Constitution or statute. This prohibition applies to Navy and Marine Corps personnel as a matter of DOD policy. The primary prohibition of the Posse Comitatus Act is against direct involvement by active duty military personnel (to include Reservists on active duty and National Guard personnel in Federal service) in traditional law enforcement activities (to include interdiction of vehicle, vessel, aircraft, or other similar activity; directing traffic; search or seizure; an arrest, apprehension, stop and frisk, or similar activity). **(Note exception under the Insurrection Statutes.)** Exceptions to the Posse Comitatus Act are found in 10 U.S.C. §§ 331-335 (2002) and other statutes.

7. The **National Emergencies Act,** 50 U.S.C. §§ 1601-1651 (2003), establishes procedures for Presidential declaration and termination of national emergencies. The act requires the President to identify the specific provision of law under which he or she will act in dealing with a declared national emergency and contains a sunset provision requiring the President to renew a declaration of national emergency to prevent its automatic expiration. The Presidential declaration of a national emergency under the act is a prerequisite to exercising any special or extraordinary powers authorized by statute for use in the event of national emergency.

8. The **Comprehensive Environmental Response, Compensation, and Liability Act,** 42 U.S.C. §§ 9601-9675 (2002), and the **Federal Water Pollution Control Act (Clean Water Act),** 33 U.S.C.

§§ 1251-1387 (2002), established broad Federal authority to respond to releases or threats of releases of hazardous substances and pollutants or contaminants that may present an imminent and substantial danger to public health or welfare and to discharges of oil. **The National Oil and Hazardous Substances Pollution Contingency Plan,** 40 CFR Part 300 (2003), was developed to ensure coordinated and integrated response by departments and agencies of the Federal Government to prevent, minimize, or mitigate a threat to public health or welfare posed by discharges of oil and releases of hazardous substances, pollutants, and contaminants.

9. The **Cooperative Forestry Assistance Act of 1978,** 16 U.S.C. §§ 2101-2114 (2002), authorizes the Secretary of Agriculture to assist in the prevention and control of rural fires, and to provide prompt assistance whenever a rural fire emergency overwhelms, or threatens to overwhelm, the firefighting capabilities of the affected State or rural area.

10. The **Communications Act of 1934,** 47 U.S.C. §§ 151-615b (2002), provides the authority to grant special temporary authority on an expedited basis to operate radio frequency devices. It would serve as the basis for obtaining a temporary permit to establish a radio station to be run by a Federal agency and broadcast public service announcements during the immediate aftermath of an emergency or major disaster. 47 U.S.C. § 606 (2002) provides the authority for the NCS to engage in emergency response, restoration, and recovery of the telecommunications infrastructure.

11. The **Insurrection Act,** 10 U.S.C. §§ 331-335 (2002). Recognizing that the primary responsibility for protecting life and property and maintaining law and order in the civilian community is vested in State and local governments, the Insurrection Statutes authorize the President to direct the armed forces to enforce the law to suppress insurrections and domestic violence. Military forces may be used to restore order, prevent looting, and engage in other law enforcement activities.

12. The **Defense Against Weapons of Mass Destruction Act,** 50 U.S.C. §§ 2301-2368 (2003), is intended to enhance the capability of the Federal Government to prevent and respond to terrorist incidents involving WMD. Congress has directed that DOD provide certain expert advice to Federal, State, and local agencies with regard to WMD, to include domestic terrorism rapid response teams, training in emergency response to the use or threat of use of WMD, and a program of testing and improving the response of civil agencies to biological and chemical emergencies.

13. **Emergencies Involving Chemical or Biological Weapons.** Pursuant to 10 U.S.C. § 382 (2002), in response to an emergency involving biological or chemical WMD that is beyond the capabilities of civilian authorities to handle, the Attorney General may request DOD assistance directly. Assistance that may be provided includes identifying, monitoring, containing, disabling, and disposing of the weapon. Direct law enforcement assistance—such as conducting an arrest, searching or seizing evidence of criminal violations, or direct participation in the collection of intelligence for law enforcement purposes—is not authorized unless such assistance is necessary for the immediate protection of human life and civilian law enforcement officials are not capable of taking the action, and the action is otherwise authorized.

14. **Emergencies Involving Nuclear Materials.** In emergencies involving nuclear materials, 18 U.S.C. § 831(e)(2002) authorizes the Attorney General to request DOD law enforcement assistance—including the authority to arrest and conduct searches, without violating the Posse Comitatus Act—when both the Attorney General and Secretary of Defense agree that an "emergency situation" exists and the Secretary of Defense determines that the requested assistance will not impede military readiness. An emergency situation is defined as a circumstance that poses a serious threat to the United States in which (1) enforcement of the law would be seriously impaired if the assistance were not provided, and (2) civilian law enforcement personnel are not capable of enforcing the law. In addition, the statute authorizes DOD personnel to engage in "such other activity as is incident to the enforcement of this section, or to the protection of persons or property from conduct that violates this section."

15. **Volunteer Services.** There are statutory exceptions to the general statutory prohibition against accepting voluntary services under 31 U.S.C. § 1342 (2002)

that can be used to accept the assistance of volunteer workers. Such services may be accepted in "emergencies involving the safety of human life or the protection of property." Additionally, provisions of the Stafford Act, 42 U.S.C. §§ 5152(a), 5170a(2) (2002), authorize the President to, with their consent, use the personnel of private disaster relief organizations and to coordinate their activities.

Under the Congressional Charter of 1905, 36 U.S.C. §§ 300101-300111 (2002), the American Red Cross and its chapters are a single national corporation. The Charter mandates that the American Red Cross maintain a system of domestic and international disaster relief. The American Red Cross qualifies as a nonprofit organization under section 501(c)(3) of the Internal Revenue code.

16. The **Public Health Service Act,** 42 U.S.C. §§ 201 et seq. Among other things, this act provides that the Secretary of HHS may declare a public health emergency under certain circumstances (see 42 U.S.C. § 247d), and that the Secretary is authorized to develop and take such action as may be necessary to implement a plan under which the personnel, equipment, medical supplies, and other resources of the Department may be effectively used to control epidemics of any disease or condition and to meet other health emergencies and problems. (See 42 U.S.C. § 243.) The Public Health Service Act authorizes the Secretary to declare a public health emergency (42 U.S.C. 247d) and to prepare for and respond to public health emergencies (42 U.S.C. 300hh). The Secretary is further empowered to extend temporary assistance to States or localities to meet health emergencies. During an emergency proclaimed by the President, the President has broad authority to direct the services of the Public Health Service (42 U.S.C. § 217). Under that section, the President is authorized to "utilize the [Public Health] Service to such extent and in such manner as shall in his judgment promote the public interest." Additionally, under 42 U.S.C. § 264, the Secretary is authorized to make and enforce quarantine regulations "necessary to prevent the introduction, transmission, or spread of communicable diseases" from foreign countries into the States or possessions, or from one State or possession to another. The diseases for which a person may be subject to quarantine must be specified by the President through an Executive order.

17. The **Veterans Affairs Emergency Preparedness Act of 2002,** Pub. L. No. 107-287, 116 Stat. 2024 (2002) (amending and codifying various sections of 38 U.S.C.). 38 U.S.C. § 1785 (2003), if funded, directs the VA and DOD to develop training programs for current health-care personnel and those emergency/medical personnel in training in the containment of nuclear, biological, and chemical attacks and treatment of casualties. It authorizes the Secretary of Veterans Affairs to furnish hospital care and medical services to individuals responding to, involved in, or otherwise affected by a disaster or emergency during and immediately following a disaster or emergency declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, or a disaster or emergency in which the NDMS is activated.

18. The **Atomic Energy Act of 1954,** 42 U.S.C. §§ 2011-2297 (2003), and the **Energy Reorganization Act of 1974,** 5 U.S.C. §§ 5313-5316, 42 U.S.C. §§ 5801-5891 (2002), provide the statutory authority for both the DOE and the NRC, and the foundation for NRC regulation of the Nation's civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of public health and safety, to promote the common defense and security, and to protect the environment.

19. The **Price-Anderson Amendments Act of 1988,** Pub. L. No. 100-408, 102 Stat. 1066 (1988) (amending the Atomic Energy Act of 1954 and codified at 42 U.S.C. §§ 2014, 2210, 2273, 2282a (2003)), provides for indemnification of governments and individuals affected by nuclear incidents.

20. **Furnishing of Health-Care Services to Members of the Armed Forces during a War or National Emergency,** 38 U.S.C. § 8111A (2002). During and immediately following a period of war, or a period of national emergency declared by the President or the Congress that involves the use of the Armed Forces in armed conflict, the Secretary of Veterans Affairs may furnish hospital care, nursing home care, and medical services to members of the Armed Forces on active duty. The Secretary may give a higher priority to the furnishing of care and services to active duty Armed Forces than others in medical facilities for the Department with the exception of veterans with service-connected disabilities.

21. The **Resource Conservation and Recovery Act of 1976,** 42 U.S.C. §§ 6901-6986 (2002), which was passed as an amendment of the Solid Waste Disposal Act of 1965, Pub. L. 89-272, 79 Stat. 997 (1965), gave the EPA the authority to control hazardous waste from "cradle to grave." This includes the generation, transportation, treatment, storage, and disposal of hazardous waste. RCRA also set forth a framework for the management of nonhazardous wastes.

22. The **Occupational Safety and Health Act,** 29 U.S.C. §§ 651-678 (2002), among other things, assures safe and healthful working conditions for working men and women by authorizing enforcement of the standards developed under the act; by assisting and encouraging the States in their efforts to assure safe and healthful working conditions; and by providing for research, information, education, and training in the field of occupational safety and health.

23. The **Maritime Transportation Security Act,** Pub. L. No. 107-295, 116 Stat. 2064 (2002) (codified at 46 U.S.C. §§ 70102-70117 and scattered sections of the U.S.C.), requires sectors of the maritime industry to implement measures designed to protect America's ports and waterways from a terrorist attack.

24. **Flood Control and Coastal Emergencies,** 33 U.S.C. § 701n (2002) (commonly referred to as Public Law 84-99), authorizes the USACE an emergency fund for preparation for emergency response to natural disasters, flood fighting and rescue operations, rehabilitation of flood control and hurricane protection structures, temporary restoration of essential public facilities and services, advance protective measures, and provision of emergency supplies of water. The USACE receives funding for such activities under this authority from the Energy and Water Development Appropriation.

25. The **Oil Pollution Act of 1990,** Pub. L. No. 101-380, 104 Stat. 484 (1990) (codified as amended at 33 U.S.C. §§ 1203, 1223, 1321, 2701-2761 and various other sections of the U.S.C. (2002)), improves the Nation's ability to prevent and respond to oil spills by establishing provisions that expand the Federal Government's ability and provides the money and personnel necessary to respond to oil spills. The act also created the national Oil Spill Liability Trust Fund.

26. The **Clean Air Act,** 42 U.S.C. §§ 7401-7671q (2002) and 40 CFR § 80.73 (2003). The EPA may temporarily permit a refiner, importer, or blender to distribute nonconforming gasoline in appropriate extreme or unusual circumstances (e.g., an Act of God) that could not have been avoided. EPA may seek DOE's advice on fuel supply situations when deciding whether to grant a request to distribute nonconforming gasoline.

27. The **Public Utilities Regulatory Policies Act of 1978,** Pub. L. No. 95-617, 92 Stat. 3117 (1978) (codified at scattered sections of 15 U.S.C., 16 U.S.C., 30 U.S.C., 42 U.S.C., 43 U.S.C. (2002)), and the **Powerplant and Industrial Fuel Use Act of 1978,** Pub. L. No. 95-620, 92 Stat. 3289 (1978) (codified as amended at 42 U.S.C. §§ 8301-8484 (2002)). The President has authority to prohibit any powerplant or major fuel-burning installation from using natural gas or petroleum as a primary fuel during an emergency.

28. The **Federal Power Act,** 16 U.S.C. §§ 791a-828c, 824a(c) (2002), 10 CFR § 205.370 (2003). The Secretary of Energy has authority in an emergency to order temporary interconnections of facilities and/or the generation and delivery of electric power.

29. The **Department of Energy Organization Act,** Pub. L. No. 95-91, 91 Stat. 567 (1977) (codified predominantly at 42 U.S.C. §§ 7101-7385o (2002)), and the **Federal Power Act,** 16 U.S.C. §§ 791a-828c (2002), 10 CFR §§ 205.350, 205.353 (2003). DOE has authority to obtain current information regarding emergency situations on the electric supply systems in the United States.

30. The **Department of Energy Organization Act,** Pub. L. No. 95-91, 91 Stat. 567 (1977) (codified predominantly at 42 U.S.C. §§ 7101-7385o (2002)), 10 CFR §§ 205.350, 205.353 (2003), and the **Federal Energy Administration Act of 1974,** 15 U.S.C. §§ 761-790h (2002). DOE and the National Association of State Energy Officials (NASEO) have agreed that DOE will develop, maintain, and distribute a contact list of State and Federal individuals responsible for energy market assessment and energy emergency responses, and that the States will participate in the effort by providing timely assessments of energy markets to DOE and other States in the event of an energy supply disruption.

31. The **Energy Policy and Conservation Act,** 42 U.S.C. §§ 6201-6422 (2002), as amended by the **Energy Policy Act of 1992,** Pub. L. No. 102-486, 106 Stat. 2776 (1992) (as amended and codified in scattered sections of the U.S.C.). The President may, in an emergency, order Federal buildings to close and/or conserve energy.

32. **Transportation of Hazardous Material,** 49 U.S.C. §§ 5101-5127 (2002). Improves the regulatory and enforcement authority of the Secretary of Transportation to provide adequate protection against the risks to life and property inherent in the transportation of hazardous material in commerce.

33. The **Ports and Waterways Safety Act of 1978,** Pub. L. No. 95-474, 92 Stat. 1471 (1978) (amending Pub. L. No. 92-340 and codified at 33 U.S.C. §§ 1222-1232 and 46 U.S.C. §§ 214, 391a (2002)). The Secretary of Homeland Security has authority to establish vessel traffic systems for ports, harbors, and other navigable waterways, and to control vessel traffic in areas determined to be hazardous (e.g., due to vessel congestion). In such emergency situations, DOE may be asked to advise the U.S. Coast Guard on "priority" vessel movements to expedite delivery of needed energy supplies.

34. The **Energy Policy and Conservation Act,** 42 U.S.C. §§ 6231-6247 (2002). DOE is authorized to create and maintain a Strategic Petroleum Reserve (SPR) and the President is authorized to order a drawdown of the Reserve in emergency circumstances defined in the act.

35. The **Energy Policy and Conservation Act,** 42 U.S.C. §§ 6250c (2002). DOE is authorized to create and maintain a Northeast Home Heating Oil Reserve and the President is authorized to order a drawdown of the reserve in emergency circumstances defined in the act.

36. The **Natural Gas Policy Act of 1978,** 15 U.S.C. §§ 3301-3432 (2002). DOE can order any interstate pipeline or local distribution company served by an interstate pipeline to allocate natural gas in order to assist in meeting the needs of high-priority consumers during a natural gas emergency.

37. The **Powerplant and Industrial Fuel Use Act of 1978,** 42 U.S.C. §§ 8301-8484 (2002). The President has authority to allocate coal (and require the transportation of coal) for the use of any powerplant or major fuel-burning installation during an energy emergency.

38. The **Low Income Home Energy Assistance Act of 1981,** 42 U.S.C. §§ 8621-8629 (2002). HHS has discretionary funds available for distribution under the Low Income Home Energy Assistance Program (LIHEAP), according to the criteria that relate to the type of emergency that precipitates their need. DOE may advise HHS on the fuel supply situation for such emergency funding.

39. The **Small Business Act,** 15 U.S.C. §§ 631-651e (2002). The mission of the Small Business Administration is to maintain and strengthen the Nation's economy by aiding, counseling, assisting, and protecting the interests of small businesses and by helping families and businesses recover from incidents such as major disasters, emergencies, and catastrophes.

40. The **Immigration Emergency Fund (IEF)** was created by section 404(b)(1) of the Immigration and Nationality Act. The IEF can be drawn upon to increase INS's enforcement activities, and to reimburse States and localities in providing assistance as requested by the Secretary of the DHS in meeting an immigration emergency declared by the President.

41. The **Animal Health Protection Act of 2002,** 7 U.S.C. 8310, consolidates all of the animal quarantine and related laws and replaces them with one flexible statutory framework. This act allows APHIS Veterinary Services to act swiftly and decisively to protect U.S. animal health from a foreign pest or disease.

42. **28 CFR § 0.85** designates the FBI as the agency with primary responsibility for investigating all crimes for which it has primary or concurrent jurisdiction and which involve terrorist activities or acts in preparation of terrorist activities within the statutory jurisdiction of the United States. This would include the collection, coordination, analysis, management, and dissemination of intelligence and criminal information as appropriate.

B. Executive Orders

1. **Executive Order 12148,** 44 Fed. Reg. 43239 (1979), as amended by Exec. Order 13286, 68 Fed. Reg. 10619 (2003), designates DHS as the primary agency for coordination of Federal disaster relief, emergency assistance, and emergency preparedness. The order also delegates the President's relief and assistance functions under the Stafford Act to the Secretary of Homeland Security, with the exception of the declaration of a major disaster or emergency.

2. **Executive Order 12656,** 53 Fed. Reg. 47491 (1988), Assignment of Emergency Preparedness Responsibilities, as amended by Exec. Order 13286, 68 Fed. Reg. 10619 (2003), assigns lead and support responsibilities to each of the Federal agencies for national security emergency preparedness. The amendment designates DHS as the principal agency for coordinating programs and plans among all Federal departments and agencies.

3. **Executive Order 13354,** 69 Fed. Reg. 53589 (2004), National Counterterrorism Center, establishes policy to enhance the interchange of terrorism information among agencies and creates the National Counterterrorism Center to serve as the primary Federal organization in the U.S. Government for analyzing and integrating all intelligence information posed by the United States pertaining to terrorism and counterterrorism.

4. **Executive Order 13356,** 69 Fed. Reg. 53599 (2004), Strengthening the Sharing of Terrorism Information to Protect Americans, requires the Director of Central Intelligence, in consultation with the Attorney General and the other intelligence agency heads, to develop common standards for the sharing of terrorism information by agencies within the Intelligence Community with 1) other agencies within the Intelligence Community, 2) other agencies having counterterrorism functions, and 3) through or in coordination with the Department of Homeland Security, appropriate authorities of State and local governments.

5. **Executive Order 12580,** 52 Fed. Reg. 2923 (1987), Superfund Implementation, as amended by numerous Executive orders, delegates to a number of Federal departments and agencies the authority and responsibility to implement certain provisions of CERCLA. The policy and procedures for implementing these provisions are spelled out in the NCP and are overseen by the NRT.

6. **Executive Order 12382,** 47 Fed. Reg. 40531 (1982), as amended by numerous Executive orders, President's National Security Telecommunications Advisory Committee (NSTAC). This order provides the President with technical information and advice on national security telecommunications policy. Up to 30 members from the telecommunications and information technology industries may hold seats on the NSTAC.

7. **Executive Order 12472,** 49 Fed. Reg. 13471 (1984), Assignment of National Security and Emergency Preparedness Telecommunications Functions, as amended by Exec. Order 13286, 68 Fed. Reg. 10619 (2003). This order consolidated several directives covering NSEP telecommunications into a comprehensive document explaining the assignment of responsibilities to Federal agencies for coordinating the planning and provision of NSEP telecommunications. The fundamental NSEP objective is to ensure that the Federal Government has telecommunications services that will function under all conditions, including emergency situations.

8. **Executive Order 12742,** 56 Fed. Reg. 1079 (1991), National Security Industrial Responsiveness, as amended by Exec. Order 13286, 68 Fed. Reg. 10619 (2003). This order states that the United States must have the capability to rapidly mobilize its resources in the interest of national security. Therefore, to achieve prompt delivery of articles, products, and materials to meet national security requirements, the Government may place orders and require priority performance of these orders.

9. **Executive Order 13284,** 68 Fed. Reg. 4075 (2003), Amendment of Executive Orders, and Other Actions, in Connection With the Establishment of the Department of Homeland Security. This order amended previous Executive orders in order to make provisions for the establishment of DHS.

10. **Executive Order 13286,** 68 Fed. Reg. 10619 (2003), Amendment of Executive Orders, and Other Actions, in Connection With the Transfer of Certain Functions to the Secretary of Homeland Security. This order reflects the transfer of certain functions

to, and other responsibilities vested in, the Secretary of Homeland Security, as well as the transfer of certain agencies and agency components to DHS, and the delegation of appropriate responsibilities to the Secretary of Homeland Security.

11. **Executive Order 12333,** 46 Fed. Reg. 59941 (1981), United States Intelligence Activities, designates DOE as part of the Intelligence Community. It further defines counterintelligence as information gathered and activities conducted to protect against espionage, sabotage, or assassinations conducted for or on behalf of foreign powers, organizations or persons, or international terrorist activities. This order specifically excludes personnel, physical, document, or communications security programs from the definition of counterintelligence.

12. **Executive Order 12919,** 59 Fed. Reg. 29625 (1994), National Defense Industrial Resources Preparedness, as amended by Exec. Order 13286, 68 Fed. Reg. 10619 (2003). This order delegates authorities and addresses national defense industrial resource policies and programs under the Defense Production Act of 1950, as amended, except for the amendments to Title III of the act in the Energy Security Act of 1980 and telecommunication authorities under Exec. Order 12472, 49 Fed. Reg. 13471 (1984).

13. **Executive Order 12777,** 56 Fed. Reg. 54757 (1991), Implementation of Section 311 of the Federal Water Pollution Control Act of October 18, 1972, as amended, and the Oil Pollution Act of 1990, as amended by Exec. Order 13286, 68 Fed. Reg. 10619 (2003). Implemented section 311 of the FWPCA as amended by OPA 90.

14. **Executive Order 13295,** 68 Fed. Reg. 17255 (2003), Revised List of Quarantinable Communicable Diseases. Specifies certain communicable diseases for regulations providing for the apprehension, detention, or conditional release of individuals to prevent the introduction, transmission, or spread of suspected communicable diseases.

15. **Executive Order 12196,** 45 Fed. Reg. 12769 (1980), Occupational Safety and Health Programs for Federal Employees. This order sets the OSHA program guidelines for all agencies in the Executive Branch except military personnel and uniquely military equipment, systems, and operations.

C. Presidential Directives

1. **Presidential Decision Directive 39:** U.S. Policy on Counterterrorism, June 21, 1995, establishes policy to reduce the Nation's vulnerability to terrorism, deter and respond to terrorism, and strengthen capabilities to detect, prevent, defeat, and manage the consequences of terrorist use of WMD; and assigns agency responsibilities.

2. **Presidential Decision Directive 62:** Combating Terrorism, May 22, 1998, reinforces the missions of Federal departments and agencies charged with roles in defeating terrorism.

3. **Homeland Security Presidential Directive-1:** Organization and Operation of the Homeland Security Council, Oct. 29, 2001. This directive establishes policies for the creation of the HSC, which shall ensure the coordination of all homeland security-related activities among executive departments and agencies and promote the effective development and implementation of all homeland security policies.

4. **Homeland Security Presidential Directive-2:** Combating Terrorism Through Immigration Policies, Oct. 29, 2001. This directive mandates that, by November 1, 2001, the Attorney General shall create the Foreign Terrorist Tracking Task Force, with assistance from the Secretary of State, the Director of Central Intelligence, and other officers of the Government, as appropriate. The Task Force shall ensure that, to the maximum extent permitted by law, Federal agencies coordinate programs to accomplish the following: 1) deny entry into the United States of aliens associated with, suspected of being engaged in, or supporting terrorist activity; and 2) locate, detain, prosecute, or deport any such aliens already present in the United States.

5. **Homeland Security Presidential Directive-3:** Homeland Security Advisory System, Mar. 11, 2002. This directive establishes policy for the creation of a Homeland Security Advisory System, which shall provide a comprehensive and effective means to

disseminate information regarding the risk of terrorist acts to Federal, State, and local authorities and to the American people. Such a system would provide warnings in the form of a set of graduated "Threat Conditions" that would increase as the risk of the threat increases. At each Threat Condition, Federal departments and agencies would implement a corresponding set of "Protective Measures" to further reduce vulnerability or increase response capability during a period of heightened alert.

6. **Homeland Security Presidential Directive-4:** National Strategy to Combat Weapons of Mass Destruction, Dec. 2002. Sets forth the National Strategy to Combat Weapons of Mass Destruction based on three principal pillars: (1) Counterproliferation to Combat WMD Use, (2) Strengthened Nonproliferation to Combat WMD Proliferation, and (3) Consequence Management to Respond to WMD Use. The three pillars of the U.S. national strategy to combat WMD are seamless elements of a comprehensive approach. Serving to integrate the pillars are four cross-cutting enabling functions that need to be pursued on a priority basis: intelligence collection and analysis on WMD, delivery systems, and related technologies; research and development to improve our ability to address evolving threats; bilateral and multilateral cooperation; and targeted strategies against hostile states and terrorists.

7. **Homeland Security Presidential Directive-5:** Management of Domestic Incidents, February 28, 2003, is intended to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system. In HSPD-5 the President designates the Secretary of Homeland Security as the PFO for domestic incident management and empowers the Secretary to coordinate Federal resources used in response to or recovery from terrorist attacks, major disasters, or other emergencies in specific cases. The directive assigns specific responsibilities to the Attorney General, Secretary of Defense, Secretary of State, and the Assistants to the President for Homeland Security and National Security Affairs, and directs the heads of all Federal departments and agencies to provide their "full and prompt cooperation, resources, and support," as appropriate and consistent with their own responsibilities for protecting national security, to the Secretary of Homeland Security, Attorney General, Secretary of Defense, and Secretary of State in the exercise of leadership responsibilities and missions assigned in HSPD-5. The directive also notes that it does not alter, or impede the ability to carry out, the authorities of Federal departments and agencies to perform their responsibilities under law.

8. **Homeland Security Presidential Directive-6:** Integration and Use of Screening Information, Sept. 16, 2003. In order to protect against terrorism, this directive establishes the national policy to: (1) develop, integrate, and maintain thorough, accurate, and current information about individuals known or appropriately suspected to be or have been engaged in conduct constituting, in preparation for, in aid of, or related to terrorism (Terrorist Information); and (2) use that information as appropriate and to the full extent permitted by law to support (a) Federal, State, local, territorial, tribal, foreign-government, and private-sector screening processes, and (b) diplomatic, military, intelligence, law enforcement, immigration, visa, and protective processes.

9. **Homeland Security Presidential Directive-7:** Critical Infrastructure Identification, Prioritization, and Protection, Dec. 17, 2003. This directive establishes a national policy for Federal departments and agencies to identify and prioritize U.S. critical infrastructure and key resources and to protect them from terrorist attacks.

10. **Homeland Security Presidential Directive-8:** National Preparedness, Dec. 17, 2003. This directive establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments, and outlining actions to strengthen preparedness capabilities of Federal, State, and local entities.

11. **Homeland Security Presidential Directive-9:** Defense of United States Agriculture and Food, Jan. 30, 2004. This directive establishes a national policy to defend the agriculture and food system

against terrorist attacks, major disasters, and other emergencies.

12. **Homeland Security Presidential Directive-10:** Biodefense for the 21st Century, April 28, 2004. This directive provides a comprehensive framework for the Nation's biodefense and, among other things, delineates the roles and responsibilities of Federal agencies and departments in continuing their important work in this area.

13. **National Security Directive 42:** National Policy for the Security of National Security Telecommunications and Information Systems, July 5, 1990. This directive establishes initial objectives of policies, and an organizational structure to guide the conduct of activities to secure national security systems from exploitation; establishes a mechanism for policy development and dissemination; and assigns responsibilities for implementation.

Appendix 4

Compendium of National/International Interagency Plans

Plan	Description
Canada-United States Joint Inland Pollution Contingency Plan	Maintained by EPA and the Government of Canada, the Canada-United States Joint Inland Pollution Contingency Plan establishes a cooperative strategy for preparing for and responding to accidental and unauthorized releases of hazardous substances along the shared inland border. The plan is applicable to situations where a release causes or could cause damage to the environment along the border and poses a threat to public health, property, or welfare. The plan also may be activated when only one country is affected by an incident, but requires assistance from the other country. The plan is supported by five regional annexes.
Canada-United States Joint Marine Contingency Plan	Maintained by DHS/USCG and the Government of Canada, the Canada-United States Joint Marine Contingency Plan (JCP) provides for a coordinated system for planning, preparedness, and responding to harmful substance incidents in the contiguous waters of Canada and the United States. This plan is supported by five geographic annexes. The annexes supplement the JCP and provide the basic information necessary to execute an efficient and effective response in the contiguous waters.
Department of Defense Civil Disturbance Plan	Maintained by DOD, this plan provides policy and responsibilities governing the planning and response by DOD components for military assistance to Federal, State, and local government (including government of U.S. territories) and their law enforcement agencies for civil disturbances.
Federal Family Assistance Plan for Aviation Disasters	Maintained by the National Transportation Safety Board, the purpose of this plan is to coordinate Federal assistance to victims and family members after aviation disasters. The plan pertains to any domestic or foreign commercial aviation crash that occurs within the United States or its territories, possessions, and territorial seas.
Health and Medical Services Support Plan for the Federal Response to Acts of C/B Terrorism	Maintained by HHS, this plan provides a coordinated Federal response for urgent public health and medical care needs resulting from chemical or biological terrorist threats or acts in the United States. This plan serves as a supporting document to ESF #8 - Public Health and Medical Services.
Joint Contingency Plan Between the United Mexican States and the United States of America Regarding Pollution of the Marine Environment by Discharges of Hydrocarbons or Other Hazardous Substances	Maintained by DHS/USCG and the Government of Mexico, the MEXUS Plan establishes guidelines for coordinating bilateral responses to pollution incidents that occur in, or threaten, coastal waters or areas of the border zones between Mexico and the United States that could affect or threaten the marine environment of both parties. The MEXUS Plan outlines the joint response system and identifies agencies from both Mexico and the United States that will provide varying levels of support during a pollution incident.
Joint Contingency Plan of the United States of America and the Russian Federation on Combating Pollution in the Bering and Chukchi Seas	Maintained by DHS/USCG and the Russian Federation, this plan and its operational appendixes provide for coordinated and combined responses to pollution incidents in the Bering and Chukchi Seas and augments pertinent national, State, republic, regional, and local plans of the two Nations. This plan was updated and signed in March 2001.

Plan	Description
National Emergency Response to a Highly Contagious Animal Disease	Maintained by USDA/APHIS, this plan provides the procedures and structures to detect, control, and eradicate a highly contagious disease as quickly as possible to return the United States to a contamination-free status. The plan coordinates actions by Federal, State, and local officials in response to a suspected or actual foreign animal disease/emerging disease incident. Highly contagious diseases are those diseases rapidly spreading from animal to animal as well as herd to herd. Transmission can occur via direct and indirect modes; has above normal morbidity/mortality per unit time; and could be based on species or production.
National Oil and Hazardous Substances Pollution Contingency Plan	Maintained by the EPA in coordination with the NRT, the NCP provides the organizational structure and procedures for preparing for and responding to discharges of oil and releases of hazardous substances, pollutants, and contaminants. To achieve this objective, the NCP establishes the NRT, RRTs, and local Area Committees to coordinate planning and preparedness efforts. Federal OSCs coordinate response activities at the incident site. The NCP applies to oil discharges into or on the navigable waters of the United States (including adjoining shorelines and into the exclusive economic zone) and to releases into the environment of hazardous substances, and pollutants or contaminants that may present an imminent and substantial danger to public health or welfare.
National Plan for Telecommunications Support in Non-Wartime Emergencies	Maintained by the Office of Science and Technology Policy, the National Plan for Telecommunications Support in Non-Wartime Emergencies provides procedures for planning and using national telecommunications assets and resources in support of non-wartime emergencies, including those covered by the Disaster Relief Act of 1974, in Presidentially declared emergencies and major disasters, extraordinary situations, and other emergencies.
National Search and Rescue Plan	The National Search and Rescue Plan (NSP) is maintained by the National Search and Rescue Commission. The NSP provides an overall plan for the interagency coordination of civil search and rescue (SAR) operations to help the United States satisfy its humanitarian, national, and international SAR-related obligations. The plan assigns coordination and response responsibilities to DHS/USCG for aeronautical and maritime SAR within oceanic SAR regions for which the United States has primary responsibility. This plan covers maritime, aeronautical, and land civil SAR operations; delivery of survivors to a place of safety; and the saving of property when it can be done in conjunction with the saving of lives. The NSP is solely intended to provide internal guidance to all signatory Federal agencies. The plan is not intended to conflict with SAR responsibilities in international instruments to which the United States is or may become a party.
U.S. Department of Health and Human Services Concept of Operations Plan (CONOPS) for Public Health and Medical Emergencies	Maintained by HHS, this plan establishes a framework for the management of public health and medical emergencies and events that require assistance from HHS. This plan covers all events and activities (e.g., preparedness, response, recovery, etc.) deemed by the Secretary of HHS, or his/her designee, to require a coordinated Departmental response. HHS has primary responsibility for public health and medical emergency planning, preparations, response, and recovery in which one or more of the following apply: local, State, or tribal resources are insufficient to address all of the public health needs; the resources of State, local, or tribal public health and/or medical authorities are overwhelmed and HHS assistance has been requested by the appropriate health authorities; or a Federal department or agency acting under its own authority has requested the assistance of HHS. Public health and medical emergencies addressed by this plan include those resulting from natural and man-made disasters, terrorist threats, infectious disease outbreaks and pandemics, and any other circumstance that creates an actual or potential public health or medical emergency where Federal assistance may be necessary.

Appendix 5

Overview of Initial Federal Involvement Under the Stafford Act

This overview illustrates actions Federal agencies likely will take to assist State and local governments that are overwhelmed by a major disaster or emergency. Key operational components that could be activated include the Interagency Incident Management Group (IIMG), National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), Emergency Response Team–Advance Element (ERT-A), National Emergency Response Team (ERT-N), Joint Field Office (JFO), and Disaster Recovery Center (DRC).

1. The Department of Homeland Security Homeland Security Operations Center (DHS HSOC) continually monitors potential major disasters and emergencies. When advance warning is possible, DHS may deploy and may request other Federal agencies to deploy liaison officers and personnel to a State Emergency Operations Center (EOC) to assess the emerging situation. An RRCC may be activated, fully or partially. Facilities, such as mobilization centers, may be established to accommodate personnel, equipment, and supplies.

2. Immediately after an incident, local jurisdictions respond using available resources and notify State response elements. As information emerges, they also assess the situation and the need for State assistance. The State reviews the situation, mobilizes State resources, and informs the DHS/EPR/FEMA Regional Office of actions taken. The Governor activates the State emergency operations plan, proclaims or declares a state of emergency, and requests a State/DHS joint Preliminary Damage Assessment (PDA) to determine if sufficient damage has occurred to justify a request for a Presidential declaration of a major disaster or emergency. Based upon the results of the PDA, the Governor may request a Presidential declaration and defines the kind of Federal assistance needed. At this point, an initial assessment is also conducted of losses avoided based on previous mitigation efforts.

3. After the major disaster or emergency declaration, an RRCC, staffed by regional personnel, coordinates initial regional and field activities such as deployment of an ERT-A. The ERT-A assesses the impact of the event, gauges immediate State needs, and makes preliminary arrangements to set up operational field facilities. (If regional resources appear to be overwhelmed or if the event has potentially significant consequences, DHS may deploy an ERT-N.)

4. Depending on the scope and impact of the event, the NRCC, comprised of Emergency Support Function (ESF) representatives and DHS/EPR/FEMA support staff, carries out initial activation and mission assignment operations and supports the RRCC from DHS/EPR/FEMA.

5. A Federal Coordinating Officer (FCO), appointed by the Secretary of Homeland Security on behalf of the President, coordinates Federal support activities. The FCO works with the State Coordinating Officer (SCO) to identify requirements. A Principal Federal Official (PFO) also may be designated as the Secretary's representative to coordinate overall Federal interagency incident management efforts.

6. The ERT works with the affected State and conducts field operations from the JFO. ESF primary agencies assess the situation and identify requirements and help States respond effectively. Federal agencies provide resources under DHS/EPR/FEMA mission assignment or their own authority.

7. The IIMG convenes when needed to provide strategic-level coordination and frame courses of action regarding various operational and policy issues. The HSOC supports the IIMG and coordinates with the JFO.

8. Teleregistration activates a toll-free telephone number individuals can call to apply for disaster assistance. A toll-free disaster helpline is established to answer common questions. One or more DRCs may be opened where individuals can obtain information about disaster assistance, advice, and counsel. Individual applicants are processed at the DHS/EPR/FEMA National Processing Center. Inspectors verify losses and provide documentation used to determine the types of disaster assistance to be granted to individuals and families.

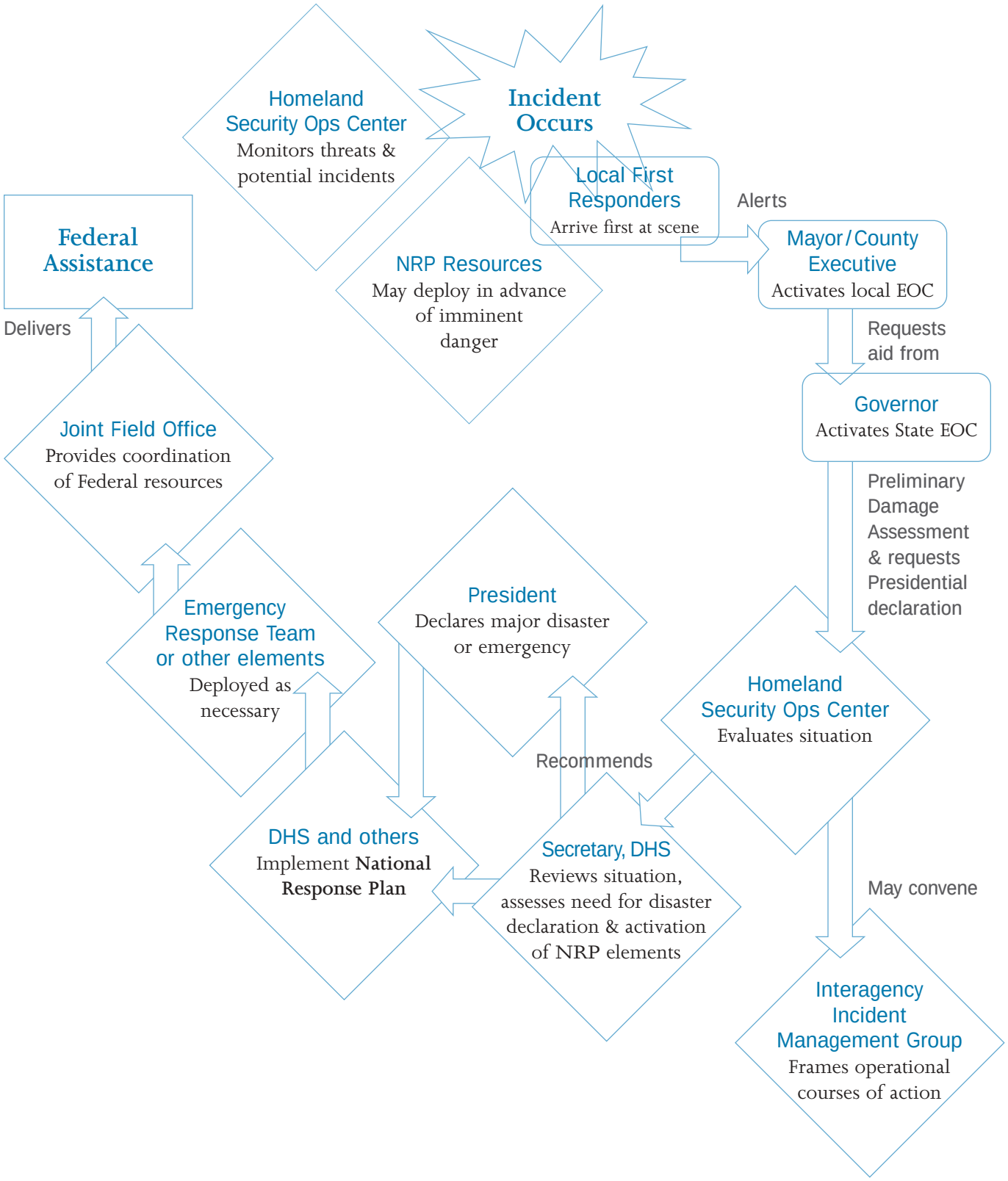
9. As immediate response priorities are met, recovery activities begin. Federal and State agencies assisting with recovery and mitigation activities convene to discuss State needs.

10. Public Assistance Applicant Briefings are conducted for local government officials and certain private nonprofit organizations to inform them of available assistance and how to apply. Applicants must first file a Request for Public Assistance. Eligible applicants will be notified and will define each project on a Project Worksheet, which details the scope of damage and a cost estimate for repair to a pre-disaster condition. The Project Worksheet is used as the basis for obligating funds to the State for eligible projects.

11. Throughout response and recovery, mitigation staff at the JFO examine ways to maximize mitigation measures in accordance with State hazard mitigation administrative plans. Grounded in the local risk, and with State priorities and mitigation plans in place, DHS/EPR/FEMA and State officials contact local officials to identify potential projects and suggest which ones should be included in an early implementation strategy. The strategy focuses on viable opportunities to provide funds, technical assistance, and staff support to incorporate mitigation into the overall community recovery, to include the repair and replacement of damaged or destroyed housing and infrastructure.

12. As the need for full-time interagency coordination at the JFO ceases, the ERT plans for selective release of Federal resources, demobilization, and closeout. Federal agencies then work directly with their grantees from their regional or HQ offices to administer and monitor individual recovery programs, support, and technical services.

FIGURE 11. Overview of initial Federal involvement under the Stafford Act



Appendix 6

Overview of Federal-to-Federal Support in Non-Stafford Act Situations

This overview illustrates actions DHS and Federal agencies likely take to support a Federal department or agency that has requested DHS assistance to appropriately handle an incident under their jurisdiction. Key operational components that could be activated include the Interagency Incident Management Group (IIMG), National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), and Joint Field Office (JFO).

1. Federal departments and agencies routinely manage the response to incidents that do not rise to the level of an Incident of National Significance. When a Federal entity with primary responsibility and statutory authority for handling an incident requires assistance beyond its normal operations (for an incident that is not determined to be an Incident of National Significance), that agency may request DHS coordination of Federal multiagency assistance to support incident management efforts. DHS coordinates assistance using the multiagency coordination structures in the National Response Plan (NRP). Generally, the requesting agency provides funding for the incident in accordance with provisions of the Economy Act, unless other statutory authorities exist.

2. To initiate Federal-to-Federal support, requests for assistance are submitted to the DHS Executive Secretary (via the Homeland Security Operations Center (HSOC)) for consideration and approval. Requests should include a summary of the situation, types and amount of resources needed, financial information, and any other appropriate information.

3. Upon approval of the request, the Secretary of Homeland Security issues an operations order to the HSOC. The HSOC, through the NRCC, coordinates the activation of the appropriate Emergency Support Functions (ESFs). Additionally, the Secretary of Homeland Security designates a Federal Resource Coordinator (FRC) to serve as the Secretary's representative in the field to manage Federal resource support. A Principal Federal Official (PFO) also may be designated as the Secretary's representative to coordinate overall Federal interagency incident management efforts.

4. The requesting agency designates a Senior Federal Official (SFO) to work in coordination with the FRC to identify support requirements.

5. The requesting agency also provides Comptrollers to the NRCC, RRCC, and JFO, as appropriate, to oversee financial management activities.

6. An RRCC may be activated, fully or partially, to facilitate the deployment of resources until a JFO is established. Facilities, such as mobilization centers, may be established to accommodate personnel, equipment, and supplies.

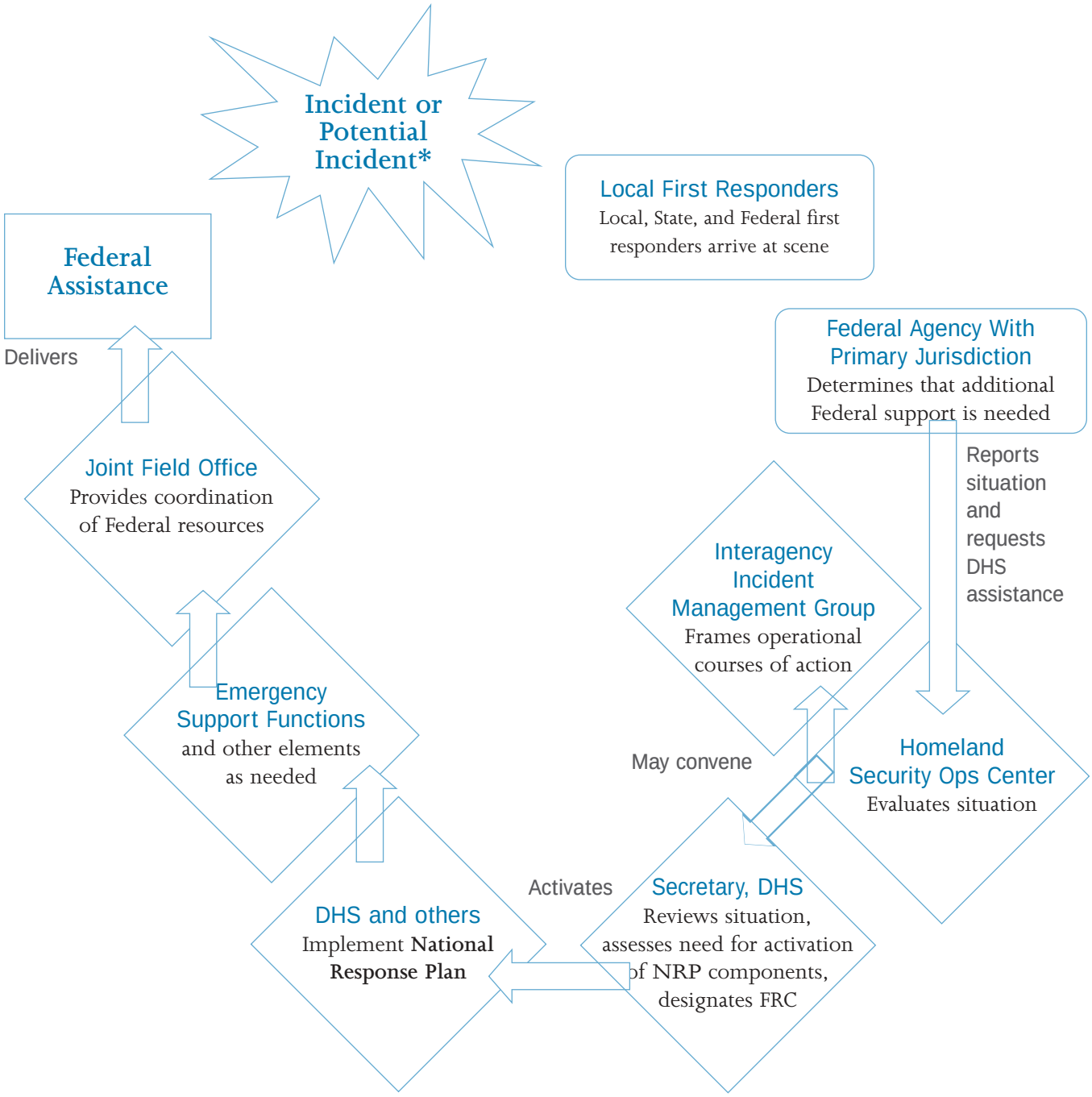
7. Federal agencies provide resources under interagency reimbursable agreements (RAs) or their own authority.

8. Once established, the JFO serves as the focal point for coordinating Federal assistance to the requesting agency and incident command structures on-scene.

9. As needed, the IIMG convenes to provide strategic-level coordination and frame courses of action regarding various operational and policy issues.

10. As the need for full-time interagency coordination at the JFO ceases, the JFO Coordination Group plans for selective release of Federal resources, demobilization, and closeout.

FIGURE 12. Overview of Federal-to-Federal support in non-Stafford Act situations



* Incident not otherwise determined to be an Incident of National Significance

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Emergency Support Function (ESF) Annexes

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Emergency Support Function (ESF) Annexes **Page**

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EMERGENCY SUPPORT FUNCTION ANNEXES: INTRODUCTION

Purpose

This section provides an overview of the Emergency Support Function (ESF) structure, common elements of each of the ESFs, and the basic content contained in each of the ESF Annexes.

Background

The ESFs provide the structure for coordinating Federal interagency support for Incidents of National Significance. The ESF structure includes mechanisms used to provide Federal support to States and Federal-to-Federal support, both for declared disasters and emergencies under the Stafford Act and for non-Stafford Act incidents. The following section includes a series of annexes describing the roles and responsibilities of Federal departments and agencies and the American Red Cross as ESF coordinators or as primary or support agencies.

The ESF structure provides mechanisms for interagency coordination during all phases of incident management. Some departments and agencies provide resources for response, support, and program implementation during the early stage of an event, while others are more prominent in the recovery phase.

ESF NOTIFICATION AND ACTIVATION

The National Response Coordination Center (NRCC), a component of the Homeland Security Operations Center (HSOC), develops and issues operation orders to activate individual ESFs based on the scope and magnitude of the threat or incident.

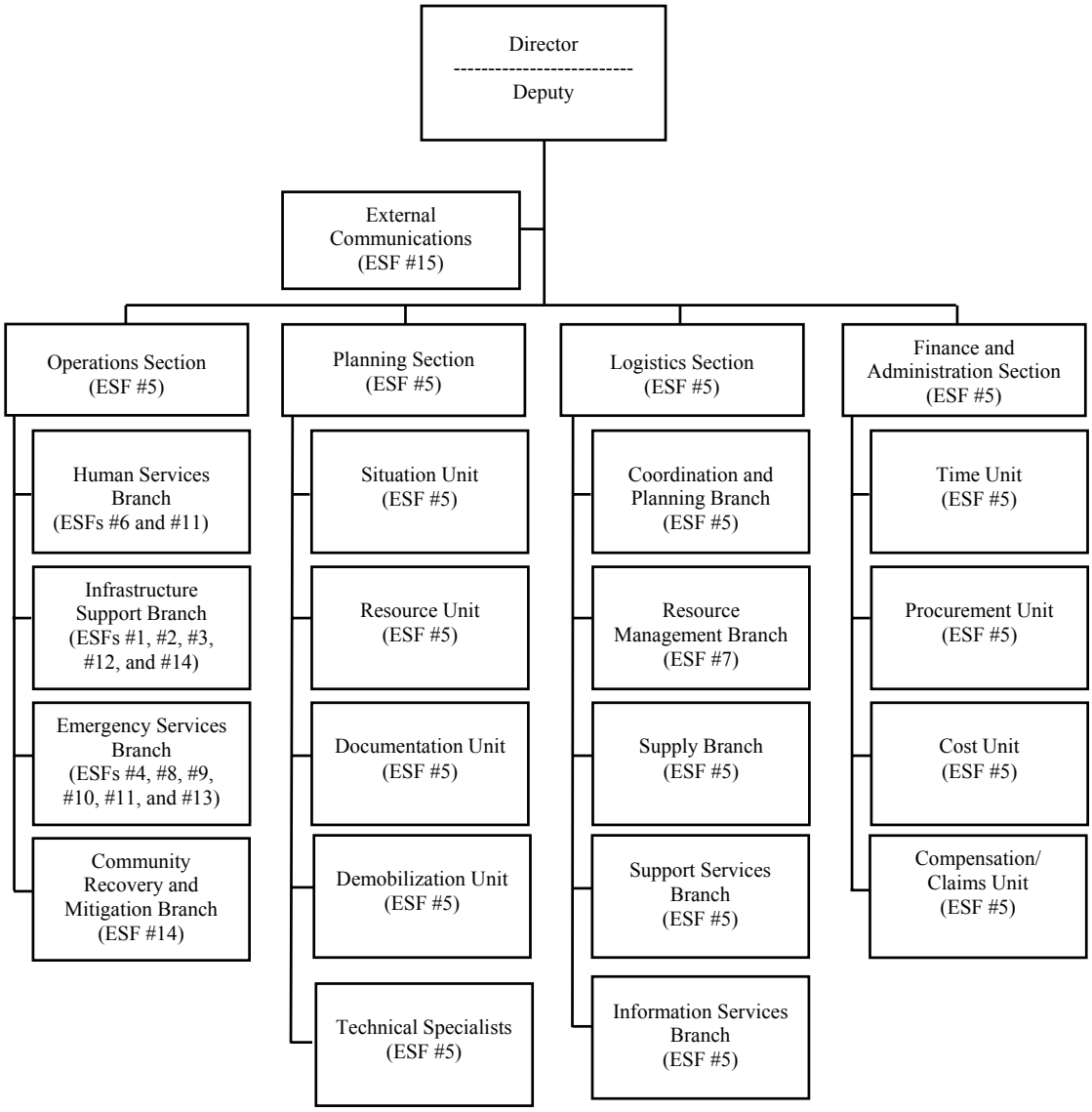
ESF primary agencies are notified of the operations orders and time to report to the NRCC by the Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) Operations Center. At the regional level, ESFs are notified by the Regional Response Coordination Center (RRCC) per established protocols. Figure 1 on the next page shows the organization of the NRCC and RRCC and their relationship to the ESFs.

ESF primary agencies notify and activate support agencies as required for the threat or incident, to include support to specialized teams. Each ESF is required to develop standard operating procedures (SOPs) and notification protocols and to maintain current rosters and contact information.

ESF ROLES AND RESPONSIBILITIES

Each ESF Annex identifies the ESF coordinator and the primary and support agencies pertinent to the ESF. Several ESFs incorporate multiple components, with primary agencies designated for each component to ensure seamless integration of and transition between preparedness, prevention, response, recovery, and mitigation activities. ESFs with multiple primary agencies designate an ESF coordinator for the purposes of pre-incident planning and coordination. Following is a discussion of the roles and responsibilities of the ESF coordinator and the primary and support agencies.

Figure 1. Sample organizational structure of the NRCC and RRCC



ESF ROLES AND RESPONSIBILITIES (Continued)

ESF Coordinator

The ESF coordinator has ongoing responsibilities throughout the prevention, preparedness, response, recovery, and mitigation phases of incident management. The role of the ESF coordinator is carried out through a "unified command" approach as agreed upon collectively by the designated primary agencies. Responsibilities of the ESF coordinator include:

- Pre-incident planning and coordination;
- Maintaining ongoing contact with ESF primary and support agencies;
- Conducting periodic ESF meetings and conference calls;
- Coordinating efforts with corresponding private-sector organizations; and
- Coordinating ESF activities relating to catastrophic incident planning and critical infrastructure preparedness as appropriate.

Primary Agencies

A Federal agency designated as an ESF primary agency serves as a Federal executive agent under the Federal Coordinating Officer (or Federal Resource Coordinator for non-Stafford Act incidents) to accomplish the ESF mission. When an ESF is activated in response to an Incident of National Significance, the primary agency is responsible for:

- Orchestrating Federal support within their functional area for an affected State;
- Providing staff for the operations functions at fixed and field facilities;
- Notifying and requesting assistance from support agencies;
- Managing mission assignments and coordinating with support agencies, as well as appropriate State agencies;
- Working with appropriate private-sector organizations to maximize use of all available resources;
- Supporting and keeping other ESFs and organizational elements informed of ESF operational priorities and activities;
- Executing contracts and procuring goods and services as needed;
- Ensuring financial and property accountability for ESF activities;
- Planning for short-term and long-term incident management and recovery operations; and
- Maintaining trained personnel to support interagency emergency response and support teams.

ESF ROLES AND RESPONSIBILITIES (Continued)

Support Agencies

When an ESF is activated in response to an Incident of National Significance, support agencies are responsible for:

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

When requested, and upon approval of the Secretary of Defense, the Department of Defense (DOD) provides Defense Support of Civil Authorities (DSCA) during domestic incidents. Accordingly, DOD is considered a support agency to all ESFs. For additional information on DSCA, refer to the NRP Base Plan.

ESF COORDINATING, PRIMARY, AND SUPPORT DESIGNATIONS

Figure 2 on the following pages shows the designation of ESF coordinator and primary and support agencies.

Figure 2. Designation of ESF coordinator and primary and support agencies

Agency	Emergency Support Functions														
	#1 - Transportation	#2 - Communications	#3 - Public Works and Engineering	#4 - Firefighting	#5 - Emergency Management	#6 - Mass Care, Housing, and Human Services	#7 - Resource Support	#8 - Public Health and Medical Services	#9 - Urban Search and Rescue	#10 - Oil and Hazardous Materials Response	#11 - Agriculture and Natural Resources	#12 - Energy	#13 - Public Safety and Security	#14 - Long-term Community Recovery and Mitigation	#15 - External Affairs
USDA			S		S	S		S		S	C/P	S		P	S
USDA/FS	S	S	S	C/P	S	S	S	S	S	S			S		
DOC	S	S	S	S	S		S		S	S	S	S	S	P/S	S
DOD	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
DOD/USACE			C/P	S	S	S		S	S	S	S	S	S	S	
ED					S										S
DOE	S		S		S		S	S		S	S	C/P	S	S	S
HHS			S		S	S		C/P	S	S	S			P/S	S
DHS	S	S	S		S	S	S	S	S	S	S	S	C/P/S	S	C
DHS/EPR/FEMA		S	P	S	C/P	C/P			C/P	S				C/P	P
DHS/IAIP/NCS		C/P										S			
DHS/USCG	S		S	S				S	S	P			S		
HUD					S	S								P	S
DOI	S	S	S	S	S	S				S	P	S	S	S	S
DOJ	S				S	S		S	S	S	S		C/P/S		S
DOL			S		S	S	S	S	S	S	S	S		S	S

C = ESF coordinator
P = Primary agency
S = Support agency

Note: Unless a specific component of a department or agency is the ESF coordinator or a primary agency, it is not listed in this chart. Refer to the ESF Annexes for detailed support by each of these departments and agencies.

Figure 2. Designation of ESF coordinator and primary and support agencies (Continued)

Agency	Emergency Support Functions														
	#1 - Transportation	#2 - Communications	#3 - Public Works and Engineering	#4 - Firefighting	#5 - Emergency Management	#6 - Mass Care, Housing, and Human Services	#7 - Resource Support	#8 - Public Health and Medical Services	#9 - Urban Search and Rescue	#10 - Oil and Hazardous Materials Response	#11 - Agriculture and Natural Resources	#12 - Energy	#13 - Public Safety and Security	#14 - Long-term Community Recovery and Mitigation	#15 - External Affairs
DOS	S				S			S		S	S	S			S
DOT	C/P		S		S	S	S	S	S	S	S	S		S	S
TREAS					S	S								P	S
VA			S		S	S	S	S					S		S
EPA			S	S	S			S		C/P	S	S	S	S	S
FCC		S			S										S
GSA	S	S	S		S	S	C/P	S		S	S				S
NASA					S		S		S				S		S
NRC			S		S					S		S			S
OPM					S		S								S
SBA					S	S								P	S
SSA						S							S		S
TVA			S		S							S		S	S
USAID								S	S						S
USPS	S				S	S		S			S		S		S
ARC			S		S	P		S			S			S	S

C = ESF coordinator
P = Primary agency
S = Support agency

Note: Unless a specific component of a department or agency is the ESF coordinator or a primary agency, it is not listed in this chart. Refer to the ESF Annexes for detailed support by each of these departments and agencies.

Emergency Support Function #1 – Transportation Annex

ESF Coordinator:

Department of Transportation

Primary Agency:

Department of Transportation

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Homeland Security
Department of the Interior
Department of Justice
Department of State
General Services Administration
U.S. Postal Service

Introduction

Purpose

Emergency Support Function (ESF) #1 – Transportation supports the Department of Homeland Security (DHS), assisting Federal agencies; State, local, and tribal governmental entities; and voluntary organizations requiring transportation for an actual or potential Incident of National Significance. Through the Department of Transportation (DOT)'s coordination role, ESF #1 integrates the DOT responsibility for Emergency Management of the Transportation System (EMTS) in the prevention/mitigation, preparedness, recovery, infrastructure restoration, safety, and security of the Nation and its transportation system.

Scope

ESF #1 is designed to provide transportation support to assist in domestic incident management. Activities within the scope of ESF #1 functions include: processing and coordinating requests for Federal and civil transportation support as directed under the National Response Plan (NRP); reporting damage to transportation infrastructure as a result of the incident; coordinating alternate transportation services; coordinating the restoration and recovery of the transportation infrastructure; performing activities conducted under the direct authority of DOT elements such as air, maritime, surface, rail, and pipelines; and coordinating and supporting prevention/preparedness/mitigation among transportation infrastructure stakeholders at the State and local levels.

Policies

- Federal transportation planning employs the most effective means of transporting resources, including commercial transportation capacity, and capacity owned or operated by Federal agencies.
- Federal transportation planning recognizes State transportation policies and plans used to control the movement of relief personnel, equipment, and supplies, as well as State-established priorities for determining precedence of movement.
- DOT Headquarters facilitates coordination between DOT regions in the event of multiregion ESF #1 operations.
- Movements of Federal personnel, equipment, and supplies are managed through prioritizing shipments. To facilitate the prompt deployment of resources, priorities for various incidents are developed and maintained through an interagency process led by DHS prior to an incident to facilitate the prompt deployment of resources. Each ESF is responsible for compiling, submitting, and updating information for inclusion in the ESF #1 prioritized shipments.

- Federal agencies are encouraged to use ESF #1 services. To ensure the orderly flow of resources, Federal agencies should advise ESF #1 of all transportation movements arranged independently from ESF #1 activity.

- Military transportation will be provided in accordance with the Defense Support of Civil Authorities section of the NRP and the Memorandum of Understanding between the Department of Defense and DOT concerning commercial aviation programs.

- The Homeland Security Operations Center (HSOC) supports DOT with relevant situational awareness and threat information reports.

- The DHS Transportation Security Operations Center provides DOT with relevant situational awareness and threat information reports.

Concept of Operations

General

- EMTS provides a structure for managing and coordinating the complex operations of the transportation system. This includes deployment of resources into and out of the incident area and the coordination of transportation recovery, restoration, and safety/security. EMTS also provides a means of facilitating or restricting the movement of personnel and goods as necessary.

- The DOT Regional Emergency Transportation Coordinator (RETCO) provides direction for the ESF #1 mission locally. The RETCO is the Secretary of Transportation's representative for emergency preparedness and response matters within the region. The RETCO receives policy guidance and operational direction from the Director, Office of Emergency Transportation (OET), Office of the Secretary.

- Regional ESF #1 organization, notification, deployment, and support operations are conducted in accordance with the respective ESF #1 annexes to the regional NRP supplements.

- Communications are established and maintained with ESF #5 – Emergency Management to report and receive assessments and status information, and with ESF #7 – Resource Support, the National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), or Joint Field Office (JFO).

- All approved requests for Federal assistance and mission assignments for transportation support are submitted by the Federal Coordinating Officer (FCO) or Federal Resource Coordinator (FRC) to ESF #1 for action.

- The Secretary of Transportation designates a representative(s) to the Interagency Incident Management Group (IIMG) as required.

- The OET Director activates the headquarters ESF #1, and deploys representatives to the NRCC. Upon notification by DOT or DHS, the RETCO activates the regional Emergency Transportation Center.

Actions: Initial Actions

DOT Headquarters: Immediately upon notification of a threat or an imminent or actual incident, consideration is given toward:

- Expanding or surging the DOT Crisis Management Center;

- Initiating relevant reporting to the Office of the Secretary of Transportation, the HSOC, IIMG, DOT operating administrations, and the regions;

- Providing appropriate representation, when requested, to the IIMG, the NRCC, and the ESF #1 function; and

- Implementing plans internal to DOT to ensure adequate staff and administrative support.

Region: At the JFO, the RETCO or a designated representative gives priority attention to establishing communications with the RRCC, the Principal Federal Official (if designated), the FCO/FRC (once known and designated), and ESF #1 support agencies. The DOT response team works with State counterparts regarding priority reconstruction needs and restoration of critical and strategically important transportation facilities and choke points.

Actions: Continuing Actions

- ESF #1 staff coordinates the acquisition of transportation services to fulfill mission assignments in support of all ESFs when required.
- The RETCO coordinates with appropriate State, local, and tribal entities to facilitate the movement of people and goods to, from, and within the incident area, and participates in decisions regarding issues such as movement restrictions, critical facilities closures, and evacuations.
- The RETCO is responsible for the administrative support of individuals involved in regional emergency transportation operations and for managing all financial transactions undertaken through mission assignments issued to ESF #1.
- The RETCO coordinates with appropriate DOT regional operating administrations on the implementation of specific DOT statutory authorities providing immediate assistance, such as air traffic control, long-term recovery of the transportation infrastructure, and any authorized mitigation efforts to lessen the effects of future incidents.

Responsibilities

Primary Agency: DOT

- Coordinates the provision of Federal and civil transportation services in support of Federal agencies; State, local, tribal governmental entities; U.S. territories and possessions; and voluntary organizations. Coordinates the recovery, restoration, and safety/security of the transportation infrastructure. Manages the headquarters ESF #1 function and the regional ESF #1 function including the Emergency Transportation Center. Provides trained personnel to staff ESF #1 responsibilities at the RRCC, the JFO, or any other temporary facility in the impacted region.
- Manages the financial aspects of the ESF #1 response, including the funding of Stafford Act mission assignments and/or reimbursable agreements for non-Stafford Act Federal-to-Federal support.
- Works with State and local transportation departments and industry partners to assess the damage to the transportation infrastructure and analyze the impact of the incident on transportation operations, nationally and regionally, and report promptly as changes occur.
- Coordinates and implements, as required, emergency-related response and recovery functions performed under DOT statutory authorities, including the prioritization and/or allocation of civil transportation capacity, emergency highway funding for federally owned highways and highways on the Federal Aid System, hazardous material containment response and movement, and damage assessment, to include safety- and security-related actions concerning movement restrictions, closures, quarantines, and evacuations.

- Provides technical assistance to Federal, State, local, and tribal governmental entities in evacuation or movement restriction planning, and determining the most viable transportation networks to, from, and within the incident area, as well as alternate means to move people and goods within the area affected by the incident.
- Identifies resource requirements for transportation and coordinates their allocation.
- Deploys members to fill the positions on the Emergency Response Team – Advance Element, National Emergency Response Team, and IIMG as required.

Support Agencies

Agency	Functions
Department of Agriculture/Forest Service	▪ Provides staffing to the NRCC ESF #1 and the RRCC ESF #1 when requested. ▪ Provides transportation assets when Forest Service assets are the most effective method.
Department of Commerce/National Oceanic and Atmospheric Administration	▪ Provides weather and dispersion forecasts in support of response measures following transportation events that release materials into the atmosphere. ▪ Provides dispersion forecasts for materials spilled into the ocean following a transportation event.

Department of Defense	▪ Provides staffing to the NRCC ESF #1 function and the RRCC ESF #1 when requested and upon approval by the Secretary of Defense.
	▪ Provides military transportation capacity from the U.S. Transportation Command (USTRANSCOM) to move essential resources and assist in the contracting for civilian airlift when requested and upon approval by the Secretary of Defense. USTRANSCOM also provides staff to the headquarters ESF #1 function and the regional ESF #1 when requested and upon approval by the Secretary of Defense.
	▪ U.S. Army Corps of Engineers (USACE)
	  ▪ Provides support in the emergency operation and restoration of inland waterways, ports, and harbors under the supervision of USACE, including dredging operations.
	  ▪ Assists in restoring the transportation infrastructure.

Department of Energy	▪ When requested, provides fixed-wing and rotary aircraft to support radiological environment surveys and/or search capabilities during a radiological or nuclear incident.

Agency	Functions
Department of Homeland Security	▪ Working through ESF #1, coordinates the acquisition, movement, and distribution of DHS-owned resources to the incident area. ▪ Initiates transportation actions prior to ESF #1 activation, keeps DOT informed of early transportation actions, and assumes responsibility for closeout of actions after the headquarters and the regional ESF #1 deactivate. ▪ Assists in restoring the transportation infrastructure through ESF #3 – Public Works and Engineering and the Stafford Act program. ▪ Supervises the development of prioritized shipping. Provides staffing to the NRCC ESF #1 function and the RRCC ESF #1 when requested. ▪ Works with the Infrastructure Liaison concerning all issues dealing with the recovery and restoration of the associated critical infrastructure sector, supported by ESF #1, including the allocation and prioritization of resources. ▪ Through ESF #1, identifies and arranges for the use of U.S. Coast Guard (DHS/USCG) assets and resources in support of the ESF #1 role.
Department of the Interior	▪ Provides staffing to the headquarters and regional ESF #1 functions when requested. ▪ Provides supplementary departmental transportation assets (e.g., fixed-wing aircraft and all-terrain vehicles). ▪ Provides transportation support resources (e.g., mechanics, pilots). ▪ Provides aviation safety teams.
Department of Justice	▪ Provides departmental transportation support assets when not committed for internal operations. ▪ Provides staffing to headquarters and regional ESF#1 functions when requested.
Department of State	▪ Coordinates requests for, and offers of, transportation assistance from foreign governments. ▪ When requested, provides liaison to the DOT Crisis Management Center in the event of international implications.
General Services Administration	▪ Assists in identifying sources for and contracting transportation services. ▪ Provides staffing to the headquarters and regional ESF #1 functions when requested.
U.S. Postal Service (USPS)	▪ Provides USPS vehicles not immediately required for mail delivery for transportation of resources, particularly for distribution in the incident area. ▪ Collects and reports on transportation infrastructure disruption and damages as information becomes available. ▪ Staffs the headquarters ESF #1 and regional ESF #1 teams when requested.

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Emergency Support Function #2 – Communications Annex

ESF Coordinator:

Department of Homeland Security/Information Analysis and Infrastructure Protection/National Communications System

Primary Agency:

Department of Homeland Security/Information Analysis and Infrastructure Protection/National Communications System

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Homeland Security
Department of the Interior
Federal Communications Commission
General Services Administration

Introduction

Purpose

Emergency Support Function (ESF) #2 – Communications ensures the provision of Federal communications support to Federal, State, local, tribal, and private-sector response efforts during an Incident of National Significance. This ESF supplements the provisions of the National Plan for Telecommunications Support in Non-Wartime Emergencies, hereafter referred to as the National Telecommunications Support Plan (NTSP).

Scope

- ESF #2 coordinates Federal actions to provide the required temporary National Security and Emergency Preparedness (NS/EP) telecommunications, and the restoration of the telecommunications infrastructure. ESF #2 supports all Federal departments and agencies in the procurement and coordination of all NS/EP telecommunications services from the telecommunications and information technology (IT) industry during an incident response.

- Communications is information transfer and involves the technology associated with the representation, transfer, interpretation, and processing of data among persons, places, and machines. It includes transmission, emission, or reception of signs, signals, writing, images, and sounds or intelligence of any nature by wire, radio, optical, or other electromagnetic systems.

- Where appropriate, communications services may be provided through various Department of Homeland Security/Information Analysis and Infrastructure Protection/National Communications System (DHS/IAIP/NCS) National-Level Programs, including the Shared Resources (SHARES) High-Frequency Radio Program, Telecommunications Service Priority (TSP) Program, Government Emergency Telecommunications Service (GETS), and Wireless Priority Service (WPS).

Policies

- Section 706 of the Communications Act of 1934, as amended (47 U.S.C. § 606), establishes Presidential powers during wartime emergencies for the national communications infrastructure.

- Executive Order 12472 assigns authority to the Director, Office of Science and Technology Policy (OSTP), to direct the exercise of the war power functions of the President under Section 706(a), (c)–(e), of the Communications Act of 1934, as amended (47 U.S.C. § 606), should the President issue implementing instructions in accordance with the National Emergencies Act (50 U.S.C. 1601). Executive Order 12472 also assigns specific nonwartime emergency telecommunications authorities to the Director, OSTP.

- The NTSP serves as the basis for planning for the utilization of national telecommunications assets and resources in support of nonwartime emergencies, as defined by Executive Order 12472. This plan is the formal U.S. Government plan applicable to all Federal departments, agencies, and other organizations in accordance with Executive Order 12472 and other national policy direction.

- The mission of the DHS/IAIP/NCS is to assist the President, the National Security Council, the Director, OSTP, and the Director of the Office of Management and Budget in:

  - The exercise of the telecommunications functions and responsibilities set forth in Section 2 of Executive Order 12472; and

  - The coordination of the planning for and provision of national security and emergency preparedness communications for the Federal Government under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.

- Federal, State, local, and tribal officials, nonprofit organizations, and private-sector entities respond to the vast majority of incidents acting under their authorities or through agency or interagency contingency plans.

- In a memorandum to the Manager, National Communications System, dated June 11, 1993, Subject: National Security and Emergency Preparedness Telecommunications, OSTP states that the Office of the Manager, DHS/IAIP/NCS, executes Federal Response Plan primary agency functional responsibilities on the behalf of OSTP. This delegation of authority is retained within the National Response Plan (NRP). Furthermore, OSTP delegates the ESF #2 coordinator functional responsibilities to the Office of the Manager, DHS/IAIP/NCS.

- The Cyber Incident Annex to the NRP supports ESF #2 and outlines the provision of Federal cyber incident response coordination among the Federal departments and agencies and, upon request, State, local, tribal, and private-sector entities in response to any Incident of National Significance with cyber-related issues (e.g., significant cyber threat and disruptions, crippling cyber attacks against the Internet or critical infrastructure information systems, technological emergencies, and Presidentially declared major disasters and emergencies).

Concept of Operations

General

- DHS determines whether to activate ESF #2 based upon information from initial staff reports and State and local authorities. For incidents where ESF #2 is not activated, DHS may elect to use the existing resources of DHS/Emergency Preparedness and Response/Federal Emergency Management Agency (EPR/FEMA) to provide communications support at the Joint Field Office (JFO).

- When activated, ESF #2 coordinates and supports NS/EP telecommunications requirements. The following guidelines are observed to allow EFS #2 to meet its domestic incident management responsibilities:

  - All telecommunications incidents and requirements are handled in accordance with the most current version of the OSTP NTSP.

  - Telecommunications management occurs on a bottom-up basis: decisions are made at the lowest level, with only those issues requiring adjudication or additional resources being referred to the next higher management level.

  - The General Services Administration/ Federal Technology Service (GSA/FTS) appoints a DHS/IAIP/NCS Regional Manager (NCSRM) in each of the 10 Federal regions and the National Capital Region. The DHS/IAIP/NCSRM is a telecommunications specialist who can assume the duties of the Federal Emergency

Communications Coordinator (FECC) if ESF #2 is activated in an incident. The FECC represents ESF #2 at the Regional Response Coordination Center (RRCC) and JFO, as required.

- The FECC is the single Federal point of contact in the incident area to coordinate the Federal telecommunications requirements and industry's response. The FECC coordinates with the State telecommunications officer to ensure Federal communications requirements do not conflict with State needs. The FECC prioritizes conflicting requests and recommends solutions to the JFO Coordination Group.

- DHS/EPR/FEMA controls its communications assets (i.e., Mobile Air Transportable Telecommunications System (MATTS)/Mobile Emergency Response Support (MERS)) in the incident area and coordinates their use with the FECC. Other agencies that provide telecommunications assets in support of the response also control their organic assets, but coordinate use with the FECC.

- Uniform emergency telecommunications management and operational plans, procedures, and handbooks are used throughout the entire ESF #2 operating environment.

Organization

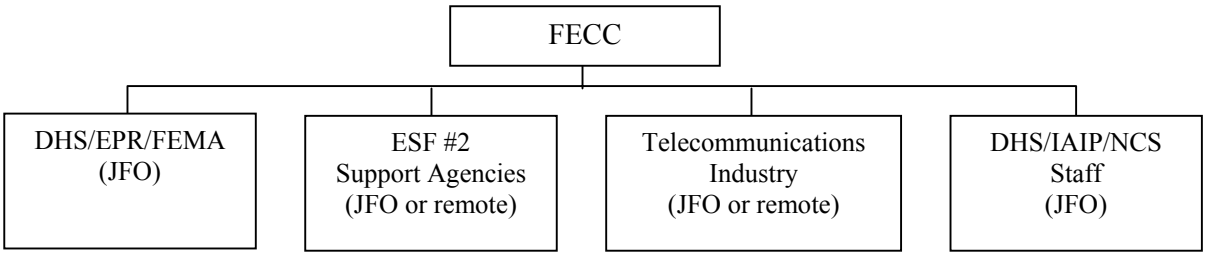
- **Headquarters:** The National Coordinating Center for Telecommunications (NCC), which is the operational component of the DHS/IAIP/NCS, is the Federal office for national telecommunications domestic incident management. The NCC staff assesses anticipated/actual damage, identifies NS/EP service requirements, prioritizes requirements, monitors the developing situation/response, renders status reports, and coordinates service provisioning and restoration as required. The NCC staff receives information from NCC industry representatives, who coordinate with their parent company emergency operations centers (EOCs). The NCC Manager appoints ESF #2 representatives to the National Response Coordination Center (NRCC), providing for 24-hour coverage if required. The NCC Manager may dispatch an Individual Mobilization Augmentee (IMA), assigned to the DHS/IAIP/NCS, to assist the FECC in coordinating national-level telecommunications support.

  Conflicts regarding NS/EP telecommunications priorities and resources that cannot be resolved at the JFO by the Federal Coordinating Officer (FCO) and FECC are passed to the NCC for coordination with the Joint Telecommunications Resources Board (JTRB).

- **Regional:** When ESF #2 is activated, the RRCC or FCO requests the appointment of an FECC. GSA/FTS ensures a qualified person capable of performing the required functions is identified. The FECC and his/her staff deploy to the scene of an incident. The FECC or a member of his/her staff normally deploys to the affected State EOC as part of the Advance Element of the Emergency Response Team (ERT-A) and coordinates with ESF #7 – Resource Support in determining a JFO site.

  DHS/EPR/FEMA provides a representative to assist in coordinating telecommunications support in the setup of the JFO. Federal incident response operations are coordinated from the RRCC until the JFO is operational, which is normally a period of 48 to 96 hours. At the JFO, the FECC is assisted by the Emergency Communications Staff (ECS) as shown in Figure 1 on the following page.

FIGURE 1. Emergency Communications Staff



Actions: Pre-Incident

- Work closely with the DHS/IAIP/NCS; industry; State, local, and tribal emergency managers; and other private-sector coordinators to ensure the latest technology is available to all Federal agencies participating in the response effort.
- Coordinate intergovernmental, nongovernmental organization, and private-sector preparedness efforts as they pertain to critical infrastructures supporting NS/EP telecommunications.
- Develop and issue information collection guidelines and procedures to enhance assessment, allocation, and coordination of government and industry telecommunications assets in the event of a domestic incident.

Actions: Incident Period

If ESF #2 is activated, the NRCC notifies the NCC Manager. The NCC Manager, in coordination with other Federal agencies, determines the appropriate level of response for national-level ESF #2 elements.

The NCC:

- Alerts all appropriate NCS and NCC personnel and notifies the Director, OSTP, when ESF #2 is activated.
- Advises DHS/EPR/FEMA when commercial communications outages are expected in the incident area to enable activation of the National Emergency Coordination Net, a high-frequency radio net that provides backup command and control communications for the NRP.
- Identifies operational telecommunications assets available for use within the affected area;
- Identifies telecommunications assets not within the affected area that may be brought physically or employed electronically to support the affected area;
- Identifies actual and planned actions of commercial telecommunications companies toward recovery and reconstruction of their facilities;
- Obtains information from ESF #1 – Transportation relative to road, rail, and other transportation conditions in the area and whether they can be used to get mobile telecommunications systems into the area;
- Provides damage and outage information to the Homeland Security Operations Center (HSOC), the NRCC ESF #2 representative, and the FECC regularly, and to other Federal agencies upon request; and
- Coordinates with the FECC to assess the need for telecommunications industry support and ensures such support is available as needed.

The FECC:

- Assesses the availability of commercial telecommunications for location of the proposed JFO facility;
- Determines from DHS/EPR/FEMA and/or ESF #7 – Resource Support the location of possible sources of secondary response facilities in the incident area (e.g., staging areas or satellite JFOs);

- Advises the FCO or Federal Resource Coordinator (FRC) on ESF #2 regional and incident area NS/EP telecommunications requirements;

- Forwards unresolved telecommunications requests to the NCC;

- Coordinates Federal telecommunications support to responding Federal agencies, State and local governments, and quasi-governmental and voluntary relief organizations as directed by the FCO or FRC;

- Forwards cyber-related incidents and analysis requirements to the NCC for coordination, action, and resolution with the DHS/IAIP/NCS and DHS/IAIP/National Cyber Security Division (NCSD);

- Coordinates the status of the ESF #2 operations with the Infrastructure Liaison located at the JFO; and

- When activated by the RRCC or FCO, coordinates with the NCC Manager to request IMAs assigned to the NCS, to fill duty positions within the ECS, if required.

Other Departments and Agencies:

- Until the FECC and ESF #2 are deployed and operational, DHS/EPR/FEMA communications staff accumulates damage information. Additionally, DHS/EPR/FEMA communications staff may make initial estimates of the level of Federal telecommunications support that may be required. DHS/EPR/FEMA provides this information to the FECC upon arrival in the affected area.

- Representatives of the DHS/IAIP/NCS member organizations that have been asked to provide assets confirm to the NCC that those assets have been prepared for movement to the incident area, as needed, as well as when they have been deployed and have become operational.

Actions: Post-Incident

Post-incident actions include:

- Develops, coordinates, and executes service and site restoration plans;

- Conducts measurements necessary to identify damaged critical infrastructure assets; repair, reconstitute, and secure communications; and coordinate actions to protect these assets from further damage;

- Evaluates the incident to identify lessons learned;

- Completes post-incident reporting; and

- Develops initiatives to mitigate the effects of future incidents.

The FECC, assisted by the ECS:

- Prepares and processes any required reports;

- Recommends release/termination-of-use of Federal telecommunications resources when they are no longer required; and

- Maintains a record for audit of all telecommunications support provided.

Actions: Deactivation

- The FECC develops a stand-down plan, approved by the JFO Coordination Group, describing how to conclude GSA and NCS involvement and how the transition to DHS/EPR/FEMA should be handled. During stand-down, the FECC executes the plan, recommending the release of Federal assets as commercial telecommunications resources become available. In many cases, assets are deactivated incrementally as affected systems and equipment are gradually restored to normal operations.

- The NCC leadership gathers communication information from industry and other service providers in the affected area to compile and submit an after-action report in accordance with guidelines and procedures defined in the NRP.

Responsibilities

Primary Agency

DHS/IAIP/NCS: The Director, OSTP, delegates the ESF #2 coordinator functional responsibilities to the Office of the Manager, DHS/IAIP/NCS. The NCS serves as a Federal executive agent under the JFO Coordination Group to accomplish the ESF #2 mission. When ESF #2 is activated, the DHS/IAIP/NCS Manager ensures appropriate NS/EP telecommunications support to operations conducted under the NRP. The Manager, DHS/IAIP/NCS, provides information and assistance to the JTRB as required.

Prevention and Preparedness

- Manages and directs prevention and preparedness efforts in areas of agency expertise.
- Monitors the status of situations that have the potential for developing into an Incident of National Significance to determine that adequate NS/EP telecommunications services are being provided to support response operations.
- Assesses the impact on existing Federal Government NS/EP telecommunications services.

Response and Recovery

- Manages and directs response and recovery efforts in areas of agency expertise.
- Supports the JTRB as required, in accordance with standard operating procedures issued by the Director, OSTP.
- Ensures that all information regarding potential and/or actual Incidents of National Significance with significant telecommunications implications are brought to the attention of the Director, OSTP, in a timely manner.
- Coordinates response activities with DHS/EPR/FEMA, GSA, and other JTRB member organizations.
- Coordinates with ESF #12 – Energy, regarding communications industry requests for emergency fuel resupply and safe access for telecommunications work crews into incident areas.
- Monitors recovery efforts and, as required, coordinates the provision of telecommunications services needed by the Federal Government.
- Provides reports to the JTRB as directed.
- Coordinates the restoration and/or rerouting of existing Federal Government NS/EP telecommunications services and the provisioning of new NS/EP telecommunications services.
- Coordinates with telecommunications service providers to facilitate the prioritizing of requirements as necessary when providers are unable to satisfy all telecommunications services requirements, when there are conflicts between multiple FECCs, or when the allocation of available resources cannot be fully accomplished at the field level.

  When the NCC cannot resolve the allocation of telecommunications resources to the satisfaction of the parties involved, the issues are presented to the JTRB in a timely manner for resolution.
- Coordinates with DHS/IAIP/NCS member organizations to obtain telecommunications specialists to augment the ECS.
- Coordinates with Federal agencies those special telecommunications industry requests for assistance that support NS/EP activities, including restoration of commercial power, emergency fuel supply, and validated safe access for telecommunications work crews into incident areas.
- Coordinates with appropriate government and industry representatives in support of FECC requests to meet user requirements for communication assets.

Support Agencies

Agency	Functions
Department of Agriculture/Forest Service and Department of the Interior (DOI)	The Forest Service and DOI provide telecommunications support to ESF #2 through assets located at the National Interagency Fire Center. Support services include: ▪ Provides radio communications systems for support of firefighters, law enforcement officers, and incident response operations; ▪ Provides engineers, technical personnel, and liaison staff to assist the FECC and to maintain the National Interagency Radio Support systems; ▪ Provides National Interagency Radio Support systems for use by damage reconnaissance teams to report information from the incident area to the JFO, and such other applications as determined by the radio communications coordinator; ▪ Provides a communications officer to accompany radio systems for the purpose of user training and operator maintenance indoctrination; and ▪ Provides additional radio systems required for the establishment of a JFO radio net.
Department of Commerce	**National Telecommunications and Information Administration (NTIA):** ▪ Provides on-call support to the FECC to resolve Government frequency interference problems and frequency assignment requests. ▪ Maintains and publishes the Emergency Readiness Plan for Use of the Radio Spectrum.
	National Oceanic and Atmospheric Administration (NOAA)/National Weather Service: Supports the Emergency Alert System (EAS) and provides, in coordination with DHS/EPR/FEMA, public dissemination of critical pre-event and post-event information over the all-hazards NOAA Weather Radio system, the NOAA Weather Wire Service, and the Emergency Managers' Weather Information Network.

Agency	Functions
Department of Homeland Security	**DHS/EPR/FEMA:** ▪ Provides a representative(s) to serve on the FECC's staff to coordinate the deployment of DHS telecommunications assets, including MATTS/MERS, to the incident area; coordinates DHS requests for communication service and connectivity; and provides expertise on MATTS/MERS and DHS networks. ▪ Coordinates the establishment of telecommunications support in the JFO with the FECC. ▪ Provides telecommunications and IT equipment and services at the JFO as required. ▪ Provides communications support to State and local officials to assist in disseminating warnings to the populace concerning risks and hazards. ▪ Plans for and provides, operates, and maintains telecommunications services and facilities, as part of its National Emergency Management System, to support its assigned emergency management responsibilities. ▪ Develops, in cooperation with the Federal Communications Commission (FCC), plans and capabilities for, and provides policy and management oversight of, the EAS. DHS/EPR/FEMA is the executive agent for the development, operations, and maintenance of the national-level EAS. In addition to distributing Presidential broadcasts and messages, the national-level EAS must provide for the distribution of National Emergency Information Programming. The Under Secretary DHS/EPR is authorized to release National Emergency Information Programming messaging. ▪ Serves as the on-scene Frequency Manager and coordinates the assignment and use of all Federal radio frequencies at the incident site in accordance with NTIA's Spectrum Rules and Regulations. ▪ Provides representation on the ECS and coordinates DHS resources and TSP requests with the FECC. ▪ Provides video teleconference support to the ECS. ▪ Maintains an audit trail of all equipment and services provided.

Agency	Functions
Department of Homeland Security (Continued)	**DHS/IAIP/NCSD:** Supports the NCS and, as necessary, the JTRB when a cyber incident leads to a telecommunications Incident of National Significance. ▪ Provides the national focal point for the public and private sector regarding cyber security. ▪ Identifies, analyzes, and reduces threats and vulnerabilities to cyber systems. ▪ Disseminates threat warning information in conjunction with the HSOC. ▪ Coordinates cyber incident preparedness, response, and recovery activities. ▪ Facilitates interaction and collaboration between and among Federal departments and agencies; State, local, and tribal governments; the private sector; and international organizations related to cyber security and cyber Incidents of National Significance. ▪ Supports the Department of Justice and other Federal law enforcement agencies in their mission to investigate and prosecute threats to and attacks against cyberspace. ▪ Fulfills additional responsibilities as directed in the Cyber Incident Annex for monitoring, detecting, preventing, and recovering from threats to disrupt or impair the availability or reliability of critical information. ▪ Supports the DHS/IAIP/NCS and, as necessary, the JTRB when a cyber incident leads to a telecommunications Incident of National Significance.

Agency	Functions
Federal Communications Commission	▪ Reviews policies, plans, and procedures that are developed by entities licensed or regulated by the FCC to provide NS/EP telecommunications services to ensure such policies, plans, and procedures are consistent with the public interest, convenience, and necessity. ▪ Performs such functions as required by law with respect to all entities licensed or regulated by the FCC, including (but not limited to) the extension, discontinuance, or reduction of common-carrier facilities or services; the control of common-carrier rates, charges, practices, and classifications; the construction authorization, activation, deactivation, or closing of radio stations, services, and facilities; the assignment of radio frequencies to FCC licensees; the investigation of violations of pertinent law and regulation; and the initiation of appropriate enforcement actions. ▪ Provides on-call support to the FECC to identify sources of radio frequency interference and to resolve civil frequency interference issuesand frequency assignment requests.
General Services Administration	▪ Each GSA Regional Administrator ensures that a DHS/IAIP/NCSRM and an FECC are identified for each of the 10 standard Federal regions and the National Capital Region. The GSA/FTS Emergency Coordinator authorizes the FECC or NCSRM to accept guidance from the DHS/EPR/FEMA Regional Director or his/her designated representative during the pre-deployment phase of a telecommunications emergency. The GSA/FTS Emergency Coordinator provides national-level guidance. The GSA/FTS Emergency Coordinator authorizes the DHS/IAIP/NCSRM or designated alternate(s) to perform the functions of the FECC upon request by the FCO or FRC. ▪ The DHS/IAIP/NCSRM prepares and maintains a Regional Support Plan for each designated standard Federal region. The Regional Support Plan is developed and coordinated with counterpart DHS/IAIP/NCSRMs in contiguous regions. The DHS/IAIP/NCSRM supervises the training of potential FECCs within the assigned region. ▪ When requested, the FECC deploys to the scene of an Incident of National Significance to survey the status of telecommunications and to determine residual capabilities and the extent of damage within the affected area. The FECC coordinates with other Federal agencies to determine emergency telecommunications service requirements.

Agency	Functions
General Services Administration (Continued)	When activated, the FECC: ▪ Accumulates damage information obtained from the DHS/EPR/FEMA Regional Headquarters, the NCC, other Federal agencies, State and local government, and industry sources, and conducts telecommunications status evaluations; ▪ Advises the FCO or FRC on telecommunications matters; ▪ Acts as the single government point of contact in the incident area for industry for all NS/EP telecommunications requests and actions; ▪ Assesses the need for mobile or transportable equipment; ▪ Releases Federal telecommunications resources as soon as commercial carrier services can support the response mission; ▪ Coordinates with Federal, State, and local organizations and the major voluntary relief organizations, as well as other ESFs involved with incident recovery, to ascertain their telecommunications implementations, capabilities, and requirements; ▪ Ensures required services are provided in support of the Federal effort; ▪ Coordinates the distribution of communication assets by appropriate government and industry representatives in support of user requirements; ▪ Assembles and leads the ECS; ▪ Maintains an audit trail of all telecommunications support provided; ▪ Prioritizes Federal and regional telecommunications requirements; ▪ Coordinates frequency management for the incident area including frequencies used by deployed military assets; ▪ Coordinates with the Department of Defense on the use of military and deployed National Guard organizational telecommunications assets in support of an Incident of National Significance; ▪ Coordinates requests for DHS/IAIP/NCS National-Level Programs (TSP, GETS, WPS, SHARES); ▪ Provides ESF #2 representatives to support damage assessment personnel; ▪ Provides an ESF #2 representative to support the ERT-A; ▪ Coordinates telecommunications support to the incident mobilization center as necessary; and ▪ Prepares and processes any required reports.

Agency	Functions

Other Federal Agencies	▪ The JTRB advises the Director, OSTP, on the exercise of those nonwartime emergency telecommunications service functions assigned by Executive Order 12472. The JTRB's role is to monitor potential or actual telecommunications Incidents of National Significance that pose significant threats to telecommunications facilities or services, and situations that create the need for extraordinary telecommunications support. When convened by the Director, OSTP, the JTRB is supported by the DHS/IAIP/NCS organizational structure using the resources of the National Coordinating Center for Telecommunications, the Defense Information Systems Agency's Global Network Operations and Security Center, the DHS/EPR/FEMA Operations Center, and other Federal agency operation centers as necessary. Federal departments and agencies assist the JTRB as required.
	▪ NCS member organizations assist the DHS/IAIP/NCS Manager in the deployment and use of agency-owned/leased or otherwise unique telecommunications assets to support the response effort.
	▪ All other Federal agencies:
	  ▪ Use organizational resources to meet their mission requirements before requesting FECC emergency telecommunications support;
	  ▪ Notify the FECC promptly of all telecommunications requirements and available assets, to eliminate the possibility of service duplications and ensure prompt provision of needed services and facilities to the proper user;
	  ▪ Coordinate with the FECC when a representative of an organization at an incident location has requested telecommunications support (other than that provided or already coordinated through the FECC);
	  ▪ Coordinate any requests for commercial or government telecommunications resources through the FECC;
	  ▪ Coordinate with the NCC as necessary for any required national-level telecommunications support;
	  ▪ Notify the on-scene Frequency Manager upon arrival of any radio frequency devices that have been brought to the incident area;
	  ▪ Notify the FECC promptly when their telecommunications resources are to be withdrawn or discontinued; and
	  ▪ Notify the FECC when telecommunications resources provided by the FECC are no longer required.

Emergency Support Function #3 – Public Works and Engineering Annex

ESF Coordinator:

Department of Defense/U.S. Army Corps of Engineers

Primary Agencies:

Department of Defense/U.S. Army Corps of Engineers
Department of Homeland Security/Emergency Preparedness and Response/ Federal Emergency Management Agency

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of the Interior
Department of Labor
Department of Transportation
Department of Veterans Affairs
Environmental Protection Agency
General Services Administration
Nuclear Regulatory Commission
Tennessee Valley Authority
American Red Cross

Introduction

Purpose

Emergency Support Function (ESF) #3 – Public Works and Engineering assists the Department of Homeland Security (DHS) by coordinating and organizing the capabilities and resources of the Federal Government to facilitate the delivery of services, technical assistance, engineering expertise, construction management, and other support to prevent, prepare for, respond to, and/or recover from an Incident of National Significance.

Scope

ESF #3 is structured to provide public works and engineering-related support for the changing requirements of domestic incident management to include preparedness, prevention, response, recovery, and mitigation actions. Activities within the scope of this function include conducting pre- and post-incident assessments of public works and infrastructure; executing emergency contract support for life-saving and life-sustaining services; providing technical assistance to include engineering expertise, construction management, and contracting and real estate services; providing emergency repair of damaged infrastructure and critical facilities; and implementing and managing the DHS/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) Public Assistance Program and other recovery programs.

Policies

State, Local, and Tribal

- State, local, and tribal governments are responsible for their own public works and infrastructures and have the primary responsibility for incident prevention, preparedness, response, and recovery.
- State, local, and tribal governments are fully and consistently integrated into ESF #3 activities.
- When activated to respond to an incident, the primary agencies for ESF #3 develop work priorities in cooperation with State, local, and/or tribal governments and in coordination with the Federal Coordinating Officer and/or the Federal Resource Coordinator.
- Local authorities are responsible for obtaining required waivers and clearances related to ESF #3 support.

Private Sector

- The private sector is responsible for a large proportion of the Nation's infrastructure and participates in ESF #3 incident action planning and other planning activities as appropriate.
- The private sector is a partner and/or lead for the rapid restoration of infrastructure-related services.
- Appropriate private-sector entities are integrated into the planning and decisionmaking processes as necessary.

Federal Government

- ESF #3 provides Federal public works and engineering support when an incident or potential incident overwhelms State, local, and tribal government capabilities and/or when other departments or agencies within the Federal Government require assistance.
- ESF #3 facilitates and coordinates support from Federal departments and agencies providing public works and infrastructure support assistance under their own authorities.
- Federal agencies are responsible for complying with appropriate Federal environmental and historic preservation statutes.

Concept of Operations

General

- The Department of Defense/U.S. Army Corps of Engineers (DOD/USACE) is the primary agency for providing ESF #3 technical assistance, engineering, and construction management resources and support during response activities.
- DHS/EPR/FEMA is the primary agency for providing ESF #3 recovery resources and support, to include assistance under the DHS/EPR/FEMA Stafford Act Public Assistance Program. The Public Assistance Program provides supplemental Federal disaster grant assistance for debris removal and disposal; emergency protective measures; and the repair, replacement, or restoration of disaster-damaged public facilities and the facilities of certain qualified private nonprofit organizations.
- Close coordination is maintained with Federal, State, local, and tribal officials to determine potential needs for support and to track the status of response and recovery activities.
- Priorities are determined jointly among Federal, State, local, and/or tribal officials. Federal ESF #3 support is integrated into the overall Federal, State, local, tribal, nongovernmental organization (NGO), and private-sector efforts.
- Support agency representatives collocate with ESF #3 field personnel to coordinate support with their agencies as necessary.

Organization

Headquarters ESF #3 Support

- Interagency Incident Management Group (IIMG): For all phases of incident management, ESF #3 can provide on-call subject-matter experts to support IIMG activities. For an incident where ESF #3 has responsibility for directing or managing a major aspect of the response, the ESF #3 primary agency may be a part of the IIMG Core Group.
- Homeland Security Operations Center (HSOC): ESF#3 identifies on-call representatives that can deploy to the HSOC, if required.

- National Response Coordination Center (NRCC): ESF #3 identifies on-call representatives that can deploy to the NRCC. Following a Presidential disaster declaration, DHS/EPR/FEMA Headquarters may deploy Public Assistance staff to initiate activities to support recovery operations.

- USACE Operations Center (UOC): The UOC coordinates the activation and deployment of national DOD/USACE teams and resources.

Regional-Level ESF #3 Support

- Regional Interagency Steering Committee (RISC): ESF #3 participates in RISC preparedness and coordination activities.

- Regional Response Coordination Center (RRCC): When activated by DHS/EPR/FEMA, ESF #3 representatives deploy to the RRCC. The ESF #3 Team Leader at the RRCC coordinates assignments, actions, and other support until the Joint Field Office (JFO) is established and mission execution responsibilities are transferred to the JFO ESF #3 Team Leader. ESF #3 provides incident-related reports and information to ESF #5 – Emergency Management. When activated by DHS/EPR/FEMA, ESF #3 representatives also deploy as members of the Emergency Response Team–Advance Element or the National Emergency Response Team. When activated, DHS/EPR/FEMA Public Assistance personnel deploy to initiate regional support.

Field-Level ESF #3 Support

- Joint Field Office: When activated by DHS/EPR/FEMA, ESF #3 personnel deploy to the JFO. ESF #3 is responsible for preparing statements of work, providing estimates of cost and completion dates for mission assignments, tracking mission execution, determining resource requirements, setting priorities, disseminating information, and providing public information and external communications support (in coordination with ESF #15 – External Affairs). When activated, DHS/EPR/FEMA Public Assistance personnel deploy to initiate State- or tribal-level support.

- JFO Coordination Group: For a flooding event or other incident where DOD/USACE has jurisdictional authority and/or responsibilities for directing or managing major aspects of the response, DOD/USACE may be requested to provide a Senior Federal Official to participate in the JFO Coordination Group.

- DOD/USACE Division Command: A DOD/USACE division is designated the responsibility for the execution of the ESF #3 missions issued to DOD/USACE. The USACE Division Commander may designate a Division Forward Commander to carry out the Division Commander's responsibilities for managing the resources to effectively and efficiently execute response and recovery missions. For missions requiring significant staffing, DOD/USACE may receive a mission assignment from DHS/EPR/FEMA to establish field offices to support the mission execution.

- Incident Command Post (ICP): If requested by the Unified Command, and required by the situation, ESF #3 provides staffing to coordinate and integrate public works and engineering support at the ICP.

Actions

Headquarters: Upon activation of ESF #3:

- The UOC:

  - Notifies the Assistant Secretary of Defense for Homeland Defense, the Joint Directorate of Military Support, and the Army Operations Center of the activation; and

  - Provides situation reports to the Army Operations Center and the appropriate combatant command.

- The designated staff of the DOD/USACE Office of Homeland Security coordinates with the Office of the Assistant Secretary of Defense for Homeland Defense and DHS to provide the appropriate representation to the IIMG and/or the HSOC. The UOC expands or surges as required to meet the needs of the incident.

- The DOD/USACE ESF #3 Team Leader is designated and deployed to the NRCC.

- The UOC coordinates the activation and deployment of national DOD/USACE teams and resources, as required.

Regional and Field

- Upon activation of ESF #3, the DOD/USACE Division Emergency Operations Center notifies the USACE Division Commander. The Division Commander coordinates with Headquarters USACE for the appropriate ESF #3 personnel support.

- The UOC designates and deploys an ESF #3 Team Leader to the RRCC and/or the JFO, as required, to coordinate the ESF #3 mission execution.

ESF #3 Incident Actions

Activities within the ESF #3 function include but are not limited to the following:

- Coordination and support of infrastructure risk and vulnerability assessments.

- Participation in pre-incident activities, such as pre-positioning assessment teams and contractors, and deploying advance support elements.

- Participation in post-incident assessments of public works and infrastructure to help determine critical needs and potential workloads.

- Implementation of structural and nonstructural mitigation measures, including deploying of protective measures, to minimize adverse effects or fully protect resources prior to an incident.

- Execution of emergency contracting support for life-saving and life-sustaining services, to include providing potable water, ice, emergency power, and other emergency commodities and services.

- Providing assistance in the monitoring and stabilization of damaged structures and the demolition of structures designated as immediate hazards to public health and safety. Also, providing structural specialist expertise to support inspection of mass care facilities and urban search and rescue operations.

- Providing emergency repair of damaged infrastructure and critical public facilities (temporary power, emergency water, sanitation systems, etc.). Supporting the restoration of critical navigation, flood control, and other water infrastructure systems. Where appropriate, activities to restore infrastructure (e.g., debris removal, temporary housing mission, etc.) are closely coordinated with ESF #11 – Agriculture and Natural Resources. As appropriate, ESF #3 requests ESF #11 to provide technical support to help facilitate ESF #3 efforts to obtain necessary regulatory (cultural and environmental) clearances for infrastructure restoration activities.

- Managing, monitoring, and/or providing technical advice in the clearance, removal, and disposal of contaminated and uncontaminated debris from public property and the reestablishment of ground and water routes into impacted areas. The scope of actions related to contaminated debris may include waste sampling, classification, packaging, transportation, treatment, demolition, and disposal of contaminated debris and soil. The management of contaminated debris is coordinated with ESF #10 – Oil and Hazardous Materials Response. For purposes of ESF #3, contaminated debris is intended to mean debris (e.g., general construction debris/rubble) that is being addressed within the debris zone and to support the overall objectives of ESF #3, such as clearing roads and public property. Waste management related to hazardous site remediation is addressed under ESF #10. The debris zone is defined by appropriate representatives from ESF #3 and ESF #10 and guided by the physical limits of any blast, explosion, or detonation related to the incident and/or the disposition of general construction debris/rubble in the surrounding area resulting from the incident.

- Providing technical assistance to include engineering expertise, construction management, contracting, inspection of private/commercial structures, and real estate services.

- Implementation and management of the DHS/EPR/FEMA Public Assistance Program and other recovery programs between and among Federal, State, and tribal officials, to include efforts to permanently repair, replace, or relocate damaged or destroyed public facilities and infrastructure. Recovery activities are coordinated with ESF #14 – Long-Term Community Recovery and Mitigation.

Responsibilities

- **ESF Coordinator:** DOD/USACE is designated as the coordinator for ESF #3. As ESF coordinator, DOD/USACE coordinates meetings, plans, exercises, training, and other activities with DHS/EPR/FEMA, the private sector, and the ESF #3 support agencies.

- **Primary Agency – Response:** DOD/USACE, as the primary ESF #3 agency for response, provides direction and coordination of ESF #3 response-related activities and resources. DOD/USACE has developed an ESF #3 Field Guide that provides information on tools and processes used for ESF #3 mission support.

- **Primary Agency – Recovery:** DHS/EPR/FEMA, as the primary ESF #3 agency for recovery, assigns an ESF #3 Public Assistance Officer to coordinate and manage interagency infrastructure recovery programs and the DHS/EPR/FEMA Public Assistance Program. DHS/EPR/FEMA maintains and provides a Public Assistance Guide that contains information regarding program eligibility, application processes, and project requirements.

Support Agencies

Agency	Functions
Department of Agriculture (USDA)	▪ Provides engineering and contracting/procurement personnel and equipment to assist in emergency removal of debris, demolition, repair of roads and bridges, temporary repair of essential public facilities, and water supply. ESF #4 – Firefighting or the USDA/Forest Service Disaster and Emergency Operations Branch is the contact for this support. ▪ Provides technical personnel to evaluate damage to water control facilities. The Natural Resources Conservation Service (NRCS) is the regional contact for this support.
Department of Commerce	Provides direct technical support and advice on procurement of external consulting services for assessing the structural and fire safety of damaged buildings and lifelines (public works and utilities). The Interagency Committee on Seismic Safety in Construction, Building and Fire Research Laboratory, National Institute of Standards and Technology, is the point of contact.

Agency	Functions
Department of Energy	▪ Gathers, assesses, and shares information on energy system damage and estimations on the impact of energy system outages within affected areas. Provides information concerning the energy restoration process such as projected restoration schedules, percent completion of restoration, geographic information on the restoration, and other information as appropriate. ▪ Enables radiologically contaminated debris management activities by coordinating and/or providing resources, assessments, data, expertise, technical assistance, monitoring, and other appropriate support.
Department of Health and Human Services (HHS)	▪ Supplies engineering and environmental health personnel to assist in assessing the status of wastewater and solid-waste facilities. ▪ Provides guidance related to health problems associated with hazardous materials. ▪ Assists in determining the suitability for human consumption of water from local sources. ▪ Enables contaminated debris management activities by coordinating and/or providing resources, assessments, data, expertise, technical assistance, monitoring, and other appropriate support.
Department of Homeland Security	**Information Analysis and Infrastructure Protection Directorate** ▪ **Protective Security Division (PSD):** Supports ESF #3 infrastructure protection and mitigation missions by providing infrastructure risk and vulnerability assessments in response to actionable intelligence and other information. ▪ **Infrastructure Coordination Division (ICD):** Works with the Infrastructure Liaison concerning issues dealing with the recovery and restoration of the associated critical infrastructure sector, supported by this ESF, including the allocation and prioritization of resources.
	U.S. Coast Guard ▪ Coordinates the marking and removal of obstructions declared to be hazards to navigation. ▪ Assists in debris and contaminated debris management activities when debris or runoff impacts navigable waters. This includes coordinating and/or providing resources, assessments, expertise, technical assistance, monitoring, and other appropriate support.

Agency	Functions
Department of the Interior	▪ Provides engineering support to assist in evaluating damage to water control systems, such as dams, levees, and water delivery facilities and structures. ▪ Provides personnel to assist in damage assessment, structural inspections, debris clearance monitoring, and restoration of facilities in general. ▪ Provides technical assistance in contract management, contracting, procurement, construction inspection, and environmental and archeological assessments. ▪ Provides tribal nation liaisons, as described in the Tribal Relations Support Annex, if required.
Department of Labor (DOL)	The Occupational Safety and Health Administration (DOL/OSHA) provides worker safety advice, assistance, and policy support for debris removal, building demolition, and other ESF #3 activities.
Department of Transportation	▪ Provides technical expertise and assistance for repair and restoration of transportation infrastructure (e.g., highways, bridges, tunnels, transit systems, port facilities, and railways) and provides advice and assistance on the transportation of contaminated materials. ▪ Provides engineering personnel and support to assist in damage assessment, structural inspections, debris clearing, and restoration of the Nation's transportation infrastructure. ▪ Administers special funding that can be used for repair or reconstruction of major highway facilities and as well as grant programs for transit systems and railroads that could be used for repair and rehabilitation of damaged infrastructure.
Department of Veterans Affairs	Provides engineering personnel and support, including design estimating and construction supervision for repair, reconstruction, and restoration of eligible facilities.

Agency	Functions
Environmental Protection Agency	▪ Conducts infrastructure protection activities for drinking water and water treatment agencies, in accordance with its responsibilities as the designated Sector-Specific Agency for this sector as described in Homeland Security Presidential Directive-7. ▪ Assists, in conjunction with HHS, in determining the suitability for human consumption of water from local sources and in identifying hazardous materials having the potential to affect drinking water supplies. Assists in identifying water and wastewater needs. Supplies sanitary engineers to assess wastewater and solid-waste facilities. Provides bio-surveillance, warning, and detection capabilities. ▪ Assists in locating disposal sites for debris clearance activities. ▪ Identifies locations and provides safety guidance for areas affected by hazardous materials. Ensures the protection and cleanup of these areas. ▪ Assists contaminated debris management activities by coordinating and/or providing resources, assessments, data, expertise, technical assistance, monitoring, and other appropriate support. ▪ Assists in investigation and intelligence analysis for hazardous materials incidents involving contaminated wastewater or drinking water systems.
General Services Administration	▪ Provides personnel and contractors to assist in damage assessment, structural inspections, debris clearance monitoring, and restoration of facilities in general. ▪ Provides technical assistance in contract management, contracting, procurement, construction inspection, and environmental and archeological assessments.
Nuclear Regulatory Commission	Assists radiological contaminated debris management activities by coordinating and/or providing resources, assessments, data, expertise, technical assistance, monitoring, and other appropriate support.
Tennessee Valley Authority	Provides personnel to assist in damage assessment, structural inspections, debris clearance monitoring, and restoration of facilities in general.
American Red Cross	Works with DOD/USACE; DHS/EPR/FEMA; other Federal, State, local, and tribal government entities; and other NGOs to ensure integration of ice and water requirements and distribution processes into mass care operations.

Emergency Support Function #4 – Firefighting Annex

ESF Coordinator:

Department of Agriculture/Forest Service

Primary Agency:

Department of Agriculture/Forest Service

Support Agencies:

Department of Commerce
Department of Defense
Department of Homeland Security
Department of the Interior
Environmental Protection Agency

Introduction

Purpose

Emergency Support Function (ESF) #4 – Firefighting enables the detection and suppression of wildland, rural, and urban fires resulting from, or occurring coincidentally with, an Incident of National Significance.

Scope

ESF #4 manages and coordinates firefighting activities, including the detection and suppression of fires on Federal lands, and provides personnel, equipment, and supplies in support of State, local, and tribal agencies involved in rural and urban firefighting operations.

Policies

- Priority is given to public and firefighter safety and protecting property, in that order.
- Processes and procedures established by the National Wildland Coordinating Group (NWCG) in the National Interagency Mobilization Guide are followed in responding to Incidents of National Significance under the National Response Plan (NRP).
- National support is accomplished through the National Interagency Coordination Center (NICC) located at the National Interagency Fire Center (NIFC) in Boise, ID.
- Coordination with, and support of, State and local fire suppression organizations is accomplished through the State Forester, in cooperation with the State Fire Marshal, State emergency management agency, or other appropriate State agency and/or tribal fire suppression organizations operating under the National Incident Management System (NIMS)/Incident Command System (ICS).
- The coordinator for ESF #4 – Firefighting is the Department of Agriculture (USDA)/Forest Service, at the headquarters level. For operations that occur in the State of Alaska, operational lead for firefighting response is the Department of the Interior/Bureau of Land Management (DOI/BLM).

Concept of Operations

General

- ESF #4 manages and coordinates Federal firefighting activities. This function is accomplished by mobilizing firefighting resources in support of State, local, and tribal wildland, rural, and urban firefighting agencies.

ESF #4 uses established firefighting and support organizations, processes, and procedures outlined in the National Mobilization Guide. Responsibility for situation assessment and determination of resource needs lies primarily with the local incident commander.

- Requests for firefighting assistance and resources are transmitted from the Joint Field Office (JFO) ESF #4 representative to the appropriate Geographic Area Coordination Center (GACC). For resources beyond those available within the geographic area, the requests are sent to the NICC in Boise, ID, by the Geographical Area Coordinator. The NICC contacts the ESF #4 coordinator in the event of national-level shortages or unavailability of needed resources.

- Resolution of shortages is pursued by the National Response Coordination Center (NRCC) and, when necessary, by the Interagency Incident Management Group (IIMG). Actual firefighting operations are managed under the ICS. Situation and damage assessment information is transmitted through established fire suppression channels and directly between the headquarters-level and regional-level functions according to NIMS procedures.

Organization: ESF #4 has a parallel structure at the national and regional levels.

Headquarters-Level Response Support Structure

- The USDA Homeland Security Office represents the USDA/Forest Service on the IIMG.

- The ESF #4 coordinator operates under the direction of the Assistant Director for Planning, Fire, and Aviation Management, Forest Service. Assistance is provided as necessary by the Forest Service and DOI Fire Directors at the NIFC.

- The Forest Service Disaster and Emergency Operation Branch Chief serves as the ESF #4 coordinator. The ESF #4 coordinator or representative reports to and is a member of the NRCC, when activated. This position is the link to the National Director for Fire and Aviation Management at Forest Service Headquarters.

- The ESF #4 coordinator, through the NRCC, provides subject-matter expertise to the IIMG and, based on recommended Department of Homeland Security requirements, may be operational on a 24-hour basis. Supporting agencies' representatives are available by telephone or pager on a 24-hour basis, when necessary.

- National logistics support and mobilization of resources are provided by the NICC.

Regional-Level Response Structure

- Federal firefighting response support is coordinated by the regional/area ESF #4 coordinator provided by the Forest Service regional/area office. The regional ESF #4 coordinator is responsible for establishing and maintaining coordination with the national ESF #4 coordinator, regional support agencies, and the JFO. Regional firefighting response and logistics support is provided by GACCs and the NICC in accordance with established Mobilization Guides. Supporting agencies have representatives available by telephone or pager on a 24-hour basis for the duration, as necessary.

Notification

Upon notification of a potential or actual event requiring ESF #4 response, the National ESF #4 coordinator notifies the Regional/Area Fire Coordinators, the NICC, and the DOI Departmental Emergency Coordinator.

Actions

Pre-Incident

- Prevention: Policies, procedures, and guidelines for wildland fires are established in the National Interagency Fire Prevention Plan.

- Preparedness: National preparedness planning levels for wildland fire suppression are established by the NWCG in the National Interagency Mobilization Guide.

Incident

- Initial Response Actions: The national ESF #4 coordinator or representative:

  - Reports to the NRCC within 2 hours of notification;

- Establishes communication links with support agencies, the USDA Emergency Operations Center, the National Director for Fire and Aviation Management at Forest Service Headquarters, and Forest Service Assistant Director–Operations at the NIFC;

- Establishes communication links with the Regional/Area Fire Coordinators; and

- Obtains an initial fire situation and damage assessment through established intelligence procedures.

Post-Incident

- Continuing Response Actions: The national ESF #4 coordinator or representative:

  - Obtains, maintains, and provides incident situation and damage assessment information through established procedures;

  - Coordinates incident resource needs, and determines and resolves, as necessary, issues regarding resource shortages and resource ordering issues, interagency conflicts, and policy matters referred by the IIMG;

  - Maintains close coordination through the NRCC with the IIMG, Regional Response Coordination Center, support agencies, NICC, JFO, and Incident Command Post; and

  - Maintains a complete log of actions taken, resource orders, records, and reports.

Recovery: Resource rehabilitation and demobilization policies and procedures are established in the National Interagency Mobilization Guide and Interagency Incident Business Management Handbook.

Responsibilities

ESF Coordinator/Primary Agency: USDA/Forest Service

- Provides qualified representatives to serve as national ESF #4 coordinator, regional/area ESF coordinator, and ESF coordinator at the JFO.

- Requests assistance from supporting agencies as necessary to accomplish ESF #4 responsibilities.

- Provides logistics support through the GACC and/or NICC for mobilizing resources for firefighting.

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

- Provides and coordinates firefighting assistance to other Federal land management, State forestry, and local fire organizations as requested under the terms of existing agreements and the NRP.

- Arranges for direct liaison with fire chiefs in the designated area to coordinate requests for firefighting assistance in structural or industrial fire protection operations.

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

Support Agencies

Agency	Functions
Department of Commerce	▪ Provides fire/weather forecasting as needed from the NIFC in Boise, ID, or from a nearby National Weather Service Forecast Office under the terms of existing interagency agreements. ▪ Provides urban and industrial hazard analysis support through the Building and Fire Research Laboratory of the National Institute of Standards and Technology. ▪ Provides fire/weather support under the terms of the National Agreement for Meteorological Services in Support of Agencies with Land Management and Fire Protection Responsibilities. ▪ Provides forecasts of the dispersion of smoke in support of planning and response activities.
Department of Defense (DOD)	▪ Assumes full responsibility for firefighting activities on DOD installations. ▪ Supports firefighting operations on nonmilitary lands with personnel, equipment, and supplies under the terms of the existing interagency agreement, including the arrangement of liaisons as required. ▪ U.S. Army Corps of Engineers: Provides contracting services through ESF #3 to urban and rural firefighting forces to obtain heavy equipment and/or demolition services as needed to suppress incident-related fires.
Department of Homeland Security	**Emergency Preparedness and Response Directorate/Federal Emergency Management Agency/U.S. Fire Administration** ▪ Provides subject-matter experts/expertise regarding structural/urban/ suburban fire and fire-related activities. ▪ Maintains a representative at the NIFC to assist with national coordination.
	U.S. Coast Guard Provides support for marine firefighting incidents.
Department of the Interior	▪ Assumes full responsibility for fighting wildfires burning on lands within its jurisdiction. ▪ Assists the Forest Service in managing and coordinating firefighting operations. ▪ Provides firefighting assistance to other Federal land management organizations as requested under the terms of existing agreements and the NRP.

Agency	Functions
Environmental Protection Agency	▪ Provides technical assistance and advice in the event of fires involving hazardous materials. ▪ Provides assistance in identifying an uncontaminated water source for firefighting.
Other Organizations	State forestry organizations in most States are responsible for wildland firefighting on non-Federal lands. States may assist other States in firefighting operations and may assist Federal agencies through agreements. In addition, resources may be provided through Emergency Management Assistance Compact. Private-sector resources are mobilized through standard contract procedures.

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Emergency Support Function #5 – Emergency Management Annex

ESF Coordinator:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Primary Agency:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of Housing and Urban Development
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of the Treasury
Department of Veterans Affairs
Environmental Protection Agency
Federal Communications Commission
General Services Administration
National Aeronautics and Space Administration
Nuclear Regulatory Commission
Office of Personnel Management
Small Business Administration
Tennessee Valley Authority
U.S. Postal Service
American Red Cross

Introduction

Purpose

Emergency Support Function (ESF) #5 – Emergency Management is responsible for supporting overall activities of the Federal Government for domestic incident management. ESF #5 provides the core management and administrative functions in support of National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), and Joint Field Office (JFO) operations.

Scope

ESF #5 serves as the support ESF for all Federal departments and agencies across the spectrum of domestic incident management from prevention to response and recovery. ESF #5 facilitates information flow in the pre-incident prevention phase in order to place assets on alert or to pre-position assets for quick response. During the post-incident response phase, ESF #5 transitions and is responsible for support and planning functions. ESF #5 activities include those functions that are critical to support and facilitate multiagency planning and coordination for operations involving potential and actual Incidents of National Significance. This includes alert and notification, deployment and staffing of Department of Homeland Security (DHS) emergency response teams, incident action planning, coordination of operations, logistics and material, direction and control, information management, facilitation of requests for Federal assistance, resource acquisition and management (to include allocation and tracking), worker safety and health, facilities management, financial management, and other support as required.

Policies

- ESF #5 is responsible for establishing the Federal support infrastructure in the affected State or region in anticipation of requirements for prevention, response, and recovery Federal assistance.

- Governors' requests for Federal assistance to the President under the Stafford Act are coordinated through DHS/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA).

- Resource allocation and taskings are coordinated through ESF #5 using the DHS/EPR/FEMA mission assignment process and other procedures outlined in the National Response Plan (NRP) Financial Management Support Annex. For catastrophic incidents, ESF #5 implements the Execution Checklist for proactive deployment of Federal staff and emergency response teams as outlined in the NRP Catastrophic Incident Annex.

- ESF #5 staff identifies and resolves resource allocation issues identified at the JFO, the RRCC, and/or the NRCC. Those issues that cannot be resolved at the NRCC level are referred to the Interagency Incident Management Group (IIMG).

- ESF #5 staff provides the informational link between the NRCC and the Homeland Security Operations Center (HSOC) headquarters element. ESF #5 serves as the centralized conduit for Federal situation reports to the HSOC from the various ESFs.

- Departments and agencies participate in the incident action planning process coordinated by ESF #5.

- ESF #5 provides representatives to staff key positions on Emergency Response Teams (national and advance elements) in support of the JFO Coordination Group.

- ESF #5 staff establishes required field facilities, supplies, and equipment to support Federal activities related to the management of Incidents of National Significance. These facilities include, but are not limited to the JFO, the Joint Information Center (JIC), Interim Operating Facilities (IOFs), mobilization centers, Federal staging areas, and Disaster Recovery Centers.

- ESF #5 staff supports the implementation of mutual aid agreements to ensure a seamless resource response to affected States and jurisdictions.

- ESF #5 maintains an on-call workforce of trained and skilled reserve employees to provide surge capability to perform essential emergency management functions on short notice and for varied duration.

- The DHS/EPR/FEMA Operations Center is responsible for notifying the Federal departments and agencies, as well as State and local emergency management organizations, of potential threats to enable the elevation of operational response postures or the pre-positioning of assets.

Concept of Operations

General

- ESF #5 provides a trained and experienced staff to fill management positions in the Command, Operations, Planning, Logistics, and Finance and Administration Sections of the NRCC, RRCC, IOF, and JFO, if activated or established.

- The NRCC, staffed by ESF #5 and other ESFs when activated, monitors potential or developing incidents and supports the efforts of regional and field operations.

- ESF #5 supports the activation and deployment of the DHS Federal Incident Response Support Team (FIRST).

- The RRCC, staffed by ESF #5 and other ESFs as required, coordinates operations and situational reporting to the NRCC until the JFO is operational.

- ESF #5 operations transition from the RRCC to the JFO, when the JFO is established. When the JFO begins to stand-down operations, ESF #5 operations transition back to the RRCC.

Organizational Structure: ESF #5 is organized in accordance with the National Incident Management System (NIMS). The ESF #5 structure supports the general staff functions described in the NIMS at each of the Federal multiagency coordination centers (e.g., NRCC, RRCC, IOF, JFO). These functions include:

- **Command Support:** ESF #5 supports the command function by providing senior staff, incident action planning capabilities, information, administrative, logistics, and financial support functions. When appropriate, ESF #5 activates the Department of Labor/Occupational Safety and Health Administration (DOL/OSHA) to provide appropriate staff to coordinate and implement the safety functions required by the command staff. (See the Worker Safety and Health Support Annex for details.)

- **Operations:** DHS/EPR/FEMA provides staff for the Operations Section Chief and Operations Branch Director positions to coordinate the Human Services, Infrastructure Support, Emergency Services, and Mitigation and Community Recovery Branches (various ESFs also provide key staff for these areas); processes requests for assistance; and initiates and manages the mission assignment and/or the reimbursement agreement.

- **Planning:** ESF #5 provides the Planning Section Chief and Planning Branch Director positions. ESF #5 provides for the collection, evaluation, dissemination, and use of information regarding incident prevention and response actions and the status of resources. The Planning Section is responsible for the Federal incident action planning process. This includes preparing and documenting incident priorities; establishing the operational period and tempo; and developing contingency, long-term, demobilization, and other plans related to the incident, as needed. The Planning Section also coordinates with the DHS Science and Technology Directorate and agencies with special technical capabilities to request support for geospatial intelligence, modeling, and forecasting.

- **Logistics:** ESF #5 provides staff for the Logistics Section Chief to manage the control and accountability of Federal supplies and equipment; resource ordering; delivery of equipment, supplies, and services; resource tracking; facility location and operations; transportation coordination; and information technology systems services and other administrative services. The Logistics Section coordinates closely with ESF #7 – Resource Support and implements the Logistics Management Support Annex. The Logistics Section Chief also coordinates with the DHS Office of Asset Management, as necessary, to identify and deploy DHS assets.

- **Finance/Administration:** ESF #5 provides staff for the Finance and Administration Section Chief to monitor funding requirements and incident costs. The Finance/Administration Section is responsible for employee services, including security for personnel, facilities, and assets. The Finance/Administration Section implements the Financial Management Annex.

Actions

DHS Headquarters

- When there is a credible threat, DHS may take several actions, including but not limited to activating the IIMG, deploying a Principal Federal Official (PFO) and supporting staff to the threat area, and pre-positioning strategic assets. The HSOC monitors the situation and notifies the NRCC and other DHS component operations centers appropriately.

- The PFO cell, when deployed pre-incident, reports back to the HSOC and IIMG. These PFO situation reports are pushed from the HSOC to the NRCC, for situational awareness and for determination of the need to activate ESF #5 and other ESFs.

DHS/EPR/FEMA Headquarters Level

- When an incident occurs or has the potential to occur, DHS/EPR/FEMA activates ESF #5 by increasing staffing and the operational tempo at the NRCC and RRCC, as required. Actions include alert, notification, and situation reporting in coordination with the HSOC headquarters element. Once activated, ESF #5 is operational at the NRCC on a 24-hour basis.

- ESF #5 maintains constant communications with the affected State emergency operations center and convenes periodic video teleconferences with all appropriate parties to coordinate the joint local, State, and Federal operations.

- ESF #5 provides situation reports and other information as required to the NRCC, a functional component of the HSOC, in accordance with HSOC standard operating procedures and protocols.

- DHS/EPR/FEMA activates the ESFs required to handle the threat or incident at hand, issues initial activation mission assignments, and establishes reporting and communications protocols with the activated agencies and the Federal Coordinating Officer.

- DHS/EPR/FEMA establishes and deploys special teams under operational control of headquarters, including the National Emergency Response Team, Mobile Emergency Response Support, Nuclear Incident Response Team, Mobile Air Transportable Telecommunications System, National Disaster Medical System, and FIRST in coordination with ESF #8.

- ESF #5 staff develops the initial Incident Action Plan outlining Federal operations priorities and coordinates with other ESFs to implement the plan.

- ESF #5 staff develops the schedule for staffing and operating the NRCC from activation to stand-down.

Regional and Field Level

- When an incident occurs or has the potential to occur, appropriate DHS/EPR/FEMA regions activate and increase the operational tempo of ESF #5. This includes alert, notification, and situation-reporting to regional and field components. This also includes staffing and operating the RRCC on a 24-hour basis.

- ESF #5 staff makes initial contact with the affected State(s) and reviews capabilities and shortfalls as a means of determining initial response requirements for Federal support.

- ESF #5 staff develops and issues the appropriate operational orders to the required ESFs, issues initial activation mission assignments or reimbursement agreements, and establishes reporting and communications protocols with the activated agencies.

- DHS/EPR/FEMA regions activate and deploy the Emergency Response Team – Advance Element and Rapid Needs Assessment team, including representatives of other ESFs as appropriate.

- ESF #5 staff develops the initial Incident Action Plan and coordinates with other ESFs to implement the plan.

- DHS/EPR/FEMA staffs and operates the RRCC along with representatives of other ESFs.

- ESF #5 initiates actions to identify, staff, and operate the JFO.

- DHS/EPR/FEMA regions establish communications with the affected State(s) to coordinate initial requests for Federal assistance, including coordination of the initial response resources.

- The RRCC coordinates initial provisions of the Federal-State Agreements that must be signed by the Governor and the DHS/EPR/FEMA Regional Director.

Incident Planning and Management Activities

- ESF #5 helps maintain situational awareness of the threat or incident, in coordination with the HSOC, from first Federal engagement until closeout. It coordinates and represents the Federal interest in the Federal-State operational partnership and ensures that State, local, tribal, and individual applicants receive timely, equitable, and comprehensive assistance as provided for in Federal statutes and directives.

- As the operation progresses from the pre-incident phase through response and into recovery, ESF #5 continues to provide immediate, short-term, and long-term planning functions in coordination with the other ESFs engaged in the operation and with those who are operating under agency statutory authorities. As the State assumes greater responsibility for the recovery operation, ESF #5 coordinates the responsible and orderly termination of Federal assistance. Each section of the Emergency Response Team (ERT) in the JFO continues to execute responsibility until the operation is suspended and the Federal presence is no longer necessary.

Responsibilities

Primary Agency: As the primary agency, DHS/EPR/FEMA:

- Activates and convenes Federal emergency assets and capabilities to prevent and respond to an Incident of National Significance, and coordinates with State, regional, local, and tribal law enforcement agencies and emergency management organizations.

- Coordinates Federal planning activities including immediate, short-term, and long-range planning. The response planning and operations implementation priorities of the Federal Government are developed, tracked, and implemented through ESF #5.

- Coordinates the use of remote sensing and reconnaissance operations, activation and deployment of assessment personnel or teams, and Geographic Information System support needed for incident management.

- Coordinates overall staffing of Federal emergency management activities at the NRCC, RRCC, and JFO levels, including which ESFs are activated, the size and composition of the organizational structure, the level of staffing at the above facilities, and the key personnel required to staff the Section Chief and other command staff positions.

Support Agencies

- Support agencies' responsibilities and capabilities are outlined in the NRP Base Plan and ESF Annexes.

- Support agencies provide personnel to the ERT/JFO, RRCC, or NRCC, as requested, to assist ESF operations and provide reports to ESF #5. All agencies, as appropriate, identify staff liaisons or points of contact to provide technical and subject-matter expertise, data, advice, and staff support for operations that fall within the domain of each agency. Support capabilities of other organizations may be used as required and available.

- All DHS components/directorates provide support as required.

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Emergency Support Function #6 – Mass Care, Housing, and Human Services Annex

ESF Coordinator:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Primary Agencies:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency
American Red Cross

Support Agencies:

Department of Agriculture
Department of Defense
Department of Health and Human Services
Department of Homeland Security
Department of Housing and Urban Development
Department of the Interior
Department of Justice
Department of Labor
Department of Transportation
Department of the Treasury
Department of Veterans Affairs
General Services Administration
Office of Personnel Management
Small Business Administration
Social Security Administration
U.S. Postal Service
Corporation for National and Community Service
National Voluntary Organizations Active in Disaster

Introduction

Purpose

Emergency Support Function (ESF) #6 – Mass Care, Housing, and Human Services supports State, regional, local, and tribal government and nongovernmental organization (NGO) efforts to address the nonmedical mass care, housing, and human services needs of individuals and/or families impacted by Incidents of National Significance.

Scope

- ESF #6 promotes the delivery of services and the implementation of programs to assist individuals, households and families impacted by potential or actual Incidents of National Significance. This includes economic assistance and other services for individuals impacted by the incident.

- ESF #6 includes three primary functions: Mass Care, Housing, and Human Services.

- Mass Care involves the coordination of nonmedical mass care services to include sheltering of victims, organizing feeding operations, providing emergency first aid at designated sites, collecting and providing information on victims to family members, and coordinating bulk distribution of emergency relief items.

- Housing involves the provision of assistance for short- and long-term housing needs of victims.

- Human Services include providing victim-related recovery efforts such as counseling, identifying support for persons with special needs, expediting processing of new Federal benefits claims, assisting in collecting crime victim compensation for acts of terrorism, and expediting mail services in affected areas.

Policies

ESF #6 policy and concept of operations apply to Federal departments and agencies and the American Red Cross for activities relating to potential or actual Incident of National Significance. Underlying principles include the following:

- ESF #6 support may vary depending on an assessment of incident impact(s), the magnitude and type of event, and the stage of the response and recovery efforts.
- Supporting mass care activities and providing services without regard to economic status or racial, religious, political, ethnic, or other affiliation.
- Supporting ESF #6 activities and providing services in accordance with existing Federal statutes, rules, and regulations.
- Assigning personnel to support ESF #6 functions in accordance with the rules and regulations of their respective parent agencies.
- Coordinating with ESFs #1, #3, #5, and #14 regarding recovery and mitigation assistance, as appropriate.
- Reducing duplication of effort and benefits, to the extent possible. This includes streamlining assistance as appropriate, and identifying recovery and mitigation measures to support State and local planning efforts.

Concept of Operations

General

- Initial response activities focus on meeting urgent mass care needs of victims.
- Recovery efforts are initiated concurrently with response activities. Close coordination is required among those Federal agencies responsible for response operations and recovery activities, and other nongovernmental organizations providing assistance.
- ESF #6 functions are divided into three main areas. The principal activities for each functional area are described in the following sections.

Mass Care

The ESF #6 mass care function includes overall coordination, shelter, feeding and other activities to support emergency needs of victims as described below:

- **Coordination.** This includes coordination of Federal assistance in support of nonmedical mass care services, and gathering information related to sheltering and feeding operations in the impacted area.
- **Shelter:** Emergency shelter includes the use of pre-identified shelter sites in existing structures, creation of temporary facilities or the temporary construction of shelters, and use of similar facilities outside the incident area, should evacuation be necessary.
- **Feeding:** Feeding is provided to victims through a combination of fixed sites, mobile feeding units, and bulk distribution of food. Feeding operations are based on sound nutritional standards to include meeting requirements of victims with special dietary needs to the extent possible.
- **Emergency First Aid:** Emergency first aid, consisting of basic first aid and referral to appropriate medical personnel and facilities, is provided at mass care facilities and at designated sites.
- **Disaster Welfare Information (DWI):** DWI collects and provides information regarding individuals residing within the affected area to immediate family members outside the affected area. The system also aids in reunification of family members within the affected area.

- **Bulk Distribution:** Emergency relief items to meet urgent needs are distributed through sites established within the affected area. These sites are used to coordinate mass care food, water, and ice requirements, and distribution systems with Federal, State, local, and tribal governmental entities and NGOs.

Housing

The ESF #6 housing function addresses needs of victims in the affected areas, and is accomplished through the implementation of programs and services designed to:

- Provide assistance for the short- and long-term housing needs of victims.

- Identify the various factors that could impact the incident-related housing needs and help develop a plan of action to provide housing assistance in the most effective, expedited, and efficient manner available at the time.

- Identify solutions for short- and long-term housing for victims, as appropriate. Housing assistance provided to victims may include rental assistance, temporary housing, loans for the repair and/or replacement of primary residences, etc.

Human Services

The ESF #6 human services component implements programs and provides services to assist victims. This includes:

- Coordinating and assessing the situation and implementing an appropriate plan based on the resources available to assist all victims.

- Supporting various services impacting individuals and households, including a coordinated system to address victims' incident-related recovery efforts through crisis counseling and other supportive services.

- Coordinating and identifying individuals with special needs within the impacted area, to include the elderly, people with disabilities, and people communicating in languages other than English (including sign language).

- Supporting immediate, short-term assistance for individuals, households, and groups dealing with the anxieties, stress, and trauma associated with a disaster, act of terrorism, and/or incident of mass criminal violence.

- Supporting expedited processing of new Federal benefits claims (e.g., Social Security, veterans benefits, disaster unemployment assistance, and Federal tax refunds).

- Supporting Federal, State, local, and tribal efforts to provide assistance and crime victim compensation in incidents resulting from terrorism or acts of mass criminal violence, as appropriate.

- Ensuring water, ice, and other emergency commodities and services requirements are delivered to appropriate entities.

- Providing support to expedite mail services in affected areas.

Organization

Headquarters-Level Response Structure

- Following ESF #6 activation, the primary agencies convene to evaluate the situation and respond accordingly.

- Primary and support agencies are available on an "as needed" basis for the duration of the emergency response period.

- ESF #6 may provide representatives to the National Response Coordination Center (NRCC) or the Interagency Incident Management Group (IIMG), as required.

Regional-Level Response Structure

- The regional-level response includes providing representatives to the Advance Element of the Emergency Response Team, the ESF #6 section in the Regional Response Coordination Center (RRCC), Joint Field Office (JFO), and Disaster Recovery Centers.

- Activities in the region normally commence with activation by a Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) Regional Director. As the situation develops and it is determined that Federal assistance is required, deployment to the response location begins.

- Liaisons to other ESFs and/or related functions are identified and deployed by their respective agencies or departments, as needed.

- Liaisons from Federal support agencies assist the ESF #6 section at the RRCC and JFO as necessary, and otherwise are available on an "as needed" basis for the duration of the emergency response period.

Actions: Initial

Headquarters Level

- Assesses the situation, validates resource requests, and forecasts response needs.

- Provides technical assistance to the regional ESF #6 and NRCC.

- Coordinates ESF #6 resource requests with Federal departments and agencies and the NRCC.

- Validates resource requests from the regional ESF #6.

Regional Level

- Provides technical assistance to support incident priorities.

- Establishes communications with the national ESF #6 response structure.

- Assesses the situation and determines the adequacy of response and recovery activities.

- Provides technical assistance to the State Designated Mass Care Agency.

- Manages the process for requests for Federal assistance.

- Provides reports to the national ESF #6 response structure and JFO.

- Anticipates future requirements.

Actions: Ongoing

- Provides guidance for identifying potential housing resources.

- Works with Federal, State, tribal, and local authorities on the development of a recovery plan, as appropriate.

- Provides support for crisis counseling, disaster unemployment assistance, and disaster legal services.

- Assists with coordination and implementation of disaster assistance programs, as appropriate.

Responsibilities

ESF Coordinator: DHS/EPR/FEMA

- Activates appropriate support agencies.

- Coordinates logistical and fiscal activities supporting ESF #6 associated priorities and activation.

- Designates DHS/EPR/FEMA Recovery Division staff, with specific ESF coordination responsibilities, to ensure information and coordination support to the primary and support agencies, as appropriate.

- Plans and supports regular meetings with the primary and support agencies related to preparedness, response, and recovery activities.

- Ensures primary and support agencies are informed and involved in all meetings related to ESF #6 activities.

Primary Agencies: DHS/EPR/FEMA and the American Red Cross

- Provide leadership in coordinating and integrating overall Federal efforts associated with mass care, housing, and human services.

- For the purposes of the National Response Plan, the American Red Cross functions as an ESF primary organization in coordinating the use of Federal mass care resources in the context of Incidents of National Significance. For the purposes of ESF #6, any reference to Federal departments and agencies with respect to responsibilities and activities in responding to an Incident of National Significance includes the American Red Cross.

DHS/EPR/FEMA: As the primary agency for recovery activities pursuant to a Presidentially declared disaster or emergency, DHS/EPR/FEMA Recovery Division provides ESF #6 staff to assignment locations, as appropriate.

- Assists and coordinates the release of information for notification of relatives.

- Assists in establishing priorities and coordinating the transition of mass care operations with recovery activities based on incident information and the availability of resources that can be appropriately applied.

- Provides available resources such as cots, blankets, meals-ready-to-eat, other initial response resources, and logistical support, including communications, as appropriate.

- Assists in the provision of medical supplies and services.

American Red Cross: As the primary agency for mass care under ESF #6, the American Red Cross coordinates Federal mass care assistance in support of State and local mass care efforts.

Transition: As primary response activities are completed, incident management priorities place greater emphasis on recovery. ESF #6 provides procedures to ensure that:

- Transition is mutually determined by the primary agencies.

- American Red Cross staff remains activated during the initial phase of recovery activities to ensure all emergency response issues are addressed and to support the transition of related issues and responsibilities.

- As the mass care element of ESF #6 demobilizes, DHS/EPR/FEMA continues to coordinate the housing and human services elements.

Support Agencies

All ESF #6 support agencies must ensure that the primary agencies are aware of the functions and activities of all respective participating entities.

Agency	Responsibilities
Department of Agriculture	**Food and Nutrition Service (FNS)** ▪ Locates and secures supplies of food, including federally owned surplus foods, to supplement those in the disaster area. ▪ Provides statistics on the quantities and locations of food furnished by the FNS. ▪ Provides other food and nutritional assistance in accordance with ESF #11 – Agriculture and Natural Resources.
	Forest Service ▪ Provides available departmental resources (e.g., cots, blankets, sleeping bags, personnel) for shelters. ▪ Provides logistical guidance and support.
Department of Defense/U.S. Army Corps of Engineers	▪ Fulfills mass care requirements for ice and water in coordination with mass care elements of ESF #6. ▪ Provides assistance by inspecting mass care shelter sites to ensure suitability of facilities to safely shelter victims. ▪ Provides assistance in constructing temporary shelter facilities in the affected area, as required. ▪ Provides temporary housing support, such as temporary structures and expedited repair of damaged homes (to include temporary roofing or other repairs that facilitate reoccupation of minimally damaged structures), as necessary.
Department of Health and Human Services (HHS)	▪ Provides HHS workers to augment personnel assigned to shelters. ▪ Provides medical care and mental health services for impacted populations either in or outside the shelter locations. ▪ Provides casualty information from the affected area in support of a DWI system. ▪ Provides technical assistance for shelter operations related to food, vectors, water supply, and waste disposal. ▪ Assists in the provision of medical supplies and services.
Department of Homeland Security/National Disaster Medical System	Coordinates emergency medical care in shelters.

Agency	Responsibilities
Department of Housing and Urban Development (HUD)	▪ Provides information on available habitable housing units, owned or in HUD possession, within or adjacent to the incident area for use as emergency shelters and temporary housing. ▪ Provides available HUD staff to assist when needed with mass care and housing operations.
Department of the Interior	▪ Provides available departmental resources (e.g. cots, blankets, sleeping bags, personnel) for shelters. ▪ Provides logistical guidance and support.
Department of Justice	▪ In response to an act of criminal mass victimization (mass violence, domestic or international terrorism), the Office for Victims of Crime may coordinate with Federal, State, local, and tribal service providers in the provision of assistance via the Antiterrorism and Emergency Assistance Program or other mechanisms. ▪ Provides Federal Tort Claims Act guidance and claims resolution services in support of ESF #6 American Red Cross activities.
Department of Labor	The Occupational Safety and Health Administration provides technical assistance related to worker safety and health issues.
Department of Transportation	Provides coordination of transportation resources, highway information and other resources related to supporting transportation activities.
Department of Treasury, Internal Revenue Service	▪ Distributes disaster kits containing tax forms and publications to help victims determine the amount of a casualty loss deduction for destroyed property. ▪ Assists victims with filing claims for tax refunds. ▪ Assists victims with obtaining copies of filed tax returns.
Department of Veterans Affairs (VA)	▪ Provides for food preparation and stockpiling in its facilities during the incident. ▪ Provides medical supplies and personnel to support mass care operations. ▪ Provides available facilities suitable for mass shelter. ▪ Administers the laws providing benefits and other services to veterans and the dependents and beneficiaries of veterans. ▪ During incident operations, provides emergency health care services to veteran beneficiaries in VA medical facilities, to active duty military personnel and, as resources permit, to civilians in communities affected by national security emergencies. ▪ Provides mortuary services for eligible veterans, and advises on methods for interment of the dead. ▪ Contributes to emergency support functions, including providing remedial infrastructure restoration, mass care services, resource (logistic) support, and health and medical services. ▪ Develops and maintains plans to make available housing assets that are habitable to which VA has title and possession, for use by victims.

Agency	Responsibilities
General Services Administration	▪ Provides communications links to the DWI center from the disaster area. ▪ Provides other logistical support for mass care requirements as requested.
Small Business Administration	▪ Provides low-interest, long-term loan assistance to homeowners, renters, businesses of all sizes, and nonprofit organizations to fund the repair or replacement of disaster-damaged property. ▪ Provides loan funds that also may include money for such things as relocation, mitigation, refinancing of existing liens, code-required upgrades, and 1-year insurance premium.
Social Security Administration	▪ Manages America's major income support programs. ▪ Provides expedited processing of new Federal benefit claims during emergency operations.
U.S. Postal Service (USPS)	▪ Provides change-of-address cards for victims to notify the USPS of relocation addresses for mail forwarding, and assists in the distribution, collection, and mailing of those cards. ▪ Provides an electronic file of address-change information furnished by victims.
Corporation for National and Community Service	Provides teams of trained volunteers to assist in various aspects of response and recovery.
National Voluntary Organizations Active in Disaster	▪ Facilitates and encourages collaboration, communication, cooperation, and coordination, and builds relationships among members while groups plan and prepare for emergencies and disaster incidents. ▪ Assists in communicating to the government and the public the services provided by its national member organizations. ▪ Facilitates information-sharing during planning and preparedness and after a disaster incident. ▪ Provides members information pertaining to the severity of the disaster, needs identified, and actions of "helpers" throughout the response, relief, and recovery process. ▪ Provides guidance in client information-sharing, spiritual and emotional care management of unaffiliated volunteers, and unsolicited donated goods, as needed.

Emergency Support Function #7 – Resource Support Annex

ESF Coordinator:

General Services Administration

Primary Agency:

General Services Administration

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Homeland Security
Department of Labor
Department of Transportation
Department of Veterans Affairs
National Aeronautics and Space Administration
National Communications System
Office of Personnel Management

Introduction

Purpose

Emergency Support Function (ESF) #7 – Resource Support assists the Department of Homeland Security (DHS), supporting Federal agencies and State, local, and tribal governments requiring resource support prior to, during, and/or after Incidents of National Significance.

Scope

Resource support to Federal, State, local, and tribal governments consists of emergency relief supplies, facility space, office equipment, office supplies, telecommunications (in accordance with the Office of Science and Technology Policy (OSTP) National Plan for Telecommunications Support in Non-Wartime Emergencies), contracting services, transportation services (in coordination with ESF #1 – Transportation), security services, and personnel required to support immediate response activities. ESF #7 provides support for requirements not specifically identified in other ESFs, including excess and surplus property. Resource support may continue until the disposition of excess and surplus property, if any, is completed.

Policies

- Upon implementation of the National Response Plan (NRP), the Resource Support agencies provide operational assistance to the affected areas.
- Support agencies furnish resources to help meet ESF #7 requirements, including procurement personnel necessary to establish operations effectively at the headquarters and regional levels. Such support is terminated at the earliest practical time.
- Equipment and supplies are provided from current Federal stocks or, if necessary, from commercial sources. ESF #7 does not stockpile supplies.
- All General Services Administration (GSA) support is provided through ESF #7.

- All procurement is supported by a written justification in accordance with current Federal laws and regulations, which, when necessary, authorize other than "full and open competition." GSA is the central procurement authority for the Federal Government. All procurement actions made at the request of Federal agencies in support of the NRP are in accordance with GSA's statutory and administrative requirements and use the appropriate fund citation/reimbursement procedures. These procedures are described in the GSA/Federal Emergency Management Agency (FEMA) Memorandum of Understanding, dated February 2, 1989.

- ESF #7 provides the operational support needed to establish the response capacity of Federal agencies.

Concept of Operations

General

Nationwide Resource Support capabilities are channeled through the DHS National Response Coordination Center (NRCC), the Regional Response Coordination Centers (RRCCs), or the Joint Field Office (JFO). The primary determination of resource needs is made by operational elements at the regional level. Requests for resources flow upward and are tracked at the headquarters level. Existing Federal resources provide the primary source of personnel, equipment, materials, and supplies. Support that cannot be provided from Federal resources is secured through direct procurement or donations.

Organization

Headquarters-Level Response Support Structure

- The Federal headquarters-level ESF #7 operates under the direction of the GSA Emergency Coordinator (EC).

- ESF #7 support operations are coordinated through the GSA EC in the Central Office, Washington, DC.

- Upon notification of a potential or actual Incident of National Significance requiring resource support, the GSA EC makes an initial determination of which ESF #7 support agencies are required to provide immediate support and which are required to remain on standby.

- The EC represents ESF #7 in its interaction with the Interagency Incident Management Group and maintains liaison with the regional ESF #7 and other interested parties.

- GSA Central Office provides administrative support to ESF #7.

Regional-Level Response Structure

- The GSA Regional Administrator (RA), Regional Emergency Coordinator (REC), or Deputy REC (DREC) is the regional ESF #7 leader.

- The GSA RA, REC, or DREC provides a team that may consist of one or more of the following: a Federal Emergency Support Coordinator and/or team leader, contracting officer, telecommunications specialist, and real estate/leasing specialist, if needed, to coordinate the provision of ESF #7 support at the RRCC or JFO.

- The regional ESF #7 leader, along with a real estate/leasing specialist and a DHS representative, determines the location of the JFO in conjunction with the affected State/tribal representative.

- Support agencies provide representatives at the JFO on a 24-hour (12-hour shift) basis for the duration of the emergency response period, if required.

- For an incident affecting a multistate area, one location may be chosen as a consolidation point for all Resource Support activities. The location must enhance support to all affected States and ensure coordination with other ESFs. The location is determined in concert with DHS and other ESFs during the planning process.

Actions

Initial Actions

Headquarters: Upon notification of a potential or actual incident:

- The GSA EC or an authorized representative, within 2 hours after notification, alerts the headquarters and regional ESF points of contact as required, ensuring that all internal GSA parties are fully informed of developments;
- The GSA EC alerts supporting agencies, as required;
- The GSA EC provides support to Federal agencies engaged in the incident response as requirements are identified; and
- The GSA EC assists in establishing and managing mobilization center(s).

Region

- The REC or DREC assumes control of ESF #7 operations in the affected regions.
- The REC or DREC provides the following support as necessary:
  - Deploys a representative to the RRCC;
  - Deploys a team to the State emergency operations center as part of the Advance Element of the Emergency Response Team or, if circumstances dictate, the team may deploy to an Interim Operating Facility, the disaster site, or another location as specified by DHS;
  - Ensures that a suitable JFO facility, using pre-identified locations where applicable, is acquired and ready to occupy within 72 hours of receiving DHS requirements and/or DHS acceptance of the space; and
  - Provides support in acquiring communications, office furniture, equipment, and supplies to equip the JFO.

Continuing Actions

Using the following procedures, ESF #7 provides, controls, and accounts for goods and services.

- Upon notification of space requirements, ESF #7 determines, through the regional GSA Public Building Service (PBS), the availability of suitable space in federally owned or leased buildings.
- When space in federally owned or leased buildings is not available or acceptable, the DHS/Emergency Preparedness and Response/ FEMA (DHS/EPR/FEMA) Regional Director or Federal Coordinating Officer (FCO) is notified. The ESF continues to work with the regional PBS to assist in locating suitable space elsewhere.
- Communications support is provided in accordance with the OSTP National Plan for Telecommunications Support in Non-Wartime Emergencies.
- Contracting support is provided to ESF #1 – Transportation, as required.
- Motor equipment is provided and coordinated with ESF #1 – Transportation, from the following sources:
  - Equipment owned by Federal agencies that is reassigned to the Federal operation;
  - Federal supply schedule contractors; and
  - Other commercial sources.
- All required office furniture and equipment is provided from Federal inventories or commercial sources.

- Office supplies and other expendables are provided from Federal stores, supply centers, stock, or other government and commercial sources. Small businesses and vendors in the affected area are used whenever possible.

- Procurement support is provided using GSA and other agencies' contracting resources as required.

- ESF #7 makes available technical advisors (e.g., procurement, storage, transportation, and engineering advisory services specialists) in connection with damage surveys, appraisals, and building demolitions or repairs.

- ESF #7 determines the availability of and provides supplies stocked in distribution facilities, the national defense stockpile, and customer supply centers if available.

- ESF #7, in coordination with ESF #13 – Public Safety and Security, contracts for guard service in coordination with DHS/Federal Protective Service to support all Federal agencies coordinating response and recovery activities.

- In addition to the above, ESF #7 loans excess Federal personal property and provides other services as requested by the FCO.

Responsibilities

Primary Agency: GSA

The GSA EC is responsible for providing, directing, and coordinating ESF #7 operations.

The GSA REC is responsible for coordinating the following:

- Locating, procuring, and issuing resources to other Federal agencies for use in emergency operations necessary to support the Federal emergency response or to promote public safety;

- Coordinating the transfer of excess Federal personal property and assisting in its disposal when requested;

- Locating and coordinating the use of available space for incident management activities;

- Coordinating and determining the availability and provision of consumable nonedible supplies stocked in distribution facilities and customer supply centers when available;

- Procuring required stocks from vendors or suppliers when GSA items are not available;

- Coordinating the procurement of communications equipment and services in accordance with the OSTP National Plan for Telecommunications Support in Non-Wartime Emergencies;

- Providing support to the GSA Regional Administrator for all Resource Support activities;

- Providing contract guard service via Federal Supply Schedules to protect Government property and assets in support of response and recovery activities; and

- Establishing and managing mobilization center(s) when mission assigned by DHS/EPR/FEMA.

Support Agencies

Agency	Responsibilities
Department of Agriculture/Forest Service	▪ Provides the staff and support for mobilization centers when mission assigned by DHS/EPR/FEMA. ▪ Provides assistance related to transportation and accountability of commodities at the mobilization centers.
Department of Commerce	The Interagency Committee on Seismic Safety in Construction/Building and Fire Research Laboratory of the National Institute of Standards and Technology provides technical expertise on structural surveys as well as the procurement of external consulting services. This procedure is necessary to assess the structural and fire safety of Federal and non-Federal damaged buildings and lifelines (e.g., public works and utilities).
Department of Energy	In accordance with ESF #12 – Energy, coordinates with energy industries to assist in satisfying critical fuel, lubricant, and electrical power needs unable to be met by State, local, tribal, or Federal resources or actions.
Department of Homeland Security	▪ Acts as liaison to provide logistical support to Federal, State, local, and tribal governments. ▪ Provides Contracting Officers Technical Representatives from the RRCC, Emergency Response Team (ERT), or NRCC Logistics or Operations Section for all ESF #7-executed procurement contracts as appropriate. ▪ Provides an Accountable Property Officer to ensure compliance with property management regulations and assume responsibility for Federal property management associated with ERT missions and general operations.
	Information Analysis and Infrastructure Protection Directorate/National Communications System: In accordance with ESF #2 – Communications, assists in coordinating the provision of commercial telecommunications assets within the incident area as appropriate.
Department of Labor	Provides technical personnel to assist in the identification and recruitment of individuals with specialized occupations needed to support incident response operations. The Job Corps at the regional level provides students and instructors capable of providing support. The Mine Safety and Health Administration provides engineering services to determine the cause or location of an event, performs structural integrity analysis, and recommends hazard mitigation.
Department of Transportation	In accordance with ESF #1, determines requirements, locations, and schedules for the movement of emergency supplies into and within the affected area.
Department of Veterans Affairs	▪ Provides technical assistance to identify and procure medical supplies and other medical services. ▪ Provides personnel knowledgeable in Federal procurement and distribution operations. ▪ Provides computer support operations as appropriate.

Agency	Responsibilities
National Aeronautics and Space Administration	Provides available space, buildings, airports, and telecommunications as may be required for emergency support operations.
Office of Personnel Management	Identifies, locates, and, if necessary, recruits personnel needed to support incident operations after appropriate coordination with GSA.

Emergency Support Function #8 – Public Health and Medical Services Annex

ESF Coordinator:

Department of Health and Human Services

Primary Agency:

Department of Health and Human Services

Support Agencies:

Department of Agriculture
Department of Defense
Department of Energy
Department of Homeland Security
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of Veterans Affairs
Environmental Protection Agency
General Services Administration
U.S. Agency for International Development
U.S. Postal Service
American Red Cross

Introduction

Purpose

Emergency Support Function (ESF) #8 – Public Health and Medical Services provides the mechanism for coordinated Federal assistance to supplement State, local, and tribal resources in response to public health and medical care needs (to include veterinary and/or animal health issues when appropriate) for potential or actual Incidents of National Significance and/or during a developing potential health and medical situation. ESF #8 is coordinated by the Secretary of the Department of Health and Human Services (HHS) principally through the Assistant Secretary for Public Health Emergency Preparedness (ASPHEP). ESF #8 resources can be activated through the Robert T. Stafford Act or the Public Health Service Act (pending the availability of funds) for the purposes of Federal-to-Federal support or in accordance with the memorandum for Federal mutual aid included in the National Response Plan (NRP) Financial Management Support Annex.

Scope

- ESF #8 provides supplemental assistance to State, local, and tribal governments in identifying and meeting the public health and medical needs of victims of an Incident of National Significance. This support is categorized in the following core functional areas:
  - Assessment of public health/medical needs (including behavioral health);
  - Public health surveillance;
  - Medical care personnel; and
  - Medical equipment and supplies.

- As the primary agency for ESF #8, HHS coordinates the provision of Federal health and medical assistance to fulfill the requirements identified by the affected State, local, and tribal authorities. ESF #8 uses resources primarily available from:
  - HHS, including the Operating Divisions and Regional Offices;
  - The Department of Homeland Security (DHS); and
  - Other ESF #8 support agencies and organizations.

Policies

- The Secretary of HHS, through the ASPHEP, coordinates national ESF #8 preparedness, response, and recovery actions. These actions do not alter or impede the existing authorities of any department or agency supporting ESF #8.
- HHS coordinates all ESF #8 response actions consistent with HHS's internal policies and procedures (e.g., HHS Concept of Operations Plan for Public Health and Medical Emergencies, March 2004).
- Each ESF #8 organization is responsible for managing its respective response assets after receiving coordinating instructions from HHS.
- The HHS Secretary's Operations Center (SOC) facilitates the coordination of the overall national ESF #8 response. During ESF #8 activations, the SOC maintains frequent communications with the DHS Homeland Security Operations Center.
- All headquarters and regional organizations (including those involved in other ESFs) participating in response operations report public health and medical requirements to their counterpart level (headquarters or regional) of ESF #8.
- The primary Joint Information Center (JIC), established in support of the NRP, is authorized to release general medical and public health response information to the public after consultation with HHS. When possible, a recognized spokesperson from the public health and medical community (local, State, or Federal) delivers relevant community messages.

  Other JICs may also may release general medical and public health response information at the discretion of the lead Public Affairs Officer, after consultation with HHS. To ensure patient confidentiality, the release of medical information by ESF #8 is in accordance with the Health Insurance Portability and Accountability Act. Inquiries about patients are managed by HHS Public Affairs Officers in coordination with DHS. (See the ESF #15 – External Affairs Annex for more details.)
- In the event of a zoonotic disease outbreak, or in coordination with ESF #11 – Agriculture and Natural Resources during an animal disease outbreak, public information may be released after consultation with the Department of Agriculture (USDA).
- As the primary agency for ESF #8, HHS determines the appropriateness of all requests for public health and medical information.
- HHS, as the primary agency for ESF #8, is responsible for consulting with and organizing Federal public health and medical subject-matter experts, as needed.

Concept of Operations

General

- Upon notification, the ASPHEP alerts identified HHS personnel to represent ESF #8, as required, on the:

  - National Response Coordination Center (NRCC);
  - Interagency Incident Management Group (IIMG);
  - Regional Response Coordination Center (RRCC)/Joint Field Office (JFO);
  - National Emergency Response Team;
  - Emergency Response Team–Advance Element (ERT-A); and
  - JIC.

  The ASPHEP may request ESF #8 support agencies to provide liaison requirements if HHS personnel are not available.

- HHS notifies and requests all support organizations to participate in headquarters coordination activities. As appropriate, supporting agencies and organizations are requested to provide liaisons to the HHS headquarters command location. Personnel representing an ESF #8 organization are expected to have extensive knowledge of the resources and capabilities of their respective organization and have access to the appropriate authority for committing such resources during the activation.

- The headquarters ESF #8 staff provides liaison and communications support to regional ESF #8 groups to facilitate direct communications. Headquarters ESF #8 personnel are deployed as necessary to assist regional ESF #8 personnel in establishing and maintaining effective coordination within the impacted area.

- ESF #8 coordinates with the appropriate State, local, and tribal medical and public health officials and organizations to determine current medical and public health assistance requirements.

- The regional ESF #8 is assisted by designated Federal department entities for risk analysis, evaluation, and support.

- During the response period, HHS has primary responsibility for the evaluation and analysis of public health and medical assistance, and develops and updates assessments of medical and public health status.

- In the early stages of an incident, it may not be possible to fully assess the situation and verify the level of assistance required. In such circumstances, HHS may provide assistance under its own statutory authorities. In these cases, every reasonable attempt is made to verify the need before providing assistance.

Organization

Headquarters

- ESF #8, when activated, is coordinated by the ASPHEP. Once activated, headquarters ESF #8 is coordinated by HHS through the SOC. During the initial activation, HHS convenes a conference call with the appropriate organizations, and public health and medical representatives from State and tribal governments, to discuss the situation and determine the appropriate response actions.

- HHS alerts and requests supporting organizations to provide a representative to the IIMG (if required), NRCC, and SOC, or to provide a representative who is immediately available via telecommunications (e.g., telephone, conference calls) to provide support.

- Public health and medical subject-matter experts from HHS and ESF #8 organizations are consulted as needed.

Regional

- HHS coordinates ESF #8 field response activities according to internal policies and procedures.
- HHS may designate a senior official to participate as a Senior Federal Official in the JFO Coordination Group at the field level.
- Regional ESF #8 maintains representatives to rapidly deploy, with the ERT-A, to the affected State's emergency operations center or other designated location.
- The regional ESF #8 includes representative(s) on-site or available by telephone or radio at the RRCC and/or JFO, as required by the Federal Coordinating Officer, Federal Resource Coordinator, or Principal Federal Official, on a 24-hour basis for the duration of the incident.

Actions: Initial Actions

The HHS SOC enhances staffing immediately on notification of an actual or potential public health or medical emergency. (See the Biological Incident Annex for more details.)

Upon notification of activation for a potential or actual Incident of National Significance by the NRCC, HHS consults with the appropriate ESF #8 organizations to determine the need for assistance according to the functional areas listed below.

- **Assessment of Public Health/Medical Needs:** HHS, in collaboration with DHS, mobilizes and deploys ESF #8 personnel to support the ERT-A to assess public health and medical needs. This function includes the assessment of the public health care system/facility infrastructure.
- **Health Surveillance:** HHS, in coordination with State health agencies, enhances existing surveillance systems to monitor the health of the general population and special high-risk populations, carry out field studies and investigations, monitor injury and disease patterns and potential disease outbreaks, and provide technical assistance and consultations on disease and injury prevention and precautions.
- **Medical Care Personnel**
  - Immediate medical response capabilities are provided by assets internal to HHS (e.g., U.S. Public Health Service Commissioned Corps) and from ESF #8 supporting organizations (e.g., National Disaster Medical System (NDMS)).
  - The Department of Defense (DOD) may be requested to provide support in casualty clearing/staging and other missions as needed.
  - HHS may seek individual clinical health and medical care specialists from the Department of Veterans Affairs (VA) to assist State, local, and tribal personnel.
- **Health/Medical Equipment and Supplies:** In addition to deploying assets from the Strategic National Stockpile (SNS), HHS may request DHS, DOD, or the VA to provide medical equipment and supplies, including medical, diagnostic, and radiation-emitting devices, pharmaceuticals, and biologic products in support of immediate medical response operations and for restocking health care facilities in an area affected by a major disaster or emergency.
- **Patient Evacuation**
  - At the request of HHS, DOD coordinates with ESF #1 – Transportation to provide support for the evacuation of seriously ill or injured patients to locations where hospital care or outpatient services are available.
  - DOD is responsible for regulating and tracking patients transported on DOD assets to appropriate treatment facilities (e.g., NDMS non-Federal hospitals).[1]
- **Patient Care:** HHS may task its components and the Medical Reserve Corps, and request the VA, DOD, and DHS to provide available

[1] Consistent with the timelines outlined in the NRP Implementation Guidance, the NDMS partner organizations (DHS, HHS, DOD, and VA) will develop policies and procedures for the network of non-Federal NDMS hospitals (e.g., contracting, payment source and amount, and claims processing).

personnel to support inpatient hospital care and outpatient services to victims who become seriously ill or injured regardless of location (which may include mass care shelters).

- **Safety and Security of Human Drugs, Biologics, Medical Devices, and Veterinary Drugs, etc.:** HHS may task its components to ensure the safety, efficacy, and advise industry on security measures of regulated human and veterinary drugs, biologics (including blood and vaccines), medical devices (including radiation emitting and screening devices), and other HHS regulated products.

- **Blood and Blood Products:** HHS monitors blood availability and maintains contact with the American Association of Blood Banks Inter-organizational Task Force on Domestic Disasters and Acts of Terrorism and, as necessary, its individual members, to determine:

  - The need for blood, blood products, and the supplies used in their manufacture, testing, and storage;

  - The ability of existing supply chain resources to meet these needs; and

  - Any emergency measures needed to augment or replenish existing supplies.

- **Food Safety and Security:** HHS, in cooperation with ESF #11, may task its components to ensure the safety and security of federally regulated foods. (Note: HHS, through the Food and Drug Administration (FDA), has statutory authority for all domestic and imported food except meat, poultry, and egg products, which are under the authority of the USDA/Food Safety and Inspection Service.)

- **Agriculture Safety and Security:** HHS, in coordination with ESF #11, may task its components to ensure the safety and security of food-producing animals, animal feed, and therapeutics. (Note: HHS, through the FDA, has statutory authority for animal feed and for the approval of animal drugs intended for both therapeutic and nontherapeutic use in food animals as well as companion animals.)

- **Worker Health/Safety**

  - HHS may request the Department of Labor/Occupational Safety and Health Administration (DOL/OSHA) to implement the processes in the Worker Safety and Health Support Annex to provide technical assistance for worker safety and health.

  - HHS may task its components and request support from DOL and other cooperating agencies, as needed, to assist in monitoring the health and well-being of emergency workers; performing field investigations and studies addressing worker health and safety issues; and providing technical assistance and consultation on worker health and safety measures and precautions.

- **All-Hazard Public Health and Medical Consultation, Technical Assistance, and Support:** HHS may task its components to assist in assessing public health and medical effects resulting from all hazards. Such tasks may include assessing exposures on the general population and on high-risk population groups; conducting field investigations, including collection and analysis of relevant samples; providing advice on protective actions related to direct human and animal exposures, and on indirect exposure through contaminated food, drugs, water supply, and other media; and providing technical assistance and consultation on medical treatment, screening, and decontamination of injured or contaminated individuals. While State and local governments retain primary responsibility for victim screening and decontamination, ESF #8 can, at the request of a State or another Federal agency, deploy teams with limited capabilities for victim decontamination (e.g., NDMS, or DOE assistance for nuclear/radiological incidents). These teams typically arrive on scene within 24-48 hours.

- **Behavioral Health Care:** HHS may task its components to assist in assessing mental health and substance abuse needs; providing disaster mental health training materials for workers; providing liaison with assessment, training, and program development activities undertaken by

Federal, State, local, and tribal mental health and substance abuse officials; and providing additional consultation as needed.

- **Public Health and Medical Information:** HHS may task its components to provide public health, disease, and injury prevention information that can be transmitted to members of the general public who are located in or near areas affected.

- **Vector Control:** HHS may task its components and request assistance from other ESF #8 organizations, as appropriate, to assist in assessing the threat of vector-borne diseases; conducting field investigations, including the collection and laboratory analysis of relevant samples; providing vector control equipment and supplies; providing technical assistance and consultation on protective actions regarding vector-borne diseases; and providing technical assistance and consultation on medical treatment of victims of vector-borne diseases.

- **Potable Water/Wastewater and Solid Waste Disposal:** HHS, in coordination with ESF #3 – Public Works and Engineering and #10 – Oil and Hazardous Materials Response as appropriate, may task its components, and request assistance from other ESF #8 organizations as appropriate, to assist in assessing potable water, wastewater, solid waste disposal issues, and other environmental health issues; conducting field investigations, including collection and laboratory analysis of relevant samples; providing water purification and wastewater/solid waste disposal equipment and supplies; and providing technical assistance and consultation on potable water and wastewater/solid waste disposal issues.

- **Victim Identification/Mortuary Services:** HHS may request DHS and DOD to assist in providing victim identification and mortuary services; establishing temporary morgue facilities; performing victim identification by fingerprint, forensic dental, and/or forensic pathology/anthropology methods; and processing, preparation, and disposition of remains.

- **Protection of Animal Health:** HHS, in coordination with ESF #11, protects the health of livestock and companion animals by ensuring the safety of the manufacture and distribution of foods and drugs given to animals used for human food production, as well as companion animals.

Actions: Continuing Actions

Headquarters

ESF #8 continuously acquires and assesses information on the incident. The staff continues to identify the nature and extent of public health and medical problems, and establishes appropriate monitoring and public surveillance. Other sources of information may include:

- ESF #8 support agencies and organizations;
- Various Federal officials in the incident area;
- State health, agricultural, or animal health officials;
- State emergency medical services authorities;
- Tribal officials;
- State incident management authorities; and
- Officials of the responsible jurisdiction in charge of the disaster scene.

Because of the potential complexity of the public health and medical response, conditions may require ESF #8 subject-matter experts to review public health and medical information and advise on specific strategies to manage and respond to a specific situation most appropriately.

- **Activation of Health/Medical Response Teams:** Assets internal to HHS are deployed directly as part of the ESF #8 response. Public health and medical personnel and teams provided by ESF #8 organizations are requested by HHS and deployed by the respective organizations to provide appropriate public health and medical assistance.

- **Coordination of Requests for Medical Transportation:** In a major public health or medical emergency, local transportation assets may not be sufficient to meet the demand. State or tribal requests for Federal medical transportation assistance are executed by ESF #8 in coordination with ESF #1.

- **Coordination for Obtaining, Assembling, and Delivering Medical Equipment and Supplies to the Incident Area:** Representatives of HHS, DHS, VA, DOD, Department of Transportation (DOT), and General Services Administration (GSA) coordinate arrangements for the procurement and transportation of medical equipment and supplies.

- **Communications:** ESF #8 establishes communications necessary to coordinate Federal public health and medical assistance effectively.

- **Information Requests:** Requests for information may be received at ESF #8 from various sources, such as the media and the general public, and are referred to ESF #15 for action and response.

- **After-Action Reports:** HHS, on completion of the incident, prepares a summary after-action report. The after-action report identifies key problems, indicates how they were solved, and makes recommendations for improving response operations. ESF #8 organizations assist in the preparation of the after-action report.

Responsibilities

Primary Agency: HHS

- Provides leadership in coordinating and integrating overall Federal efforts to provide public health and medical assistance to the affected area.

- Coordinates the staffing of the HHS headquarters national ESF #8 group as necessary to support the response operations.

- Requests appropriate ESF #8 organizations to activate and deploy health and medical personnel, equipment, and supplies in response to requests for Federal public health and medical assistance.

- Uses HHS personnel (U.S. Public Health Service Commissioned Corps) to address public health and medical needs, and augment with assets from ESF #8 partner organizations.

- Assists and supports State, local, and tribal governments in performing monitoring for internal contamination and administering pharmaceuticals for internal decontamination as deemed necessary by State health officials.

- Assists local and State health departments in establishing a registry of potentially exposed individuals, performing dose reconstruction, and conducting long-term monitoring of this population for potential long-term health effects.

- Monitors blood and blood product shortages and reserves with the coordination of the American Association of Blood Banks Inter-Organizational Task Force on Domestic Disasters and Acts of Terrorism.

- Evaluates State requests for deployment or pre-deployment of the SNS based upon relevant threat information.

- Coordinates with other primary and supporting departments, agencies, and governments throughout the incident.

- Assures the safety and security of food in coordination with other responsible Federal agencies (e.g., USDA). (Note: HHS, through the FDA, has statutory authority for all domestic and imported food except meat, poultry, and egg products, which are under the authority of USDA/Food Safety and Inspection Service.)

- In cooperation with State and local authorities, assesses whether food facilities in the affected area are able to provide safe and secure food.
- In cooperation with State and local authorities as well as the food industry, conduct tracebacks or recalls of adulterated products.
- In cooperation with Federal, State, and local authorities, ensure the proper disposal of contaminated products and the decontamination of affected food facilities in order to protect public health.
- Provides support for public health matters for radiological incidents as a member of the Advisory Team for Environment, Food, and Health.

Support Agencies

Agency	Functions
Department of Agriculture	▪ Provides appropriate personnel, equipment, and supplies, coordinated through ESF #4 – Firefighting or the Branch Chief, Disaster and Emergency Operations, Fire and Aviation Management Office in Washington, DC. This support is primarily for communications aircraft and the establishment of base camps for deployed Federal health and medical teams. ▪ Provides support for public health matters for radiological incidents as a member of the Advisory Team for Environment, Food, and Health. USDA also supports a multiagency response to a domestic incident through: ▪ Provision of nutrition assistance; ▪ Control and eradication of an outbreak of a highly contagious or an economically devastating animal disease; ▪ Assurance of food safety, and security, in coordination with other responsible Federal agencies, or any combination of these requirements; and ▪ Provision of appropriate personnel, equipment, and supplies, coordinated through the Animal and Plant Health Inspection Service Emergency Management Operations Center. Support is primarily for coordination of animal issues such as disposal of animal carcasses, protection of livestock health, and zoonotic diseases associated with livestock.

Agency	Functions
Department of Defense	▪ Alerts DOD NDMS Federal Coordinating Centers (FCCs) (Army, Navy, Air Force) and provides specific reporting/regulating instructions to support incident relief efforts. ▪ Alerts DOD NDMS FCCs to activate NDMS patient reception plans in a phased, regional approach, and when appropriate, in a national approach. ▪ At the request of HHS, DOD coordinates with ESF #1 to provide support for the evacuation of seriously ill or injured patients to locations where hospital care or outpatient services are available. ▪ Using available DOD transportation resources, in coordination with the NDMS Medical Interagency Coordination Group (MIACG), evacuates and manages victims/patients from the patient collection point in or near the incident site to NDMS patient reception areas. ▪ Provides available logistical support to health/medical response operations. ▪ Provides available medical personnel for casualty clearing/staging and other missions as needed including aero-medical evacuation and medical treatment. Mobilizes and deploys available Reserve and National Guard medical units, when authorized and necessary to provide support. ▪ Coordinates patient reception, tracking, and management to nearby NDMS non-Federal hospitals, VA hospitals, and DOD military treatment facilities that are available and can provide appropriate care. ▪ Provides available military medical personnel to assist HHS in the protection of public health (such as food, water, wastewater, solid waste disposal, vectors, hygiene, and other environmental conditions). ▪ Provides available DOD medical supplies for distribution to mass care centers and medical care locations being operated for incident victims with reimbursement to DOD. ▪ Provides available emergency medical support to assist State, local, and tribal governments within the disaster area and the surrounding vicinity. Such services may include triage, medical treatment, mental health support, and the use of surviving DOD medical facilities within or near the incident area. ▪ Provides assistance in managing human remains, including victim identification and mortuary affairs. ▪ Provides evaluation and risk management support through use of Defense Coordinating Officers, Emergency Preparedness Liaison Officers, and Joint Regional Medical Planners. ▪ Provides available blood products in coordination with HHS. ▪ Provides DOD confirmatory laboratory testing support in coordination with HHS.
	U.S. Army Corps of Engineers: Through ESF #3 – Public Works and Engineering, provides technical assistance, equipment, and supplies as required in support of HHS to accomplish temporary restoration of damaged public utilities affecting public health.

Agency	Functions
Department of Energy	▪ Coordinates Federal assets for external monitoring and decontamination activities for radiological emergencies pursuant to criteria established by the State(s) in conjunction with HHS. ▪ Provides, in cooperation with other Federal and State agencies, personnel and equipment, including portal monitors, to support initial screening and provides advice and assistance to State and local personnel conducting screening/decontamination of persons leaving a contaminated zone.
	Through the **Radiological Assistance Program:** ▪ Provides regional resources (personnel, specialized equipment, and supplies) to evaluate, control, and mitigate radiological hazards to workers and the public; ▪ Provides limited assistance in the decontamination of victims; and ▪ Assists State, local, and tribal authorities in the monitoring and surveillance of the incident area.
	Through the **National Atmospheric Release Advisory Capability**, provides near real-time transport, dispersion, and dose predictions of atmospheric releases of radioactive and hazardous materials that may be used by authorities in taking protective actions related to sheltering and evacuation of people.
	Through the **Federal Radiological Monitoring and Assessment Center (FRMAC)**, assists health and medical authorities in determining radiological dose information; assists in providing coordinated gathering of environmental radiological information and data; assists with consolidated data sample analyses, evaluations, assessments, and interpretations; and provides technical information.
Department of Homeland Security	▪ As requested by HHS, directs the activation of NDMS as necessary to support incident response operations. Requests ESF #8 support from HHS, VA, and DOD to coordinate NDMS operations. ▪ As requested by HHS, activates and deploys NDMS health/medical personnel, equipment, and supplies in a phased regional approach, and coordinates the provision of hospital care and outpatient services, veterinary services, and mortuary services through NDMS. ▪ In coordination with HHS, activates the NDMS MIACG, composed of NDMS partner representatives (DHS, DOD, VA, and HHS), to support placement of victims/patients in NDMS hospitals for care. ▪ Coordinates NDMS to assist in establishing priorities with HHS for application of health and medical support, including veterinary and mortuary services. ▪ Provides communications support in coordination with ESF #2 – Communications. ▪ Assists in providing information/liaison with emergency management officials in NDMS FCC areas. ▪ Provides logistics support as appropriate.

Agency	Functions
Department of Homeland Security (Continued)	▪ Through ESF #1, identifies and arranges for use of U.S. Coast Guard aircraft and other assets in providing urgent airlift and other transportation support. ▪ Directs the Nuclear Incident Response Team (NIRT) when activated and ensures coordination of NIRT activities with the ESF primary agency and designated coordinating agency under the Nuclear/Radiological Incident Annex. ▪ The Interagency Modeling and Atmospheric Assessment Center (IMAAC) provides predictions of hazards associated with atmospheric releases for use in emergency response. The IMAAC provides a single point for the coordination and dissemination of Federal dispersion modeling and hazard prediction products that represent the Federal position during an Incident of National Significance.
	Border and Transportation Security Directorate/Customs and Border Protection: Provides enforcement of international quarantines.
Department of Justice (DOJ)	▪ Assists in victim identification, coordinated through the Federal Bureau of Investigation (FBI). ▪ Provides State, local, and tribal governments with legal advice concerning identification of the dead. ▪ Provides HHS with relevant information of any credible threat or other situation that could potentially threaten public health. This support is coordinated through FBI Headquarters. ▪ Provides communication, transportation, and other logistical support to the extent possible. This support is provided through the FBI. ▪ Provides security for the SNS and quarantine enforcement assistance, if required.
Department of Labor	▪ Coordinates the safety and health assets of cooperating agencies and the private sector to provide technical assistance and conduct worker exposure assessment and responder and worker risk management within the Incident Command System. This assistance may include 24/7 site safety monitoring; worker exposure monitoring; health monitoring; sampling and analysis; development and oversight of the site-specific safety and health plan; and personal protective equipment selection, distribution, training, and respirator fit-testing. ▪ Provides personnel and management support related to worker safety and health in field operations during ESF #8 deployments.

Agency	Functions
Department of State	▪ Coordinates international activities related to chemical, biological, radiological, and nuclear incidents and events that pose transborder threats. Assists in communicating real-time actions taken by the United States and U.S. projections of the international consequence of the event (e.g., disease spread, quarantine, isolation, travel restrictions, pharmaceutical supply and distribution, and displaced persons). ▪ Assists with coordination with foreign states concerning offers of support, gifts, offerings, donations, or other aid. This includes establishing coordination with partner nations to identify the U.S.-validated immediate support in response to an Incident of National Significance.
Department of Transportation	▪ In collaboration with DOD, GSA, and other transportation-providing agencies, assists in identifying and arranging for all types of transportation, such as air, rail, marine, and motor vehicle. ▪ At the request of HHS, provides patient movement assistance from DOT resources subject to DOT statutory requirements. ▪ Coordinates with the Federal Aviation Administration for air traffic control support for priority missions.
Department of Veterans Affairs	Subject to the availability of resources and funding, and consistent with the VA mission to provide priority services to veterans, when requested, VA: ▪ Coordinates with participating non-Federal NDMS hospitals to provide incident-related medical care to authorized NDMS beneficiaries affected by a major disaster or emergency; ▪ Furnishes available VA hospital care and medical services to individuals responding to, involved in, or otherwise affected by a major disaster or emergency, including members of the Armed Forces on active duty; ▪ Designates and deploys available medical, surgical, mental health, and other health service support assets; and ▪ Provides a Medical Emergency Radiological Response Team for technical consultation on the medical management of injuries and illnesses due to exposure to or contamination by ionizing radiation.
U.S. Agency for International Development, Office of Foreign Disaster Assistance	Provides assistance in coordinating international offers for health/medical support.

Agency	Functions
Environmental Protection Agency	▪ Provides technical assistance and environmental information for the assessment of the health/medical aspects of situations involving hazardous materials, including technical and policy assistance in matters involving drinking water supplies. ▪ Provides support for public health matters for radiological incidents through the FRMAC and the Advisory Team for Environment, Food, and Health. ▪ Assists in identifying alternate water supplies for critical care facilities. ▪ Provides bio-surveillance, warning, and detection capabilities for the water sector.
General Services Administration	Provides facilities, equipment, supplies, and other logistical support, including contracting for private-sector ground and air transportation.
U.S. Postal Service	Assists in the distribution and transportation of medicine and pharmaceuticals and medical information to the general public affected by a major disaster or emergency as needed.
American Red Cross	▪ Provides emergency first aid, consisting of basic first aid and referral to appropriate medical personnel and facilities, supportive counseling, and health care for minor illnesses and injuries to incident victims in mass care shelters, the JFO, selected incident cleanup areas, and other sites deemed necessary by the primary agency. ▪ Assists community health personnel subject to staff availability. ▪ Provides supportive counseling for the family members of the dead, injured, and others affected by the incident. ▪ Provides available personnel to assist in temporary infirmaries, immunization clinics, morgues, hospitals, and nursing homes. Assistance consists of administrative support, logistical support, or health services support within clearly defined boundaries. ▪ Acquaints families with available health resources and services, and makes appropriate referrals. ▪ At the request of HHS, coordinates with the American Association of Blood Banks Interorganizational Task Force on Domestic Disasters and Acts of Terrorism to provide blood products and services as needed through regional blood centers. ▪ Provides coordination for uploading appropriate casualty/patient information from ESF #8 into the Disaster Welfare Information system. ▪ Refers all concerns regarding animal health care, safety, or welfare to American Veterinary Medical Association contact(s) in the disaster area, as appropriate. These contact people are veterinarians affiliated with national, State, county, or local veterinary associations.

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Emergency Support Function #9 – Urban Search and Rescue Annex

ESF Coordinator:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Primary Agency:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Health and Human Services
Department of Homeland Security
Department of Justice
Department of Labor
Department of Transportation
National Aeronautics and Space Administration
U.S. Agency for International Development

Introduction

Purpose

Emergency Support Function (ESF) #9 – Urban Search and Rescue (US&R) rapidly deploys components of the National US&R Response System to provide specialized life-saving assistance to State, local, and tribal authorities during an Incident of National Significance. US&R activities include locating, extricating, and providing onsite medical treatment to victims trapped in collapsed structures.

Scope

The National US&R Response System integrates US&R task forces, Joint Management Teams (JMTs), and technical specialists.

- The system is built around a core of task forces prepared to deploy immediately and initiate operations in support of ESF #9. These task forces are staffed primarily by local fire department and emergency services personnel who are highly trained and experienced in collapsed structure search and rescue operations and possess specialized expertise and equipment.
- JMTs provide coordination and logistical support to US&R task forces during emergency operations. They also conduct needs assessments and provide technical advice and assistance to State, local, and tribal government emergency managers. The JMTs are comprised of personnel from US&R task forces; Federal, State, local, and tribal government emergency response organizations; and private-sector organizations.
- Technical specialists provide expertise in various US&R disciplines and are mobilized as needed.

Policies

- The National US&R Response System assists and augments State and local US&R capabilities.
- Upon activation by the Department of Homeland Security (DHS) under the National Response Plan (NRP), US&R task forces are considered Federal assets under the Robert T. Stafford Disaster Relief and Emergency Assistance Act and other applicable authorities.

Concept of Operations

General

DHS/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) may activate the National US&R Response System for any actual or potential Incident of National Significance likely to result in collapsed structures that may overwhelm existing State and local US&R resources. Activation is dependent upon the nature and magnitude of the event, the suddenness of onset, and the existence of US&R resources in the affected area.

Organization

Headquarters

- The National US&R Response System consists of US&R task forces, JMTs, and technical specialists.
  - The core of the system is 28 task forces sponsored by State and local government emergency response organizations.
  - The US&R Response System is comprised of more than 5,000 individuals.
  - Each deployed task force is comprised of 70 individuals organized into 35 positions (the task forces are 3-deep in total).
  - Positions are organized into seven functional teams (management, search, rescue, planning, logistics, medical, and hazardous materials (HAZMAT)) staffed to permit 24-hour operations.
- JMTs are organized, trained, and mobilized to:
  - Conduct a comprehensive US&R needs assessment;
  - Provide technical US&R assistance, support, and advice to Federal, State, local, and tribal officials;
  - Provide US&R management and coordination assistance and expertise to the National Response Coordination Center (NRCC) ESF #9 staff, the Emergency Response Team (ERT) ESF #9, and the Federal Coordinating Officer or Federal Resource Coordinator at the Joint Field Office;
  - Provide coordination of multiple task forces in the field under the direction of the ERT ESF #9 leader; and
  - Coordinate logistical support of deployed task forces beyond the initial 72-hour period of self-sufficiency with the Regional Response Coordination Center ERT, and NRCC Logistics Sections.
- Task force and JMT resources may be supplemented with technical specialists in various US&R disciplines. When needed, technical specialists are mobilized by DHS/EPR/FEMA. (Note: The JMT Engineering Cell and the task forces are directly augmented by the U.S. Army Corps of Engineers (USACE) Structures Specialist (StS) Cadre.)

Regional

- Initial Federal field response to incidents requiring US&R assistance usually begins at the regional level.
- Each DHS/EPR/FEMA Regional Office is responsible for staffing an ESF #9 position on its ERT. The Emergency Services Branch Chief or Operations Section Chief on the Advance Element of the ERT (ERT-A) may perform initial ESF #9 functions.
- Extended US&R operations requires supplemental staffing and deployment of national-level resources by DHS/EPR/FEMA.

Actions: Initial Actions

Headquarters

- The NRCC serves as the single point of contact for responding task forces and JMT members for situation information and response status of US&R resources during the initial stages of the incident. NRCC staff in ESF #9 establishes and maintains a chronological log of US&R events and information obtained from the field.

- Upon notification of an Incident of National Significance with potential or actual structural collapse, the US&R Response System staff immediately notifies the ESF #9 NRCC staff, support contractors, and the DHS/EPR/FEMA Military Support Liaison Officer of a potential need for US&R response. The NRCC staff notifies DHS/EPR/FEMA of the potential need to activate task force, JMT, and cooperative agreements.

- Upon establishing the need for US&R assets, the NRCC:

  - Develops recommendations on the type and quantity of resources to be alerted or activated;

  - Issues Activation Orders for task forces and JMT members; and

  - Issues Alert Orders placing additional task forces in a heightened state of readiness.

- If the need for US&R assets has not been established, the NRCC may:

  - Issue an advisory to all National US&R Response System task forces advising of the incident and potential need for deployment of US&R assets; and

  - Alert JMT regular or Advance Element (JMT-A) staff and USACE JMT StS Support Teams of potential deployment.

- Initial staff in the NRCC develops commitment documents and activates support agreements for supplemental staffing of the ESF #9 cell in the NRCC.

- NRCC staff collects assessment information from damage assessment teams, JMT-A members, DHS/EPR/FEMA regional officials, and State and local government officials for inclusion in situation reports and for decisionmaking regarding the need for US&R resources.

Region

- DHS/EPR/FEMA officials from the affected region designate an initial point of contact for ESF #9. This individual is part of the ERT, and may be represented on the ERT-A.

- The NRCC notifies the DHS/EPR/FEMA Regional Office responsible for the affected area. Copies of all advisories and Alert and Activation Orders issued by the NRCC are transmitted to the regional US&R point of contact for the affected region, as well as for those regions whose resident task forces have been alerted or activated.

- Initial recommendations on US&R resources to be alerted or activated are coordinated with the regional US&R point of contact. Regional US&R points of contact with alerted or activated task forces maintain contact with the sponsoring States and task forces.

- While US&R task forces and JMTs are activated at the national level, the regional ESF #9 contact provides information on the need for US&R resources. Regional officials process State requests for Federal US&R assistance.

- The regional ESF #9 representative coordinates the preparation for the arrival of task forces and JMT members and ensures the JMT is fully incorporated into the region's ERT structure.

- The regional ESF #9 representative provides overall management and coordination of all deployed US&R resources through the JMT.

- The ESF #9 representative coordinates all US&R activities with the functional groups of the ERT.

- The ESF #9 representative keeps the ESF #9 leader in the NRCC informed of all US&R field activities.

Actions: Continuing Actions

Headquarters

- Based on recommendations developed by the ESF #9 leader in the field and the JMT, decisions are made at the headquarters level on the deployment of additional US&R resources. Additional advisories and Alert and Activation Orders are issued as required.

- In the event that the incident requires the use of all national-level US&R assets, the NRCC is responsible for developing strategies for providing additional US&R support, including the use of international US&R assets, the deployment of other task forces from existing sponsoring organizations (without equipment), and the employment of US&R resources of unaffected States.

- The NRCC acts on unmet requirements for equipment and supplies forwarded from the ESF #9 leader in the field. The NRCC forwards issues involving competing requirements and scarce resource allocation to the Interagency Incident Management Group as appropriate.

- The NRCC uses the demobilization plan developed by the JMT as the basis for decisions on demobilization of US&R assets. The NRCC issues Demobilization Orders to task forces and JMT members. When coordinated with the NRCC, Demobilization Orders may be issued by the ERT.

Region

- The ERT ESF #9 leader and JMT leader establish contact with the local Incident Commander and develop a plan to integrate national US&R resources into the local incident command structure. The ESF #9 leader works with the local Incident Commander to develop written delegations of authority to national US&R resources as appropriate.

- In the event State and local emergency medical services resources are overwhelmed, the ERT ESF #9 leader, in conjunction with the JMT leader and JMT Medical Unit Leader, coordinate with field representatives of ESF #8 – Public Health and Medical Services to develop procedures for the transfer of victims extricated from collapsed structures to Disaster Medical Assistance Teams for stabilization and transport to definitive medical care locations.

- The JMT develops a mechanism for resupply of task forces operating in the affected area. The ESF #9 leader works with regional ESFs to obtain required equipment and supplies. The ESF #9 leader passes unmet or competing requirements to the NRCC for further action.

- The ESF #9 leader, in conjunction with the JMT leader, continually monitors the situation and develops recommendations on additional resources needed, as well as demobilization of existing resources.

- The JMT develops a demobilization plan for the concurrence of the ESF #9 leader. The demobilization plan includes recommended guidelines on personnel and equipment rehabilitation allowances for US&R assets. Recommendations contained in the demobilization plan are passed to the NRCC for decision.

- For incidents of extended duration, the ESF #9 leader issues a funding document to ensure feeding, shelter, salary reimbursement, and other logistical support of US&R task force and JMT resources when required.

Responsibilities

Primary Agency: DHS/EPR/FEMA

- Serves as the primary agency for ESF #9, develops national US&R policy, provides planning guidance and coordination assistance, standardizes task force procedures, evaluates task force operational readiness, funds special equipment and training requirements within available appropriations, and reimburses as appropriate task force costs incurred as a result of deployment under the NRP.

  DHS/EPR/FEMA reimburses for authorized deployments to Stafford Act declaration sites. DHS/EPR/FEMA does not have the authority or funding to reimburse such activities absent a Stafford Act declaration. Non-Stafford Act deployments are reimbursed by the Federal department or agency requesting US&R assistance in accordance with provisions contained in the Financial Management Support Annex.

- Serves as headquarters-level ESF #9 coordinator.

- Establishes, maintains, and manages the National US&R Response System. This includes pre-incident activities such as training, equipment purchase, and evaluation of operational readiness.

- Dispatches one or more JMTs to the affected area(s).

- Manages US&R task force deployment to, employment in, and redeployment from the affected area.

- Coordinates logistical support for US&R assets during field operations.

- Develops policies and procedures for the effective use and coordination of US&R assets.

- Provides status reports on US&R operations throughout the affected area.

- Under the National Disaster Medical System (NDMS):

  - Provides administrative support to US&R task force medical teams to:

    - Ensure non-Federal medical team personnel have appropriate and valid licenses to practice in their States, and are provided Federal tort claims liability coverage for the practice of medicine; and

    - Register medical teams of each National US&R Response System task force as specialized teams under the NDMS.

  - Provides operational support to US&R task force medical teams and JMT from ESF #8 – Public Health and Medical Services, as requested by DHS, to provide liaisons; medical supplies, equipment, and pharmaceuticals; supporting personnel; and veterinary support.

  - Provides patient evacuation and continuing care after entrapped victims are removed from collapsed structures by US&R task force personnel, when State and local emergency medical services resources are overwhelmed.

Support Agencies

Agency	Responsibilities
Department of Agriculture/Forest Service	▪ Develops standby agreements with US&R task forces to provide equipment and supplies from the National Interagency Cache System at the time of deployment. ▪ Develops contingency plans for use of National Interagency Fire Center contract aircraft during incidents. ▪ Provides equipment and supplies from the Interagency Cache System and use of Interagency Fire Center contract aircraft.
Department of Commerce/National Oceanic and Atmospheric Administration	▪ Acquires and disseminates weather data, forecasts, and emergency information. ▪ Provides weather information essential for efficient US&R. ▪ Predicts pollutant movement and dispersion over time (marine and atmospheric). ▪ Assesses areas of greatest hazard following a marine or atmospheric release.

Department of Defense	The following DOD support may be provided when requested and approved by the Secretary of Defense:
	▪ Serves as primary source for providing fixed-wing and/or rotary-wing transportation for US&R JMTs.
	▪ Serves as secondary source for the following assistance:
	  ▪ Ground transportation of US&R task forces and JMTs within the affected area;
	  ▪ Mobile feeding units for US&R task forces and JMT personnel; and
	  ▪ Portable shelter (e.g., tents) for use by US&R task force and JMT personnel for eating, sleeping, and working.

	U.S. Army Corps of Engineers ▪ Provides pre-incident training for DHS/EPR/FEMA Task Force/JMT StS, as well as for USACE StS. ▪ At the request of DHS, deploys trained StS and Technical Search Specialist teams to supplement the US&R task forces and JMTs. ▪ Assists the JMT Engineering Cell and task forces with US&R efforts. ▪ Provides structural engineering analysis, recommends hazard mitigation, recommends shoring, ascertains structural integrity and assesses whether buildings are safe to enter, and provides building stability monitoring.
Department of Health and Human Services	Provides operational support to US&R task force medical teams and JMTs from ESF #8 – Public Health and Medical Services, as requested by DHS.

Agency	Responsibilities
Department of Homeland Security	**U.S. Coast Guard:** Assists in water rescue in areas of inundation and provides aircraft and boat assets.
	Border and Transportation Security Directorate: Customs and Border Protection (CBP) maintains Border Patrol Search, Trauma, and Rescue (BORSTAR) teams, which are highly specialized units capable of responding to emergency search and rescue situations anywhere in the United States. CBP maintains air and marine assets to support search and rescue transportation operations.
Department of Justice	▪ Provides assistance to DHS/Office of General Counsel on the development and maintenance of tort liability claims coverage for US&R task force and JMT personnel engaged in training, mobilization, deployment, and field operations. ▪ Provides Federal Tort Claims Act guidance and claims resolution services in support of US&R training activities and field deployments.
Department of Labor (DOL)	▪ The DOL Employment Standards Administration, through its Federal Employees' Compensation Program, provides workers compensation guidance, claims resolution, and coverage for US&R task force and JMT personnel while they are engaged in training, mobilization, deployment, and field operations. ▪ DOL/Occupational Safety and Health Administration implements procedures contained in the Worker Safety and Health Support Annex to provide on-site technical assistance, including the evaluation of US&R team exposure to hazardous substances and the dangers of structural collapse. ▪ The Mine Safety and Health Administration assists with search and rescue and can provide mine rescue teams, mobile command centers, seismic location systems, TV probe systems, gas sampling analysis, and robot explorers.
Department of Transportation	Provides transportation support to US&R task forces and JMTs as requested.
National Aeronautics and Space Administration	▪ Provides personnel in appropriate technical disciplines, such as its Disaster Assistance and Rescue Team, to support US&R task forces and JMTs. ▪ Provides and maintains training sites for use of US&R task forces and JMT members. ▪ Assists DHS with identification as well as research and development of new technologies for first responders. ▪ Provides test-bed facilities for proof-of-concept and beta testing of new US&R technologies. ▪ Provides temporary use of facilities for mobilization centers and staging areas for US&R assets.
U.S. Agency for International Development	Provides assistance with the identification of available international search and rescue teams and their integration into National US&R Response System operations as requested.

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Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

ESF Coordinator:

Environmental Protection Agency

Primary Agency:

Environmental Protection Agency
Department of Homeland Security/
U.S. Coast Guard

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
General Services Administration
Nuclear Regulatory Commission

Introduction

Purpose

Emergency Support Function (ESF) #10 – Oil and Hazardous Materials Response provides Federal support in response to an actual or potential discharge and/or uncontrolled release of oil or hazardous materials during Incidents of National Significance when activated. The Federal Government also may respond to oil and hazardous materials Incidents of National Significance using mechanisms of the National Oil and Hazardous Substances Pollution Contingency Plan (NCP) without activating ESF #10. Those procedures are described in the Oil and Hazardous Materials Incident Annex. (Note: For the purposes of this annex, "hazardous materials" is a general term intended to mean hazardous substances, pollutants, and contaminants as defined in the NCP.)

Scope

- ESF #10 provides for a coordinated response to actual or potential oil and hazardous materials incidents by placing the hazard-specific response mechanisms of the NCP within the broader National Response Plan (NRP) coordination structure. ESF #10 includes the appropriate response and recovery actions to prepare for, prevent, minimize, or mitigate a threat to public health, welfare, or the environment caused by actual or potential oil and hazardous materials incidents. Hazardous materials addressed under the NCP include chemical, biological, and radiological substances, whether accidentally or intentionally released. These include certain chemical, biological, and radiological substances considered weapons of mass destruction (WMD).

- ESF #10 describes the lead coordination roles, the division and specification of responsibilities among Federal agencies, and the national, regional, and onsite response organizations, personnel, and resources that may be used to support response actions. ESF #10 is applicable to all Federal departments and agencies with responsibilities and assets to support State, local, and tribal response to actual or potential oil or hazardous materials incidents.

- Response to oil and hazardous materials incidents is carried out in accordance with the NCP (40 CFR part 300). The NCP implements the response authorities and responsibilities created by the Comprehensive Environmental Response, Compensation, and Liability Act, and the authorities established by section 311 of the Clean Water Act, as amended by the Oil Pollution Act.

- Appropriate response and recovery actions can include efforts to detect, identify, contain, clean up, or dispose of released oil and hazardous materials. Specific actions may include stabilizing the release through the use of berms, dikes, or impoundments; capping of contaminated soils or sludge; use of chemicals and other materials to contain or retard the spread of the release or to decontaminate or mitigate its effects; drainage controls; fences, warning signs, or other security or site-control precautions; removal of highly contaminated soils from drainage areas; removal of drums, barrels, tanks, or other bulk containers that contain oil or hazardous materials; and other measures as deemed necessary.

- In addition, ESF #10 may be used to respond to actual or threatened releases of materials not typically responded to under the NCP but that, as a result of an Incident of National Significance, pose a threat to public health or welfare or to the environment. Appropriate ESF #10 response activities to such incidents include, but are not limited to, household hazardous waste collection, permitting and monitoring of debris disposal, water quality monitoring and protection, air quality sampling and monitoring, and protection of natural resources.

Policies

- When ESF #10 is activated for potential or actual Incidents of National Significance involving oil or hazardous materials, the NCP serves as the basis for actions taken in support of the NRP. In certain circumstances, some administrative procedures in the NCP can be streamlined during the immediate response phase. NCP structures and response mechanisms remain in place during an Incident of National Significance, but coordinate with NRP mechanisms as described in this annex. NCP provisions are summarized in this annex for purposes of brevity. The references in this annex to NCP provisions are not intended to change NCP requirements or interpretations. Nothing in the NRP alters or impedes the ability or authorities of designated Federal officials to carry out their duties under the NCP or to coordinate directly with their agency in execution of these duties.

- Response actions carried out under ESF #10 are conducted in accordance with the National Response System (NRS) described in the NCP. The NRS is an organized network of agencies, programs, and resources with authorities and responsibilities in oil and hazardous materials response. Key components of the NRS include the National Response Team (NRT), Regional Response Teams (RRTs), Federal On-Scene Coordinators (OSCs), the National Response Center, Area Contingency Plans, and State and local plans. States and tribes participate in the NRS at the regional and local levels.

- The NCP requires that oil and hazardous materials releases be reported to the National Response Center. (See 40 CFR 300.125.)

- The NRT is the primary vehicle for coordinating Federal agency activities under the NCP. The NRT carries out national planning and response coordination for oil and hazardous materials incident, and works in coordination with the Emergency Support Function Leaders Group regarding ESF #10 preparedness with other NRP elements. On a day-to-day basis, the Environmental Protection Agency (EPA) serves as Chair and the Department of Homeland Security/U.S. Coast Guard (DHS/USCG) as Vice Chair of the NRT. For an incident-specific NRT activation, the NRT Chair would be the agency providing the OSC. (Precise jurisdictional boundaries between EPA and DHS/USCG have been determined by EPA-DHS/USCG agreements and are described in the NCP and in greater detail in Regional Oil and Hazardous Substance Pollution Contingency Plans.)

- There are 13 RRTs composed of regional representatives of the Federal agencies on the NRT as well as a representative from each State within the region. The RRTs are co-chaired by EPA and DHS/USCG on a day-to-day basis. The RRTs serve as planning and preparedness bodies before a response. For an incident-specific RRT activation, the RRT chair would be the agency providing the OSC. During a response, RRTs deploy their respective agency response resources and provide assistance and advice to the Federal OSC(s).

- At the Incident Command Post (ICP) level, the Federal OSC carries out his/her responsibilities under the NCP to coordinate, integrate, and manage overall Federal efforts to detect, identify, contain, clean up, dispose of, or minimize releases of oil or hazardous materials, or prevent, mitigate, or minimize the threat of potential releases, in accordance with existing delegations of authority (see title 40 CFR, part 300, sections 105, 120, 130, 135, 305, 322, and 415 in particular). For oil discharges, depending on the location, the agency providing the Federal OSC is either EPA or DHS/USCG. For hazardous substance emergencies, the agency providing the OSC may be EPA, DHS/USCG, the Department of Energy (DOE), or the Department of Defense (DOD), depending on the location and source of the release. Other Federal agencies provide OSCs for hazardous substance removal actions that are not emergencies.

- The NCP provides that the EPA or DHS/USCG may classify an oil discharge as a Spill of National Significance (SONS). (See 40 CFR section 300.323 for a description of a SONS.) For a SONS, EPA or DHS/USCG may name a "senior Agency official" (EPA) or National Incident Commander (DHS/USCG) who assists the OSC, or assumes certain functions of the OSC, respectively (e.g., communicating with the affected parties and public, coordinating resources at the national level). EPA and DHS/USCG maintain authority for classifying a discharge as a SONS. DHS maintains authority for classifying an incident as an Incident of National Significance. A SONS may or may not be an Incident of National Significance, depending on a determination by DHS. Further, DHS may determine that NCP responses that are not SONS nevertheless rise to the level of an Incident of National Significance.

Primary Agency Determination: EPA or DHS/USCG, depending upon whether the incident affects the inland or coastal zone, serves as the primary agency for ESF #10 actions. For incidents affecting both, EPA is the primary agency and DHS/USCG serves as the deputy.

Support Agencies: To the extent possible, support agency representatives to ESF #10 should be those personnel also assigned to the NRT or RRT(s). Where such dual assignments are not possible, each ESF representative is to maintain close coordination with the agency's NRT/RRT representative.

Multiple Response Actions: When more than one Federal OSC is involved in implementing a response due to multiple response actions, ESF #10 is the mechanism through which close coordination is maintained among all agencies and OSCs.

The primary agency ensures ESF #10 response actions are properly coordinated and carried out. In cases where DHS/USCG is the primary agency and more than one DHS/USCG district falls within a region, DHS/USCG Headquarters selects the regional lead for ESF #10 and may establish an Area Command. In cases where EPA is the primary agency and multiple incident sites or multiple regions are involved, EPA may establish an Area Command.

Relationship to Terrorism Incident Law Enforcement and Investigation Annex: For a terrorist incident involving oil or hazardous materials (such as a WMD incident), ESF #10 provides assistance, investigative support, and intelligence analysis for the oil/hazardous materials response in coordination with the law enforcement and criminal investigation activities addressed in the Terrorism Incident Law Enforcement and Investigation Annex. For an Incident of National Significance involving oil or hazardous materials and ESF #10 activation that is determined to be an intentional criminal act but not an act of terrorism, the response is carried out in accordance with ESF #10 and applicable laws and regulations. The agency with primary jurisdictional responsibility, as directed by statute, Presidential Directive, existing Federal policy, and/or the Attorney General, provides the Senior Federal Law Enforcement Official.

Relationship to Biological and Nuclear/Radiological Incident Annexes: Hazardous materials addressed under the NCP include certain biological and radiological substances. The Biological and Nuclear/Radiological Incident Annexes may therefore be activated simultaneously with ESF #10

for an Incident of National Significance. The Biological and Nuclear/Radiological Incident Annexes describe additional procedures and Federal agency responsibilities for biological and radiological/nuclear incidents that are not addressed in ESF #10, and are used in conjunction with ESF #10 when applicable.

Concept of Operations

General

- The operational response described in the NCP and any agency implementing procedures that contribute to response are coordinated through ESF #10. In conjunction with the affected State, ESF #10 coordinates the provision of support to and the overall management of the various response sites to ensure actions are taken to mitigate, clean up, and dispose of oil and hazardous materials and minimize the impact of the incidents. ESF #10 promotes close coordination with Federal, State, and local officials, as well as the private sector, to establish priorities for response support.

- ESF #10 requires documentation of all response activities to support after-action requirements and justify actions taken by primary and support agencies.

Organization

Headquarters-Level Response Structure

- For incidents where EPA is the primary agency, the Director, Office of Emergency Management, Office of Solid Waste and Emergency Response, EPA, serves as the lead for ESF #10. For incidents where DHS/USCG is the primary agency, the Chief, Office of Response, DHS/USCG, serves as the lead for ESF #10.

- The primary agency represents ESF #10 in all interactions with the Interagency Incident Management Group (IIMG) and maintains coordination with ESF #10 regional components. Support agencies may also be requested to provide a representative at the IIMG as appropriate, in accordance with IIMG procedures.

- Following an initial situation assessment, the primary agency determines which support agencies are required to continue to provide representatives to ESF #10 on a 24-hour basis (either by telephone or in person) during the emergency response period. ESF support agencies have representatives available immediately by telephone on a 24-hour basis. The primary agency provides administrative support to ESF #10 as appropriate. ESF #10 operates from the headquarters of the primary agency:

  - EPA coordinates ESF #10 from the EPA Headquarters emergency operations center (EOC).

  - DHS/USCG coordinates ESF #10 from the DHS/USCG Headquarters Office of Response.

- While incident reports generally flow to the Homeland Security Operations Center (HSOC) from the Joint Field Office (JFO), the primary agency EOC also keeps the HSOC apprised of incident management efforts. EPA and DHS/USCG also provide representatives at the HSOC to support the coordination of information regarding ESF #10 activities.

- ESF #10 is represented at the National Response Coordination Center (NRCC) by a pre-designated EPA and/or DHS/USCG representative and, if necessary, by select representatives of ESF #10 support agencies. The ESF #10 NRCC representative provides national-level coordination and liaison among ESFs and provides accurate ESF technical information to the NRCC Planning Section and the IIMG. The NRCC ESF #10 representative is in direct contact with the ESF #10 EPA and/or DHS/USCG headquarters EOC as appropriate. The primary agency provides guidance and direction to its regional response elements as necessary on issues such as interregional resource use, allocation, and mobilization.

- The primary agency consults the NRT for advice and assistance in carrying out activities under ESF #10. In addition, the primary agency works with DHS during the incident to establish appropriate mechanisms for IIMG/NRT coordination, depending on the needs of the incident. The NRT may also send a liaison to the IIMG to facilitate IIMG/NRT interactions, synchronize efforts, and avoid redundant or conflicting activities. In this case, the NRT liaison and primary agency lead work together to coordinate IIMG/NRT interactions. The NRT may be called upon to provide subject-matter expertise in oil/hazardous materials responses to the IIMG. The NRT may also be called upon to provide input to the Homeland Security Council or other White House entities through the IIMG.

Regional-Level Response Structure

- Either the EPA or DHS/USCG Co-Chair of the RRT serves as the regional lead for the ESF, depending upon which agency is primary agency. For incidents affecting both the inland and coastal zone, EPA is the regional lead and DHS/USCG the deputy. The regional lead may be transferred from one agency to the other during a response if circumstances dictate.

- The regional-level ESF #10 is composed of regional or other representatives of those Federal agencies listed in the "Responsibilities" section of this annex.

- A primary agency Senior Federal Official (SFO) represents ESF #10 in the JFO in its interactions with the Principal Federal Official (PFO) and Federal Coordinating Officer (FCO)/Federal Response Coordinator (FRC) and maintains close coordination with support agencies, other on-scene ESFs, headquarters ESF #10 representatives, OSCs, RRTs, and State officials. (Note: For a SONS, the SFO would be the "senior Agency official" (EPA) or National Incident Commander (DHS/USCG) described in 40 CFR 300.323.) The SFO, OSC, and other ESF #10 representatives provide their full and prompt cooperation, resources, and support to the PFO, as appropriate and consistent with applicable authorities. The primary agency SFO participates in the JFO Coordination Group when appropriate, and ensures appropriate ESF #10 staffing in other JFO units.

- ESF #10 provides a representative to the RRCC, when requested, to assist in coordination of regional support efforts.

- The regional lead for ESF #10, in coordination with the OSC, consults the RRT for advice or assistance, and establishes appropriate mechanisms for the RRT to coordinate with the JFO during an incident as needed.

- If the agency(ies) providing the OSCs join or establish an Area Command (or Unified Area Command), the ESF #10 regional lead ensures coordination between the JFO and Area Command, as needed, on matters relating to ESF #10 activities.

- In the event of a multistate incident, DHS may establish multiple JFOs. In this case, the primary agency designates an ESF #10 representative for each JFO.

- During an NCP SONS, the DHS/USCG may establish an Area Command structure, known as a Regional Incident Command (RIC) or National Incident Command (NIC) depending on the level of coordination needed. If DHS designates the SONS as an Incident of National Significance, the RIC/NIC coordinates its activities with the JFO, and the JFO would likely collocate with the RIC/NIC.

- ESF #10 designates a representative to the Advance Element of the Emergency Response Team (ERT-A) and, in conjunction with the ESF support agencies, determines the staffing requirements for the full ERT at the JFO.

- The regional lead for ESF #10 ensures ESF #10 response activities are fully integrated and coordinated with the Federal Bureau of Investigation Joint Operations Center, when established for terrorist events.

- The regional ESF #10 lead supports Federal OSCs and coordinates their activities. The regional lead also ensures that ESF #10 activities are integrated and coordinated with other Federal, State, local, and tribal response activities to make the best use of response resources and to avoid gaps or overlaps in response actions.

- The OSC has the authority to direct oil and hazardous material response efforts and coordinate all other efforts at the scene of a discharge or release (i.e., at the ICP), in accordance with existing delegations of authority. The OSC generally joins an ICP already established by local authorities or designates an ICP at the site in accordance with the local Area Contingency Plan, and conducts activities from that ICP under a Unified Command. OSC efforts are coordinated with other appropriate Federal, State, local, tribal, and private response agencies through Incident Command System mechanisms. The agency providing the OSC provides additional representatives to the ICP as appropriate. Examples of specific response efforts are described in the NCP and include actions taken as soon as possible to prevent, minimize, or mitigate a threat to public health or welfare, or the environment.

- All OSCs involved in implementing ESF #10 actions maintain close coordination with the regional ESF #10 lead to ensure the response is consistent with Federal priorities. Typically, the OSC communicates directly with the ESF #10 SFO at the JFO, the SFO coordinates with the PFO and FCO/FRC, and the Unified Command communicates with the JFO Coordination Group.

- Public communications generally are coordinated through ESF #15 – External Affairs in consultation with the JFO and Joint Information Center. It is recognized, however, that in some cases it may be necessary for responding OSCs to communicate with the media/public on tactical operations and matters affecting public health and safety directly from the scene, particularly during the early stages of the emergency response.

Incident-Related Actions

- The primary agency convenes appropriate agency representatives as soon as possible, and within 2 hours of notification, if possible, to develop a plan for providing the support required. This can be conducted via emergency conference call or by physically locating at the primary agency EOC as appropriate.

- The headquarters ESF #10 focuses initially on the following actions:

  - Confirm that members of national and regional ESF #10 staffs are notified;

  - Ensure that the primary agency EOC is ready to support Federal response activities and to coordinate with the HSOC;

  - Establish communications with the affected regional ESF #10 elements;

  - Establish communications with designated backup regions and with other appropriate State and regional elements;

  - Coordinate with other national-level ESFs, particularly ESF #5 – Emergency Management;

  - Identify extent of oil and hazardous materials incidents;

  - Identify initial resource requirements; and

  - For terrorism incidents, provide support as required during the response while continuing to carry out NCP response actions.

- The regional-level ESF #10 becomes operational upon notification from the RRCC. Initial actions coordinated under the regional ESF #10 may include:

  - Alert members of the regional ESF #10;

  - Deploy representatives to the ERT-A and to the ERT;

- Coordinate and communicate with the headquarters ESF #10 at the NRCC;
- Establish communications with the RRCC and/or State EOC (according to regional plans) to obtain initial damage estimates;
- As appropriate, coordinate with ESF #10 elements in nonimpacted regions to obtain backup and additional assistance; and
- Assess the situation, including the nature, amount, and locations of actual or potential releases of oil and hazardous materials; pathways to human and environmental exposure; probable direction and time of travel of the materials; potential impact on human health, welfare, safety, and the environment; types, availability, and location of response resources, technical support, decontamination and cleanup services; and priorities for protecting human health and welfare and the environment through appropriate prevention and/or response actions.

- Upon identification of actual or potential releases of oil and hazardous materials, the regional lead for ESF #10 closely coordinates with the OSC(s) and the RRT (if convened) to develop and implement a response strategy.
- Upon becoming fully operational and throughout the response period, the ESF #10 support agency representatives (headquarters and regional) coordinate with their agencies to meet ESF #10 needs and carry out ESF actions. The regional ESF #10 actions may include:
  - Receiving damage information from reconnaissance teams, other ESFs, and Federal, State, local, and tribal agencies;
  - Identifying ESF support needs and establishing response priorities in coordination with Federal, State, local, and tribal agencies;
  - Validating priorities and identifying the resources required to meet the needs;
  - Working with State, local, and tribal governments, other Federal agencies, and the private sector to maximize use of available regional assets and identify resources required from outside the region; and initiating actions to locate and move resources into the incident area (transport of resources to be coordinated with ESF #1 – Transportation);
  - Maintaining close coordination with the JFO to share information and ensure effective response to requests for assistance; and
  - Continuing to coordinate on-scene response operations at the ICP as described under "Policies" above.

Because of the potential for response to numerous simultaneous events, including terrorism incidents, OSCs, as time permits, coordinate all significant actions with the ESF #10 regional primary agency. Significant actions are considered those that relate to competition for and commitment of resources not under their control, or recommendations to State officials as to protective actions, or that impact on other response activities or priorities.

Responsibilities

ESF Coordinator: The Director of EPA's Office of Emergency Management serves as the ESF coordinator and, in partnership with DHS/USCG, conducts ESF #10 planning and preparedness activities in coordination with the NRT (as Chair) and through the NRS.

Primary Agencies

EPA

For incidents for which EPA is the primary agency:

- Maintains close coordination between EPA Headquarters and the affected regional office(s); the DHS/USCG, as appropriate; the IIMG; the NRCC; other ESFs; and the NRT.
- Provides damage reports, assessments, and situation reports to support ESF #5.
- Facilitates resolution of conflicting demands for hazardous materials response resources and ensures coordination between NRT and IIMG activities, and RRT and JFO activities, as appropriate. Coordinates (through Headquarters) the provision of backup support from other regions to the affected area.
- Provides technical, coordination, and administrative support and personnel, facilities, and communications for ESF #10.
- Coordinates, integrates, and manages the overall Federal effort to detect, identify, contain, decontaminate, clean up, or dispose of or minimize discharges of oil or releases of hazardous materials, or prevent, mitigate, or minimize the threat of potential releases.
- Provides OSCs for incidents within its jurisdiction.

In general:

- Provides expertise on the environmental effects of oil discharges or releases of hazardous materials and environmental pollution control techniques.
- Provides Chair for NRT and Co-Chairs for RRTs.
- Manages EPA special teams under the NCP, including the Environmental Response Team and Radiological Emergency Response Team, which provide specialized technical advice and assistance to responders.
- Coordinates, integrates, and provides investigative support, intelligence analysis, and legal expertise on environmental statutes related to oil and hazardous materials incidents, particularly regarding criminal cases, in support of responders.
- Manages the National Counter-terrorism Evidence Response Team (NCERT) and National Enforcement Investigations Center (NEIC) Counter-Terrorism Response Team (CTRT), composed of investigative and scientific personnel to provide investigative, scientific, and forensic technical advice, assistance, and other threat assessment in support of responders.
- Is designated as sector lead for critical infrastructure protection and biomonitoring for the water sector under Homeland Security Presidential Directive-7 and Homeland Security Presidential Directive-9.

DHS/USCG

For incidents for which DHS/USCG is the primary agency:

- Maintains close coordination between DHS/USCG headquarters and the affected Area and District office(s); the EPA, as appropriate; the IIMG; the NRCC; other ESFs; and the NRT.
- Provides damage reports, assessments, and situation reports to support ESF #5.
- Facilitates resolution of any conflicting demands for hazardous materials response resources and ensures coordination between NRT and IIMG activities, and RRT and JFO activities, as

appropriate. Coordinates (through Headquarters) the provision of backup support from other districts to the affected area.

- Provides technical, coordination, and administrative support and personnel, facilities, and communications for ESF #10.

- Coordinates, integrates, and manages the overall Federal effort to detect, identify, contain, clean up, or dispose of or minimize releases of oil or hazardous materials, or prevent, mitigate, or minimize the threat of potential releases.

- Provides OSCs for incidents within its jurisdiction (including for the coastal zone response for incidents for which EPA is the primary agency, but the incident affects both the inland and coastal zone).

In general:

- Provides expertise on environmental effects of oil discharges or releases of hazardous materials and environmental pollution control techniques.

- Assists in planning and preparedness efforts as Vice Chair of the NRT and Co-Chairs for RRTs.

- Maintains the National Response Center.

- Manages the National Strike Force, composed of three strike teams located on the Pacific, Atlantic, and Gulf coasts, to provide technical advice, assistance, and communications support for response actions.

- Offers expertise in domestic and international port safety and security, maritime law enforcement, ship navigation, and the manning, operation, and safety of vessels and marine facilities.

- Maintains continuously staffed facilities that can be used for command, control, and surveillance of oil discharges and hazardous materials releases occurring within its jurisdiction.

Support Agencies

Agency	Responsibilities
Department of Agriculture (USDA)	▪ Measures, evaluates, and monitors the impact of the emergency incident on natural resources under USDA's jurisdiction, primarily the national forests. ▪ Provides predictions of the effects of pollutants on soil and their movements over and through soil. ▪ Assists in developing protective measures and damage assessments. ▪ Assists in the disposition of livestock and poultry contaminated with hazardous materials. ▪ Provides technical assistance and logistical support.
Department of Commerce/ National Oceanic and Atmospheric Administration (NOAA)	▪ Provides operational weather data and prepares forecasts tailored to support the response, through the Interagency Modeling and Atmospheric Assessment Center (IMAAC) when activated. ▪ Provides expertise on natural resources and coastal habitat, the environmental effects of oil and hazardous materials, and appropriate cleanup and restoration alternatives. ▪ Coordinates NOAA scientific support for responses in coastal and marine areas, including assessments of the hazards that may be involved. ▪ Predicts pollutant movement, dispersion, and characteristics (marine) over time. ▪ Provides information on meteorological, hydrological, ice, and oceanographic conditions for marine, coastal, and inland waters. ▪ Provides charts and maps for coastal and territorial waters and the Great Lakes. ▪ Conducts emergency hydrographic surveys, search and recovery, and obstruction location to assist safe vessel movement.
Department of Defense	Provides OSC and directs response actions for releases of hazardous materials from its vessels, facilities, vehicles, munitions, and weapons.
	U.S. Army Corps of Engineers (DOD/USACE): Provides response and recovery assistance to incidents involving radiological dispersal devices and improvised nuclear devices, pursuant to development of a Memorandum of Understanding between EPA and DOD/USACE.
Department of Energy	▪ Provides an OSC and directs response actions for releases of hazardous materials from its vessels, facilities, and vehicles. ▪ Provides advice in identifying the source and extent of radioactive releases relevant to the NCP, and in the removal and disposal of radioactive contamination. ▪ Provides additional assistance for radiological incidents pursuant to, or in coordination with, ESF #8 –Public Health and Medical Services DOE activities.

Agency	Responsibilities
Department of Health and Human Services	▪ Provides assistance on all matters related to the assessment of health hazards at a response and protection of response workers and the public health. ▪ Determines whether illnesses, diseases, or complaints may be attributable to exposure to a hazardous material. ▪ Establishes disease/exposure registries and conducts appropriate testing. ▪ Develops, maintains, and provides information on the health effects of toxic substances. ▪ Works in cooperation with EPA and USDA to ensure the proper disposal of contaminated food or animal feed.
Department of Homeland Security	**Border and Transportation Security Directorate/Customs and Border Protection (CBP):** Where hazardous materials are transported by persons, cargo, mail, or conveyances arriving from outside the United States, CBP provides extensive analytical and targeting capabilities through its National Targeting Center; full examination capabilities by trained CBP Officers equipped with radiation detection and nonintrusive inspection technology; and nationwide rapid technical response capabilities through its Laboratory and Scientific Services Division.
	Emergency Preparedness and Response Directorate/Federal Emergency Management Agency: Provides coordination support during ESF activations, as well as recovery and mitigation assistance during federally declared disasters or emergencies.
	Information Analysis and Infrastructure Protection Directorate ▪ Designates an Infrastructure Liaison to address all issues regarding the recovery and restoration of critical infrastructure affected by a release of oil or hazardous materials. ▪ **Protective Security Division:** Maintains database of sites with hazardous materials; provides detailed knowledge of various hazardous material sites as a result of site visits and vulnerability assessments; and works to reduce the vulnerabilities and risks from terrorist attack at hazardous material sites.
	Science and Technology Directorate ▪ Provides coordination of Federal science and technology resources as described in the Science and Technology Support Annex. ▪ **IMAAC:** Provides predictions of hazards associated with atmospheric releases for use in emergency response during an Incident of National Significance.

Agency	Responsibilities
Department of the Interior	▪ Provides scientific/technical advice, information, and assistance to help prevent or minimize injury to natural and cultural resources and historic properties such as public lands; units of the National Park System; national wildlife refuges and fish hatcheries; Alaska Native allotments and townsites; wildlife and associated habitat, including threatened and endangered species and migratory birds; and national monuments. ▪ Provides scientific expertise and assistance in mapping, biological resources, geology, and hydrology; earthquakes and other natural hazards; minerals; and identification of hazards. ▪ Provides expertise in and information on offshore drilling and production practices and facilities and offshore minerals; maintains computer models for oil spill trajectory analysis and calculation of pipeline oil discharge volumes; funds and makes available information from response research; and for spills involving Outer Continental Shelf facilities, assists in source identification, oversees spill abatement, and approves resumption of operations.
Department of Justice	Provides expert advice on complex legal issues, particularly regarding potential criminal cases.
Department of Labor (DOL)	**Mine Safety and Health Administration:** Provides mobile laboratory equipment and technical expertise for gas sampling and analysis.
	Occupational Safety and Health Administration (DOL/OSHA): Provides technical support to EPA, DHS/USCG, and other NRT/RRT agencies, as well as to the OSC, regarding hazards to workers engaged in response activities. Worker safety and health resources under the Worker Safety and Health Support Annex are activated through ESF #5. This assistance may include 24/7 site safety monitoring, airborne worker exposure sampling and analysis, critical incident stress monitoring, development and oversight of the site-specific safety and health plan, personal protective equipment selection and distribution and training, and respirator fit-testing. The Worker Safety and Health Support Annex provides additional information on worker safety and health technical assistance. DOL/OSHA support is also directly available to NRT agencies under the NCP.
Department of State	Facilitates an integrated response between nations when a discharge or release crosses international boundaries or involves foreign flag vessels.
Department of Transportation	Provides expertise on all modes of transporting oil and hazardous materials, including information on the requirements for packaging, handling, and transporting regulated hazardous materials.
General Services Administration	Provides logistics and telecommunications support. If ESF #2 – Communications or ESF #7 – Resource Support are activated, provides support through those ESFs.

Agency	Responsibilities
Nuclear Regulatory Commission (NRC)	Coordinates the Federal response activities for a radiological incident involving a facility licensed by the NRC or an Agreement State; shipment of NRC- or Agreement State-licensed materials; or radioactive materials licensed under the Atomic Energy Act, in accordance with the Nuclear/Radiological Incident Annex. The NRC and EPA coordinate their responses to an emergency involving both a radiological and chemical release in accordance with joint NRC/EPA implementing procedures.
Other Agencies	Other Federal agencies may be called on to provide advice and assistance as needed.

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Emergency Support Function #11 – Agriculture and Natural Resources Annex

ESF Coordinator:

Department of Agriculture

Primary Agencies:

Department of Agriculture
Department of the Interior

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of the Interior
Department of Justice
Department of State
Department of Labor
Department of Transportation
Environmental Protection Agency
General Services Administration
U.S. Postal Service
American Red Cross

Introduction

Purpose

Emergency Support Function (ESF) #11 – Agriculture and Natural Resources supports State, local, and tribal authorities and other Federal agency efforts to address: (1) provision of nutrition assistance; (2) control and eradication of an outbreak of a highly contagious or economically devastating animal/zoonotic disease, highly infective exotic plant disease, or economically devastating plant pest infestation; (3) assurance of food safety and food security (under Department of Agriculture (USDA) jurisdictions and authorities), and (4) protection of natural and cultural resources and historic properties (NCH) resources prior to, during, and/or after an Incident of National Significance.

Scope

ESF #11 includes four primary functions:

- **Provision of nutrition assistance by the Food and Nutrition Service (FNS):** Includes determining nutrition assistance needs, obtaining appropriate food supplies, arranging for delivery of the supplies, and authorizing disaster food stamps.

- **Animal and plant disease and pest response:** Includes implementing an integrated Federal, State, local, and tribal response to an outbreak of a highly contagious or economically devastating animal/zoonotic disease, an outbreak of a highly infective exotic plant disease, or an economically devastating plant pest infestation. Ensures, in coordination with ESF #8 – Public Health and Medical Services, that animal/veterinary/wildlife issues in natural disasters are supported.

- **Assurance of the safety and security of the commercial food supply:** Includes the inspection and verification of food safety aspects of slaughter and processing plants, products in distribution and retail sites, and import facilities at ports of entry; laboratory analysis of food samples; control of products suspected to be adulterated; plant closures; foodborne disease surveillance; and field investigations.

- **Protection of NCH resources:** Includes appropriate response actions to conserve, rehabilitate, recover, and restore NCH resources.

Policies

General	▪ Actions undertaken under ESF #11 are coordinated with and conducted cooperatively with State, local, and tribal incident management officials and with private entities, in coordination with the Joint Field Office (JFO) Coordination Group, the Regional Response Coordination Center (RRCC), and National Response Coordination Center (NRCC) as required. ▪ Each supporting agency is responsible for managing its respective assets and resources after receiving direction from the primary agency for the incident.
Nutrition Assistance Policies	▪ Food supplies secured and delivered under ESF #11 are suitable either for household distribution or for congregate meal service as appropriate. ▪ Transportation and distribution of food supplies within the affected area are arranged by Federal, State, local, and voluntary organizations. ▪ ESF #11 officials coordinate with, and support as appropriate, agencies responsible for ESF #6 – Mass Care, Housing, and Human Services, involved in mass feeding. ▪ ESF #11 officials encourage the use of congregate feeding arrangements as the primary outlet for disaster food supplies. ▪ Priority is given to moving critical supplies of food into areas of acute need and then to areas of moderate need. ▪ ESF #11 officials, upon notification that commercial channels of trade have been restored, may authorize the use of disaster food stamp program procedures.
Animal and Plant Disease and Pest Response Policies	▪ When addressing animal diseases, all animal depopulation activities are conducted as humanely as possible while stopping pathogen spread and limiting the number of animals that must be euthanized. Disposal methods for infected or potentially infected carcasses and plant host material are chosen for their effectiveness in stopping pathogen spread and for their minimal impact on the environment. ▪ The Secretary of Agriculture can release funds from contingency or program accounts as needed to indemnify producers for animals and suspect animal and plant products seized or facilities held to control a disease as well as to pay the operational costs of the eradication of disease. ▪ The Secretary of Agriculture also may declare an Extraordinary Emergency to pay compensation and to allow for the use of Federal authorities to take action within a State if the affected State is unable to take appropriate action to control and eradicate the disease.
Food Safety and Security Policies	▪ The Food Safety and Inspection Service (FSIS) is activated upon notification of the occurrence of a potential or actual Incident of National Significance by the Department of Homeland Security (DHS) that a Federal response is warranted. ▪ Actions undertaken are guided by and coordinated with State and local emergency preparedness and response officials and homeland security officials and existing USDA internal policies and procedures.
NCH Resources Protection Policies	▪ The Department of the Interior (DOI) is the initial primary agency for NCH resources. The primary agency for each emergency is determined jointly by DOI, USDA, and the Department of Commerce/National Oceanic and Atmospheric Administration (DOC/NOAA), and may change over the life of the incident. ▪ Actions undertaken under ESF #11 to protect, conserve, rehabilitate, recover, and restore NCH resources are guided by the existing internal policies and procedures of the primary agency for each incident. ▪ The primary agency for each incident coordinates with appropriate ESFs and other annexes, including the coordinating agency for the Worker Safety and Health Support Annex, to ensure appropriate use of volunteers and their health and safety and to ensure appropriate measures are in place to protect the health and safety of all workers.

Concept of Operations

General

- USDA, as the coordinator for ESF #11, organizes the ESF staff based upon the four core functional areas addressed above (see Table 1). It organizes and coordinates the capabilities and resources of the Federal Government to facilitate the delivery of services, technical assistance, expertise, and other support for Incidents of National Significance that impact the areas covered in Table 1.

- ESF #11 provides for an integrated Federal, State, local, and tribal response to an outbreak of a highly contagious or economically devastating animal/zoonotic (i.e., transmitted between animals and people) disease, an outbreak of a highly infective exotic plant disease, or an economically devastating plant or animal pest infestation in the United States.

- ESF #11 ensures the safety and security of the Nation's commercial supply of food (e.g., meat, poultry, and egg products) following a potential or actual Incident of National Significance, and mitigates the effect of the incident(s) on all affected parts of the U.S. population and environment.

TABLE 1. ESF #11 functional categories and responsibilities

Functional Categories	Nutrition Assistance	Animal and Plant Disease and Pest Response	Food Safety and Security Supply	NCH Resources Protection
ESF #11 Primary Agency	**USDA/FNS**	**USDA/APHIS**	**USDA/FSIS**	**DOI**
ESF #11 Responsibilities	▪ Determine nutritional assistance needs ▪ Obtain appropriate food supplies ▪ Arrange for transportation for food supplies ▪ Authorize disaster food stamps	▪ Implement an integrated national-level response to an outbreak of an economically devastating or highly contagious animal/zoonotic exotic plant disease, or plant pest infestation ▪ Coordinate veterinary and wildlife services in affected areas ▪ In response to a biohazardous event, the decontamination and/or destruction of animals and plants as well as associated facilities (e.g., barns, processing equipment, soil, and feeding and growing areas) may be required ▪ Coordinate with ESF #8 on animal/veterinary/ wildlife issues in disease and natural disaster issues	▪ Inspection and verification of meat, poultry, and egg products in affected areas ▪ Food-borne disease surveillance ▪ Coordinate recall and tracing of adulterated products ▪ Coordinate disposal of contaminated food products ▪ Provide inspectors and laboratory services to affected areas	▪ Coordinate NCH resources identification and vulnerability assessments ▪ Facilitate development and application of protection measures and strategies ▪ Assist in emergency compliance with relevant Federal environmental laws during emergency response activities, such as emergency permits/consultation for natural resources use or consumption ▪ Manage, monitor, and assist in or conduct response and recovery actions to minimize damage to NCH resources ▪ Coordinate with ESF #3 and #10 on the removal of debris affecting NCH resources ▪ Coordinate with ESF #3 to manage, monitor, or provide technical assistance on emergency stabilization (and during recovery, restoration) of shorelines, riparian buffer zones, and hillsides to protect NCH resources ▪ Provide Incident Management Teams to assist in NCH resource response and recovery actions

- As the primary agency for NCH resources, DOI organizes and coordinates the capabilities and resources of the Federal Government to facilitate the delivery of services, technical assistance, expertise, and other support for the protection, conservation, rehabilitation, recovery, and restoration of NCH resources in prevention of, preparedness for, response to, and recovery from an Incident of National Significance.

- ESF #11 identifies, secures, and arranges for the transportation of food and/or food stamp benefits to affected areas.

Organization

Headquarters-Level Response Structure

The headquarters ESF operates under the direction of the USDA coordinator, who is determined based upon the assistance needed for the specific incident. When the assistance needed involves NCH resources protection, the DOI provides the initial headquarters direction and coordination. When an incident requires assistance from more than one of the ESF #11 functions, USDA provides the overall direction.

- For nutrition assistance, FNS's National Disaster Coordinator is the point of contact and coordinates FNS's response activities with other agencies on behalf of FNS's disaster task force.

- For animal and plant disease and pest response, the Animal and Plant Health Inspection Service (APHIS) assumes primary responsibility.

- For an incident involving food safety and security, FSIS assumes primary responsibility.

- For an incident involving NCH resources protection, the DOI Office of Environmental Policy and Compliance assumes initial primary responsibility.

- Once ESF #11 is activated, the national response is coordinated by USDA at the NRCC. The coordinator convenes a conference call with appropriate support agencies and non-Federal partners to assess the situation and determine appropriate actions. The agency then alerts supporting organizations and requests that they provide representation.

Regional-Level Response Structure

- The regional ESF #11 operates under the direction of a USDA coordinator, who is determined based upon the assistance needed for the specific incident. When an incident requires assistance from more than one of the ESF #11 functions, USDA provides the regional point of contact within the RRCC and represents ESF #11 in its dealings with the JFO Coordination Group. When ESF #11 assistance involves only NCH resources protection, DOI provides this regional function until the primary agency for the incident is determined.

- For nutrition assistance, the FNS Regional Disaster Coordinator is the point of contact and represents ESF #11 in its dealings with the JFO Coordination Group, and is present or available for duty at the JFO on a 24-hour basis for the duration of the emergency response period.

- In the event of an outbreak of a highly contagious or economically devastating animal/zoonotic disease:

  - The State Coordinating Officer, who may be the State Veterinarian or other official from either the animal health or the emergency management community, serves as the State's principal point of contact with the Federal Government, represented by the Area Veterinarian in Charge for each State.

  - The State activates its State, regional, or local emergency operations centers (EOCs), as needed, as the State's base of operations for interfacing with local Governments, State agencies, and the private sector.

  - The State Veterinarian and Area Veterinarian in Charge establishes a Joint Operations Center, which serves as the focal point for coordinating the disease management decisionmaking process.

- In the event of an outbreak of a highly infective exotic plant disease or an economically devastating plant pest infestation:

- The State Plant Health Regulatory Official serves as the State's principal point of contact with the Federal Government.
- The State activates its State, regional, or local emergency operations centers (EOCs), as needed, as the State's base of operations for interfacing with local governments, State agencies, and the private sector.
- The State Plant Health Director and the State Plant Regulatory Official establish a Joint Operations Center, which serves as the focal point for coordinating the disease or pest management decisionmaking process.

- Regardless of the nature of the disease or pest emergency, the State establishes a Joint Information Center (JIC) that functions as the principal source of information about the disease outbreak or pest infestation response in the State. The State JIC coordinates closely with Federal officials to ensure consistency in the information released to the communications media and the public.
- In assisting with disease response, the local or county government activates its EOC to provide a local base of operations. In some States, a county emergency declaration may be needed to initiate county response activities.
- For food supply safety and security, the District and Field Offices nationwide coordinate the field response activities according to internal policies and procedures. A representative of a District Office(s) serves as the Senior USDA Federal Official of the JFO Coordination Group in the affected area.
- For assistance in protection of NCH resources, the DOI Regional Environmental Officer or designee is the initial point of contact within the RRCC and represents ESF #11 in dealing with the Federal Coordinating Officer or Federal Resources Coordinator.

Actions

Initial Actions

The ESF #11 coordinator provides information to and/or attends meetings of the Interagency Incident Management Group (IIMG) for the duration of the incident. The primary agency for the incident assembles an interagency staff to support operations at the NRCC, RRCC, and JFO.

Nutrition Assistance	▪ Determines the critical needs of the affected population in terms of numbers of people, their location, and usable food preparation facilities for congregate feeding. ▪ Catalogs available resources of food, transportation, equipment, storage, and distribution facilities and is able to locate these resources geographically. ▪ Ensures that all identified USDA food is fit for human consumption. ▪ Coordinates shipment of USDA food to staging areas within the affected area. ▪ Initiates direct market procurement of critical food supplies that are unavailable from existing inventories. ▪ Authorizes the Disaster Food Stamp Program.
Animal and Plant Disease and Pest Response	▪ APHIS addresses the potential for outbreaks in multiple States and provides guidance to unaffected States in taking immediate precautionary measures within their borders. ▪ If a possible intentional pathogen release is reported, animal health authorities immediately notify USDA's Office of Inspector General (OIG), which in turn contacts the DHS Homeland Security Operations Center. As the situation warrants, the USDA OIG notifies and coordinates with the appropriate law enforcement agencies at the local, State, and Federal levels.

Animal and Plant Disease and Pest Response (Continued)	▪ If criminal activity is suspected in connection with an outbreak, the USDA OIG works closely with the responding veterinary or plant diagnostics staff to ensure the proper handling and packing of any samples and their shipment to the appropriate research laboratory for testing and forensic analysis. The USDA OIG conducts any subsequent criminal investigation jointly with other appropriate Federal law enforcement agencies. If the outbreak is determined to be a criminal but not a terrorist act, the USDA OIG assumes primary Federal responsibility for a law enforcement response. ▪ If a terrorist act is suspected in connection with an outbreak, the USDA OIG notifies the Weapons of Mass Destruction Unit of the Department of Justice/Federal Bureau of Investigation (FBI). The USDA OIG, other appropriate Federal law enforcement agencies, and the FBI conduct a joint criminal investigation. ▪ The APHIS provides for the inspection, fumigation, disinfection, sanitation, pest extermination, and destruction of animals or articles found to be so infected or contaminated as to be sources of dangerous infection to human beings and takes such other measures as necessary.
Food Supply Safety and Security	▪ Assesses the operating status of inspected meat, poultry, and egg product processing, distribution, import, and retail facilities in the affected area. ▪ Evaluates the adequacy of available inspectors, program investigators, and laboratory services relative to the emergency on a geographical basis.
NCH Resources Protection	▪ Determines the critical needs and resources available for NCH resources protection, in consultation with State, local, tribal, and private entities. Based on this determination, DOI, USDA, and NOAA consult to determine which agency serves as the primary agency for the incident. ▪ Coordinates provision of necessary assistance within the affected area.

Ongoing Actions

Nutrition Assistance	▪ Expedites requests, if any, for emergency issuance of food stamp benefits after access to commercial food channels is restored. ▪ Establishes logistical links with organizations involved in long-term congregate meal services. ▪ Establishes need for and effects replacement of food products transferred from existing FNS nutrition assistance program inventories.
Animal and Plant Disease and Pest Response	▪ Provides information and recommendations to the IIMG for incidents involving an outbreak of highly contagious/zoonotic animal disease, highly infective exotic plant disease, or economically devastating plant pest infestation that may require quarantine actions or that may impact intrastate/interstate commerce. ▪ Assigns veterinary personnel to assist in delivering animal health care to injured or abandoned animals and performing veterinary preventive medicine activities, including the conducting of field investigations and the provision of technical assistance and consultation as required.

Food Supply Safety and Security	▪ Inspects and verifies slaughter and processing plants, distribution and retail sites, and import facilities at ports of entry. ▪ Engages in laboratory analysis activities to screen meat, poultry, and egg products for chemical, biological, and radiological agents. ▪ Suspends operations of meat, poultry, and egg processing plants as appropriate. ▪ Engages in surveillance of food safety/security-related illness, injury, and other consumer complaints. ▪ Coordinates with State, local, and voluntary organizations to determine the extent to which FSIS resources are needed and can be provided. ▪ Conducts product tracing to determine the source, destination, and disposition of adulterated and/or contaminated products. ▪ Controls all identified FSIS-inspected products at inspected establishments that are suspected or found to be adulterated through product recall, seizure, and detention and/or closures of regulated establishments.
NCH Resources Protection	▪ Provides scientific/technical advice, information, and assistance to help prevent or minimize injury to and to preserve, protect, conserve, stabilize, rehabilitate, or restore NCH resources. ▪ Establishes logistical links with organizations involved in long-term NCH resources protection, preservation, conservation, rehabilitation, recovery, stabilization, and restoration.

Responsibilities

Coordinating Agency: Department of Agriculture

Agency	Functions
Nutrition Assistance **Primary Agency: Department of Agriculture/Food and Nutrition Service**	▪ Determines the availability of USDA foods, including raw agricultural commodities (e.g., wheat, corn, oats, and rice) that could be used for human consumption and assesses damage to food supplies. ▪ Coordinates with State, local, and tribal officials to determine the nutrition needs of the population in the affected areas based on the following categories: acutely deficient, moderately deficient, self-sufficient, and surplus supplies. ▪ At the discretion of the Administrator of the FNS, and upon request by the State, approves emergency issuance of food stamp benefits to qualifying households within the affected area. ▪ At the discretion of the Administrator of the FNS, makes emergency food supplies available to households for take-home consumption in lieu of providing food stamp benefits for qualifying households. ▪ Works with State and voluntary agencies to develop a plan of operation that ensures timely distribution of food in good condition to the proper location, once need has been determined.

Agency	Functions
Animal and Plant Disease and Pest Response **Primary Agency: Department of Agriculture/Animal and Plant Health Inspection Service**	**Animal Diseases—APHIS, Veterinary Services** ▪ Detects animal disease anomalies and assigns Foreign Animal Disease Diagnosticians to conduct investigations. ▪ After diagnosis of disease, circulates warning notice to appropriate Federal and State officials in order to facilitate a more timely and efficient response. ▪ Coordinates tasks with other ESFs, Veterinary Medical Assistance Teams, and voluntary animal care organizations to respond. ▪ Coordinates surveillance activities along with ESF #8 – Public Health and Medical Services in zoonotic diseases. ▪ Coordinates with ESF #8 in the case of a natural disaster in which animal/veterinary/wildlife issues arise, to ensure support for such issues.
	Plant Disease or Pests—APHIS, Plant Protection and Quarantine ▪ In an exotic plant disease or plant pest of quarantine importance, the grower and/or the State land-grant university diagnostic laboratory or State Department of Agriculture diagnostic laboratory contacts the State Plant Regulatory Official as well as the State Plant Health Director of the Plant Protection and Quarantine program. The Director then notifies the Plant Protection and Quarantine program's regional and headquarters offices. ▪ Prior to initiation of an emergency response, the suspect specimen must be confirmed by a specialist recognized as an authority by the Plant Protection and Quarantine program's National Identification Services unit. Once confirmed, the appropriate Plant Protection and Quarantine Region Director and the Assistant Deputy Administrator for Pest Detection and Management Programs notifies the State Plant Regulatory Official and the State Plant Health Director in the State of origin that the presence of the exotic plant disease or plant pest has been confirmed. The Assistant Deputy Administrator then notifies the National Plant Board and all trading partners of the confirmation.
Food Supply Safety and Security **Primary Agency: Department of Agriculture/Food Safety and Inspection Service**	▪ Assesses whether meat, poultry, and egg product processors, distributors, and importers in the affected area are able to provide safe and secure food. The operations of facilities that cannot produce unadulterated products are suspended, and other facilities continue to undergo regular or enhanced inspection and verification, including laboratory monitoring of food samples. ▪ Works with Federal, State, and local authorities as well as industry to conduct tracing, recall, and control of adulterated products. This includes proper disposal of contaminated products in order to protect public health and the environment in the affected area. ▪ Provides Geographic Information Systems mapping capability for the meat, poultry, and egg product facilities it regulates to assist State and local authorities to establish food control zones to protect the public health.

Agency	Functions
NCH Resources Protection **Initial Primary Agency: Department of the Interior**	▪ Provides scientific/technical advice, information, and assistance to help prevent or minimize injury to and to restore or stabilize NCH resources. Areas covered include terrestrial and aquatic ecosystems; biological resources, including fish and wildlife, threatened and endangered species, and migratory birds; historic and prehistoric resources; mapping and geospatial data; geology; hydrology, including real-time water flow data; earthquakes and other natural hazards; on- and offshore minerals; energy; and coal mining. ▪ Makes available the response resources of the National Interagency Fire Center, such as incident management teams, communications equipment, transportation resources, temporary housing and feeding resources, etc., in cooperation with USDA and to the extent possible. ▪ Provides technical assistance in contract management, contracting, procurement, construction inspection, and NCH resources assessments and restoration (natural resources), preservation, protection, and stabilization. ▪ Provides technical and financial assistance to landowners and communities as appropriate to help assess the restoration needs for important fish and wildlife habitat and population restoration.
NCH Resources Protection **Department of Agriculture**	▪ Provides technical advice, information, and assistance to help prevent or minimize injury to and to restore or stabilize NCH resources. Areas covered include: plant materials propagation; soil surveys; drought preparedness and mitigation; critical habitat, including environmentally sensitive and culturally significant areas; watershed survey, planning, protection, and rehabilitation; and reforestation and other erosion control. ▪ Provides technical and financial assistance to State and tribal governments in developing natural resource management and protection plans, primarily for forested areas. ▪ Provides emergency financial assistance to State and tribal governments for recovery efforts on forested lands as assessment needs are determined and funding resources become available.

Agency	Functions
NCH Resources Protection **Department of Commerce/National Oceanic and Atmospheric Administration**	▪ Makes available an environmental data archive for determining baseline conditions. ▪ Provides contaminant analysis expertise and facilities. ▪ Provides aerial mapping and satellite remote sensing for damage assessment. ▪ Provides detailed site-specific weather forecasts and forecasts of travel time for river contaminants. ▪ Provides expertise and assistance on coral reefs and coral reef ecosystems. ▪ Provides expertise and consultation on marine mammals and essential fish habitat issues. ▪ Provides seafood inspection capabilities to assess safety, wholesomeness, proper labeling, and quality of fish and fishery products through process and product verifications, product evaluations and certifications, and laboratory analysis.
Department of Defense (DOD)	▪ Assesses the availability of DOD food supplies and storage facilities capable of storing dry, chilled, and frozen food. ▪ Assesses the availability of DOD transportation equipment, material handling equipment, and personnel for support. This responsibility is confined to the posts, camps, and stations within or adjacent to the affected area. ▪ Assesses the availability of laboratory and diagnostic support, subject-matter expertise, and technical assistance that may be provided. ▪ Assists animal emergency response organizations, or others as requested and appropriate. Provides resources including senior Army Veterinary Corps Officers to function as Defense Veterinary Liaison Officers and Defense Veterinary Support Officers (who serve as the on-site point of contact for DOD veterinary functions) and other military specialists trained in foreign animal disease diagnosis, epidemiology, microbiology, immunology, entomology, pathology, and public health. ▪ Provides laboratory support to assist and augment the capabilities of APHIS. ▪ Assists in the development of response plans.
	U.S. Army Corps of Engineers (DOD/USACE): Provides expertise and resources to assist in the removal and disposal of contaminated and noncontaminated debris, to include animal carcasses and debris affecting NCH resources.
Department of Energy	In the initial phase of a nuclear or radiological emergency, leads the multiagency Federal Radiological Monitoring and Assessment Center (FRMAC).

Agency	Functions
Department of Health and Human Services (HHS)	▪ Determines which foods are fit for human consumption and identifies potential problems of contaminated foods. ▪ Provides health education in the areas of food preparation and storage. ▪ Provides laboratory and diagnostic support, subject-matter expertise, and technical assistance as well as field investigators to assist in product tracing, inspection and monitoring, and interdiction activities. ▪ Provides human health-related information, including surveillance for foodborne disease and occupational safety and health issues.
Department of Homeland Security	▪ Coordinates with the Infrastructure Liaison concerning all issues regarding the recovery and restoration of the associated critical infrastructure sector supported by the ESF, including the allocation and prioritization of resources, demographic information about the disaster area, and private sources of food. ▪ Provides additional support in interdicting adulterated products in transport and at ports of entry; subject-matter expertise and technical assistance (e.g., Customs and Border Protection Agricultural Specialists); and air and transport services (e.g., the U.S. Coast Guard), as needed, for personnel and laboratory samples. ▪ Maintains, through the Information Analysis and Infrastructure Protection Directorate, a database of critical infrastructure and key assets and maintains detailed information on selected sites derived from site visits and collection of vulnerability assessments. ▪ Provides assistance on issues relating to disasters on historic properties.
Animal and Plant Disease and Pest Response **Department of the Interior/U.S. Geological Survey**	Serves as the point of contact for any zoonotic diseases involving wildlife. Assists in responding to a highly contagious/zoonotic disease, biohazard event, or other emergency involving wildlife by providing wildlife emergency response teams; geospatial assessment and mapping tools; assistance in the identification of new emerging and resurging zoonotic diseases; the services of a Biosafety Level 3 laboratory for diagnostic disease and biohazard analyses; assistance with the prevention, control, and eradication of any highly contagious/zoonotic disease involving wildlife; and carcass disposal facilities, as appropriate.
Department of Labor	The Occupational Safety and Health Administration provides worker safety and health technical assistance during emergency animal health and NCH resources protection activities. This assistance may include site safety monitoring, worker exposure sampling and analysis, and respirator fit-testing.
Department of State	Facilitates an integrated response between nations when animal and/or plant disease outbreaks represent transborder threats.

Agency	Functions
Environmental Protection Agency	▪ Provides technical assistance, subject-matter expertise, and support for biological, chemical, and other hazardous agents on contaminated facility remediation, environmental monitoring, and contaminated agriculture (animal/crops) and food product decontamination and disposal. ▪ Provides surge capacity for laboratory and diagnostic support. ▪ Works with USDA, HHS, and the private sector to identify suitable and available antimicrobial and other pesticides to be used for treatment and decontamination of pathogens on crops, on environmental surfaces, and in water. Approves the use of these pesticides. ▪ In the event of a nuclear or radiological emergency, supports the FRMAC during the initial phase of the emergency and leads the FRMAC for the later phases. Also provides protective action assistance through the Advisory Team for the Environment, Food, and Health. ▪ Provides investigative support and intelligence analysis for incidents involving oil or hazardous materials. ▪ Provides technical assistance in determining when water is suitable for human consumption and canning.
General Services Administration	Supports the FNS for any necessary procurement efforts required to meet the needs of the affected population.
American Red Cross	Identifies and assesses requirements for food and distribution services on a two-phase basis: (1) critical emergency needs immediately after the disaster, and (2) longer-term sustained needs after the emergency phase has ended. Coordinates the food distribution efforts of other voluntary organizations.
Department of Justice, Department of Transportation, and the U.S. Postal Service	All have control over movement of people, conveyances, and/or things. In the event of a plant or animal disease they can help enforce a quarantine zone by inspection and movement control.

Emergency Support Function #12 – Energy Annex

ESF Coordinator:

Department of Energy

Primary Agency:

Department of Energy

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Homeland Security
Department of the Interior
Department of Labor
Department of State
Department of Transportation
Environmental Protection Agency
Nuclear Regulatory Commission
Tennessee Valley Authority

Introduction

Purpose

Emergency Support Function (ESF) #12 – Energy is intended to restore damaged energy systems and components during a potential or actual Incident of National Significance. Under Department of Energy (DOE) leadership, ESF #12 is an integral part of the larger DOE responsibility of maintaining continuous and reliable energy supplies for the United States through preventive measures as well as restorative actions.

Scope

ESF #12 collects, evaluates, and shares information on energy system damage and estimations on the impact of energy system outages within affected areas. The term "energy" includes producing, refining, transporting, generating, transmitting, conserving, building, distributing, and maintaining energy systems and system components. Additionally, ESF #12 provides information concerning the energy restoration process such as projected schedules, percent completion of restoration, geographic information on the restoration, and other information as appropriate.

Policies

- Restoration of normal operations at energy facilities is the responsibility of the facility owners.
- DOE establishes policies and procedures regarding preparedness for and prevention of attacks to U.S. energy sources and response and recovery due to shortages and disruptions in the supply and delivery of electricity, oil, natural gas, and other forms of energy and fuels that impact or threaten to impact large populations in the United States.
- ESF #12 maintains lists of energy-centric critical assets and infrastructures, and continuously monitors those resources to identify and correct vulnerabilities to energy facilities.
- For those parts of the Nation's energy infrastructure owned and/or controlled by DOE, DOE undertakes all prevention, preparedness, response, and recovery activities.
- ESF #12 addresses significant disruptions in energy supplies for any reason, whether caused by physical disruption of energy transmission and distribution systems, unexpected operational failure of such systems, or unusual economic or international political events.

- ESF #12 addresses the impact that damage to an energy system in one geographic region may have on energy supplies, systems, and components in other regions relying on the same system. Consequently, energy supply and transportation problems can be intrastate, interstate, and international.

- The Cyber Incident Annex to the NRP outlines the provision of Federal cyber incident response coordination among the Federal departments and agencies in response to an Incident of National Significance with cyber-related issues.

Concept of Operations

General

While restoration of normal operations at energy facilities is the primary responsibility of the owners of those facilities, ESF #12 provides the appropriate supplemental Federal assistance and resources to enable restoration in a timely manner.

Collectively, the primary and support agencies that comprise ESF #12:

- Serve as the focal point within the Federal Government for receipt of information on actual or potential damage to energy supply and distribution systems and requirements for system design and operations, and on procedures for preparedness, prevention, recovery, and restoration;

- Advise Federal, State, local, and tribal authorities on priorities for energy restoration, assistance, and supply;

- Assist industry, State, local, and tribal authorities with requests for emergency response actions as they pertain to the Nation's energy supply;

- Assist Federal departments and agencies by locating fuel for transportation, communications, emergency operations, and national defense;

- Recommend Federal actions to conserve fuel and electric power; and

- Provide energy supply information and guidance on the conservation and efficient use of energy to Federal, State, local, and tribal governments and to the public.

Organization

Headquarters

- Provides representatives to the Department of Homeland Security (DHS) Homeland Security Operations Center, Interagency Incident Management Group (IIMG), National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), and Joint Field Office (JFO), as required.

- Initially establishes a headquarters-level Emergency Management Team, but transfers operational authority once field capability is established.

- Assesses fuel and electric power damage and energy supply and demand, and identifies requirements to repair energy systems.

- Coordinates with other ESFs to provide timely and accurate energy information, recommends options to mitigate impacts, and coordinates repair and restoration of energy systems.

- In coordination with DHS and State, local, and tribal governments, DOE prioritizes plans and actions for the restoration of energy during response and recovery operations.

Region: Currently DOE does not have a regional response structure, and responds to energy emergencies from its Washington, DC, Headquarters.

State and Local: State and local governments have primary responsibility for prioritizing the restoration of energy facilities. State and local governments are fully and consistently integrated into ESF #12 operations.

Private Sector

- The private sector owns and operates the majority of the Nation's energy infrastructure and participates along with the DOE in developing best practices for infrastructure design and operations.

- The private sector normally takes the lead in the rapid restoration of infrastructure-related services after an incident occurs. Appropriate entities of the private sector are integrated into ESF #12 planning and decisionmaking processes.

Actions

Pre-Incident

- In cooperation with the Energy Sector, ESF #12 develops and, where possible, implements standards for physical, operational, and cyber-security for the energy industry.

- In cooperation with the Energy Sector, ESF #12 sponsors the development of cyber-security software for the energy industry.

- ESF #12 conducts energy emergency exercises with the energy industry, States, and local governments to prepare for energy and other emergencies.

- DOE assists the States in the preparation of State Energy Assurance Plans.

- DOE monitors the energy infrastructure and shares information with Federal, State, and industry officials.

Incident

- Upon activation of ESF #12, DOE Headquarters establishes the Emergency Management Team and activates DOE disaster response procedures.

- DOE assesses the energy impacts of the incident, including resources needed via Emergency Incident and Disturbance Reports from the electric power industry, and provides assessments of the extent and duration of energy shortfalls.

- Provides representation to the DOE Emergency Operations Center, the IIMG, NRCC, RRCC, and the JFO, as required.

- Arranges, as necessary, for ESF #1 – Transportation representation at the regional level.

Post-Incident

- Participates in post-incident hazard mitigation studies to reduce the adverse effects of future disasters.

- When requested, assists the Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) in determining the validity of disaster-related expenses for which the energy industry is requesting reimbursement based upon the Stafford Act.

Responsibilities

Primary Agency: DOE

- Serves as the focal point for issues and policy decisions relating to energy in all response and restoration efforts.

- Monitors energy system damage and repair work.

- Collects, assesses, and provides information on energy supply, demand, and prices; and contributes to situation and after-action reports.

- Identifies supporting resources needed to restore energy systems.

- Deploys DOE response teams as needed to affected area(s) to assist in response and restoration efforts.
- Reviews and sponsors the energy industry's requests for Telecommunications Service Priority (TSP) assignments to provision new services.

Support Agencies

Agency	Functions
Department of Agriculture	**Rural Utilities Service (RUS)** ▪ Provides advice regarding the restoration of electrical power in RUS-financed systems. This advice includes estimating system damage and the need for local assistance. ▪ Provides emergency credit to RUS-financed rural electrification systems.
	Department of Agriculture, Multifamily Housing: Identifies owners of available apartments in federally funded multifamily housing to provide shelter to emergency response personnel proximal to an electric incident venue.
Department of Commerce/National Oceanic and Atmospheric Administration	Provides current and forecast weather for the incident location.
Department of Defense/U.S. Army Corps of Engineers	Coordinates Emergency Power team missions with power-system restoration activities to establish priorities and efficiently provide support to a facility having power restored.
Department of Homeland Security	**Information Analysis and Infrastructure Protection Directorate (IAIP)** ▪ Develops and maintains a critical infrastructure list of energy facilities. ▪ Develops and maintains a critical assets list of energy facilities. ▪ Identifies and publicizes threats to specific energy facilities. ▪ Coordinates with the private sector to conduct vulnerability assessments associated with terrorism and coordinates the implementation of protective measures.
	Infrastructure Coordination Division: Coordinates with the Infrastructure Liaison concerning all issues dealing with the recovery and restoration of the associated critical infrastructure sector, including the allocation and prioritization of resources.
	IAIP/National Communications System ▪ Via ESF #2 – Communications, assists DOE in its efforts to aid the energy industry in providing new services or to restore existing services that are assigned TSP restoration priorities. ▪ Assesses damage to telecommunications identified by DOE as essential for energy system restoration (electrical service priorities).
	Science and Technology Directorate: Provides coordination of Federal science and technology resources as described in the Science and Technology Support Annex.

Agency	Functions
Department of the Interior	**Bureau of Land Management** ▪ Provides information on energy production and supply on onshore Federal lands. ▪ Assesses damage to energy-related infrastructure. ▪ Provides engineering and technical support as necessary. ▪ Develops and maintains information on critical energy-related infrastructure on Federal and tribal lands.
	Bureau of Reclamation ▪ Provides technical assistance for the assessment of hydroelectric facilities and flood control actions as they affect energy production. ▪ Uses Bureau of Reclamation personnel to assist in the repair of damaged hydropower generation facilities. ▪ Modifies operations at Bureau of Reclamation facilities to increase electrical generation to supplement losses in areas affected by an incident. ▪ Uses hydroelectric plant internal restart capabilities to assist in restoring the power system if blackouts occur.
	Minerals Management Service ▪ For Outer Continental Shelf (OCS) facilities, provides energy production and well reserve information. ▪ Assesses energy production damage and projected repair schedules for offshore facilities. ▪ Assists operators in minimizing the disruption of energy production by expediting review and approval of repair procedures for damaged facilities and/or in the prompt review and approval of proposals to resume production through the temporary rerouting of oil and gas production until permanent system(s) repair can be affected. ▪ Provides engineering and technical support as necessary. ▪ Assists DHS/U.S. Coast Guard in the development of critical asset list of OCS oil and gas facilities. ▪ Monitors and updates critical asset list of OCS oil and gas facilities.
Department of Labor/Occupational Safety and Health Administration	Implements processes identified in the Worker Safety and Health Support Annex to provide technical assistance during the restoration of the Nation's energy systems.
Department of State	▪ Coordinates with foreign nations and international organizations for assistance and information regarding energy supply and system damage. ▪ Assists in implementation of emergency-related international energy agreements.

Agency	Functions
Department of Transportation	**ESF #1:** Assists with transportation of DOE and ESF #12 personnel, energy restoration equipment, spare parts, and repair personnel to disaster locations. **Office of Pipeline Safety:** Responds to requests for waivers of restrictions to meet emergency requirements.
Environmental Protection Agency (EPA)	▪ Responds to requests from State and local officials for EPA to exercise enforcement discretion to waive environmental requirements for motor vehicle fuel in order to address supply shortages, normally in the context of natural disasters or significant disruptions in the fuel production or distribution systems. ▪ Coordinates the collection of motor vehicle fuel supply information necessary to evaluate an enforcement discretion request. ▪ Issues enforcement discretions where appropriate to address fuel supply shortages.
Nuclear Regulatory Commission	Regulates the Nation's civilian use of nuclear fuels and materials to include commercial nuclear power plants. NRC provides information and technical assessment regarding nuclear powerplants.
Tennessee Valley Authority	▪ Assesses supply, system damage, and repair requirements within the Tennessee Valley Authority. ▪ Supplies surplus power as required to the power grid. ▪ Supplies critical replacement parts and equipment as requested. ▪ Supplies technical expertise as requested.

Emergency Support Function #13 – Public Safety and Security Annex

ESF Coordinators:

Department of Homeland Security
Department of Justice

Primary Agencies:

Department of Homeland Security
Department of Justice

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Homeland Security
Department of the Interior
Department of Justice
Department of Veterans Affairs
Environmental Protection Agency
National Aeronautics and Space Administration
Social Security Administration
U.S. Postal Service

Introduction

Purpose

Emergency Support Function (ESF) #13 – Public Safety and Security integrates Federal public safety and security capabilities and resources to support the full range of incident management activities associated with potential or actual Incidents of National Significance.

Scope

ESF #13 provides a mechanism for coordinating and providing Federal-to-Federal support or Federal support to State and local authorities to include non-investigative/non-criminal law enforcement, public safety, and security capabilities and resources during potential or actual Incidents of National Significance.

ESF #13 capabilities support incident management requirements including force and critical infrastructure protection, security planning and technical assistance, technology support, and public safety in both pre-incident and post-incident situations. ESF #13 generally is activated in situations requiring extensive assistance to provide public safety and security and where State and local government resources are overwhelmed or are inadequate, or in pre-incident or post-incident situations that require protective solutions or capabilities unique to the Federal Government.

Policies

- State, local, tribal, private-sector, and specific Federal authorities have primary responsibility for public safety and security, and typically are the first line of response and support in these functional areas.

- In most incident situations, local jurisdictions have primary authority and responsibility for law enforcement activities, utilizing the Incident Command System on-scene. In larger-scale incidents, additional resources should first be obtained through the activation of mutual aid agreements with neighboring localities and/or State authorities, with incident operations managed through a Unified Command structure. In this context, a State's resources would include members of the State National Guard that the Governor calls into State service in a law enforcement, security, and/or public safety capacity.

- Through ESF #13, Federal resources supplement State, local, tribal, or other Federal agency resources when requested or required, as appropriate, and are integrated into the incident command structure using National Incident Management System principles and protocols.

- ESF #13 primary agencies facilitate coordination among supporting agencies to ensure that communication and coordination process are consistent with stated incident management missions and objectives.

- When activated, ESF #13 coordinates the implementation of Federal authorities that are appropriate for the situation and may provide protection and security resources, planning assistance, technology support, and other technical assistance to support incident operations, consistent with Federal agency authorities and resource availability.

- ESF #13 activities should not be confused with the activities described in the NRP Terrorism Incident Law Enforcement and Investigation Annex or other criminal investigative law enforcement activities. As the lead law enforcement official in the United States, the Attorney General, generally acting through the Federal Bureau of Investigation (FBI), maintains the lead for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States, or directed at U.S. citizens or institutions abroad. ESF #13 activities are separate and distinct, and should be fully coordinated with other activities conducted as part of the Attorney General's overall criminal investigation and law enforcement responsibilities.

- In the event that State and local police forces (including the National Guard operating under State control) are unable to adequately respond to a civil disturbance or other serious law enforcement emergency, the State legislature (or the Governor if the legislature cannot be convened) may request, through the Attorney General, Federal military assistance under 10 U.S.C. Chapter 15. The President may also use the military in a state to enforce Federal law or to protect constitutional rights. Pursuant to 10 U.S.C. 331-334, the President will ultimately determine whether to use the Armed Forces to respond to a law enforcement emergency. Under Title 10 authority, the President may federalize and deploy all or part of any State's National Guard. Procedures for coordinating Department of Defense (DOD) and Department of Justice (DOJ) responses to law enforcement emergencies arising under 10 U.S.C. 331-334 are set forth in the DOD Civil Disturbance Plan, February 15, 1991.

- This annex does not usurp or override the policies or mutual aid agreements of any local or tribal jurisdiction or government, State government, or Federal agency. Law enforcement activities and criminal investigations are conducted in conformance with existing codes and statutes.

Relationship to Other Plans: ESF #13 provides the conduit for utilizing and incorporating the extensive network of public safety and security coordination established for steady-state prevention efforts through a variety of interagency plans. Prevention and security plans include but are not limited to the following:

- National Infrastructure Protection Plan;
- Sector-Specific Plans;
- National Maritime Security Plan;
- Area Maritime Security Plans; and
- Vessel and Facility Security Plans.

Concept of Operations

General

- ESF #13 is activated when Federal public safety and security capabilities and resources are needed to support incident operations. This includes threat or pre-incident as well as post-incident situations.

- When activated, the primary agencies assess public safety and security needs, and respond to requests for Federal resources and planning/technical assistance from States, Federal agencies, or other ESFs.

- ESF #13 manages support by coordinating the implementation of Federal authorities related to public safety and security and protection of property, including critical infrastructure, and mobilizing Federal security resources and technologies and other assistance to support incident management operations.

- ESF #13 maintains close coordination with Federal, State, local, and tribal officials to determine public safety and security support requirements and to jointly determine resource priorities.

- The primary agencies maintain communications with supporting agencies to determine capabilities, assess the availability of resources, and track resources that have been deployed.

Actions

Headquarters

- When activated, the primary agencies deploy an on-call representative to the National Response Coordination Center (NRCC).

- The primary agencies assess the need for ESF #13 resources and coordinate response assistance and support in close cooperation with regional and field ESF #13 elements.

- The primary agencies may convene ESF #13 support agencies in a meeting or by conference call to coordinate Federal public safety and security assistance efforts.

- ESF #13 may provide subject-matter experts, upon request, to the Interagency Incident Management Group (IIMG), Emergency Response Team–Advance Element (ERT-A), National Emergency Response Team, and Federal Incident Response Support Team.

- During terrorism incidents, ESF #13 activities will be closely coordinated with the FBI Strategic Information and Operations Center (SIOC) and the National Joint Terrorism Task Force (NJTTF).

Regional and Field Levels

- Depending on the situation, an ESF #13 representative may participate in the early assessment efforts of the ERT-A.

- When ESF #13 is activated, the on-call representative(s) of the primary agencies deploy(s) to the Regional Response Coordination Center (RRCC) and coordinate(s) mission assignments and Federal public safety and security support until the Joint Field Office (JFO) is established.

- ESF #13 is included in the Operations Section of the RRCC and JFO.

- During terrorism incidents, ESF #13 primary and support agency Federal activities at the local level are managed from the FBI Joint Operations Center (JOC) prior to the establishment of the JFO, and are closely coordinated with the RRCC. Once a JFO is established, ESF #13 activities are managed from the JFO Operations Section in accordance with appropriate operational security guidelines.

- During non-terrorism incidents, ESF #13 primary and support agency Federal activities at the local level are managed initially from the RRCC, and from the JFO once a JFO is established. All ESF #13 activities are closely coordinated with the local FBI field office and Joint Terrorism Task Force (JTTF). The FBI field office/local JTTF may assign liaisons to the RRCC or JFO as appropriate.

- ESF #13 security and force protection activities at the regional level must be closely coordinated with DOJ-led law enforcement and investigation activities and intelligence assessments.

- Resolution of resource and mission conflicts involving Federal public safety and security assets engaged in emergency operations is done by the JFO Coordination Group.

Incident Management Activities: While State, local, tribal, and private-sector authorities have primary responsibility for public safety and security, ESF #13 provides Federal public safety and security assistance to support prevention, preparedness, response, and recovery priorities in circumstances where locally available resources are overwhelmed or are inadequate, or where a unique Federal capability is required. This may include but is not limited to the following activities, when appropriate:

- **Pre-Incident Coordination:** Supporting incident management planning activities and pre-incident actions required to assist in the prevention or mitigation of threats and hazards. This includes the development of operational and tactical public safety and security plans to address potential or actual Incidents of National Significance, the conducting of technical security and/or vulnerability assessments, and the deployment of Federal public safety and security resources in response to specific threats or potential incidents.

- **Technical Assistance:** Providing expertise and coordination for security planning efforts and conducting technical assessments (e.g., vulnerability assessments, risk analyses, surveillance sensor architecture, etc.).

- **Public Safety and Security Assessment:** Identifying the need for ESF #13 support and analyzing potential factors that affect resources and actions needed, such as mapping, modeling, and forecasting for crowd size, impact of weather, and other conditions on security, etc.

- **Badging and Credentialing:** Assisting in the establishment of consistent processes for issuing identification badges to emergency responders and other personnel needing access to places within a controlled area, and verifying emergency responder credentials.

- **Access Control:** Providing security forces to support State and local efforts (or to secure sites under Federal jurisdiction) to control access to the incident site and critical facilities.

- **Site Security:** Providing security forces and establishing protective measures around the incident site, critical infrastructure, and/or critical facilities.

- **Traffic and Crowd Control:** Providing emergency protective services to address public safety and security requirements during Incidents of National Significance.

- **Force Protection:** Providing for the protection of emergency responders and other workers operating in a high-threat environment.

- **Security for the Strategic National Stockpile (SNS):** Providing for the protection of personnel and temporary storage facilities during distribution of supplies from the SNS.

- **Security Surveillance:** Conducting surveillance to assist in public safety and security efforts, and providing appropriate technology support, as required.

- **Specialized Security Resources:** Providing specialized security assets such as traffic barriers; chemical, biological, radiological, nuclear, and high-yield explosives detection devices; canine units; law enforcement personal protective gear; etc.

Responsibilities

ESF Coordinators/Primary Agencies: The coordinators/primary agencies are responsible for the following:

- Serve as the headquarters and regional-level ESF #13 coordinators and primary agencies, represent the ESF #13 agencies on the Emergency Support Functions Leaders Group and Regional Interagency Steering Committee, and coordinate preparedness activities with ESF #13 supporting agencies.
- Provide expertise on public safety and security issues to the IIMG, when requested.
- Manage ESF #13 preparedness activities and conduct evaluation of operational readiness, including a roster and description of public safety and security activities.
- Maintain close coordination during operations between the affected regional office(s), the NRCC, other ESFs, local JTTFs, and the NJTTF, as required.
- Ensure that all activities performed under the purview of ESF #13 are related to the safety and security of the public. If any potential for overlap exists, it is the responsibility of the primary agencies for ESF #13 to de-conflict these issues prior to accepting the mission assignment.
- Facilitate resolution of any conflicting demands for public safety and security resources, expertise, and other assistance. Coordinate backup support from other geographical regions to the affected area.

Support Agencies

Each support agency maintains its authority and is responsible, when appropriate and according to resource availability, for providing appropriate personnel, equipment, facilities, technical assistance, and other support as required. In addition, support agencies may be requested to:

- Provide personnel to staff the Homeland Security Operations Center, NRCC, RRCC, Incident Command Post, JFO, Joint Information Center, and FBI SIOC or FBI JOC (for terrorism incidents).
- Provide periodic reports, as requested, regarding agency response operations to the JFO Planning Section.
- Provide technical and subject-matter expertise, data, advice, and staff support for operations that fall within the domain of each agency.

Agency	Functions[1]
Department of Agriculture/ Forest Service	May provide trained personnel and security resources, and, as appropriate, Federal public safety and security authorities for areas under their jurisdiction.
Department of Commerce (DOC)	Provides overall support regarding weather services during disasters and airborne plume prediction. Various components of DOC provide other functions such as: ▪ **National Oceanic and Atmospheric Administration (NOAA):** Provides law enforcement and security capabilities, nautical and aeronautical charting, surveys, tidal and geodetic services, and geo-referenced coastal imagery. In addition, NOAA provides support through the Satellite Vessel Surveillance System; tracking infrastructure; and public dissemination of critical pre-event and post-event information over the all-hazards NOAA Weather Radio (NWR) system, the NOAA Weather Wire Service, and the Emergency Managers' Weather Information Network (EMWIN). ▪ **National Weather Service:** Provides weather information and dispersion forecasts through its National Centers for Environmental Prediction and its local weather forecast offices, as well as meteorology services. Provides public dissemination of critical pre-event and post-event information over the all-hazards NWR system, NOAA Weather Wire Service, and EMWIN. ▪ **Office of Oceanic and Atmospheric Research:** Provides airborne pollution dispersion prediction.
Department of Defense/U.S. Army Corps of Engineers	Provides physical and electronic security systems assistance and expertise.
Department of Energy (DOE)	▪ Ensures that capabilities are in place to provide an appropriate response to a DOE facility emergency and to nuclear or radiological emergencies within the United States or abroad. This includes support to the Domestic Emergency Support Team (DEST), FBI, Department of Homeland Security (DHS), Nuclear Regulatory Commission (NRC), Environmental Protection Agency (EPA), Attorney General, Department of State (DOS), and others to provide technical advice on radiological issues for the protection of the public and the environment. ▪ Provides security support at DOE/National Nuclear Security Administration (NNSA) facilities. May require appropriate assistance when responding to a location other than a DOE/NNSA facility.

[1] Consistent with the Implementation Guidance in the NRP Base Plan, ESF #13 primary and support agencies will fully define the functions of participating agencies and develop public safety and security policies and procedures within 120 days of the issuance of the NRP.

Agency	Functions[1]
Department of Homeland Security	**U.S. Secret Service (USSS):** Protects the President and Vice President, their families, heads of state, and other designated individuals, and plans and implements security designs for designated National Special Security Events. DHS/USSS investigates violation of laws relating to counterfeiting of obligations and securities of the United States; financial crimes that include, but are not limited to, access device fraud, financial institution fraud, identity theft, computer fraud; and computer-based attacks on our Nation's financial, banking, and telecommunications infrastructure. Consistent with Federal law and regulations, DHS/USSS provides requested support through its law enforcement and other components as available.
	U.S. Coast Guard (USCG): DHS/USCG has primary responsibility for maritime homeland security and safety. It maintains numerous law enforcement and security capabilities, both locally based through the Captain of the Port offices, and strategically located special teams such as the Maritime Safety and Security Teams (MSSTs). DHS/USCG may establish security zones, inspect and search vessels and waterfront facilities, and supervise and control the movement of vessels. Captains of the Port (who also serve as Federal Maritime Security Coordinators) coordinate local security planning efforts with Federal, State, local, and private-sector organizations. The Coast Guard MSSTs are a rapid-response force capable of nationwide deployment to meet emerging threats. MSST capabilities include: ▪ Maritime interdiction and law enforcement; ▪ Anti-terrorism/force protection; ▪ Weapons of mass destruction detection; ▪ Explosives detection; ▪ Commercial port protection/anti-sabotage; ▪ Underwater detection; and ▪ Canine handling teams.

Agency	Functions[1]
Department of Homeland Security (Continued)	**Border and Transportation Security Directorate (DHS/BTS):** Includes Customs and Border Protection (DHS/BTS/CBP), the Transportation Security Administration (DHS/BTS/TSA), and Immigration and Customs Enforcement (DHS/BTS/ICE). ▪ **DHS/BTS/CBP:** Uniformed law enforcement officers; Tactical Unit and Search, Trauma, and Rescue personnel; specialty vehicles including fixed- and rotary-wing aircraft and marine vessels; imaging equipment, such as full truck/container-size x-ray and gamma-ray systems; radiation detection equipment; jump-team response capabilities and expert reach-back for resolution of radiation detection incidents or suspected chemical or biological response situations; canine teams for detection of humans as well as explosives; and 24/7 analysis and targeting capability on persons and cargo. ▪ **DHS/BTS/ICE:** Uniformed law enforcement officers; Criminal Investigators and Federal Air Marshals; Special Response, Crisis Negotiation, and Fugitive Operations Teams; fixed- and rotary-wing aircraft and marine vessels, including aircraft capable of command and control, Airborne Early Warning, and radiation search missions; mobile command vehicles; radiological measuring/identifier devices; canine teams; custodial facilities; and a transportation fleet of secure buses, detainee transport vans, and special purpose vehicles. ▪ **DHS/BTS/TSA:** Federal Security Directors (FSDs) and Assistant FSDs for Law Enforcement who coordinate emergency response on behalf of DHS at airports; and canine explosive-detection teams.
	Science and Technology Directorate (DHS/S&T): Provides rapid S&T subject-matter expertise to response units, interagency partners, and State and local entities.
	Information Analysis and Infrastructure Protection Directorate (DHS/IAIP): Through its Protective Security Division, conducts vulnerability assessments, performs risk analyses, and coordinates protective measures in conjunction with the private sector and State, local, and Federal agencies.
Department of the Interior (DOI)	DOI may provide trained law enforcement personnel and security resources, and, as appropriate, Federal law enforcement, investigative, and security authorities for areas under DOI jurisdiction or to other locations if appropriate authority is provided by the requesting jurisdiction. DOI capabilities include: ▪ Special event teams/civil disturbance units to handle large-scale demonstrations, special events, and crowd control; ▪ Protestor device extrication teams; ▪ Hazardous materials technicians and first responders; ▪ Horse-mounted units, backcountry tracking teams, snowmobile and ATV assets; ▪ Aviation assets including fixed- and rotary-wing capability; ▪ Marine assets including certified boat operators and divers; and ▪ Mobile communications cache and command post.

Agency	Functions[1]
Department of Justice	Consistent with Federal law and regulations, DOJ provides requested support through its law enforcement or other components as available.
Department of Veterans Affairs	Provides staff to protect veterans hospitals/homes during an emergency.
Environmental Protection Agency	EPA's Office of Criminal Enforcement, Forensics, and Training, which incorporates the Criminal Investigation Division (CID) and National Enforcement Investigation Center (NEIC), provides assistance as follows: ▪ **National Counter-Terrorism Evidence Response Team/Counter-Terrorism Response Team:** Specialized evidence response teams for EPA trained in forensic evidence preservation and collection in a contaminated environment for a wide range of hazardous materials. ▪ **CID:** Law enforcement arm of EPA that investigates allegations of criminal violations of all Federal environmental statutes. ▪ **NEIC:** Technical support center for EPA enforcement and compliance assurance programs nationwide that specializes in forensic analysis of industrial chemicals.
National Aeronautics and Space Administration (NASA)	As available, NASA assets and capabilities, such as geospatial modeling and decision support systems, aircraft with sensors, unmanned aerial vehicles, and a search and rescue team, may be utilized. These assets are designed to support a NASA event or NASA properties, but may be provided if requested for ESF #13 missions.
Social Security Administration (SSA)	SSA protective and investigative units may be deployed during an emergency.
U.S. Postal Service (USPS)	Subject to the availability of resources and funding, and consistent with the Postal Service mission, USPS provides support to worker protection, public health, medical prophylaxis, disease surveillance, criminal investigation, emergency response, waste disposal, mail security, sampling methods, and bioterrorism response operations.
Private Sector	Plays a key role in protecting critical infrastructures and telecommunications systems, and partnering with the government on security-related technologies and research and development. These entities are coordinated through DHS/IAIP during response.

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Emergency Support Function #14 – Long-Term Community Recovery and Mitigation Annex

ESF Coordinator:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Primary Agencies:

Department of Agriculture
Department of Commerce
Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency
Department of Housing and Urban Development
Department of the Treasury
Small Business Administration

Support Agencies:

Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of the Interior
Department of Labor
Department of Transportation
Environmental Protection Agency
Tennessee Valley Authority
American Red Cross

Introduction

Purpose

Emergency Support Function (ESF) #14 – Long-Term Community Recovery and Mitigation provides a framework for Federal Government support to State, regional, local, and tribal governments, nongovernmental organizations (NGOs), and the private sector designed to enable community recovery from the long-term consequences of an Incident of National Significance. This support consists of available programs and resources of Federal departments and agencies to enable community recovery, especially long-term community recovery, and to reduce or eliminate risk from future incidents, where feasible.

Scope

The policies and concepts in this annex apply to appropriate Federal departments and agencies following an Incident of National Significance that affects the long-term recovery of a community. Based on an assessment of incident impacts, ESF #14 support may vary depending on the magnitude and type of incident and the potential for long-term and severe consequences. ESF #14 will most likely be activated for large-scale or catastrophic incidents that require Federal assistance to address significant long-term impacts in the affected area (e.g., impacts on housing, businesses and employment, community infrastructure, and social services).

Policies

- ESF #14 recognizes the primacy of affected State, local, and tribal governments and the private sector in defining and addressing risk reduction and long-term community recovery priorities.
- Federal agencies continue to provide recovery assistance under independent authorities to State, local, and tribal governments; the private sector; and individuals, while coordinating activities and assessments of need for additional assistance through the ESF #14 coordinator.
- ESF #14 excludes economic policymaking and economic stabilization. The National Economic Council, the Council of Economic Advisors, and the Department of the Treasury develop all national economic stabilization policy.
- Federal support is tailored based on the type, extent, and duration of the event and long-term recovery period, and on the availability of Federal resources.

- Long-term community recovery and mitigation efforts are forward-looking and market-based, focusing on permanent restoration of infrastructure, housing, and the local economy, with attention to mitigation of future impacts of a similar nature, when feasible.

- The Federal Government uses the post-incident environment as an opportunity to measure the effectiveness of previous community recovery and mitigation efforts.

- ESF #14 facilitates the application of loss-reduction building science expertise to the rebuilding of critical infrastructure (e.g., in repairing hospitals or emergency operation centers to mitigate for future seismic or tornado risk).

Concept of Operations

General: ESF #14 provides the coordination mechanisms for the Federal Government to:

- Assess the social and economic consequences in the impacted area and coordinate Federal efforts to address long-term community recovery issues resulting from an Incident of National Significance;

- Advise on the long-term recovery implications of response activities and coordinate the transition from response to recovery in field operations;

- Work with State, local, and tribal governments; NGOs; and private-sector organizations to conduct comprehensive market disruption and loss analysis and develop a market-based comprehensive long-term recovery plan for the affected community;

- Identify appropriate Federal programs and agencies to support implementation of the long-term community recovery plan, ensure coordination, and identify gaps in resources available;

- Avoid duplication of assistance, coordinate to the extent possible program application processes and planning requirements to streamline assistance, and identify and coordinate resolution of policy and program issues; and

- Determine/identify responsibilities for recovery activities, and provide a vehicle to maintain continuity in program delivery among Federal departments and agencies, and with State, local, and tribal governments and other involved parties, to ensure followthrough of recovery and hazard mitigation efforts.

Organization

Headquarters: ESF #14 representatives participate in pre-incident meetings and pre- and post-incident coordinating activities. The Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) serves as the ESF #14 coordinator. Each primary agency participates in pre-incident planning activities under ESF #14 and provides representatives to the National Response Coordination Center as requested. Support agencies participate in activities as deemed appropriate.

Regional and Field Operations: The ESF #14 coordinator and primary agencies meet to determine the need to activate ESF #14 elements when the nature of the Incident of National Significance is likely to require Federal long-term community recovery assistance. ESF #14 organizes within the Operations Section of the Joint Field Office (JFO). Agency representation depends on the nature and severity of the incident.

Actions

Long-Term Pre-Incident Planning and Operations

- Meets regularly at the national and regional levels to ensure procedures and program/contact information are up to date, to discuss lessons learned from incidents and exercises, and to explore ways to leverage available resources by creatively packaging Federal assistance.

- Develops coordination mechanisms and requirements for post-incident assessments, plans, and activities that can be scaled to incidents of varying types and magnitudes.

- Coordinates development of national strategies and plans in coordination with ESF #3 – Public Works and Engineering; ESF #6 – Mass Care, Housing, and Human Services; ESF #10 – Oil and Hazardous Materials Response; and others, as appropriate, to address key issues for catastrophic incidents such as incident housing and permanent housing, contaminated debris management, decontamination and environmental restoration, restoration of public facilities and infrastructure, restoration of the agricultural sector, and short- and long-term community recovery.

- Involves, as appropriate, State, local, and tribal government representatives, local planning and building science organizations, NGOs, and private-sector organizations in pre-event planning activities.

- Establishes procedures for integration of pre-incident planning and risk assessment with post-incident recovery and mitigation efforts.

- Develops action plans delineating appropriate agency participation and resources available that take into account the differing technical needs for risk assessment and statutory responsibilities by hazards. Plans include scaling to appropriate levels of staffing and coordination based on the nature and size of the incident.

Immediately Prior to Incident (when notice is available—e.g., hurricane, flood)

- In coordination with other ESFs, as appropriate, uses predictive modeling, such as the Hazards U.S. (HAZUS) loss estimation methodology, to ascertain vulnerable critical facilities as a basis for identifying recovery priorities.

- Provides early identification of projects to be quickly implemented, especially those relating to critical facilities based on existing local and State plans.

- In collaboration with the State, assigns Federal and State staff for Preliminary Damage Assessment teams, if feasible, to identify and document economic impact and losses avoided due to previous mitigation and new priorities for mitigation in the incident-affected area.

Post-Event Planning and Operations

- Gathers information from Federal departments and agencies and impacted State, local, and tribal governments to assess the scope and magnitude of the social and economic impacts on the affected geographic region. Convenes interagency meetings to:

  - Develop an incident-specific Federal action plan to delineate specific agency participation to support specific community recovery and mitigation activities, using pre-incident Federal, State, local, and tribal plans, to the extent appropriate, and take actions to avoid duplication of assistance to recipients; and

  - Facilitate sharing of information and identification of issues among agencies and ESFs, and coordinate early resolution of issues and the delivery of Federal assistance to minimize delays for assistance recipients.

- Coordinates identification of appropriate Federal programs to support implementation of long-term community recovery plans and gaps under current authorities and funding. This process identifies programs, waivers, funding levels, requests for additional authorities, and possible new legislation needed to address identified program gaps.

- Coordinates implementation of the recommendations for long-term community recovery with the appropriate Federal departments and agencies if the recommendations include program waivers, supplemental funding requests, and/or legislative initiatives.

- Within the affected area, coordinates assessment of accuracy and recalibration of existing hazard, risk, and evacuation modeling used by Federal, State, local, and tribal governments.

- Facilitates recovery decisionmaking across ESFs. Also facilitates awareness of post-incident digital mapping and pre-incident State, local, and tribal hazard mitigation and recovery planning across ESFs.

Responsibilities

ESF Coordinator: DHS/EPR/FEMA

- Convenes meetings pre- and post-incident to implement ESF #14.
- Coordinates drafting and publication of ESF #14 operational plans and procedures.
- Represents ESF #14 at interagency planning meetings.
- Serves as primary representative of ESF #14 at the JFO and ensures appropriate participation from primary and support agencies after incidents.

Primary Agencies

- Lead planning efforts for areas of agency expertise, and lead post-incident assistance efforts for areas of department/agency expertise.
- Identify areas of collaboration with support agencies and facilitate the interagency integrated assistance delivery, issue resolution, and planning efforts.

Agency	Responsibilities
Department of Agriculture	Emergency loans for agricultural sector, technical assistance for agricultural market recovery, rural housing, technical assistance for resource conservation, and technical and financial assistance for emergency watershed protection.
Department of Commerce/Economic Development Administration	Economic recovery and growth assistance, technical assistance in community planning, and economic assessment expertise.
Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency	Technical assistance in community and State planning; recovery and mitigation grant and insurance programs; outreach and public education; building science expertise; and natural hazard vulnerability/risk assessment expertise.
Department of Housing and Urban Development	Building technology technical assistance, and assistance for: housing; community redevelopment and economic recovery; public services; infrastructure; mortgage financing; and public housing repair and reconstruction.
Department of the Treasury	Economic and financial resilience and vitality, including reliability of public and private payments systems and financial flows, and removal of impediments to economic activity.
Small Business Administration	Long-term loan assistance to homeowners, renters, businesses of all sizes, and nonprofit organizations for repair, replacement, mitigation, relocation, or code-required upgrades of incident-damaged property. Loan assistance to small businesses to address adverse economic impact due to the incident.

Support Agencies

Participate in planning efforts for areas of agency expertise, and provide program assistance and expertise as appropriate and in coordination with other ESF departments and agencies. Support agencies include:

Agency	Responsibilities
Department of Commerce	**Economic and Statistics Administration:** Performs economic impact assessment.
	National Institute of Standards and Technology: Provides building science expertise.
	National Oceanic and Atmospheric Administration: Provides natural hazard vulnerability analysis expertise and coastal zone management.
Department of Defense/U.S. Army Corps of Engineers	▪ Provides technical assistance in community planning and civil engineering, and natural hazard risk assessment expertise. ▪ Supports the development of national strategies and plans related to housing and permanent housing, debris management, and the restoration of public facilities and infrastructure.
Department of Energy	▪ Assists in the economic assessment of an incident based on degradation to energy infrastructure. ▪ Provides the appropriate support and resources to assist in energy infrastructure restoration. ▪ Provides technical advice in radioactive debris management.
Department of Health and Human Services	Provides expertise in long-term health and medical concerns and mental health services.
Department of Homeland Security	**Border and Transportation Security Directorate, Transportation Security Administration:** Coordinates security of the Nation's transportation system in times of national emergency.
	Information Analysis and Infrastructure Protection Directorate: Provides technical expertise in protective measures for critical infrastructure.
	Private-Sector Liaison: Provides expertise in private-sector capabilities and services; provides coordination with private-sector organizations.
Department of the Interior	Provides technical assistance in community planning, and natural and cultural resources expertise; community liaison for federally owned lands and facilities; and natural hazard vulnerability analysis expertise.
Department of Labor	Conducts incident unemployment programs; provides job training and retraining assistance, and expertise in economic assessment.
Department of Transportation	Provides technical assistance in transportation planning and engineering and transportation assistance programs.
Environmental Protection Agency	Provides technical assistance for planning for contaminated debris management and environmental remediation.

Agency	Responsibilities
Tennessee Valley Authority	Provides technical expertise in Federal lands stewardship and electrical grid operations.
American Red Cross	Provides mass care services; individual immediate and long-term family services; post-event mitigation; referral support; and health and mental health services.

Emergency Support Function #15 – External Affairs Annex

ESF Coordinator:

Department of Homeland Security

Primary Agency:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Support Agencies:

All

Introduction

Purpose

Emergency Support Function (ESF) #15 – External Affairs ensures that sufficient Federal assets are deployed to the field during a potential or actual Incident of National Significance to provide accurate, coordinated, and timely information to affected audiences, including governments, media, the private sector, and the local populace. ESF #15 provides the resource support and mechanisms to implement the National Response Plan – Incident Communications Emergency Policy and Procedures (NRP-ICEPP) described in the NRP Public Affairs Support Annex.

Scope

- ESF #15 coordinates Federal actions to provide the required external affairs support to Federal, State, local, and tribal incident management elements. This annex details the establishment of support positions to coordinate communications to various audiences. ESF #15 applies to all Federal departments and agencies that may require public affairs support or whose public affairs assets may be employed during an Incident of National Significance.

- The provisions of this annex apply to Incidents of National Significance, and any National Oil and Hazardous Substances Pollution Contingency Plan (NCP) response or other event designated by the Department of Homeland Security (DHS) Assistant Secretary for Public Affairs where significant interagency coordination is required.

- ESF #15 is organized into the following functional components: Public Affairs, Community Relations, Congressional Affairs, International Affairs, State and Local Coordination, and Tribal Affairs. The primary functions of each of these areas are described in the "Concept of Operations" section below.

- ESF #15 provides the resources and structure for the implementation of the NRP-ICEPP. Incident communications actions contained in the NRP-ICEPP are consistent with the template established in the National Incident Management System (NIMS). NCP and Alien Migrant Interdiction Operations guidelines also utilize DHS Office of Public Affairs (OPA) resources and fall under the provisions of this annex. Personnel operating under these plans must be familiar with the provisions of ESF #15 in the event that an incident is elevated to an Incident of National Significance.

Policies

- Federal planning for external affairs functions recognizes State, local, and tribal responsibilities for providing information to their citizens. Nothing in this document should be construed as diminishing or usurping those responsibilities. In the unlikely event that State, local, and tribal governments are unable to perform these responsibilities, the Federal Government may provide vital health and safety information to the affected population.

- State, local, and tribal external affairs elements are fully integrated into ESF #15.
- The external affairs efforts are coordinated in support of a unified message as directed by the DHS Assistant Secretary for Public Affairs.

Concept of Operations

ESF #15 identifies the procedures to resource the external affairs processes as described in the NRP. External affairs resources are coordinated by the ESF #15 representatives in the National Response Coordination Center (NRCC) as directed by the DHS Assistant Secretary for Public Affairs. ESF #15 provides the Federal resource and implementation mechanisms to ensure delivery of the messages developed in coordination with the interagency core group (described in the Public Affairs Support Annex) and the Interagency Incident Management Group (IIMG). The staff of the DHS OPA coordinates messages with public affairs representatives from all involved departments and agencies. See the Public Affairs Support Annex for more detail.

General

ESF #15 Coordinator: When directed by the DHS Assistant Secretary for Public Affairs, the ESF #15 coordinator staffs a position in the NRCC. The ESF #15 representative at the NRCC coordinates resources needed for the external affairs mission until it is determined by the DHS Assistant Secretary for Public Affairs, in coordination with the NRCC, Regional Response Coordination Center, and Joint Field Office (JFO) leadership, that they are no longer necessary.

Normal external affairs activities of Federal departments and agencies that are not directly related to the incident remain under the purview of those agencies and do not require coordination with ESF #15.

Resource	Supports external affairs by:
Public Affairs (PA)	▪ Coordinating messages with Federal, State, local, and tribal governments and establishing a Federal Joint Information Center (JIC). ▪ Gathering information on the incident. ▪ Providing incident-related information through the media and other sources to individuals, families, businesses, and industries directly or indirectly affected by the incident. ▪ Using a broad range of resources to disseminate information. ▪ Monitoring news coverage to ensure that accurate information is disseminated. ▪ Handling appropriate special projects such as news conferences and press operations for incident area tours by government officials and other dignitaries. ▪ Providing support and advice to the Principal Federal Official, the Federal Coordinating Officer/Federal Resource Coordinator, and other members of the JFO Coordination Group. ▪ Providing basic services, such as communications and supplies, to assist the news media in disseminating information to the public. ▪ Overseeing the key function of media relations.

Resource	Supports external affairs by:
Community Relations (CR)	▪ Preparing an initial action plan with incident-specific guidance and objectives, at the beginning of an actual or potential incident. ▪ Conducting the external affairs function in a joint manner between Federal and State personnel, when available. Field teams are organized and dispersed throughout the affected area. Teams include trained Federal, State, tribal, and, if necessary, locally hired persons who know the community. ▪ Coordinating closely with the affected State(s) to identify community leaders (e.g., grassroots, political, religious, educational, business, labor, ethnic) and neighborhood advocacy groups to assist in the rapid dissemination of information, identify unmet needs, establish an ongoing dialogue and information exchange, and facilitate collaborative Federal, State, and local planning and mutual support for disaster recovery. ▪ Deploying management and field officers simultaneously with other initial elements as directed by the ESF #15 coordinator at the JFO.
Congressional Affairs (CA)	▪ Establishing contact with congressional offices representing affected areas to provide information on the incident. ▪ Organizing an initial interagency congressional briefing within 18 hours of the event when possible and conducting daily briefings thereafter. ▪ Arranging for incident site visits for Members of Congress and their staffs. ▪ Responding to congressional inquiries. ▪ Assisting in the development of written materials for presentations and making congressional notifications. ▪ Coordinating with the local liaison officers (LNOs) on all CA issues to ensure coordinated efforts.
International Affairs (IA)	▪ Coordinating with the DHS Office of International Affairs liaisons to the IIMG and the Department of State (DOS) Operations Center. ▪ Coordinating with DOS on all matters requiring international involvement. (See the International Coordination Support Annex for more details.) ▪ Coordinating the exchange of liaisons, in conjunction with DOS, with appropriate countries in the event of an incident affecting multiple nations.
State and Local Coordination (S&L)	▪ Promoting Federal interaction with State, local, and tribal governments. ▪ Implementing a system of information-sharing among Federal, State, local, and tribal governments. ▪ Informing State and local elected and appointed officials on response efforts, protocols, and recovery programs. ▪ Disseminating information with the assistance of State municipal leagues and county associations.

Resource	Supports external affairs by:
Tribal Affairs (TA)	▪ Providing a Tribal Relations Officer to coordinate with tribal governments on all aspects of incident management operations and report directly to the External Affairs Officer or JFO Coordination Group. ▪ Supporting the Tribal Relations Operations Element with incident-specific subject-matter experts from other departments and agencies, if and when required. ▪ Depending on the situation, establishing a Tribal Relations Information Element within the Tribal Relations Operations Element to manage the timely flow of information to and from the tribes involved in the incident. ▪ Organizing and managing a Tribal Relations Field Component to facilitate Federal Government relations with tribal governments and their incident management organizations, communities, victims, and tribal advocacy groups.

Organization

The DHS Assistant Secretary for Public Affairs, in coordination with the NRCC, activates and directs ESF #15 procedures. The DHS/EPR/FEMA OPA designates a DHS/EPR/FEMA Public Affairs staff member as an ESF #15 representative to staff the NRCC as directed. During an Incident of National Significance, ESF #15 activities are implemented in coordination with the DHS OPA components of the HSOC and IIMG. The ESF #15 coordinator alerts additional supporting departments and agencies to provide representatives to the appropriate ESF #15 location, or to provide representatives who are immediately available via telecommunications (e.g., telephone, fax, conference calls) to provide support.

External affairs components collocate with the Command Staff as designated in the NIMS and the NRP. ESF #15 components provide appropriate representatives available to deploy rapidly to the incident location.

Responsibilities

Primary Agency: DHS/EPR/FEMA

Resources provided by DHS/EPR/FEMA in support of ESF #15 missions include:

- **Emergency Alert System (EAS):** The Federal Communications Commission designed the EAS as a tool for authorities to quickly send important emergency information to a specific area. The EAS is designed to deliver EAS messages and to account for the needs of such special populations as the deaf and those with differing language requirements. (EAS replaced the Emergency Broadcast System.) DHS/EPR/FEMA is the executive agent for the White House for EAS.

- **Activation and Operation:** When the activation order is given by national authorities to DHS/EPR/FEMA, the agency can access broadcast stations around the Nation within several minutes. Authorities can deliver emergency messages and instructions in audio format.

- **State Use:** The EAS is available for State use. States may maintain supporting plans to cover EAS operations. DHS/EPR/FEMA coordinates EAS management issues with State authorities.

- **Mobile Emergency Response Support (MERS):** DHS/EPR/FEMA's MERS provides mobile telecommunications, operational support, life support, and power generation assets for the on-site management of all-hazard activities. MERS provides a deployable broadcast radio capability for multimedia communications, information processing, logistics, and operational support to Federal, State, and local authorities during Incidents of National Significance and domestic incidents. MERS is a valuable recovery resource to update the public and affected population.
- **Recovery Radio Network:** DHS/EPR/FEMA works with local broadcasters to set up the Recovery Radio Network, which provides official information hourly, several times a day, about the incident response and recovery effort by offering a pool feed to local stations. Distribution can be provided through the EAS network. All broadcasters are required to have equipment to monitor and air EAS programs, and most primary EAS stations have portable, remote pick-up equipment that can be installed in the JIC. Alternatively, telephone or two-way radio can be used to deliver programming to the EAS distribution point. The Recovery Radio Network is implemented by a team whose size depends on the scope of the incident.

Support Agencies

Agency	Functions
Department of Commerce/National Oceanic and Atmospheric Administration (NOAA)	NOAA Weather Radio (NWR) is a nationwide network of radio stations broadcasting continuous weather information direct from a nearby National Weather Service (NWS) office. NWR broadcasts NWS warnings, watches, forecasts, and other hazard information 24 hours a day. In conjunction with the EAS, NWR provides an "all-hazards" radio network, making it a single source for comprehensive weather and emergency information. NWR also broadcasts warning and post-event information for all types of hazards: natural (e.g., earthquakes and volcano activity), manmade (such as chemical or environmental incidents), and terrorism-related.
Department of Justice (DOJ), Community Relations Service	The Community Relations Service of DOJ, through a DHS/EPR/FEMA mission assignment, can provide conciliation and mediation training and technical assistance in matters of race, color, or national origin; conflict resolution; problem solving; cultural awareness; and community tension assessments.
Corporation for National and Community Service	The Corporation for National and Community Service is responsible for providing assistance to States and collaborating agencies to perform specific functions for disadvantaged or special-needs disaster victims. The Corporation for National and Community Service, through a memorandum of understanding with DHS/EPR/FEMA, can be provided a DHS/EPR/FEMA mission assignment to support the CR function. The Corporation for National and Community Service can provide teams of trained personnel to be strategically placed in areas of heaviest need to assist senior citizens, people with physical or mental disabilities, and low-income populations. The Corporation for National and Community Service includes AmeriCorps USA, Volunteers in Service to America, the National Civilian Community Group, and the Retired Senior Volunteer Program.
Other Departments and Agencies	Depending on the nature and scope of the incident, all Federal departments and agencies support the NRP and are responsible for providing appropriate support for ESF #15 as required.

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Support Annexes

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Support Annexes **Page**

Introduction ..... SUP-i
Financial Management FIN-1
International Coordination INT-1
Logistics Management LOG-1
Private-Sector Coordination PRV-1
Public Affairs PUB-1
Science and Technology SCI-1
Tribal Relations TRB-1
Volunteer and Donations Management VOL-1
Worker Safety and Health WSH-1

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SUPPORT ANNEXES: INTRODUCTION

Purpose

This section provides an overview of the Support Annexes to the National Response Plan (NRP).

Background

The Support Annexes describe the framework through which Federal departments and agencies; State, local, and tribal entities; the private sector; volunteer organizations; and nongovernmental organizations (NGOs) such as the American Red Cross coordinate and execute the common functional processes and administrative requirements necessary to ensure efficient and effective incident management. During an incident, numerous procedures and administrative functions are required to support incident management. The actions described in the Support Annexes are not limited to particular types of events but are overarching in nature and applicable to nearly every type of incident. In addition, they may support several Emergency Support Functions (ESFs). Examples include public affairs, international affairs, and worker safety and health.

The following section includes a series of annexes describing the roles and responsibilities, when appropriate, of Federal departments and agencies, NGOs, and the private sector for those common activities that support the majority of incidents. The annexes address the following areas:

- Financial Management
- International Coordination
- Logistics Management
- Private-Sector Coordination
- Public Affairs
- Science and Technology
- Tribal Relations
- Volunteer and Donations Management
- Worker Safety and Health

SUPPORT ANNEX ROLES AND RESPONSIBILITIES

Each Support Annex identifies a coordinating agency and cooperating agencies. In some instances, the responsibility of coordinating agency is a joint endeavor between two departments.

The overarching nature of functions described in these annexes frequently involves either support to or cooperation of all the departments and agencies involved in incident management efforts. In some cases, actions detailed in the annex also incorporate various components of the Department of Homeland Security (DHS) and other departments and agencies to ensure seamless integration of and transitions between preparedness, prevention, response, recovery, and mitigation activities.

The responsibilities of the coordinating agency and cooperating agencies are identified below.

SUPPORT ANNEX ROLES AND RESPONSIBILITIES (Continued)

Coordinating Agency

Coordinating agencies described in the NRP annexes support the DHS incident management mission by providing the leadership, expertise, and authorities to implement critical and specific aspects of the response. In accordance with Homeland Security Presidential Directive-5, DHS retains responsibility for overall domestic incident management. Federal agencies designated as coordinating agencies are responsible for implementation of processes detailed in the annexes.

When the functions of a particular Support Annex are required to assist in the management of an Incident of National Significance, the agency serving as the coordinator is responsible for:

- Orchestrating a coordinated delivery of those functions and procedures identified in the annex;
- Providing staff for the operations functions at fixed and field facilities;
- Notifying and subtasking cooperating agencies;
- Managing any tasks with cooperating agencies, as well as appropriate State agencies;
- Working with appropriate private-sector organizations to maximize use of all available resources;
- Supporting and keeping ESFs and other organizational elements informed of ongoing annex activities;
- Planning for short-term and long-term support to incident management and recovery operations; and
- Maintaining trained personnel to execute their appropriate support responsibilities.

Cooperating Agencies

When the procedures within a Support Annex are needed to support elements of an incident, the coordinating agency will notify cooperating agencies of the circumstances. Cooperating agencies are responsible for:

- Conducting operations, when requested by DHS or the coordinating agency, using their own authorities, subject-matter experts, capabilities, or resources;

- Participating in planning for short-term and long-term incident management and recovery operations and the development of supporting operational plans, standard operating procedures, checklists, or other job aids, in concert with existing first-responder standards;

- Furnishing available personnel, equipment, or other resource support as requested by DHS or the Support Annex Coordinator;

- Participating in training and exercises aimed at continuous improvement of prevention, response, and recovery capabilities; and

- Nominating new technologies or procedures that have the potential to improve performance within or across functional areas to DHS for review and evaluation.

When requested, and upon approval of the Secretary of Defense, the Department of Defense (DOD) provides Defense Support of Civil Authorities (DSCA) during domestic incidents. Accordingly, DOD is considered a cooperating agency for the majority of Support Annexes. For more information on DSCA, refer to the NRP Base Plan.

Financial Management Support Annex

Coordinating Agency:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency (Stafford Act declarations)
Federal agency requesting Federal-to-Federal support (non-Stafford Act declarations)

Cooperating Agencies:

All

Introduction

Purpose

The Financial Management Support Annex provides basic financial management guidance for all participants in National Response Plan (NRP) activities. This includes guidance for all departments and agencies providing assistance in response to major disasters or emergencies declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (the Stafford Act) as well as for departments and agencies that request/provide Federal-to-Federal support in Incidents of National Significance that do not involve the Stafford Act. The financial management function is a component of Emergency Support Function (ESF) #5 – Emergency Management.

The processes and procedures described in this annex ensure that funds are provided expeditiously and that financial operations are conducted in accordance with established Federal law, policies, regulations, and standards.

Scope

As part of the Secretary's responsibility to coordinate resources under Homeland Security Presidential Directive-5 (HSPD-5), this annex is applicable to Federal departments and agencies ("Federal agencies") participating and responding under the NRP with assistance or relief as coordinated by the Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) under the authorities of the Stafford Act, and to Federal agencies requesting and/or providing Federal-to-Federal support for non-Stafford Act incidents.

Concept of Operations

General – Stafford Act Declarations

- Pursuant to the Stafford Act, the President "may direct any Federal agency, with or without reimbursement, to use the authorities and resources granted to it under Federal law (including personnel, equipment, supplies, and facilities, managerial, technical, and advisory services) in support of State and local assistance efforts."
- The Disaster Relief Fund (DRF), appropriated to DHS/EPR/FEMA, may be available for assistance provided in response to a Presidentially declared major disaster or emergency as defined by the Stafford Act.
- For expenditures from the DRF, DHS/EPR/FEMA shall use generally accepted Federal financial principles, policies, regulations, and management controls to ensure proper accountability of the fund.

General – Non-Stafford Act Incidents of National Significance

- A Federal entity with primary responsibility and statutory authority for handling an incident (i.e., the requesting agency) that needs support or assistance beyond its normal operations may request DHS coordination and facilitation through the NRP.

- Generally, the requesting agency provides funding for the incident consistent with provisions of the Economy Act, unless other statutory authorities exist.

- DHS coordinates assistance using the multiagency coordination structures in the NRP and in accordance with the National Incident Management System (NIMS).

- In accordance with HSPD-5, Federal departments and agencies are expected to provide their full and prompt cooperation, available resources, and support, as appropriate and consistent with their own responsibilities for protecting our national security, to the Secretary of Homeland Security in the exercise of responsibilities and missions as the principal Federal official for domestic incident management.

Field Financial Management

- **Joint Field Office (JFO):** Upon issuance of a Presidential disaster or emergency declaration, or the occurrence of an Incident of National Significance, a Comptroller is deployed to the established JFO to oversee policies and procedures for financial management, acquisitions, and management controls and to report funding activity. The Comptroller serves as the Finance and Administration Chief and is the Senior Financial Advisor to the Principal Federal Officer/Federal Coordinating Official/Federal Resource Coordinator (PFO/FCO/FRC).

- **National Response Coordination Center (NRCC):** The Comptroller serves as a liaison between personnel at the NRCC and the Chief Financial Officer (CFO). The Comptroller oversees all financial management activities of the NRCC and provides the NRCC Director with the necessary authority and expertise for effective fiscal management during initial disaster response activities. During the stand-down phase, the Comptroller works with Federal agencies to ensure that unneeded funds are deobligated as soon as appropriate.

- **Regional Response Coordination Center (RRCC):** The Comptroller is the CFO's representative to the RRCCs and serves as the liaison between the RRCC and the CFO. The Comptroller provides the DHS/EPR/FEMA Regional Director and Disaster Recovery Manager (DRM), if applicable, with the necessary expertise and authority essential for effective fiscal management during initial response activities. During the stand-down phase, the Comptroller works with Federal agencies to ensure that unneeded funds are deobligated as soon as appropriate.

Funding and Reimbursement

- **Stafford Act Declarations:** DHS/EPR/FEMA uses the mission assignment (see Attachment 1) as an inter/intra-agency document to secure the provision of goods and services pursuant to a Stafford Act declaration. (See www.fema.gov/ofm and "Additional Mission Assignment Guidance for Stafford Act Declarations" below for more information.)

- **Non-Stafford Act Incidents of National Significance:** Federal agencies participating in the NRP may request and provide Federal-to-Federal support by executing inter/intra-agency reimbursable agreements, in accordance with the Economy Act (31 U.S.C. § 1535) or other applicable authorities. Federal agencies providing mutual aid support may request reimbursement from the requesting agency for eligible expenditures. (See Attachment 3, Memorandum of Agreement: Mutual Aid for Incidents of National Significance (non-Stafford Act) for more information.)

- The Reimbursement Agreement form used by Federal agencies requesting support is the Incidents of National Significance Request for Federal-to-Federal Support. (See Attachment 3, Tab 1.)
- In accordance with Office of Management and Budget (OMB) Circular No. A-11, Federal agencies should submit to OMB on the SF-132 an annual estimate of the amount of reimbursable budget authority required to carry out their responsibilities under the NRP.

Responsibilities

DHS (Stafford Act) and Requesting Agency (non-Stafford Act) Chief Financial Officer

- The CFO uses proper Federal financial principles, policies, regulations, and management controls to ensure proper accountability of funds and provides financial management support to Incidents of National Significance, such as:
  - Providing advice on financial policy issues relative to the Incident of National Significance and use of funds;
  - Approving annual overhead rate proposals of Federal agencies, if applicable;
  - Expeditious processing of all documented and approved requests for reimbursement and review of bills prior to processing payments to ensure that proper documentation supports the expenditures claimed; and
  - Performing periodic reviews of open obligations to ensure accuracy and timeliness and providing financial management reports.
- The CFO appoints a Comptroller from a cadre of qualified financial management individuals to oversee financial operations and advise on financial matters at the NRCC, RRCC, and JFO.

Comptrollers

- Comptrollers are responsible for acting as the Finance and Administration Chief. Financial responsibilities include:
  - Supervising the financial staff at the JFO, NRCC, and RRCC, which includes financial specialists, financial technicians, and contract specialists/contracting officers, including those activated under ESF #7 – Resource Support;
  - Overseeing travel management at the JFO, providing advice and assistance on travel policy and serving as the CFO's travel authority at the JFO, and working closely with the CFO on complex travel issues;
  - Overseeing contracting and acquisitions operations, including credit card purchases and grants management responsibilities, and coordinating acquisition management performed by the contract specialists/contracting officers, including those activated under ESF #7, with the RRCC;
  - Providing policy guidance and necessary expertise and authority essential for effective fiscal management of expenditures to the PFO/FCO/FRC and his/her staff; and
  - Monitoring expenditures, including tracking of funds at both object and sub-object code levels; tracking and reporting commitments, obligations, and disbursements; reviewing commitments to ensure proper expenditure of funds; and reporting funding activity to the PFO/FCO/FRC and CFO on a regular basis.
- Comptrollers work with the JFO program staff to ensure adequate funding levels are maintained to meet anticipated obligations and expenditures.

Cooperating Agencies

- Cooperating agencies are responsible for maintaining documentation to support requests for reimbursement, submitting final reimbursement requests within the terms of the mission assignment or reimbursable agreement, and notifying requesting agencies when a task is completed and/or when additional time is required to complete work in advance of the projected completion date.

- Cooperating agencies are expected to apply proper financial principles, policies, regulations, and management controls to ensure full accountability for the expenditure of funds.

Financial Controls and Guidance

General

- Because timely financial support of response activities is crucial to achieving the operational objectives of saving lives and protecting property, expeditious means are employed to facilitate proper financing of operations.

- Federal agencies must use management controls, policies, and procedures to reasonably ensure that: 1) programs achieve their intended results; 2) resources are used consistent with agency missions; 3) programs and resources are protected from waste, fraud, and mismanagement; 4) laws and regulations are followed; and 5) reliable and timely information is obtained, maintained, reported, and used for decisionmaking.

- Federal agencies are responsible for developing and maintaining a cost-effective system of management controls to ensure that Government-funded activities are managed effectively, efficiently, economically, and with integrity in order to prevent fraud, waste, and mismanagement.

Management Controls and Automated Systems

- When entrusted with or given statutory responsibility for public funds, Government employees are, in effect, trustees for the taxpayers. These "accountable officers" include authorized certifying officers, civilian and military disbursing officers, collection officers, and other employees who by virtue of their employment are responsible for or have custody of Government funds. These officers are responsible for proper payment of funds for which they are accountable. They should ensure that all bills are properly documented when recommending approval/disapproval of expenditures.

- Each Federal agency is responsible for establishing effective administrative control of funds and segregation of duties for proper management controls. A responsible official of each agency should be designated as the Action Officer to ensure that actions taken and costs incurred are consistent and reasonable.

- Special care must be taken throughout NRP operations to maintain logs, formal records, and file copies of all expenditures to provide accountability and justification for reimbursement.

- Accountable officials must rely on the adequacy of automated systems, controls, and personnel who process transactions as detailed in the Federal Managers' Financial Integrity Act (31 U.S.C. 3512 et seq.), and for recurring assessment by agency management of the adequacy of accounting systems and management controls.

Additional Mission Assignment Guidance for Stafford Act Declarations

- DHS/EPR/FEMA may issue mission assignments to other Federal agencies to: 1) address a State's request for Federal assistance to meet unmet emergency needs; or 2) support overall Federal operations pursuant to, or in anticipation of, a Stafford Act declaration. The mission assignment is issued to a primary agency by using FEMA Form 90-129, Mission Assignment (see Attachment 1) with, as applicable, funding, funding limitations, the requirements of the task(s) to be performed, completion date, and State cost-share requirements.

- After consultation with the FCO, mission-assigned ESF primary agencies may authorize support agencies as necessary to accomplish the required tasks. If a primary agency determines that the services of a support agency are needed, the primary agency should provide the support agency with written instructions and funding limitations. Primary agencies may use any appropriate and workable document; the ESF Mission Assignment Subtasking Request form (see Attachment 2) may be used. Support agencies must submit breakdowns of costs by sub-object class code to the primary ESF agency, which must review and approve the documentation before forwarding it to DHS/EPR/FEMA for reimbursement.

  - Notwithstanding the documents used, support agencies MUST seek reimbursement approval from their primary agency, not DHS/EPR/FEMA.

  - Advances are generally NOT authorized by DHS/EPR/FEMA, but may be authorized by the primary agency, based upon terms of agreements with the primary agency.

- The General Services Administration (GSA) may function as a procurement agent to obtain goods and services for Federal agencies other than DHS/EPR/FEMA. In these cases, GSA arrangements are independent of DHS/EPR/FEMA and all obligations incurred for goods and services for the Federal agencies are billed directly to the ordering agency. Federal agencies may request reimbursement from DHS/EPR/FEMA only after receipt of an invoice.

- Additional detail on the mission assignment process, including reimbursement and billing information, can be found at www.fema.gov/ofm.

Federal Financial Management Resources

The following is a compendium of resources for Federal financial management. It is not meant to be all-inclusive, but to be used as a reference for general guidance.

DHS/EPR/FEMA: Regulations promulgated by DHS/EPR/FEMA to support implementation of the Stafford Act and guide activity under its authority comprise Title 44 of the Code of Federal Regulations (CFR) and remain in effect until superseded. Additional information regarding financial management requirements for Stafford Act funding can be found at www.fema.gov.

Federal Accounting Standards Advisory Board (FASAB): The FASAB develops and recommends Statements of Federal Financial Accounting Standards and Statements of Federal Financial Accounting Concepts, which are the highest authority for generally accepted Federal accounting principles. The FASAB is sponsored by three of the four principals of the Joint Financial Management Improvement Program—the Secretary of the Treasury, the Comptroller General of the Government Accountability Office (GAO), and the Director of OMB.

GAO: The GAO Policies and Procedures Manual for Guidance of Federal Agencies is a codification of material previously issued as General Regulations, Accounting Systems Memorandums, Accounting Principles Memorandums, Circular Letters, Bulletins, and other regulations. The provisions of this manual remain applicable to all Federal agencies unless superseded by the FASAB standards.

Department of the Treasury: The Treasury Financial Manual for Guidance to Departments and Agencies (Treasury Financial Manual) is the official publication in which the Department of the Treasury issues codified instructions for the areas of Accounting Forms (Part 1); Central Accounting and Reporting (Part 2); Payroll Deductions, Withholdings (Part 3); Disbursing (Part 4); Deposits (Part 5); and Other Fiscal Matters (Part 6).

GSA

- **The Federal Travel Regulations** are applicable to all Federal agencies for determining per diem rates and eligible travel expenses.

- **The Federal Management Regulations** include the policies and guidelines relating to property management and the utilization and disposal of property in all Executive agencies (41 CFR 101).

- **The Federal Acquisition Regulation (FAR)** sets forth the requirements for procuring supplies and services from governmental, private, and nonprofit sources. Although agencies may have their own internal supplements to the FAR, they cannot change the basic policies of the FAR (48 CFR) unless exempted by law.

OMB: In consultation with Federal agencies, non-Federal parties, and several key interagency planning teams, such as the Chief Financial Officers Council and the FASAB, OMB promulgates financial management policies for the Federal Government in published OMB Circulars.

Other Authorities: Federal agencies should follow other authorities and practices as presented in the Hierarchy of Federal Generally Accepted Accounting Principles (OMB Form and Content Bulletins) and as applicable to their programs.

Attachment 1
Mission Assignment Form (Stafford Act Declarations)
DHS/EPR/FEMA Form 90-129

U.S. DEPARTMENT OF HOMELAND SECURITY EMERGENCY PREPAREDNESS AND RESPONSE DIRECTORATE **MISSION ASSIGNMENT (MA)**	*See reverse side for Paperwork Burden Disclosure Notice*	*O.M.B. No. 1660-0047 Expires February 29, 2004*

I. TRACKING INFORMATION *(FEMA Use Only)*

STATE	ACTION REQUEST NO.	PROGRAM CODE/EVENT NO.	DATE/TIME RECEIVED

II. ASSISTANCE REQUESTED ☐ **See Attached**

ASSISTANCE REQUESTED			
QUANTITY	DATE/TIME REQUIRED	INTERNAL CONTROL NO.	
DELIVERY LOCATION			
INITIATOR/REQUESTOR NAME	24-HOUR PHONE NO.	24-HOUR FAX NO.	DATE
POC NAME	24-HOUR PHONE NO.	24-HOUR FAX NO.	DATE

* State Approving Official *(Required for DFA and TA)*:

III. INITIAL FEDERAL COORDINATION *(Operations Section)* ☐ **See Attached**

Action To:	☐ **ESF NO.:** ☐ **Other:**	DATE/TIME	PRIORITY ☐ 1 Lifesaving ☐ 3 High ☐ 5 Normal ☐ 2 Life sustaining ☐ 4 Medium

IV. DESCRIPTION *(Assigned Agency Action Officer)* ☐ **See Attached**

MISSION STATEMENT:

(Your agency is responsible for submitting a Mission Assignment Monthly Progress Report to FEMA to include cost data when Mission Assignments take more than 60 days to complete, including billing.

ASSIGNED AGENCY	PROJECTED START DATE	PROJECTED END DATE
☐ NEW or ☐ AMENDMENT TO MA NO.:	TOTAL COST ESTIMATE: $	
ASSIGNED AGENCY POC NAME	PHONE NO.	FAX NO.

V. COORDINATION *(FEMA Use Only)*

TYPE OF MA:	☐ Direct Federal Assistance State Cost Share *(0%, 10%, 25%)*	☐ Technical Assistance State Cost Share *(0%)*	☐ Federal Operations Support State Cost Share *(0%)*
STATE COST SHARE PERCENT %		STATE COST SHARE AMOUNT $	
FUND CITATION **20____-06-_____ - _____-250__ - D**		APPROPRIATION CODE 70X0702	
MISSION ASSIGNMENT COORDINATOR *(Preparer)*			DATE
**FEMA PROJECT OFFICER/BRANCH CHIEF *(Program Approval)*			DATE
**COMPTROLLER/FUNDS CONTROL *(Funds Review)*			DATE

VI. APPROVAL

*STATE APPROVING OFFICIAL *(Required for DFA and TA)*	DATE
**FEDERAL APPROVING OFFICIAL *(Required for all)*	DATE

VII. OBLIGATION *(FEMA Use Only)*

MISSION ASSIGNMENT NO.	AMOUNT THIS ACTION $	DATE OBLIGATED	TIME OBLIGATED
AMENDMENT NO.	CUMULATIVE AMOUNT $		INITIALS

*** Signature required for Direct Federal Assistance and Technical Assistance mission assignments.**
**** Signature required for all mission assignments.**

FEMA Form 90-129, MAY 03 **REPLACES ALL PREVIOUS EDITIONS.**

Attachment 1 (Continued)

PAPERWORK BURDEN DISCLOSURE NOTICE

Public reporting burden for this is estimated to average 20 minutes per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the form. You are not required to respond to this collection of information unless a valid OMB control number is displayed in the upper right corner of this form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Department of Homeland Security, Emergency Preparedness and Response Directorate, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472. NOTE: Do **not send your completed form to this address.**

INSTRUCTIONS

Items on the Mission Assignment (MA) form that are not specifically listed are self-explanatory.

I. TRACKING INFORMATION. Completed by Action Tracker or other Operations staff. Required for all requests.
State: If multi-State, choose State most likely to receive resources, (i.e., when using 7220-SU Program Code)
Action Request No.: Based on chronological log number. Used for tracking.
Program Code/Event No.: The pre-declaration, emergency, or major disaster number assigned for funding the event. Examples: 7220-SU, 4220-AD, 3130-EM, 1248-DR.

II. ASSISTANCE REQUESTED. Completed by requestor.
Assistance Requested: Detail of resource shortfalls, give specific deliverables, or simply state the problem.
Internal Control No.: Internal requestor reference, log, or control number, if applicable.
Initiator/Requestor: The initiator may be an individual filling out the mission assignment and making a request on behalf of the POC.
POC Name: The person coordinating reception and utilization of the requested resources. 24-hour contact information required.
State Approving Official: Signature certifies that State and local government cannot perform, nor contract for the performance, of the requested work and agrees to pay cost share if any.

III. INITIAL FEDERAL COORDINATION. Completed by the Operations Section Chief.
Action to: Operations Chief notes assigned organization. May be Emergency Support Function (ESF), internal FEMA organization, or other organization, which assigns the Action Officer.

Rest of MA used only if solution to request requires Federal agency to perform reimbursable work under (MA). Best solution may be internal resources or commercial vendor. Deliberate evaluation must occur before MA is completed and MA is issued.

IV. DESCRIPTION.. Completed by assigned agency Action Officer.
Mission Statement: Description of steps to complete the request. Include discussion of personnel, equipment, subtasked agencies, contracts and other resources required. This can be provided as an attachment.
Assigned Agency: Agency receiving the MA from FEMA. Activities within the scope of an ESF result in an MA to the primary agency. Cite subordinate organization if applicable. Example: DOT-FAA, COE-SAD.
Project Completion Date/End Date: If end date is not clear, estimate and budget for 30 or 60 days, then re-evaluate. TBD is not acceptable; some date must be entered into this field.
Total Cost Estimate: A budget can be attached outlining personnel, equipment, contract, sub-tasked agency, travel, and other costs.

V. COORDINATION. Completed by MAC , except for Project Officer and Comptroller signatures.
Type of MA: Select only one.
Appropriation Code: Static data. Do not change. This is for information only, should not be used to report internal agency finances to Treasury.

VI. APPROVAL. Completed by State Approving Official and Federal Approving Official.

VII. OBLIGATION. Completed by Financial Specialist.
Mission Assignment No.: Assigned in FEMA financial system chronologically using assigned agency acronym and two-digit number.
Amendment No.: Note supplement number. For example: COE-SAD-01, Supp. 1, or DOT-08, Supp. 3.
Amount this Action: Taken from total cost estimate above.
Cumulative Amount: Cumulative amount for this MA, including amendments.

Attachment 2
ESF Mission Assignment (Stafford Act Declarations)
Subtasking Request Form

ESF MISSION ASSIGNMENT SUBTASKING REQUEST

FEMA-Assigned MA Number: _____ **ESF Primary Agency** _____

Subtasked Agency _____ **State** _____ **Disaster No.** _____

Tasking Statement/Statement of Work

Project Completion Date: _____ **Authorized Funding:** _____

Reimbursement Procedure: Upon completion of scope of work, the subtasked Federal agency will submit a SF 1081, or other approved Treasury form to request reimbursement, detailing expenditures and activities to:

_____ (ESF Primary Agency)

_____ (Address)

The ESF primary agency will:

(1) Review the reimbursement request and recommend approval or disapproval within 10 workdays of receipt.
(2) Return approved reimbursement requests to subtasked agencies that use the Intra-governmental Payment and Collection (IPAC) system for transaction processing and simultaneously forwarding supporting documentation to the DFC.
(3) Forward approved reimbursement requests from non-IPAC agencies to the Disaster Finance Center. The Disaster Finance Center will send payment directly to the subtasked agency for non-IPAC agencies.

Statutory Authority: Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, as amended, 42 U.S.C 5121-5201.

Authorizing Officials:

The work described in the above tasking statement will be completed in support of the Federal Response Plan.

_____ _____
Authorizing Official, Subtasked Agency Date

_____ _____
Authorizing Official, ESF Primary Agency Date

Following signatures please provide information copy to FEMA MAC and Project Officer.

Attachment 3
Memorandum of Agreement: Mutual Aid for Incidents of National Significance (Non-Stafford Act)

I. Parties

The parties to this Memorandum of Agreement (Memorandum) are the Federal departments and agencies listed as signatories to the National Response Plan.

II. Authorities

A. Homeland Security Act of 2002 (6 U.S.C. §101 et seq.).

B. Economy Act (31 U.S.C. §1535).

C. Other Applicable Federal Statutes including, but not limited to:

1. Clean Water Act, as amended (33 U.S.C. § 1321)
2 Oil Pollution Act of 1990 (33 U.S.C. § 2701 et seq.)
3. Comprehensive Environmental Response, Compensation, and Liability Act, as amended (42 U.S.C. § 9601 et seq.)
4. Small Business Act (15 U.S.C. § 631 et seq.)
5. Public Health Service Act (42 U.S.C. 201 et seq.)
6. Reciprocal Fire Protection Act (42 U.S.C. § 1856)
7. Department of Veterans Affairs Emergency Preparedness Act (38 U.S.C. § 1785)

D. Homeland Security Presidential Directive-5 (HSPD-5).

III. Purpose

The Federal Government's response to an Incident of National Significance will likely exceed the authority or capabilities of any individual Federal department, agency, or their elements ("Federal agencies"). Coordination and support within and among the Federal agencies is essential to maximize the use of available assets, resources, and expertise under the National Response Plan (NRP) to save lives and to protect property, natural resources, and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

Recognizing that each Federal agency has different expertise and resources, and plays an important role in responding to Incidents of National Significance, the purpose of this Memorandum is to create a framework for interagency or intra-agency mutual aid for Federal-to-Federal support among participants of the NRP when Federal-to-Federal support is requested and provided in the event of an actual or potential Incident of National Significance that is not declared a major disaster or emergency under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, 42 U.S.C. §§5121-5206 ("Stafford Act").

This Memorandum does not preclude participating Federal agencies from entering into supplementary agreements with other Federal agencies for incidents or events within their respective authorities, nor does it affect any other agreement to which a Federal agency may currently be, or decide to be, a party. This Memorandum does not preclude Federal agencies from requesting or providing assistance on a nonreimbursable basis where authorized.

A. Operating Assumptions

1. Based on the incident's scope and effect, mutual aid requirements may vary depending on the magnitude and type of event; the stage of the prevention, preparedness, response, or recovery efforts; or the availability of resources, including nonmonetary resources.

2. A Federal entity with primary responsibility and statutory authority for handling an incident (i.e., the requesting agency) that needs support or assistance beyond its normal capabilities may request DHS coordination and facilitation through the NRP.

3. Generally, the requesting agency provides funding for the support consistent with provisions of the Economy Act, unless other relevant statutory authorities exist.

4. DHS coordinates assistance using the multiagency coordination structures in the NRP and in accordance with the National Incident Management System.

5. In accordance with HSPD-5, Federal departments and agencies are expected to provide their full and prompt cooperation, available resources, and support, as appropriate and consistent with their own responsibilities for protecting national security, to the Secretary of Homeland Security in the exercise of responsibilities and missions as the principal Federal official for domestic incident management.

B. Operating Procedures

1. Federal agencies participating in the NRP may request and provide Federal-to-Federal support by executing interagency or intra-agency reimbursable agreements, in accordance with the Economy Act (31 U.S.C. §1535) or other applicable authorities.

2. The Reimbursable Agreement form to be used by Federal agencies requesting support is the Incidents of National Significance Request for Federal-to-Federal Support (see Attachment 3, Tab 1).

3. The period of support for purposes of reimbursement will be as stated in the reimbursable agreements.

4. All Federal entities shall use generally accepted Federal financial principles, policies, regulations, and management controls to ensure proper accountability of their respective funds.

IV. Responsibilities

A. Federal Agencies Requesting Support: Federal agencies requesting mutual aid pursuant to this Memorandum shall be responsible for:

1. Requesting Federal-to-Federal support by executing reimbursable agreements under this agreement. The reimbursable agreements describe work to be performed, date of completion, and funding limitations. The requesting agency is responsible for monitoring the work progress of the supporting agency.
2. In conjunction with its supporting agencies, advising the Federal Resource Coordinator (FRC) of the type of assistance and support requested, from which agencies support has been requested, when the support is provided, and the amount and distribution of funding required in support of the Incident.
3. Overseeing all financial management activities relating to financial operations, ensuring that sound financial management practices and standards are applied, and ensuring that all funds expended are accounted for in accordance with generally accepted accounting principles of the Federal Government.
4. Coordinating requests with OMB and Congress for adequate funding to meet projected expenditures for specific incidents/events, as required.
5. Ensuring expeditious receipt and review of bills or requests for reimbursement for mutual aid provided prior to processing payments, and ensuring that proper documentation supports the expenditures claimed.
6. Reviewing all requests for reimbursement for goods and services from supporting agencies before payment. The requesting agency certifies that the expenditures claimed have been reviewed, are eligible, and are relevant to the request for mutual aid, and that costs are reasonable and supported by proper documentation.
7. Complying with the requirements of the Economy Act or other applicable statutes.

B. Federal Agencies Providing Support: Federal agencies providing reimbursable mutual aid support pursuant to this Memorandum shall be responsible for:

1. Maintaining appropriate documentation that clearly identifies the assistance provided to the requesting agency and supports requests for reimbursement.
2. Notifying the requesting agency when a task is completed or when additional time is required to complete work in advance of the projected completion date.
3. Submitting final reimbursement requests after completing a task. Final bills should be marked “Final.”
4. Identifying a staff-level point of contact for financial coordination with other agencies and identifying a Headquarters-level point of contact for billing and reimbursement issues that cannot be resolved at the staff level.
5. Applying proper financial principles, policies, regulations, and management controls to ensure full accountability for expenditures.
6. Complying with the requirements of the Economy Act or other applicable statutes.

V. Reimbursement of Federal Agencies Providing Support

A. Federal agencies providing mutual aid support under this Memorandum shall request reimbursement from the requesting agency for eligible expenditures. Requests for reimbursement should include a breakdown of charges by budget sub-object class or as otherwise specified by the requesting agency.

B. Fees for goods or services described in reimbursable agreements are paid from funds cited upon delivery. Payments are made using the Treasury Intra-governmental Payments and Collections (IPAC) system.

C. All requests for reimbursement must contain adequate documentation to support expenditures claimed as reimbursable. The vehicle used to obligate funds for authorized expenditures of Federal-to-Federal support is the Incidents of National Significance Request for Federal-to-Federal Support.

D. Federal agencies providing support and receiving reimbursement from the requesting agency for goods or services shall record such funds to the appropriation against which charges were made to fill the order. In accordance with OMB Circular No. A-11, Federal agencies should submit to OMB on the SF-132 an annual estimate of reimbursable budget authority expected to carry out their responsibilities under the NRP.

E. Advances of funds under Federal-to-Federal support reimbursable agreements shall comply with the business rules set forth in the OMB Memorandum #M-03-01, dated October 4, 2002.

F. Nothing in this agreement is intended to and does not obligate funds, nor is this agreement to be construed as obligating funds of the parties.

VI. Other Provisions: Nothing herein is intended to conflict with current law or regulation or agency directives of any of the parties. If any terms of this Memorandum are found to be inconsistent with any such authority, then those terms shall be invalid, but the remaining terms and conditions are not affected by the inconsistency and shall remain in full force and effect.

VII. Liability: Each Federal agency shall be liable for the acts and omissions of its own employees to the extent provided by Federal laws or regulations.

VIII. Effective Date: This Memorandum is effective upon signature by the respective signatory Federal agencies.

IX. Modification: This Memorandum may be amended at any time to further its purposes, extended, or renewed by mutual written agreement of the parties. This Memorandum shall be reviewed on a periodic basis, but not less than once every five (5) years.

X. Termination: The terms of this Memorandum, as modified with the consent of all parties, remain in effect indefinitely unless either terminated by (1) mutual written agreement of the respective parties or (2) the giving of thirty (30) days advance written notice by the respective parties. Notwithstanding any termination or withdrawal, the terms of this Memorandum shall remain applicable to any outstanding Reimbursable Agreement.

Attachment 3 (Continued)

APPROVED BY:

The parties to this Memorandum are the Federal departments and agencies listed as signatories to the National Response Plan.

Attachment 3, Tab 1
Incidents of National Significance Request for Federal-to-Federal Support

Request for Federal-to-Federal Support

I. Tracking Information (Requesting Agency Only):			
State (if applicable)	**Action Request No.**	**Program Code/Incident No.**	**Date/Time Received**

II. Parties:					
Requesting Agency			**Supporting Agency**		
Contact	Phone		Contact	Phone	
Name (specify if billing address is different)			Name		
Address			Address		
City	State	Zip	City	State	Zip

III. Duration:	
Projected Start Date:	Projected End Date:

IV. Requested Support:			
Brief description of requested support and basis for determining cost: *(Attach additional sheet for continuation of explanation, if necessary.)*			_____ *New Request* _____ *Amendment to Action Request No.*_____
ESF No. (if applicable)	Quantity	Delivery Location	Estimated Amount $

V. Authority for Request:	
Cite authority for request if not Economy Act:	*SEE REVERSE for Determination and Finding (if Economy Act)*

VI. Funding:		
Agency Location Code	Appropriation Code	Funds Citation

Requesting Agency Program Approval (Signature and Date)	Funds Certification Approval (Signature and Date)

VII. Approvals:	
Approved for Requesting Agency:	**Approved for Supporting Agency:**
Organization	Organization
Signature	Signature
Title	Title

Conditions of Agreement

1. Financing: The charges for services shall include both direct and indirect costs applicable to the agreement. Advance payments, if authorized, are made on an estimated cost basis. If the estimated advance is different from the actual costs, proper adjustment *(refund or additional billing)* on the basis of the actual costs incurred shall be made upon completion of the work. *(The frequency of billing, such as monthly, quarterly, etc., must be stated in the narrative portion of the form.)*

2. Other Provisions:

DETERMINATION AND FINDINGS: AUTHORITY TO ENTER INTO A PAYABLE INTER/INTRA-AGENCY REIMBURSABLE AGREEMENT UNDER THE ECONOMY ACT

Based on the following determinations and findings, in accordance with the authority of the Economy Act (31 U.S.C. 1535), as implemented in subpart 17.5 of the Federal Acquisition Regulation (FAR), and as described on Page 1, the requesting agency intends to enter into an inter/intra-agency agreement with the supplying agency.

FINDINGS

A. The requesting agency has a need for the supplying agency to provide the supplies and/or services as described on Page 1, Block IV. The total cost of the agreement is estimated to be $_____. (If this is a multi-year agreement, the estimated dollar amount should be shown for each fiscal year, along with the aggregate/total.)

B. The supplies and/or services as described on Page 1, Block IV cannot be obtained as conveniently or economically by contracting directly with a private source.

C. Nothing in this requirement conflicts with the authority of the supplying agency.

D. NOTE: If the agreement requires contracting action by the supplying agency, indicate which of the following applies:

_____ 1. The acquisition will appropriately be made under an existing contract of the supplying agency, entered into before placement of the order, to meet the requirements of the supplying agency for the same or similar supplies or services.

_____ 2. The supplying agency has capabilities or expertise to enter into a contract for such supplies or services which is not available within the requesting agency.

_____ 3. The supplying agency is specifically authorized by law or regulation to purchase such supplies or services on behalf of other agencies.

E. Because of the emergency nature of the need, it is in the best interest of the Government to issue an agreement.

DETERMINATION

Based on the above findings, I hereby determine that it is in the best interest of the Government to enter into an Interagency Agreement with the supplying agency.

Name of Contracting Officer or Other Official Designated by Requesting Agency Head:

_____

Signature of Contracting Officer or Other Official Designated by Requesting Agency Head:

_____

Date: _____

Approval of the Chief Procurement Officer if the supplying agency is not subject to the Federal Acquisition Regulation:

Name: _____

Signature: _____

Date: _____

International Coordination Support Annex

Coordinating Agency:

Department of State

Cooperating Agencies:

Department of Health and Human Services
Department of Homeland Security
Department of Justice
Department of Transportation
U.S. Agency for International Development
Other Federal Agencies
American Red Cross

Introduction

Purpose

This annex provides guidance on carrying out responsibilities for international coordination in support of the Federal Government's response to a domestic Incident of National Significance, as defined in the National Response Plan (NRP).

Scope

The International Coordination Support Annex supplements the NRP. The role of the Department of State (DOS) within the NRP is to fully support Federal, State, local, and tribal authorities in effective incident management and preparedness planning. An Incident of National Significance will likely have international and diplomatic impacts and implications that call for coordination and consultations with foreign governments and international organizations. An incident may also require direct bilateral and multilateral actions on foreign affairs issues related to the incident, for which DOS has independent and sole responsibility. DOS's lead foreign policy role in supporting U.S. Government agencies and managing the international aspects of a domestic incident contributes to a more agile overall U.S. Government incident management capability.

Policies

- The Secretary of State has direct responsibility for policies and activities related to the protection of U.S. citizens and U.S. interests abroad.
- In preparing for, responding to, and recovering from an actual or potential Incident of National Significance, the Secretary of State is responsible for coordinating U.S. Government relations, policies, and activities as related to the international dimension of the crisis. This responsibility includes international activities that cover the spectrum of prevention, preparedness, response, and recovery.
- International coordination within the context of a domestic incident requires close cooperative efforts with foreign counterparts and multilateral/international organizations. Such coordination rests on current national strategies to prevent terrorism, enhance security and law enforcement cooperation, counter proliferation of weapons of mass destruction and dangerous materials, and other activities related to counterterrorism preparedness and response.

- DOS supports Department of Homeland Security (DHS) and other Federal agency efforts by providing knowledge about and access to other governments, and in leading and facilitating the international aspects of management of an Incident of National Significance. Similarly, U.S. nationals, including U.S. Government officials and employees, located abroad at the time of an incident may require information, assistance, communications or transportation facilities, and other services, which may be handled directly or in coordination with foreign governments. Cooperation with Mexico and Canada related to cross-border infrastructure is also coordinated with DHS, as provided by U.S. bilateral agreements with each country.

- DOS leverages bilateral and multilateral relationships around the world to ensure that the U.S. Government can act effectively, thus mitigating or limiting both the domestic and international impact of the incident.

- Internationally, DOS is engaged in a wide array of diplomatic, counterterrorism, nonproliferation, and chemical, biological, radiological, nuclear, and high explosives (CBRNE)-related efforts throughout the world to prevent, disrupt, and deter threats and acts of terrorism directed against the homeland and U.S. interests abroad. The objectives of these efforts are to work with global partners to ensure mutual security, to eliminate terrorist organizations wherever they may be found, to educate foreign governments and populations about the global terrorist threat, to help U.S. Government partners to enhance the security of international borders, to develop partners and organic response capabilities, to enhance mutual aid partnerships, to coordinate and facilitate the U.S. response to a stricken nation, and to effectively prevent and respond to any terrorist attack or other Incident of National Significance, international and domestic, that threatens or impacts public health and welfare.

- Domestically, DOS engages with the Homeland Security Council (HSC) and the National Security Council (NSC) on a range of issues with international dimensions, including intelligence-sharing and terrorist-screening mechanisms, CBRNE threats, critical infrastructure vulnerability and protection, aviation and maritime security issues, border security enhancements, domestic/international public health, law enforcement activities, and curbs on terrorist financing.

- DOS may also engage with the American Red Cross, which is part of the International Red Cross and Red Crescent Movement. The Movement consists of 181 Red Cross and Red Crescent Societies throughout the world. The American Red Cross International Services Department has an International Disaster Response Unit, which has the capacity to respond to natural and manmade disasters around the world at the request of sister Societies. International Services also offers international and family tracing services with the capacity to locate family members separated by war or disaster. Both International Services units work jointly with Movement partners.

- DOS or the U.S. Agency for International Development (USAID) may use the NRP mechanism for Federal-to-Federal support (see the NRP Base Plan and the Financial Management Support Annex) to facilitate the U.S. Government response to overseas incidents (or to incidents in other countries) and to coordinate U.S. Government assistance from supporting departments and agencies to the affected nation(s).

Concept of Operations

Domestic Coordination

DOS Executive Secretariat and Operations Center Task Force(s) – Domestic Support and International Outreach

DOS's Executive Secretariat and its Operations Center establishes a DOS Task Force upon report of an Incident of National Significance. DOS Operations also establishes Sub-Task Forces, as required. DOS:

- Reviews its headquarters operational capabilities and its national/international operability and connectivity.
- Establishes immediate communication links with the Homeland Security Operations Center (HSOC) and other U.S. Government agencies.
- Advises U.S. Embassies/Consulates regarding the domestic incident. Provides instruction on advising other governments, the United Nations (UN), and other multilateral organizations. Advises of any possible direct or collateral implications for U.S. citizens, businesses, and/or interests in other countries, and actions to be considered.
- Provides liaison officers to key operational nodes in the Federal, State, or local incident management architecture, as required:
  - Interagency Incident Management Group (IIMG)
  - DHS HSOC and National Response Coordination Center
  - Strategic Information and Operations Center, FBI Task Force
  - Joint Field Office
- Depending on the incident, DOS would likely establish an overarching foreign affairs and policy advisory group to quickly identify, develop, and coordinate operational strategies to address DOS responsibilities within the overall management of a domestic incident.

Support to Foreign Missions/Foreign Nationals in the United States

DOS:

- Has operational responsibility, shared with local, State, and Federal authorities, for the protection of foreign missions, the UN, and other multilateral organizations with missions in the United States, and for the safety/security of their official personnel.
- If requested, assists foreign Embassies/Consulates in coordinating with Federal, State, local, and tribal authorities to enable them to provide information to their citizens in the United States and to render safety/security and other consular assistance.
- Fields formal international requests for local, State, or Federal assistance (e.g., medical assistance, evacuations, consular access to hospitals and morgues, etc.).

Foreign Coordination

Immediate U.S. Government Incident Management – Operational Needs

DOS:

- Through Embassies/Consulates, coordinates U.S. Government communications with other nations regarding relevant law enforcement actions, investigations, intelligence matters, and other activities required to prevent further attacks (if an act of terrorism), identify those responsible, and/or effect their capture and detention.

- Advises foreign governments on U.S. Government actions being considered or immediately planned that may have immediate international impacts (e.g., travel restrictions, border/airspace/coastal closures, disease spread, medical response, quarantine, isolation, and risk communication).

Providing Information to Foreign Governments and the International Community

DOS:

- Coordinates requests for foreign assistance based on needs conveyed by DHS or other Federal agencies. On behalf of U.S. Government departments and agencies, facilitates communication with foreign governments that can assist and/or support immediate and long-range response/mitigation/recovery efforts.

- Advises American citizens, businesses, and other U.S. social/economic entities abroad of the nature and extent of the situation in the United States and any direct effect that the incident might have on their safety and security. Provides information on the status of the incident, and where additional information related to the security of family members in the United States or the impact on business operations in the Nation may be available. Ensures the incident-related concerns of Americans abroad find resonance within the Federal Government as well.

- Advises foreign governments on real-time actions taken or planned, and coordinates U.S. Government projections of longer term international consequences of the event (e.g., disease spread, quarantines, travel restrictions, displaced persons, vaccine/medical requirements/supplies, etc.).

- Develops a diplomatic and international public affairs and public diplomacy strategy in coordination with the NRP incident interagency communication core group to communicate information concerning the status of the incident and highlight U.S. and international response and mitigation efforts. Also, develops incident-related public affairs strategies according to the NRP Incident Communications Emergency Policy and Procedures described in the Public Affairs Support Annex and the ESF #15 – External Affairs Annex.

DOS as Intermediary for Requests/Offers of Assistance

DOS:

- Acts as the formal diplomatic mechanism for handling U.S. Government requests to other nations for assistance in meeting additional, ongoing U.S. response needs. Works to expedite delivery of such assistance, when requests are accepted. Facilitates other requests for international assistance as required by U.S. Government domestic agencies.

- Acts as the intermediary for foreign offers of assistance to the U.S. Government, including those from law enforcement and intelligence services. Works with U.S. Government departments and agencies to respond appropriately to such requests. Works to expedite delivery of such assistance, if an offer is accepted. Works with DHS to expedite visa issuance to and U.S. entry of foreign experts needed for event response and/or mitigation.

Attribution Authorities/Responsibilities Under International Law in CBRNE Events

DOS coordinates with law enforcement agencies to determine and verify the origin, sponsorship, source, delivery, and responsible party of a CBRNE event that may constitute a violation of international laws, agreements, and treaties. Achieving such determinations requires enhanced international cooperation in investigations, extraditions, law enforcement actions, trials, and opportunities for additional actions to bring perpetrators to justice.

Military-to-Military, Defense-to-Defense

Coordinates with the Department of Defense to facilitate and garner international military support for appropriate response assistance.

United Nations and Other Multilateral Organizations

Articulates U.S. needs and interests to the world community through the UN and other international multilateral organizations and, consistent with principles of burden-sharing, provides an appropriate level of support to these organizations to ensure that they are able to carry out their assigned responsibilities. The United States also seeks a range of specific international support under treaty obligations for mutual legal assistance, freezing funds, or extradition, as requested by U.S. Government law enforcement departments and agencies.

State Coordination With Interagency International Affairs Offices

The International Affairs offices in U.S. Government domestic agencies have existing relationships with foreign counterpart ministries and agencies, and would be primary partners with DOS in coordinating with foreign governments on offers of assistance to the United States or requests for assistance from the United States.

International Coordination Associated With Emergency Support Functions (ESFs)

ESF	Responsibilities
ESF #1 – Transportation	DOS has responsibility within the U.S. Government for the international implications of actions that support airspace and maritime protection efforts, including actions related to: ▪ Restrictions on international air travel for a period of time; ▪ Foreign aircraft landing in, flying from, or overflying U.S. territories; and ▪ Clearance procedures for visits to U.S. ports by foreign naval and public vessels. When the U.S. Government considers transportation and border restrictions/closures, DOS must provide guidance on overall diplomatic, economic, and security implications. <u>Potential International Policy Topics</u>: ▪ U.S. Government transportation actions must not contravene international law/treaties or U.S. sanctions. ▪ Transportation restriction and border closure impact on "real-time" trade and commerce for U.S., cross-border, and international business. ▪ Use of potentially limited transportation assets for evacuations of foreign nationals.

ESF #2 – Communications	DOS facilitates international preparedness, protection, and mitigation efforts related to cyber-Critical Infrastructure Protection (CIP), and works particularly closely with DHS and other Federal agencies on physical and cyber-CIP efforts. In conjunction with ESF #2, DOS: ▪ Facilitates communications for response to international cyber-CIP failures and related incidents. On behalf of U.S. Government departments and agencies, facilitates communication with foreign governments and multilateral organizations that can assist and/or support immediate attribution/mitigation efforts. ▪ Works to effect bilateral and multilateral efforts to create a "global culture of cybersecurity"—creating effective national information network and infrastructure security to ensure the reliability, availability, and integrity of global information networks. Potential International Policy Topics: ▪ Interagency coordination for attribution and/or source of the cyber attack, particularly with the Department of Justice and DHS/Information Analysis and Infrastructure Protection/National Cyber Security Division. ▪ The immediate international exchange of vital information to counter the threat, enhance the security of information networks, and manage the consequences.
ESF #4 – Firefighting	As requested by local, tribal, State, and Federal authorities, DOS coordinates with foreign governments on identification and movement to the United States of assets and resources for firefighting assistance. Generally, these are cross-border response and mitigations efforts from Canada and Mexico. Cross-border response and mitigation efforts from Canada and Mexico are also coordinated with DHS, if provided for in appropriate bilateral agreements with each country.
ESF #6 – Mass Care, Housing, and Human Services	As requested by local, tribal, State, and Federal authorities, DOS coordinates with foreign governments on identification and movement to the United States of mass care assets and resources for response and recovery activities. As requested by foreign missions in the United States, DOS acts as liaison with local authorities to enable foreign missions to provide consular access and safety/security assistance to its nationals in the United States. Potential International Policy Topic: Overflight clearance for assistance flights to the United States.

ESF #8 – Public Health and Medical Services	There are significant, critical relationships between protection of both domestic and international populations against biologic attacks, pathogen release, or natural outbreaks. A biological attack/release requires monitoring and surveillance worldwide, collection of information, and sharing of laboratory capabilities and expertise. ▪ DOS works with U.S. Government departments and agencies, the World Health Organization (WHO), other international organizations, and other nations bilaterally on issues related to surveillance activities; countermeasures to reduce spread; availability or need of vaccines, blood and blood products, and medicines; and delivery agreements. ▪ DOS supports Federal agencies to facilitate the transfer of dangerous pathogen samples for epidemiological investigations from and to the United States. ▪ In addition, there is a nexus between public health countermeasures and domestic/international law enforcement efforts, transportation/travel/border restrictions, and other significant policy decisions related to the control and/or isolation of a disease outbreak. ▪ DOS's Medical Bureau acts as a conduit of information from the WHO, other international health organizations, the Department of Health and Human Services, and domestic public health services to U.S. Embassies/Consulates, serving the interests of official and private U.S. citizens and interests abroad. <u>Potential International Policy Topics</u>: ▪ Requests for sharing of vaccines and medical supplies from international stockpiles and/or the U.S. Strategic National Stockpile. ▪ International sharing of disease surveillance information. ▪ International sharing of laboratory resources or support, particularly for developing countermeasures. ▪ Quarantine or isolation of foreign nationals in the United States, or of U.S. citizens overseas. ▪ Closure of borders, airports, and seaports to reduce international spread. ▪ Expedited visas and/or U.S. entry of foreign experts for response and mitigation.

ESF #9 – Urban Search and Rescue	▪ As requested by local, tribal, State, and Federal authorities, DOS coordinates with foreign governments on identification and movement to the United States of urban search and rescue (US&R) assets and resources for response and recovery activities. ▪ DOS articulates U.S. needs and interests to the world community through the UN, particularly through the Office for the Coordination for Humanitarian Affairs (UN/OCHA). (Note: UN/OCHA hosts the International Search and Rescue Advisory Group, of which the United States, through USAID/Office of Foreign Disaster Assistance, is a member. <u>Potential International Policy Topic</u>: Requirement for expedited U.S. customs clearance for foreign US&R teams responding to a U.S. request. (Note: If possible, execute under NATO "Agreement on the Facilitation of Vital Cross Border Transport.")
ESF #10 – Oil and Hazardous Materials Response	DOS support covers the entire spectrum of incident management; public affairs/information; assistance to cross-border communities; assistance to foreign Embassies related to their nationals and missions in the United States; impacts on international travel, transport, and trade; law enforcement and forensic investigations; and coordination of assistance from foreign nations. <u>Potential International Policy Topics</u>: ▪ Possible cross-border contamination. ▪ Coordination with the International Atomic Energy Agency (IAEA) for determination of the source of radiological material and its removal and safeguarding.

ESF#11 – Agriculture and Natural Resources	DOS facilitates exchange of information and agreements between the United States and foreign nations to identify the nature of the threat, impede disease spread, and take immediate remedial actions. ▪ DOS acts as conduit for information between domestic and foreign governmental agencies. ▪ DOS ensures rapid distribution of countermeasures into and out of the United States. ▪ DOS facilitates international sharing of disease surveillance information. ▪ DOS facilitates international sharing of laboratory resources or support, particularly for developing countermeasures. Potential International Policy Topics: ▪ Possible cross-border spread of diseases. ▪ Requests for sharing of vaccines and treatment supplies. ▪ Closure of borders to reduce international spread. ▪ Trade embargoes placed on U.S. agricultural products. ▪ Possible connection of emergence during the event of zoonotic diseases (those that can spread from animals to humans).
ESF #12 – Energy	DOS and the Department of Energy (DOE) work with the governments of major oil-consuming countries through the International Energy Agency (IEA) and in other groups, to maintain readiness to deploy a coordinated policy response to energy emergencies, such as a significant, unexpected disruption in oil supplies. DOS also initiates contacts with important oil producers. DOS and DOE, in coordination with the IIMG, DHS, the HSC, and the NSC, coordinate and issue public statements on the incident. Potential International Policy Topics: ▪ Unexpected, significant supply disruptions that threaten stability of the international oil market, the U.S. economy, or the economies of other members of the IEA. ▪ Requests by other IEA members to initiate a coordinated drawdown of strategic oil reserves or invoke the IEA's emergency sharing system.
ESF #14 – Long-Term Community Recovery and Mitigation	DOS works with the international community and all governments on response and mitigation efforts to ensure that recovery efforts are initiated rapidly, in order to mitigate the impact to the national and global economies. Potential International Policy Topics: Numerous, but particularly any unilateral actions (by other countries or by the United States itself) that would prevent international assistance from reaching the United States efficiently and effectively (e.g., long-term border or airspace closures).

ESF #15 – External Affairs	For Incidents of National Significance, DOS public affairs and public diplomacy efforts work closely with the DHS public affairs effort to ensure that the message to foreign governments, the international public, and American citizens and U.S. businesses abroad is consistent, timely, and effective. Potential International Policy Topics: ▪ Prompt U.S. Government provision of information to foreign governments about issues affecting their citizens. ▪ The level of support to foreign missions in the United States, to ensure they are capable of assisting their citizens. ▪ The level of emergency assistance to foreign nationals from local, State, and Federal responders (should be the same as for U.S. citizens). ▪ Requests from foreign governments for permission (and possibly assistance) to evacuate their citizens from the United States or to a separate area within the United States.

Responsibilities

Domestic Coordination

Task Forces/Incident Management	▪ DOS Executive Secretariat, Office of Crisis Management Support ▪ DOS Operations Center 24/7 Operations ▪ Bureau of Diplomatic Security (DS), DS Command Center, 24/7 Operations contacts all DS elements, domestic and foreign ▪ Office of Under Secretary for Management ▪ Office of the Coordinator for Counterterrorism (S/CT) ▪ Office of the Legal Advisor (L)
Foreign Missions and Assistance to Their Nationals in the United States **UN and International Organizations**	▪ Bureau of Diplomatic Security (DS) Office of Foreign Missions (DS/OFM) ▪ Bureau of Consular Affairs (CA) ▪ Bureau of International Organizations (IO) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa

U.S. Businesses vis-à-vis Overseas Operations	▪ Bureau of Diplomatic Security (DS) Overseas Security Advisory Council (OSAC) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
Domestic DOS Facilities/Personnel	▪ Bureau of Diplomatic Security (DS) Headquarters and DS Domestic Regional Offices
Continuity of Operations/Continuity of Government	▪ Bureau of Administration Office of Emergency Management (A/OPR/OEM)

Foreign Coordination

Immediate Operational Needs	▪ Bureau of International Narcotics and Law Enforcement (INL) ▪ Bureau of Political-Military Affairs (PM) ▪ Bureau of Diplomatic Security (DS) ▪ Office of the Coordinator for Counterterrorism (S/CT) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
Information to Foreign Governments and International Community	▪ All functional bureaus/offices ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa ▪ Bureau of Consular Affairs (CA) ▪ Office of Overseas Citizens Services (CA/OCS) ▪ Bureau of Diplomatic Security (DS) ▪ Overseas Security Advisory Council (OSAC) ▪ Overseas Security Policy Board (OSPB) ▪ Bureau of Political-Military Affairs (PM) ▪ Bureau of Public Diplomacy and Public Affairs (R)

Intermediary for Requests/Offers of Assistance	▪ All functional bureaus/offices ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific ▪ U.S. Agency for International Development (USAID)
Attribution	▪ Bureau of Verification and Compliance (VC)
Military-to-Military, Defense-to-Defense	▪ Bureau of Political-Military Affairs (PM) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
UN and Multilateral Organizations	▪ Bureau of International Organizations (IO) ▪ Bureau of Political-Military Affairs (PM) ▪ U.S. Agency for International Development (USAID) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa

International Coordination in Emergency Support Functions

ESF #1 – Transportation	▪ Bureau of Economic and Business Affairs (EB) Office of Transportation (EB/TRA) ▪ Bureau of International Organizations (IO) Point of contact with ICAO and IMO ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #2 – Communications	▪ Bureau of Political-Military Affairs (PM) Office of Policy, Plans, and Analysis (PM/PPA) ▪ Bureau of Economic and Business Affairs Office of International Communications and Information Policy (EB/CIP) ▪ Bureau of International Narcotics and Law Enforcement Office of Crime (INL/C) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa

ESF #4 – Firefighting	▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #6 – Mass Care, Housing, and Human Services	▪ Bureau of Diplomatic Security (DS) Office of Foreign Missions (DS/OFM) ▪ Bureau of Consular Affairs (CA) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #8 – Public Health and Medical Services	▪ Bureau of Oceans and International Environmental Science Affairs (OES) International Health Affairs (OES/IHA) ▪ Office of Medical Services (M/MED) ▪ U.S. Agency for International Development (USAID) ▪ Bureau of Political-Military Affairs (PM) ▪ Bureau of International Organizations (IO) Point of contact with WHO and Pan Am Health Organization (PAHO) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #9 – Urban Search and Rescue	▪ Bureau of Political-Military Affairs (PM) ▪ U.S. Agency for International Development (USAID) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #10 – Oil and Hazardous Materials Response	▪ Bureau of Political-Military Affairs (PM) ▪ Bureau of International Organizations (IO) Point of contact with International Atomic Energy Agency (IAEA) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa

ESF #11 – Agriculture and Natural Resources	▪ Bureau of Economic and Business Affairs (EB) Office of Bilateral Trade Affairs (EB/TPP/ABT) Office of International Energy and Commodity Policy (ESC/IEC) ▪ Bureau of Political-Military Affairs (PM) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #12 – Energy	▪ Bureau of Economic and Business Affairs Office of International Energy and Commodity Policy (ESC/IEC) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #13 – Public Safety and Security	▪ Bureau of International Narcotics and Law Enforcement (INL) Office of Crime (INL/C) ▪ Bureau of Diplomatic Security (DS) ▪ Bureau of Consular Affairs (CA) ▪ Bureau of International Organizations (IO) Point of contact with UN Office of Drugs & Crimes and Crime Commission ▪ Legal Adviser's Office Office of Law Enforcement and Intelligence (L/LEI) ▪ Bureau of Verification and Compliance ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #14 – Long-Term Community Recovery and Mitigation	▪ Bureau of Economic and Business Affairs Office of Monetary Affairs (IFD/OMA) ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa
ESF #15 – External Affairs	▪ Bureau of Public Diplomacy and Public Affairs Office of the DOS Spokesman Office of Press Relations, Regional Media Outreach ▪ DOS Regional Bureaus Western Hemisphere, Europe, Near East, South Asia, East Asia/Pacific, Africa

Logistics Management Support Annex

Coordinating Agency:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Cooperating Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of the Interior
Department of Transportation
Department of Veterans Affairs
General Services Administration
National Aeronautics and Space Administration

Introduction

Purpose

The Logistics Management Support Annex provides an overview of the framework through which the overall logistics management function operates for Incidents of National Significance and describes how Federal resources fit into this framework. It also describes how the National Response Plan (NRP) Emergency Support Functions (ESFs) interact to provide support to the affected population as well as support to the incident management effort. This annex provides an overview of logistics management functions, roles, and responsibilities.

Scope

This annex:

- Identifies the components of the Federal logistics delivery structure;
- Provides a concept of operations for logistics management in support of the NRP; and
- Describes how Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) coordinates logistics management with other Federal agencies; State, local, and tribal governments; and the private sector during an Incident of National Significance.

Policies

General

Logistics management during NRP operations is conducted primarily within the Logistics Sections of the various National Incident Management System-based organizational elements detailed in the NRP Base Plan (i.e., Joint Field Offices (JFOs), mobilization centers, Regional Response Coordination Centers (RRCCs), and the National Response Coordination Center (NRCC). The logistics management function is an element of ESF #5 – Emergency Management. ESF #5 provides staff for the Logistics Section Chief for managing the control and accountability for Federal supplies and equipment; resource ordering; delivery of equipment, supplies, and services; resource tracking; facility location and operations; transportation coordination; and information technology systems services and other administrative services. The Logistics Section coordinates closely with ESF #7 – Resource Support and implements the procedures of this annex.

Materiel Management

- Logistics personnel find appropriate, time-sensitive, and cost-effective ways to fill the materiel requirements developed by operations personnel. Equipment and supplies are provided from current Federal stocks or, if necessary, from commercial sources.

- Nationally, ESF #7 operates under the direction of the Director, General Services Administration (GSA) Office of Emergency Management (OEM). The OEM represents GSA in its dealings with the NRCC.

- GSA is the central procurement authority for the Federal Government. All procurement actions are made in accordance with current Federal laws and regulations. (See ESF #7 – Resource Support for more details.)

Personal Property Management

- All Federal departments and agencies acting within the scope of the Robert T. Stafford Disaster Relief and Emergency Assistance Act account for personal property in accordance with the Federal Management Regulations (41 CFR 102) and existing agency property management policies. This occurs whether property is acquired from an agency's own stock or from available Federal excess, or purchased with money from the Disaster Relief Fund (DRF).

- If other Federal agency property is used for incident management operations and this property is lost, damaged, stolen, or consumed, the agency is reimbursed for the cost of property if the required documentation is provided to DHS. Required documentation is outlined in DHS/EPR/FEMA Manual 6150.1, Personal Property Management Program. The process for requesting reimbursement is detailed in the Financial Management Support Annex.

- DHS/EPR/FEMA directs the disposition of all property organically owned, including items held by organizations that intend to request reimbursement for the item from the DRF. Disposition could include transfer to DHS/EPR/FEMA, retention by the agency, donation to State/local government, or excess, disposal, and reutilization action through GSA.

  - Information systems and communications devices purchased through the DRF are retrieved and returned following each operation to the DHS/EPR/FEMA Disaster Information Systems Clearinghouse (DISC). The DISC rehabilitates and repackages items for reuse in other disaster operations.

  - Other equipment and supplies purchased with DRF money and issued to support responders and field facilities is retrieved and returned following each operation to one of the DHS/EPR/FEMA logistics centers. Returned items are coordinated with DHS/EPR/FEMA Headquarters Logistics. The logistics centers rehabilitate and repackage equipment and supplies for reuse. The exceptions (which must be coordinated with DHS/EPR/FEMA Headquarters Logistics) are:

    - Rapid-response equipment and supplies used by the Advance Element of the Emergency Response Team (ERT-A), which may be retrieved and stored in DHS/EPR/FEMA Regional Offices; and

    - Nonstandard or non-mission-capable items that will be excessed or disposed of at the incident site.

- Property procured with funds from the DRF may be used only in support of disaster response and recovery activities, not for non-disaster-specific operations.

Facility Management

All facilities and related support necessary for operations are sourced through the following ESFs when they are activated and requested to do so:

- ESF #7 – Resource Support supports the requirements for obtaining NRP facilities, facility setup, space management, building services, and general facility operations.

- ESF #3 – Public Works and Engineering provides operational support for mobilization centers, staging areas, and distribution sites for all infrastructure and engineering service commodities (supplies and equipment) required to support assigned Federal and direct-support missions.

- ESF #2 – Communications supports emergency telecommunications and information technology services for Federal, State, tribal, and local incident managers.

- ESF #8 – Public Health and Medical Services supports public health and medical services for Federal, State, tribal, and local incident managers.

Transportation Management

- ESF #1 – Transportation serves as the point of contact for requesting transportation assistance in support of agencies under the NRP, including requests for military transportation. ESF #1, in coordination with DHS/EPR/FEMA Logistics, determines the mode and carrier for all transportation requests. Other ESF representatives coordinate transportation requirements with ESF #1.

- DHS/EPR/FEMA Headquarters controls movement of Initial Response Resources (IRR) items. The affected DHS/EPR/FEMA region, in coordination with DHS/EPR/FEMA Logistics, selects the IRR items to be moved and establishes the order of movement based on priority of the mission assignment. The ESF #1 Emergency Transportation Center (ETC), in coordination with the NRCC, determines the best mode and source of transportation.

- ESF #1 remains operational until the coordination for the movement of resources can be transitioned to DHS/EPR/FEMA Logistics. The decision to transition is made in agreement with the DHS/EPR/FEMA Operations Section, DHS/EPR/FEMA Logistics, the Federal Coordinating Officer (FCO)/Federal Resource Coordinator (FRC), and the Principal Federal Officer (PFO), as appropriate. The ESF #1 ETC continues to arrange transportation in support of Logistics or other Federal agency retrograde operations until deactivated.

- The Department of Transportation (DOT) maintains a national transportation contract capable of providing ground, rail, marine, or aviation assets. If necessary, DOT, through its modal agencies or its support agencies, has the capability to contract additional resources. If commercial transportation is not available, DOT requests Department of Defense (DOD) support through the Defense Coordinating Officer or the DOD liaison at the NRCC.

Concept of Operations

Logistical Response Operations

The structure for Federal NRP logistics depends on logistics partners that provide resources to support incident-related operations. Logistics support is provided for prevention, preparedness, response, and recovery actions during all phases of incident management. Effective logistics management contributes to mission success while ensuring all functions are executed in a unified manner to reduce costs, ensure appropriate support actions, and increase response capability.

When DHS requires logistics support from the partner Federal agencies, any or all of the following ESFs may be activated:

ESF #1	Transportation	DOT
ESF #2	Communications	DHS
ESF #3	Public Works and Engineering	U.S. Army Corps of Engineers (USACE)
ESF #7	Resource Support	GSA
ESF #8	Public Health and Medical Services	Department of Health and Human Services (HHS)

The DHS/EPR/FEMA mobilization center, when established, is the focal point for pre-positioning, receipt, and distribution of supplies. Forward movement of teams, supplies, and equipment is managed by the Mobilization Center Manager and coordinated with the Logistics and Operations Sections. Deployed resources are further processed and forwarded by the Logistics Section to one of three locations: the incident logistics base, an Operations Section staging area, or a State/Federal-controlled distribution point.

Initial Actions

- Interagency logistics providers are alerted and logistics teams are selected to provide staff for the NRCC, RRCC, and JFO. Logistics reservists are alerted and deployed as required.
- Logistics personnel assigned to the NRCC, RRCC and JFO perform the following functions:
  - Participate, with operations and other contingency staffs, in coordination and decisionmaking meetings, situational awareness coordination, incident action planning, and conference calls;
  - Translate operations-generated requirements into incident- or contingency-specific logistics plans for leadership approval;
  - Establish communications and coordination among Federal logistics partners to locate and stand-up mobilization centers;
  - Begin transporting resources with Movement Coordination Center (MCC) support. Coordinate deployment support of IRR items and other response resources to the mobilization centers and other points;
  - Provide resource tracking; and
  - Analyze requests for Federal resources to determine cost-effective and timely means to meet requirements.

Ongoing Actions

- Logistics personnel transition into logistics management activities. They execute logistics functions as follows:
  - The Materiel Management function provides supplies and equipment to the incident(s). After coordinating with internal Federal sources, GSA procures supplies and services needed. The goal is to provide supplies and equipment at the location and in the quantities required in the most timely and cost-effective manner and track all resources.
  - Property Management accounts for personal property at all operational levels. The Federal Government retains title to accountable property unless it is transferred to State or local governments. Several agencies have the capability to establish receiving and distribution operations at the mobilization centers and support property management teams by maintaining property accountability on items stored at or issued from these locations.
- The NRCC, RRCC, and JFO logistics roles and responsibilities focus on providing and coordinating delivery of required resources to sustain operations.

Demobilization

- As response operations begin to diminish, Incident Commanders demobilize Federal agencies from their respective operations.
- The Logistics Sections may remain active for several days following demobilization of the NRCC, RRCC, and JFO for the following closeout activities:
  - Coordinating and conducting activities associated with retrieving (or disposing of locally if no longer serviceable), refurbishing, and restocking all Federal assets used during the disaster operation;
  - Ensuring that all equipment and supplies are accounted for in accordance with appropriates regulations, and resources tracking is completed and closed out; and
  - Participating in internal and external Remedial Action Management Program reviews.
- Federal logistics partners begin preparation activities in anticipation of the next event. In the case of identified shortfalls in supporting the operation, the DHS/EPR/FEMA Logistics Branch may meet with other Federal logistics providers to develop a corrective action plan to improve the Federal logistics support structure and implementation.

Resources Fulfillment Cycle

This section of the annex addresses the overall methodology used to anticipate and subsequently fulfill requirements of victims during Incidents of National Significance.[1] The Federal logistics response to Incidents of National Significance is dependent upon many factors, but requires a continuing assessment that dictates the degree and scope of response.

Overview

- After the NRCC accomplishes an initial situational assessment (in coordination with the RRCC), DHS/EPR/FEMA decides whether to "push" response supplies, equipment, and teams to a location closer to the incident area. The purpose of this is to decrease the time it takes to fulfill a validated request for Federal assistance. Once this decision is made, a mobilization center(s) is activated near but not necessarily within the impacted area. This mobilization center(s) then serves as a forward logistics center to house and maintain Federal resources in anticipation of a validated request for Federal assistance. All Federal assets at the mobilization center(s) remain under the oversight of the Logistics Section of the NRCC when it is

[1] Certain Federal agencies have independent authority to respond to an incident site directly after notification of the incident. Once the ESFs are activated, those resources are provided in accordance with this annex.

activated and actively involved in brokering resources for the impacted area. When the NRCC is not activated, the mobilization center(s) is under the oversight of the Logistics Response Center of the DHS/EPR/FEMA Logistics Branch.

- The Mobilization Center Manager(s) is responsible for all life-support functions of the members of the team, as well as the life support for all responders who are awaiting entry to the impacted area. The Mobilization Center Manager(s) is also responsible for the safeguarding of all nonhuman resources that arrive at the center(s).

- The NRCC Director establishes an MCC when required. The MCC obtains transportation services and provides for oversight of transportation assets into and out of the incident area. All Federal agencies should notify the MCC when transportation arrangements are made, so that resources can be tracked and reception plans executed.

- Once the JFO is operational, the JFO staff receives and processes requests for Federal assistance. Those requests are validated at the beginning of the resource adjudication cycle. The process of meeting requirements, from the identification of the need to the delivery of the Federal resource, is explained below. In Federal response operations, the actual cycle starts when the State submits a request for Federal assistance and ends when the Federal resource is delivered to the State.

Process

The ordering, sourcing, transportation, issuing, and movement of Federal resources generally follows the procedural steps outlined below:

- Resources needed to provide relief to victims of an Incident of National Significance are identified. Resources can involve supplying equipment or services.

- The local jurisdiction attempts to fill the need from existing resources. If they do not have the resource, they pass the requirement on to their county or State jurisdiction.

- When the State receives the requirement, the State attempts to fill the need. This may be done from existing resources, through commercial sources, or through Emergency Management Assistance Compacts (EMACs) or mutual aid agreements. If the State cannot fill the need, it submits a request for Federal assistance to the JFO Operations Section.

- The JFO Operations Section determines if the resource is available in staging areas to fill the requirement. If the resource is not available, the requirement is passed through ESF #5 – Emergency Management to the Logistics Section.

- The Logistics Section Chief has several options available to fill requirements:

  - Fill the requirement from the resources located at the logistics base;

  - Fill the requirement by direct mission assignment to another Federal agency;

  - Prepare a requisition and recommend commercial sources for goods and services to the Finance/Administration Section as applicable; or

  - If the resource is still not readily available, the Logistics Section Chief passes the requirement through the RRCC to the NRCC.

- Once the NRCC receives the validated request for Federal assistance, the NRCC determines how and if the requirement can be fulfilled.

- Once the source is identified, the resource is delivered to the location specified by the Logistics Section Chief. The Logistics Section Chief is responsible for all transfer of Federal assets to State control. This may occur at the following locations:
  - Incident Command Post
  - Logistics base
  - Operations Section staging area
  - State staging area or distribution point
  - Directly where the resource is needed
- If the resource was filled from existing Federal resources, replenishment activities begin immediately to replace the resource.

Responsibilities

See Table 1 for agency roles and responsibilities.

Coordinating Agency: DHS/EPR/FEMA

- Delivers IRR items (food, water, power-generation equipment, temporary emergency shelters, comfort items, etc.) located at logistics centers and in Pre-Positioned Disaster Supply caches located nationwide.
- Possesses temporary (portable) housing located nationwide at logistics centers.
- Provides equipment caches for the following assets located at logistics centers and other locations nationwide:
  - Urban Search and Rescue Incident Management Teams
  - Mobilization centers
  - National Disaster Medical System response teams
  - Emergency Support Teams
  - Federal Incident Response Support Teams
  - Domestic Emergency Support Team
  - Mobile Emergency Response System teams consisting of personnel, life-support equipment, team and personal communications equipment, etc.
  - Disaster medical supplies and equipment located at logistics centers and various locations nationwide
  - MCC located at DHS/EPR/FEMA Headquarters
  - Mobilization Center Manager
  - Property Management Teams
  - Logistics Resource Center located at DHS/EPR/FEMA Headquarters
  - Logistics Closeout Assistance Teams

Cooperating Agencies

Department of Agriculture/ Forest Service (USDA/FS)	▪ Provides staff for and support to mobilization centers when authorized by a DHS/EPR/FEMA mission assignment. ▪ Provides assistance for transportation tracking and supply accountability at the mobilization centers.
Department of Defense/U.S. Army Corps of Engineers	Provides logistics resources to support the preparation and execution of ESF #3 – Public Works and Engineering activities. USACE may also provide staff for the mobilization centers when a mission is assigned by DHS/EPR/FEMA.
Department of the Interior (DOI)	The DOI bureaus provide management and support of DHS/EPR/FEMA mobilization centers when activated under a DHS/EPR/FEMA mission assignment. In addition, DOI provides assistance for transportation tracking and supply accountability at the mobilization centers.
Department of Transportation	Provides the resources for operating the MCC. It arranges for transportation services under a national emergency transportation contract.
General Services Administration	Contracts telecommunications support, arranges for the facilities needed by the Federal response teams, and requisitions or contracts for supplies and equipment as part of its ESF #7 responsibilities. GSA can provide a contract officer with unlimited warrant. GSA may also provide staff for the mobilization centers when mission assigned by DHS/EPR/FEMA.
Other Federal Departments and Agencies	Refer to Table 1 for a list of logistics activities undertaken by other Federal departments and agencies in support of the Logistics Management Support Annex.

TABLE 1. Agency roles and responsibilities matrix

Federal Partner	ESF Coordinator	Logistics Functions												Comments
		Subsistence	Energy (oil and electricity)	Administrative Supplies	Petroleum Products	Engineering and Construction Materials	Personal Demand Items (water and ice)	Major End Items: Mobile Units	Medical Materiel	Property Management	Facility Management	Telecommunications Mgmt.	Transportation Management	
DHS/EPR/ FEMA	ESF #5	■		■	■	■	■	■	■	■	■	■	■	Responsible for NRP logistics planning and execution. When additional resources are needed, the other ESFs are activated through mission assignments.
USDA/FS	ESF #4									■	■	■	■	Provides staff to mobilization centers when mission assigned.
DOC											■	■		Provides technical expertise on structural surveys as well as the procurement of external consulting services.
DOD		■		■	■	■	■	■	■			■	■	When requested through ESF #7 and approved by DOD.
DOD/USACE	ESF #3					■	■	■			■			Provides water, ice, construction materials, and engineering services when activated under ESF #3 and ESF #6.
DOE	ESF #12		■											In accordance with ESF #12, coordinates with energy industries to assist in meeting critical fuel, lubricant, and electrical power needs unable to be met by Federal or State actions.
HHS	ESF #8								■		■			Provides medical supplies and response teams when ESF #8 is activated. Also staffs field hospitals.
DOI										■	■	■	■	Provides management and support of DHS/EPR/FEMA mobilization centers when authorized by DHS/EPR/FEMA or when activated under mission assignment by ESF #7.
DOT	ESF #1												■	Staffs the MCCs and manages transportation resources when ESF #1 is activated.
VA		■		■		■	■		■		■			Provides technical assistance in identifying and procuring medical supplies and other medical services.
GSA	ESF #7	■		■	■	■	■	■	■		■	■	■	When activated, provides contracting, regional telecommunications, facilities, supplies, and other services.
NASA											■			Provides available space, buildings, airports, and telecommunications as may be required for emergency support operations.

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Private-Sector Coordination Support Annex

Coordinating Agency:	Cooperating Agencies:
Department of Homeland Security	All

Introduction

Purpose

This annex describes the policies, responsibilities, and concept of operations for Federal incident management activities involving the private sector during actual or potential Incidents of National Significance. In this context, the annex further describes the activities necessary to ensure effective coordination and integration with the private sector, including the Nation's critical infrastructure, key resources, and other business and industry components.

Scope

- This annex applies to all Federal agencies operating under the National Response Plan (NRP) in a potential or actual Incident of National Significance that involves the private sector in any of the following ways:
  - Impacted organization or infrastructure[1]
  - Response resource
  - Regulated and/or responsible party
  - Member of the State emergency management organization
- Because the NRP provides an integrated national framework that includes the private sector in incident management activities, this annex addresses only those aspects of incident management regarding the private sector that must be emphasized because of their uniqueness or importance.
- This annex does not alter existing private-sector responsibilities for emergency management under the law. Existing contractual or other legal relationships between Federal agencies and the private sector are not supplanted by this annex.
- The roles and interfaces of volunteer and nongovernmental organizations are detailed in the Volunteer and Donations Management Support Annex.
- The roles of Sector Specific Agencies (SSAs), as defined in HSPD-7, are addressed in more detail in the Emergency Support Function (ESF) Annexes.
- Detailed processes, procedures, and protocols for incident management coordination with the private sector are developed and promulgated separately by the Department of Homeland Security (DHS).

Policies

- The Federal Government encourages cooperative relations between private-sector organizations and State, local, and tribal authorities regarding prevention, preparedness, mitigation, response, and recovery activities related to Incidents of National Significance. It works cooperatively on incident planning, communication, and operational execution activities with these entities.

[1] That falls within the definition of "Critical Infrastructure and Key Resource (CI/KR)," as described in Homeland Security Presidential Directive-7 (HSPD-7), Critical Infrastructure Identification, Prioritization, and Protection, and as they relate to the NRP.

- The Federal Government encourages processes that support informed cooperative decisionmaking. It takes actions that engage the private sector at the strategic (e.g., chief executive officer (CEO), corporate president, or other senior leadership, etc.) and operational levels to ensure:
  - Effective and efficient use of private-sector and Federal resources;
  - Timely exchange of information; and
  - Public and market confidence in times of crisis or catastrophe.
- The Federal Government encourages extensive two-way sharing between the public and private sectors of operational information and situational awareness relative to potential or actual Incidents of National Significance. The Federal Government works cooperatively to develop and apply processes, procedures, and communications protocols that support such sharing at the strategic leadership and operational levels.
- The Federal Government encourages members of the CI/KR community to organize sector-coordinating and information-sharing mechanisms suitable for their sectors or areas of concern.
- The Federal Government encourages owners and operators of those infrastructure elements whose disruption may have national or regional impact to develop appropriate emergency response plans and information-sharing processes and protocols tailored to the unique requirements of their respective sectors or industries, and mapped clearly to regional, State, local, and tribal emergency response plans and information-sharing networks.
- The Federal Government encourages private-sector organizations to develop and maintain capabilities needed to respond to and manage a complete spectrum of incidents and emergencies, except in cases where the capabilities are inherently governmental in nature.
- In certain circumstances, Federal law requires appropriate authorities to include private-sector representatives in incident management planning and exercises; when not required, it encourages such participation whenever practical.
- The Federal Government may direct private-sector response resources in some cases in which contractual relationships exist. The Government also retains its full authorities to oversee and control as appropriate infrastructure involved in an incident. Through the Defense Production Act[2] and the Homeland Security Act, DHS has the authority to redirect production and distribution of certain incident management resources, if required.
- The Federal Government treats information provided by the private sector, from receipt through destruction, in a manner consistent with applicable statutes and regulations. These handling procedures include Protected Critical Infrastructure Information, providing exemption from disclosure, to protect from unauthorized disclosure appropriately designated proprietary or otherwise sensitive company information.
- The Federal Government avoids actions that disrupt existing relationships between voluntary aid providers at the local, State, or national level when eliciting additional offers of goods and services.
- The Federal Government conducts after-action critiques of the procedures detailed in this annex with private-sector participants when they are exercised in national-level, DHS-sponsored exercises; it shares such critiques appropriately with private-sector participants.

[2] See the Defense Production Act of 1950, as amended, as referenced in the section on private-sector roles and responsibilities in the NRP Base Plan.

Concept of Operations

General

- The operational concept for incident management involving the private sector is the concept specified in the NRP and the National Incident Management System.

- The concept of operations in this annex covers the specific organizations and actions developed which are required to effectively and efficiently integrate incident management operations with the private sector. These are detailed in the sections that follow.

Organizations for Operations With the Private Sector

General: Specialized organizations that facilitate coordination with the private sector are designed to provide for critical needs as listed below.

- Processes to determine the impact of an incident on the sector involved, as well as to forecast cascading effects of interdependencies between sectors.

- Procedures for communication that facilitate a shared situational awareness across industry and infrastructure sectors and between the public and private sectors.

- Procedures for coordination and priority-setting for incident management support and response, and the rationing or prioritizing of the delivery of goods and services after an incident.

- Processes to inform Federal Government decisionmakers to help determine appropriate recovery and reconstitution measures, particularly in cases where they may result in indemnity, liability, or business losses for the private sector.

- Procedures for the Federal Government to obtain, under the Defense Procurement Act and other authorities, goods and services necessary for the restoration and recovery of CI/KR and other key elements of the economy on a priority basis.

Department of Homeland Security: In the event of a potential or actual Incident of National Significance, the DHS Office of the Secretary coordinates strategic communications with CEOs, senior officials, or individuals specifically designated by these private-sector leaders to engage in such communications on their behalf. Further, the Secretary of Homeland Security utilizes a private-sector advisory group with representatives from across the spectrum of CI/KR, business, and industry, as well as nongovernmental organizations (NGOs), to provide advice on incident management and emergency response issues affecting their constituencies. The Office of the Secretary assigns the responsibility for private-sector threat or incident communications to appropriate organizations within DHS. These organizations are detailed below.

- **Private Sector Office (DHS/PSO):** The DHS/PSO encourages private-sector preparedness for incident management by identifying and promoting private-sector community efforts, including security activities in national preparedness, prevention, response, and recovery efforts, promoting educational efforts to prepare for natural disasters or terrorist incidents, and encouraging the identification and sharing of best practices. DHS/PSO provides a representative to the Homeland Security Operations Center (HSOC) and Interagency Incident Management Group (IIMG) to enable strategic coordination with the private sector during potential or actual Incidents of National Significance.

- **Information Analysis and Infrastructure Protection/Infrastructure Coordination Division (DHS/IAIP/ICD):** The DHS/IAIP/ICD supports prevention, preparedness, response, and recovery efforts involving the CI/KR community, in accordance with HSPD-7, and other private-sector entities as appropriate, through facilitating and coordinating protection and response planning, procedures, and exercises. DHS/IAIP/ICD implements the programmatic policy and strategy for information-sharing. Three key DHS/IAIP/ICD functions are:

- **National Infrastructure Coordination:** Within the HSOC, the National Infrastructure Coordinating Center (NICC) monitors the Nation's CI/KR on an ongoing basis, and provides a coordinating mechanism to share and exchange information with the private sector and the HSPD-7 SSAs. In a potential or actual Incident of National Significance, the NICC is a key component in providing situational and operational information as well as a capability to monitor and share information with other private-sector entities as required.

- **Critical Infrastructure Preparedness Planning and Coordination Support:** DHS/IAIP/ICD facilitates the development, implementation, and exercise of CI/KR's national response plans across sectors, and other industry sectors as appropriate. DHS/IAIP/ICD supports sectors in developing their own sector coordination and information-sharing mechanisms.

- **Infrastructure Liaison During NRP Operations:** In an Incident of National Significance involving the implementation of the NRP, DHS/IAIP/ICD provides a representative to the National Response Coordination Center (NRCC) and to the IIMG, to enable coordination with the CI/KR community at the national level. DHS/IAIP/ICD also deploys an Infrastructure Liaison to the Regional Response Coordination Center (RRCC)/Joint Field Office (JFO) to provide regional-level coordination and liaison functions to the CI/KR community for the RRCC/JFO Coordination Staff, in support of the JFO Coordination Group. The Infrastructure Liaison:

  - Serves as the principal advisor regarding national and regional CI/KR, and other relevant businesses and industry;

  - Coordinates with private-sector entities, SSAs, and State, local, and tribal governments;

  - Acts as liaison between national- and regional-level CI/KR, the private sector, and the JFO by conveying information about the Nation's CI/KR and private-sector status;

  - Facilitates operational-level communication with the private sector during an incident; and

  - Communicates with the DHS/IAIP/ICD representative at the IIMG, NRCC, and NICC.

  The Infrastructure Liaison focuses on the broad impacts and status of actions relating to affected CI/KR, as opposed to the direct provision of goods or services. Restoration of critical infrastructure and operational coordination with impacted telecommunications, energy, and other utilities and systems is conducted through the established ESFs.

Sector-Specific Agencies

- Under overall DHS coordination as indicated in HSPD-7, SSAs identify, prioritize, and coordinate the protection of CI/KR sectors to prevent, deter, and mitigate the effects of deliberate efforts to destroy, disrupt, incapacitate, or exploit them.

- Under HSPD-9 and HSPD-10, certain SSAs are required to take actions to identify and prioritize CI/KR sectors for establishing protection requirements, develop awareness and early warning capabilities to recognize threats, and enhance response and recovery procedures.

Private-Sector Involvement With Incident Management Organizations: Private-sector involvement with incident management organizations is determined in large measure by the nature, scope, and magnitude of the incident. For most incidents, private-sector involvement is centered on internal, local, and State organizations; for Incidents of National Significance, industry, State, and Federal organizations become more involved; for truly catastrophic incidents, State and Federal organizations have primary responsibilities, and provide proactive resource and operational support functions to save lives and contain the incident.

- **Private-Sector Incident Management Organizations:** Private entities such as businesses and industry associations develop, validate, exercise, and implement security and business continuity plans to ensure their capability to deliver goods and services to customers and as a responsibility to their owners. Assessments of and contingency plans for the disruption of a private entity's supply chain and other dependencies are usually included in this planning. In many communities, private-sector owners and operators coordinate their security programs and continuity/ contingency programs and plans with State, local, and tribal governments' emergency response plans. A number of industry sectors have developed information-sharing arrangements to facilitate coordination necessary to share homeland security information with competitors and with governments.

- **State and Local Incident Management Organizations:** Many States coordinate across regions to support various response activities. Their incident management organizations act as conduits for requests for Federal assistance when an incident exceeds local and private-sector capabilities.

  The on-scene incident command and management organization is located at the Incident Command Post. It is typically comprised of incident management officials and responders from Federal, State, local, and tribal agencies. It may include private-sector and nongovernmental organizations when appropriate.

- **Federal Incident Management Organizations:** Private-sector as well as State, local, tribal, and nongovernmental organizations are encouraged to assign liaisons to the JFO to facilitate interaction, communication, and coordination. In some instances, the JFO Coordination Group may include NGO and/or private-sector representatives.

Notification and Reporting

- Private-sector organizations, like Federal, State, local, tribal, and nongovernmental organizations, report threats, incidents, and potential incidents to the HSOC using existing jurisdictional incident reporting mechanisms and reporting channels. The HSOC receives threat and operational information regarding incidents or potential incidents from these jurisdictions and makes an initial determination to initiate the coordination of Federal incident management activities.

- In partnership with the HSOC, the DHS/IAIP manages the daily analysis of incident-related reports and information. This management includes maintaining communications with private-sector critical infrastructure information-sharing mechanisms. Such communications includes conducting daily polling of the standing information-sharing mechanisms for incidents and abnormalities by the NICC.

Actions Related to Operations With the Private Sector

Pre-Incident

- DHS/PSO facilitates the development and presentation of general educational programs for the private sector that increase awareness and understanding of terrorist threats, and encourages the sharing of appropriate information and use of best practices that contribute to early warning of potential incidents.

- DHS/IAIP/ICD facilitates and encourages the organization of industry sectors to cooperate on information-sharing and other prevention and mitigation activities.

- DHS/IAIP/ICD maintains relationships with the CI/KR sector to identify requirements for capabilities and support. DHS/IAIP/ICD develops and implements programs and capabilities that continuously improve the two-way exchange of information with the private sector to contribute to more effective alerts, warnings, and advisories.

- DHS/IAIP/ICD maintains situational/operational awareness of CI/KR through the NICC working in conjunction with the information-sharing mechanisms. It assesses the data it receives to identify anomalies in sector operations, working closely with CI/KR owners and operators. After assessing information on incidents and threats, it disseminates alerts, warnings, and advisories for both government and private-sector entities.

- DHS/IAIP/ICD, with support from other entities within DHS and in conjunction with relevant SSAs, encourages, facilitates, and coordinates CI/KR and other industry sectors to develop and implement industry best practices for preparedness, perform sector-wide preparedness planning and implementation, plan coordination with regional and local government plans, and perform cross-sector integration of plans.

- DHS/IAIP/ICD supports sector-specific and cross-sector exercises and provides representation in exercises led by the private sector and State and local governments.

Initial Actions: Actions are initiated at the IIMG, NRCC, and RRCC to facilitate coordination with relevant private-sector entities. The ESFs also implement established protocols for coordination with private-sector counterparts at the national and regional levels.

- To facilitate private-sector coordination, DHS assigns representatives to the various NRP organizations.

  - At the IIMG, the DHS/PSO representative acts as a liaison to communicate at a strategic level to private-sector leadership. The IIMG private-sector liaison coordinates communication with private-sector senior leadership and with the NRCC to maintain awareness of resource needs that can be met by voluntary donations and nonprofit crisis support organizations. They also coordinate the assessment of the economic impact of the incident with private-sector senior leaders and other Federal department or agency liaisons as appropriate.

  - At the HSOC, the DHS/IAIP/ICD representative monitors the operational status of CI/KR and facilitates coordination and sharing of situational awareness with and among the CI/KR and other industrial sectors as needed. The NICC coordinates between the owners and operators of CI/KR and other private assets, and the appropriate SSAs to ensure that they are informed regarding activities pertaining to their areas of responsibility. SSAs coordinate with the NICC to ensure that it is informed regarding CI/KR vulnerabilities and activities.

  - At the RRCC and JFO, the DHS/IAIP/ICD Infrastructure Liaison supports the Principal Federal Official (PFO)/Federal Coordinating Officer (FCO)/Federal Resource Coordinator (FRC). The Infrastructure Liaison acts as the point of contact and facilitates coordination with the national-level NRP elements and appropriate ESF representatives regarding local/regional matters relating to CI/KR and the private sector. The Infrastructure Liaison provides analysis and recommendations to the PFO/FCO for restoration of the infrastructure and related allocation and prioritization of resources.

- **Emergency Support Functions:** At the NRCC, RRCC, and JFO, the ESFs establish contact with private-sector counterpart organizations and/or industry to assist in assessment of impacts and identification of resources available to support potential or actual incident management efforts. In some circumstances, priorities of incident management actions are developed by a partnership of Federal, State, and private-sector entities.

Ongoing Actions

- For any incident losses, the private sector first seeks reimbursement from insurance and then may seek Federal disaster assistance, primarily in the form of low-interest disaster loans from the U.S. Small Business Administration.

- DHS/PSO and other DHS entities, as assigned, assist and facilitate private-sector relationships with DHS as they implement recovery plans and return to normal operations.

- DHS/IAIP/ICD maintains situational awareness through the recovery of CI/KR and acts as a conduit of information to and from sectors through the NICC. DHS/IAIP/ICD assists or facilitates infrastructure owners and operators in restoration of facilities, working under existing authorities, in coordination with private-sector organizations and consortia that are organized for these purposes.

Responsibilities

Department of Homeland Security

- Develops plans, frameworks, and relationships, and facilitates coordinated incident response planning with the private sector at the strategic, operational, and tactical levels.
- Shares information, including threats and warnings, before, during, and after an incident.
- Informs and orients the private sector on the contents of the NRP, and encourages and facilitates the development and coordination of equivalent private-sector planning.
- Coordinates and conducts national and regional incident management functions with the private sector and State, local, and tribal governments.
- Develops, implements, and operates information-sharing and communication strategies, processes, and systems with homeland security stakeholders.

Sector-Specific Agencies

- The primary agency(ies) for each ESF is responsible for developing and maintaining working relations with its associated private-sector counterparts through partnership committees or other means (e.g., ESF #2, Communications – telecommunications industry; ESF #10, Oil and Hazardous Materials Response – oil and hazardous materials industry; etc.).
- SSAs are responsible for exercising their ESF authorities for recovery of CI/KR sectors owned and operated by the private sector.

Private-Sector Entities

- Private-sector organizations support the NRP either through voluntary actions to help ensure business continuity or by complying with applicable laws and regulations.
- Private-sector organizations accept an appropriate measure of responsibility for sharing information with the government, identifying risks, performing vulnerability assessments, developing contingency and response plans, enhancing their overall readiness, implementing appropriate prevention and protection programs, and donating or otherwise providing goods and services through contractual arrangement or government purchases to assist in response and recovery from an incident.
- Certain organizations are required by existing law and regulation to bear the cost of planning and response to incidents, regardless of cause. In the case of an Incident of National Significance, these private-sector organizations are expected to mobilize and employ the resources necessary and available in accordance with their plans to address the consequences of incidents at their own facilities or incidents for which they are otherwise responsible.

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Public Affairs Support Annex

Coordinating Agency:	Cooperating Agencies:
Department of Homeland Security	All

Introduction

Purpose

This Public Affairs Support Annex describes the interagency policies and procedures used to rapidly mobilize Federal assets to prepare and deliver coordinated and sustained messages to the public in response to Incidents of National Significance and other major domestic emergencies.

Scope

As part of the Secretary of Homeland Security's responsibility to coordinate incident management under Homeland Security Presidential Directive-5, the National Response Plan Incident Communications Emergency Policy and Procedures (NRP-ICEPP) provides detailed guidance to Federal incident communicators on activities to be initiated in conjunction with potential or actual Incidents of National Significance. It is applicable to all Federal departments and agencies responding under the NRP. It establishes mechanisms to prepare and deliver coordinated and sustained messages regarding potential or actual Incidents of National Significance and provides for prompt Federal acknowledgement of an incident and communication of emergency information to the public during incident management operations.

The NRP-ICEPP is comprised of two components of the NRP: the Public Affairs Support Annex, which describes the interagency policies and procedures for incident and communications with the public, and the ESF #15 – External Affairs Annex, which outlines resources and capabilities for public affairs. The NRP-ICEPP is supported by the NRP Incident Communications Emergency Supplement (NRP-ICES). The NRP-ICES contains supporting guidance and instructions for incident communications with the public and is distributed on a limited basis to core-group Federal departments and agencies.

The policies and procedures outlined in these documents are based on, and flow through, the NRP, the National Incident Management System (NIMS), the Joint Information System (JIS), and the Incident Command System (ICS). All of these elements are integrated with and supported through the ESF #15 resource management structure.

Policies

The NRP institutes an integrated concept, termed "incident communications," as the approach used to manage communications with the public during Incidents of National Significance. Incident communications incorporates the following processes:

- **Control:** Identification of incident communications coordinating, primary and supporting departments and agency roles, and authorities for release of information.
- **Coordination:** Specification of interagency coordination and plans, notification, activation, and supporting protocols.
- **Communications:** Development of message content such as incident facts, health risk concerns, pre-incident and post-incident preparedness recommendations, warning issues, incident information, messages, audiences, and strategies for when, where, how, and by whom the messages will be delivered.

General guidance on the authority to release information is in accordance with existing plans, operational security, law enforcement protocols, designated coordinating and primary agency assignments, and current procedures.

Nothing in this annex limits the authority of State, local, and tribal authorities from releasing information regarding an incident under their jurisdiction, particularly if it involves immediate health and safety issues. State, local, and tribal authorities retain the primary responsibility for communicating health and safety instructions for their citizens.

Integration and teamwork among Federal, State, local, and tribal authorities is essential. State, local, and tribal authorities are encouraged to contact Department of Homeland Security (DHS) Public Affairs as they release initial or follow-on information. DHS Public Affairs engages with State, local, and tribal authorities as soon as possible during an actual or potential incident to synchronize overall incident communications to the public.

Concept of Operations

General

- During an incident, Federal, State, local, and tribal authorities share responsibility for communicating information regarding the incident to the public. These actions are a critical component of incident management and must be fully integrated with all other operational actions to ensure the following objectives are met:
  - Delivery of incident preparedness, health, response, and recovery instructions to those directly affected by the incident; and
  - Dissemination of incident information to the general public.
- The Joint Information Center (JIC) structure provides a supporting mechanism to develop, coordinate, and deliver messages; it supports the Incident Commander or Unified Command and the associated elements of the ICS.
- A Federal core group develops, coordinates, and delivers information and instructions to the public related to:
  - Federal assistance to the incident-affected area;
  - Federal departmental/agency response;
  - National preparations;
  - Protective measures;
  - Impact on nonaffected areas; and
  - Federal law enforcement activities.

  Assignments to this core group are determined by the DHS Office of Public Affairs (OPA) in accordance with jurisdictional and statutory responsibilities, operational tasks, areas of expertise and responsibility, and the nature and location of the incident.
- The DHS OPA has primary responsibility for coordinating the Federal incident communications effort by:
  - Identifying the Federal department and agency participants in the core group, and arranging conference calls and other activities necessary for coordination;
  - Providing a leadership role during domestic incidents when significant interagency coordination is required; and
  - Providing coordination with the Homeland Security Council (HSC) and other entities within the Executive Office of the President on matters related to dissemination of incident-related information to the public.

Communications Team

The Federal Government operates as a team to ensure successful incident communications with the public. From initial notifications to final recovery actions, the Federal team must operate and speak with a unified voice and consistent message that is coordinated not only with the different Federal authorities involved in an incident, but also with affected State, local, and tribal authorities.
The organizational approach for public affairs and incident communications with the public relies on the following organizations and positions:

Core Group of Federal Agencies: At the Federal level, incident messages are developed, coordinated, and delivered by an interagency core group of the key departments and agencies involved in the incident.

Joint Information Center: A JIC is a central point for coordination of incident information, public affairs activities, and media access to information regarding the latest developments. In the event of a potential or actual Incident of National Significance, JICs are established to coordinate Federal, State, local, tribal, and private-sector incident communications with the public. Major announcements, daily briefings, and incident updates from the JIC are coordinated through DHS Public Affairs, affected State, local, and tribal leadership, and the interagency core group prior to release. This must be closely assessed and agreed upon in the early stages of an incident by all involved in incident communications with the public.

- **National JIC:** Initially, a virtual JIC is established to coordinate information among affected States, Federal departments, and agencies. If necessary, a National JIC may be established. If established, Federal departments and agencies may be requested to provide representatives to the National JIC. A National JIC may be used when an Incident of National Significance is expected to be of a long duration (i.e., weeks or months) and when the incident affects a large area(s) of the country.

- **Incident JIC:** The incident JIC is the physical location from which public affairs professionals from organizations involved in the response work together to provide critical emergency information, media response, and public affairs functions. The JIC serves as a focal point for the coordination and dissemination of information to the public and media concerning incident prevention, preparedness, response, recovery, and mitigation. The JIC may be established at an on-scene location in coordination with State, local, and tribal agencies depending on the requirements of the incident. In most cases, the JIC is established at or is virtually connected to the Joint Field Office (JFO), under the coordination of DHS Public Affairs.

- **JIC Staffing Components:** JIC organization and staffing components are based on the template established in the NIMS.

- **JIC Information Management:** The JIC develops, coordinates, and disseminates unified information. Information issued by the JIC is cleared internally through the JFO Coordination Group to ensure consistency. This formal approval process ensures protection of law enforcement-sensitive information.

- **Multiple JICs:** Procedures and processes specified in the NIMS and the NRP-ICEPP should be employed whenever multiple JICs are operating in support of the same or related incidents and jurisdictions. This ensures mutual awareness and consistency in messaging and public instructions between all participants.

DHS Principal Federal Official (PFO) Public Affairs Director: The PFO is supported by a dedicated DHS Public Affairs Director who functions as the press secretary, coordinates media activities for the PFO, provides strategic communications guidance to the JIC, and serves as a designated Federal spokesperson when directed by the PFO and/or DHS Public Affairs.

The organizational approach for public affairs and incident communications with the public also includes the following systems:

- **Virtual JIC:** A virtual JIC links all participants through technological means (secure or nonsecure) when geographical restrictions, incident management requirements, and other limitations preclude physical attendance by public affairs leadership at a central location.

- **National Incident Communications Conference Line (NICCL):** The NICCL is a standing conference line designated, maintained, and supported by DHS Public Affairs as the primary means for interagency incident communications information-sharing during an Incident of National Significance. DHS Public

Affairs provides guidance to Federal interagency public affairs headquarters staffs through the NICCL.

- **Homeland Security Information Network (HSIN):** HSIN provides the incident communications team with an encrypted online Web system for record communications, chat room capability, and a real-time capability to post and review documents. The HSIN also is used by the DHS Homeland Security Operations Center (HSOC) to coordinate homeland security operations with interagency participants. DHS Public Affairs manages access, account support, and administrative issues relating to the HSIN for public affairs coordination.

- **Connectivity and Operations Center Support:** In the event that normal communications are lost or degraded, the core group communicates with DHS Public Affairs through respective Federal, State, local, and tribal emergency operations and command centers. The HSOC provides support for this task. Department and agency incident communications continuity of operations (COOP) plans should incorporate relocation and alternate operating location provisions.

Managing Incident Communications

When an actual or potential Incident of National Significance occurs, Federal participants must immediately work together to manage incident communications with the public. This section describes incident communications control processes that delineate primary roles, primary agency functional areas, and authority for release of information.

Initial Actions: The HSOC Senior Watch Officer and the DHS Assistant Secretary for Public Affairs (AS/PA) have specific responsibilities for immediate actions in the event of an incident. These include:

- **Incident of National Significance:** The HSOC Senior Watch Officer notifies the DHS AS/PA, who in turn directs implementation of the NRP-ICEPP and immediate public affairs staffing support to the Interagency Incident Management Group (IIMG).

- **Other Domestic Incidents:** The NRP-ICEPP may be implemented by the DHS AS/PA for other domestic emergencies where enhanced incident control, coordination, and communications among participating Federal departments and agencies are necessary. The DHS AS/PA advises the HSOC prior to implementation of the NRP-ICEPP for other major emergency situations.

Assignments: Upon activation of the NRP, DHS Public Affairs coordinates the Federal activities related to incident communications with the public. Departments, agencies, and other authorities may retain primary incident communications responsibility for specific tasks. Primary assignments are confirmed during initial conference calls and may include the following:

- Incident management
- Law enforcement
- Medical or health
- Family assistance and victim issues
- Technical or forensic matters
- Environmental
- Protective measures
- Search and rescue
- Preparedness
- Recovery assistance
- Federal personnel management

Core Group Participants: Public affairs core group participation is flexible and scalable, depending on the nature and scope of the incident. As appropriate, the public affairs core group may consist of representatives from the following: the White House, DHS, the Department of Agriculture, the Department of Commerce/National Oceanic and Atmospheric Administration (NOAA), the Department of Defense, the Department of Energy (DOE), the Department of Health and Human Services (HHS), the Department of the Interior, the Department of Justice/Federal Bureau of Investigation (FBI), the Department of Transportation, the Department of Veterans Affairs, the Environmental Protection Agency, the Nuclear Regulatory Commission (NRC), the Office of Personnel Management, the U.S. Postal Service, and the American Red Cross.

Initial Coordination: Establishing communications paths with participants is a primary objective during the first minutes of plan activation. These paths provide a streamlined process to ensure that appropriate participants and decisionmakers are linked together (by virtual or other means) to manage incident communications with the public. DHS Public Affairs establishes communications paths to enable the following:

- **Headquarters Level:** Consultation with White House Communications; consultation with DHS senior leadership, including the IIMG and HSOC.

- **Interagency Level:** Consultation with the Federal interagency core group. The NICCL is activated and used to communicate with the interagency core group. State, local, tribal, and nongovernmental organizations may be included in the NICCL as required. Interagency core group participants are designated and a virtual headquarters-level JIC assesses control, coordination, and communications issues for incident communications with the public. The initial conference assesses and assigns primary agency roles and reaches agreement on releases, talking points, and sustaining communications effort and strategy.

- **Incident Site:** When an incident occurs within their jurisdiction, State, local, and tribal authorities take the lead to communicate public information regarding the incident. DHS Public Affairs makes every attempt to establish contact with the incident site(s) and participating Federal, State, local, and tribal communicators to gain incident facts, operational response updates, media coverage, and messages under consideration or already delivered.

- **News Media:** Contact with key news media to inform them about the incident and its status, provide initial information to counter speculation and rumors, and make available, where necessary or known, immediate health and safety guidance. Departments and agencies should closely coordinate media queries during this critical phase to ensure that the approved interagency plan is being executed.

Sustaining Coordination: Leadership for incident communications with the public uses the JIS and incident communications processes to organize and operate a sustained, integrated, and coordinated strategy ensuring the delivery of timely, accurate, and consistent information to the public. Resources for these activities are provided through ESF #15. This sustained coordination effort includes Federal, State, local, tribal, and nongovernmental entities involved with incident communications with the public. DHS Public Affairs coordinates department and independent agency headquarters-level incident communications with the public as necessary throughout the incident, focusing on both the incident locale and nonaffected areas to ensure continuity and synchronization between the Federal, State, local, and tribal incident communications teams.

Actions Supporting Incident Communications With the Public

Actions supporting incident communications with the public are keyed to the major components of incident management and incorporate special considerations as appropriate to the specific circumstances associated with the incident. Phasing of incident communications actions and special considerations that relate to incident communications with the public are detailed in the following subsections.

Actions Relating to Incident Management Components

- **Prevention:** Prevention measures are coordinated between DHS and FBI to ensure that a unified message is delivered to the public. Prevention incident communications with the public include:

  - Public information detailing changes in the Homeland Security Advisory System (HSAS) status level;

  - Public information describing protective measures;

  - Requests by law enforcement authorities for public assistance, information, and cooperation; and

- Public information describing homeland security threats.

- **Preparedness:** Preparedness for incident communications activities includes those measures taken before an incident to prepare for or mitigate the effects. Preparedness as it relates to incident communications with the public includes:

  - Evacuation, warning, or precautionary information to ensure public safety and health;

  - Public education and supporting documentation;

  - Federal, State, local, and tribal incident communications;

  - Media education, including weapons of mass destruction (WMD) information;

  - Exercises and training with risk communications;

  - Identifying subject-matter experts for availability during an incident;

  - Preparation and readiness to develop and deploy public service announcements and health advisory information; and

  - Testing and coordination of emergency broadcast and alerting systems.

- **Response:** Response processes mitigate the effects of unanticipated problems and facilitate orderly management of an incident. Response activities for incident communications with the public include:

  - Rapid mobilization of incident communications resources to prepare and deliver coordinated and sustained messages according to a well planned strategy. DHS Public Affairs coordinates the Federal incident communications response;

  - Immediate and continuing dissemination of health or safety instructions, if necessary. This may also include evacuation or decontamination instructions;

  - Coordination of initial Federal announcements regarding an incident with State, local, and tribal authorities to ensure that the public is receiving a consistent message;

  - Activation of ESF #15 to support the incident communications effort with appropriate resources;

  - Making available pre-identified subject-matter experts to the media to provide accurate scientific, medical, and technical response information;

  - Designation of a Public Affairs Director to support the PFO, if one is designated;

  - Establishment of a JIC to support the JFO and ICS;

  - Designation of a Public Information Officer (PIO) to coordinate field-level Federal public information and manage the JIC;

  - Dissemination of information to the public on reassurance that authorities are implementing response and recovery actions to ensure the health, safety, and security of the public;

  - Communications to other, nonaffected States about incident details, preparedness measures, and reassurance;

  - Deployment of public affairs resources from other Federal departments and agencies as required by the scope of the incident; and

  - Development and implementation of a joint sustaining communications plan and effort by Federal, State, and local authorities.

- **Recovery:** Incident communications and public affairs efforts are sustained as long as necessary to continually reassure, inform, and respond to public information needs. These efforts are closely coordinated with State, local, and tribal authorities. Recovery programs include mitigation components designed to avoid damage from future incidents. Typical recovery actions for incident communications with the public may include:

  - Providing public information on incident response and progress in restoring normalcy. Emphasis is placed on mitigating or reducing social and emotional anxiety and concern;

  - Providing public information on disaster assistance and support resources; and

  - Recognition of the efforts of responders, citizens, and the private sector.

Incident Action Special Considerations

- **Objectives:** Communication objectives during an Incident of National Significance are focused on delivering information regarding incident facts, health and safety, preparedness, and response/recovery activity and instructions. Citizens are reassured that authorities are executing coordinated response plans and are provided with frequent updates on incident facts and important instructions. Throughout all phases of incident management, public confidence and credibility must be maintained, particularly if WMD are involved or threatened.

- **Coordination Strategy:** A critical element in building a successful strategy among Federal, State, local, and tribal incident communications leaders is to reach consensus as soon as possible on the coordination and synchronization of incident communications with the public. State, local, and tribal authorities take a lead incident communications role within their respective jurisdictions, while the Federal core group coordinates communications covering Federal assistance to the affected area, Federal departmental/agency response, national preparations, protective measures, impact on nonaffected areas, and Federal law enforcement activities. Mutual agreement and maintenance of this relationship remains a high priority throughout the incident.

- **Messaging Considerations:** Incidents of National Significance place a large demand on normal public affairs processes and organizations. Advance planning, pre-incident coordination and mutual awareness, and exercises all serve to mitigate this. However, public affairs professionals must take into account the following:

  - **Developing the Message:** The nature of an incident and restrictions it may create could inhibit the ability of the Federal, State, local, and tribal incident communications team to develop a communications strategy and message. This could include loss of communications or transportation restrictions. This could also be exacerbated if relocation by participating departments and agencies is required.

  - **Delivering the Message:** Message delivery during an Incident of National Significance may require use of all available communications media and resources. Development of aggressive and creative solutions when traditional tools of communication are not available should be assessed and planned for throughout the incident.

  - **Receiving the Message:** The public, especially those who require evacuation or other guidance, must have the capability to receive the message. This may be difficult if the affected area has suffered significant loss of normal power or personal and mass communications capability. The ability of the public to receive messages and instructions must be considered throughout an incident, and be made known to incident management leadership on a recurrent basis so that appropriate delivery mechanisms and resources are implemented.

- **Risk Communications:** Professionals who support this annex should be trained and conversant in risk communications and employ its major principles during incident management.

- **Information Security:** An Incident of National Significance or other domestic emergency may involve classified or sensitive information. Public information and public education efforts in support of Incidents of National Significance and major domestic incidents must be conducted using the proper protocol and procedures for handling of classified or sensitive information. Operational leadership and the communications team must take into account the security of classified and sensitive law enforcement information, together with the responsibility to provide the public with critical emergency information and protective action guidance.

- **Rumors and Misinformation:** The incident communication core group and JIC use media monitoring, community relations reports, and other techniques to identify rumors, misinformation, inaccurate reports, or other potential issues. The core group and JIC provide a rapid-response capability to research problems, develop an aggressive communications strategy, and ensure dissemination of accurate information to minimize the potential for release of conflicting information and potential for panic or loss of public confidence.

- **Scientific/Medical Support and Messaging:** Public information must be correct and consistent with scientific and medical recommendations. The core group and JIC must rapidly translate complex scientific and medical processes into public information, statements for senior officials, and instructions that can be readily absorbed by the media or acted on by the public. The immediate involvement of agency subject-matter experts is critical to ensure effective, accurate, and timely incident communications with the public.

- **Nonaffected Areas:** Instructions are provided to nonaffected areas to enhance preparedness and minimize the impact on health and safety of those in potentially threatened areas.

- **HSAS:** The core group and JIC incorporates threat status information within messaging as appropriate. To that end, if a level is increased, it is appropriate to cite protective measures being put in place to better protect the Nation, a particular region, and citizens.

- **Public Alerting and Mass Communications Systems:** These systems provide near-immediate capability to warn or instruct the public on natural, manmade, or terrorist incidents. Subject to the availability of power and normal utilities, they provide a key mass communications resource for national leadership to employ during an incident. They may employ tools to reach the broadest audience including mass communications media, Web, other electronic means, and nontraditional resources.

- **Spokespersons:** Spokespersons are identified as early in the incident response process as possible. Spokespersons may include incident management leadership and public affairs professionals. Federal, State, local, and tribal incident communications with the public must ensure that spokespersons are fully prepared with current information and incident facts, incident messages, and incident management roles and responsibilities. Scientific, technical, and medical experts should be identified and available for briefings and interviews throughout the incident. These experts are critical to ensuring that a message is clearly transmitted into common terms and is received by the audience with credibility.

- **Multilanguage Communications:** The incident communications team ensures that non-English-speaking populations in both affected and nonaffected areas receive the same incident information and public instructions. This should be considered throughout the course of the incident. The ESF #15 coordination team, through community relations and other resources, has a prominent role in meeting this requirement.

- **Web Site Coordination:** DHS Public Affairs frequently updates its Web site during an Incident of National Significance. Pre-incident development of incident-related Web pages

expedites posting. It is essential that Federal, State, local, and tribal incident communications staffs frequently review Web site material to ensure consistency and accuracy in the unified message. Federal departments and agencies ensure that Web pages documenting incident activity are appropriately linked to the DHS Web site and posted language is consistent with approved public affairs guidance.

- **Preparedness:** Preparedness communications guidance and messaging support is provided through a number of resources, including:

  - **Web Sites:** The DHS Web site, ready.gov, and Web sites from DOE, HHS, NRC, the Centers for Disease Control and Prevention, and other Federal departments and agencies provide authoritative and scientifically based information on threats, health preparedness, and recovery-phase actions.

  - **Technical Experts:** Interviews with subject-matter experts, technical experts, and nongovernmental authorities can summarize incident issues in layman's terms. These subject-matter experts are made available to the news media to provide fact-based information and objective analysis of an incident and related issues.

  - **Public Service Announcements:** Subject to the nature of the Incident of National Significance, DHS Public Affairs may develop and distribute national public service announcements to educate and reassure the public about an incident and related medical or preparedness concerns.

- **Response:** General planning guidance for incident communications with the public is contained in Table 1 at the end of this annex. This matrix reflects incident actions and commensurate incident communications response activities for a nonspecific Incident of National Significance. Key communications phase activities are summarized.

- **Recovery:** Incident communications with the public during recovery, which include the range of comprehensive DHS/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA), other Federal, and State and local community relations efforts, are directed at assisting victims and their families, restoring the affected community, and instilling public confidence in the reconstitution of government operations and services.

- **Medical and Mental Health Support:** Federal resources, State and local authorities, the American Red Cross, and other agencies and organizations provide mental health assistance and support to the public following an Incident of National Significance. This includes efforts to mitigate concerns, anxiety, and fear from new attacks or incidents, and to instill public confidence in the capabilities of responders, authorities, and plans.

- Many incidents do not rise to the level of an Incident of National Significance or require the direct involvement by the Secretary of Homeland Security. However, DHS and its OPA may assume responsibility or provide a major role during these domestic incidents when significant interagency coordination is required. Notification, activation, and response processes are discussed in preceding sections of this annex. Communications with the public during major domestic incidents are based on the following activities:

  - DHS Public Affairs assesses the requirements for incident communications with the public in coordination with the HSOC and coordinates Federal public affairs activities for the incident, unless otherwise directed by the Secretary;

  - DHS Public Affairs contacts the affected State, local, and tribal counterparts and, through mutual agreement, confirms primary roles and plans;

  - DHS Public Affairs identifies a core Federal department and agency participant group (usually based on operational participation), and arranges conference calls and coordination; and

- In coordination with participating State, local, and tribal counterparts, the core Federal departmental/agency group develops and delivers public information and instructions. Primary assignments are determined in accordance with jurisdictional and statutory responsibilities, operational tasks, areas of expertise and responsibility, and the nature and location of the incident.

Responsibilities

Coordinating Agency: DHS

DHS, through the AS/PA and OPA:

- Plans, prepares, and executes Federal leadership and ESF #15 resource management during Incidents of National Significance and other domestic incidents;
- Coordinates plans, processes, and resource support to field operations for incident communications with the public through ESF #15, coordinates incident communications plans and processes with the White House Office of Communications and HSC, and coordinates interagency core group and JIC plans and processes;
- Designates a Public Affairs Director to support the incident PFO, if one is designated;
- Coordinates Federal plans and processes for incident communications with the public with State, local, and tribal authorities as necessary;
- Coordinates plans and processes for incident communications with the public with nongovernmental organizations; and
- Disseminates information related to incidents to the public.

Federal Departments

Federal departments and independent agencies:

- Plan, prepare, and execute their respective processes for incident communications with the public during potential or actual Incidents of National Significance;
- In conjunction with strategic communications guidance from DHS, assume certain primary agency responsibilities for incident communications with the public when assigned or consistent with specific departmental and agency authorities. For example, the Department of State assumes primary responsibility for public affairs issues during a potential or actual Incident of National Significance which involves another nation, aliens, foreign-owned transportation modes, or international policy issues;
- Disseminate incident information to the public within their functional areas of responsibility; and
- Ensure that departmental and agency plans incorporate the provisions contained in the NRP for incident communications with the public.

Responsibilities for NRP-ICEPP Administration

Responsibilities for the ongoing management, maintenance, update, and administration of the NRP-ICEPP are assigned as follows:

- **Responsibility:** The DHS AS/PA is responsible for preparation, management, and maintenance of the NRP-ICEPP.
- **Oversight:** The HSC provides oversight and coordination of policy issues relating to the NRP-ICEPP. The HSC and the DHS AS/PA jointly coordinate interagency clearance on the NRP-ICEPP, pending changes, exercise and incident lessons learned, and resolution of interagency coordination issues. Interagency Policy Coordinating Committees review and comment on proposed routine changes to the NRP-ICEPP.

- **Recurrent Review:** The DHS AS/PA reviews the NRP-ICEPP annually. Urgent changes are coordinated through the interagency process in an expeditious manner as necessary throughout the year.

- **Exercises and the National Exercise Program (NEP):** The NRP-ICEPP is the primary Federal plan for incident communications with the public and is to be used for interagency exercises and those scheduled within the NEP.

- **Incident Communications Public Affairs Coordination Committee (ICPACC):** The ICPACC is a Federal interagency contact group incorporating public affairs representatives from all Cabinet departments and independent agencies to increase awareness, teamwork, and interoperability among Federal incident communications staffs. The ICPACC is not charged to conduct formal policy review, but may assess interagency issues process matters dealing with the Public Affairs Support Annex. The DHS AS/PA manages the ICPACC.

TABLE 1. Interagency Incident Communications Planning Guide

INTERAGENCY INCIDENT COMMUNICATIONS PLANNING GUIDE INCIDENT OF NATIONAL SIGNIFICANCE – RESPONSE PHASE		
Incident Time	**Incident Activity**	**Actions**

First Hour	▪ Incident
	▪ First official reports
	▪ Unconfirmed facts and rumors
	▪ First media reports
	▪ Potential live TV reports
	▪ Public has immediate need for information and possible health and safety instructions
	▪ Media has immediate need for facts, information, and subject-matter experts
	▪ Witness media reports
	▪ Victim family reports
	▪ Potential incident video
	▪ Unconfirmed casualty reports
	▪ Potential voluntary or directed evacuations
		▪ HSOC notified of an incident
		▪ IIMG activated
		▪ NRP-ICEPP activated
		▪ NICCL activated
		▪ DHS Public Affairs initiates communications path contacts, including contact with incident site
		▪ Special media line activated
		▪ State and local authorities may make first releases about the incident
		▪ Initial health and safety release
		▪ Emergency Alert System may be activated
		▪ NOAA Weather Radio may be used to broadcast warning information
		▪ Interagency NICCL assesses:
		  ▪ Control/leads
		  ▪ Coordination/planning
		  ▪ Communications, first release
		▪ Initial strategy for incident communications with the public developed by interagency core group; focuses on Federal incident response, protective measures, and reassurance
		▪ Secretary of Homeland Security and/or other senior officials make first formal announcements
		▪ State and local authorities in affected area(s) lead incident site communications while Federal and interagency effort focuses on support to affected area and national issues
		▪ DHS initiates contact with nonaffected State incident communications officials
		▪ Splash Web page posted by DHS; links to other interagency Web sites
		▪ Subject-matter experts identified to media
		▪ Federal Government status announcement from:
		  ▪ OPM when the affected area includes the National Capital Region (NCR)
		  ▪ Federal Executive Boards outside the NCR

TABLE 1. Interagency Incident Communications Planning Guide (Continued)

INTERAGENCY INCIDENT COMMUNICATIONS PLANNING GUIDE INCIDENT OF NATIONAL SIGNIFICANCE – RESPONSE PHASE		
Incident Time	**Incident Activity**	**Actions**
First Day	▪ Continuing heavy media coverage ▪ Media questions on the new alert status (if changed) and safety of the Nation and citizens ▪ Response and recovery continues ▪ Potential rumors ▪ Continuing victim and family coverage in media ▪ Search and rescue operations ▪ Possible decontamination issues ▪ Delivery of medicines, as appropriate ▪ Arrival of supporting Federal resources, including PFO, medical, incident response, law enforcement, and incident communications with the public ▪ Questions from media on why the incident happened and potential incidents elsewhere in the Nation	▪ Interagency effort continues to focus on Federal incident response, protective measures, and reassurance; messaging includes deterrent measures, preparedness, and disaster assistance ▪ HSAS level changed if necessary and protective measures incorporated in interagency plan for incident communications with the public ▪ DHS Public Affairs continues close coordination with HSOC ▪ Statements by national leadership ▪ JIC established to support JFO and incorporate Federal, State, and local authorities; JIC performs functions per NIMS ▪ ESF #15 is activated and employed to coordinate resources for incident communications with the public ▪ Daily briefing routine established in coordination with all Federal, State, and local authorities ▪ PFO Public Affairs Director designated and deployed ▪ Participating Federal departments and agencies publish supporting releases in accordance with interagency plan ▪ Messaging addresses potential medical or health safety instructions ▪ DHS Public Affairs coordinates preparation and distribution of nationally televised public service and health advisories ▪ Federal and other Web pages updated, coordinated, and linked ▪ JIC distributes statistical information, graphics, video, and photos as appropriate

TABLE 1. Interagency Incident Communications Planning Guide (Continued)

INTERAGENCY INCIDENT COMMUNICATIONS PLANNING GUIDE INCIDENT OF NATIONAL SIGNIFICANCE – RESPONSE TO RECOVERY PHASES		
Incident Time	**Incident Activity**	**Actions**
First Week	▪ Response and recovery continues ▪ Potential diminishing media coverage ▪ Continuing victim and family coverage ▪ Search and rescue operations ▪ Possible decontamination issue ▪ Disaster recovery, assistance support, and effectiveness of government and responder efforts ▪ Delivery of medicines, as appropriate ▪ Continued deployment and progress of supporting Federal resources, including medical, incident response, law enforcement, and incident communications with the public	▪ Interagency effort continues to focus on Federal incident response, protective measures, and reassurance; messaging includes deterrent measures, preparedness, and disaster assistance ▪ Daily briefing routine continues in coordination with all Federal, State, and local authorities ▪ DHS Public Affairs continues close coordination with HSOC ▪ JIC supports JFO; JIC performs standard functions and coordinates with PFO Public Affairs Director ▪ ESF #15 resource coordination continues ▪ Federal participating departments and agencies continue to release supporting updates in accordance with interagency plan ▪ DHS Public Affairs coordinates nationally televised public service and health advisories ▪ Subject-matter experts continue to be made available ▪ Federal and other Web pages updated, coordinated, and linked ▪ JIC distributes statistical information, graphics, video, and photos as appropriate ▪ Potential VIP visits to incident

TABLE 1. Interagency Incident Communications Planning Guide (Continued)

INTERAGENCY INCIDENT COMMUNICATIONS PLANNING GUIDE INCIDENT OF NATIONAL SIGNIFICANCE – RECOVERY PHASE		
Incident Time	**Incident Activity**	**Actions**
Recovery	▪ Media coverage greatly diminished ▪ Potential formal investigations ▪ Emphasis on victims, cause of the incident, and effectiveness of response and recovery effort ▪ Identification of personal stories and special situations ▪ Impact of incident on the nonaffected States and society	▪ Federal interagency effort focuses on plan recovery, and support and assistance to victims and affected populations ▪ ESF #15 resource coordination continues ▪ Preparedness measures and readiness to manage follow-on incidents ▪ JIC continues to provide briefings with Federal, State, and local team to support recovery plan ▪ JIC continues to document and release information on plan execution, recovery efforts, and disaster recovery assistance ▪ Responders identified for recognition

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Science and Technology Support Annex

Coordinating Agency:

Department of Homeland Security/Science and Technology Directorate

Cooperating Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of the Interior
Department of Justice
Department of State
Environmental Protection Agency
National Aeronautics and Space Administration
Nuclear Regulatory Commission

Introduction

Purpose

The Science and Technology Support Annex describes the national framework through which the Department of Homeland Security/Science and Technology Directorate (DHS/S&T) coordinates with other Federal agencies, in consultation with State, local, and tribal entities and the private sector, to leverage the Nation's scientific and technical resources to prepare for, respond to, and recover from Incidents of National Significance. It ensures that policymakers and responders at all levels receive coordinated, consistent, accurate, and timely scientific and technical information, analysis, advice, and technology support.

Scope

This annex:

- Describes how DHS coordinates with other Federal agencies and State, local, and tribal governments, the private sector, and academia, where applicable, on preparedness, response, and recovery activities in support of the National Response Plan (NRP).
- Outlines roles and responsibilities for pre-incident and post-incident science and technology support.
- Outlines a structure for coordination of scientific and technological support and response to Incidents of National Significance.
- Outlines a process to provide scientific and technical recommendations to Federal Government decisionmakers to assist in determining appropriate protective measures in the context of potential or actual Incidents of National Significance.

Policies

The underlying principles for the role of the Federal Government in coordinating scientific and technical support are as follows:

- Planning employs the most effective means to deliver scientific and technical support, including the use of resources from the private sector and nongovernmental organizations, and resources owned or operated by Federal agencies.
- Planning recognizes State policies and plans used to deliver and receive scientific and technical support, as well as State-established methods for determining support requirements.

- Support is centrally managed and regionally delivered. DHS manages and coordinates requests for scientific and technical support at DHS Headquarters through the Homeland Security Operations Center (HSOC) and/or Interagency Incident Management Group (IIMG).

- The primary resource for Federal prediction of atmospheric hazards dispersion is the Interagency Modeling and Atmospheric Assessment Center (IMAAC).

Concept of Operations

General: DHS/S&T is responsible for DHS scientific and technical support and coordinates with other appropriate departments and agencies in response to actual or potential Incidents of National Significance.

Organization

- DHS/S&T provides the core coordinating architecture of the Federal scientific and technical support capability. To accomplish its mission, DHS/S&T works with a variety of Federal Government, private sector, and nongovernmental organizations that are capable of providing expert scientific and technical information, analysis, and advice, and state-of-the-art technology support.

- The Federal response to an Incident of National Significance utilizes the combined resources (scientific expertise, research and development capabilities, etc.) of various NRP departments and agencies, tailored to the scenario at hand. DHS/S&T communicates emerging science and technology needs to appropriate Federal agencies through HSOC representatives, the IIMG, and the National Response Coordination Center (NRCC). Federal science and technology resource identification and standard operating procedures for accessing these resources are developed by an interagency working group led by DHS/S&T.

- Using NRP protocols, mission assignments for scientific and technical needs are coordinated through ESF #5 – Emergency Management and passed on to the cooperating agencies for support.

- Major science and technology components include:

  - **Homeland Security Operations Center:** The HSOC provides Federal scientific and technical support elements with relevant situational awareness and threat information reports. DHS/S&T provides an S&T Coordination Desk liaison and an on-call S&T Coordinator for the HSOC. The S&T Coordination Desk Officer serves as the principal staffer responsible for receiving, documenting, forwarding, and tracking scientific and technical support requests. While on-call scientific and technical support assets are mobilized, the S&T Coordination Desk Officer may also serve as an emergency resource for delivering direct scientific and technical support to the field. The S&T Coordination Desk Officer has access to extensive technical databases and reference materials on all topics related to chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE) weapons of mass destruction (WMD).

  - **Interagency Incident Management Group:** DHS/S&T provides a senior S&T representative to the IIMG who provides direct operational scientific and technical support for DHS and coordinates with other agencies to ensure that the CBRNE subject-matter expert augmentation needs of the IIMG are met. For some responses, pre-established subject-matter expert groups are part of ESF or Incident Annex planning efforts, and provide appropriate technical advice.

- **National Response Coordination Center:** When the NRCC is activated for an Incident of National Significance, DHS/S&T assigns a representative to ESF #5 to coordinate and facilitate deployment and use of scientific and technical resources.

- **Headquarters S&T Coordination Team:** The S&T Coordination Team is a multidisciplinary staff that provides coordination of Federal scientific and technical support programs and response activities. Operating from DHS Headquarters, the S&T Coordination Team is responsible for staffing and coordinating requests for Federal scientific and technical support. The S&T Coordination Team serves as the central source of information at the DHS Headquarters level regarding the status of ongoing and planned Federal scientific and technical support operations. The S&T Coordination Team also facilitates coordination between regions in the context of multiregion scientific and technical support operations. All team deployments are coordinated with the NRCC, the Regional Response Coordination Center (RRCC), and/or the Joint Field Office (JFO).

- **Scientific and Technical Advisory and Response Teams (STARTs):** STARTs are composed of the experts in key specialty areas related to CBRNE WMD effects and countermeasures. The teams are primarily designed to provide rapid scientific and technical support through virtual links; however, they can be deployed to the field with short notice. Once activated, STARTs are coordinated and supported by DHS field components, the RRCC, and the JFO. The teams can provide expert scientific and technical information, analysis, and advice, and state-of-the-art technology support. STARTs function in an indirect response support capacity. They do not provide direct services, such as decontamination, medical and health care, or recovery. All activations and deployments are coordinated with the NRCC/RRCC and/or the JFO.

- **Interagency Modeling and Atmospheric Assessment Center:** The IMAAC is responsible for the production, coordination, and dissemination of consequence predictions for an airborne hazardous material release. The IMAAC generates the single Federal prediction of atmospheric dispersions and their consequences utilizing the best available resources from the Federal Government. Guided by an interagency memorandum of agreement, several Federal agencies and departments support IMAAC planning and operations.

Responsibilities

Coordinating Agency: When the NRP is activated in response to a potential or actual Incident of National Significance, DHS, in coordination with other Federal departments and agencies, is responsible for:

- Orchestrating the Federal scientific and technical support to affected States/regions;

- Maintaining STARTs capable of providing short-notice subject-matter expert assessment and consultation services;

- Coordinating the scientific and technical operational priorities and activities with other elements of DHS and Federal departments and agencies;

- Providing DHS/S&T liaisons to other Federal, State, and/or local emergency operations centers, as requested;

- In coordination with responsible agencies and when deemed appropriate, deploying emerging technologies and utilization of advanced research facilities; and

- Executing contracts and procuring scientific and technical support services consistent with the Financial Management Support Annex of the NRP.

Cooperating Agencies: Cooperating agencies provide representation to interagency working groups led by DHS/S&T that are used to identify Federal science and technology resources and the mechanisms to effectively access and coordinate those resources during NRP-related activities. S&T cooperating agencies provide a wide range of capabilities including research and development, laboratory analysis, and computer modeling.

Tribal Relations Support Annex

Coordinating Agency:

Department of Homeland Security

Cooperating Agencies:

Department of Agriculture
Department of Health and Human Services
Department of the Interior
All others

Introduction

Purpose

This annex describes the policies, responsibilities, and concept of operations for effective coordination and interaction of Federal incident management activities with those of tribal governments and communities during potential or actual Incidents of National Significance. The processes and functions described in this annex help facilitate the delivery of incident management programs, resources, and support to tribal governments and individuals.

Scope

This annex applies to all Federal departments and agencies working under the National Response Plan (NRP) in response to an Incident of National Significance that involves tribes recognized by the Federal Government.

Since tribal government entities are fully integrated into the NRP, this annex addresses only those factors in the relationship between Federal departments and agencies and the federally recognized tribes that are unique or warrant special considerations.

The guidance provided in this annex does not contravene existing laws governing Federal relationships with federally recognized tribes.

Policies

- The Department of Homeland Security (DHS), in cooperation with other Federal departments and agencies, coordinates tribal relations functions for actual and potential Incidents of National Significance.
- State Governors must request a Presidential disaster declaration on behalf of a tribe under the Stafford Act; however, Federal departments and agencies can work directly with tribes within existing agency authorities and resources in the absence of such a declaration.
- Federal departments and agencies comply with existing laws and Executive orders mandating that the Federal Government deal with Indian tribes on a government-to-government basis, reflecting the federally recognized tribes' right of self-government as sovereign domestic dependent nations. A tribe may, however, opt to deal directly with State and local officials.
- Federal departments and agencies involved in potential or actual Incidents of National Significance consult and collaborate with tribal governments on matters affecting the tribes and must be aware of the social, political, and cultural aspects of an incident area that might affect incident management operations.
- Federal departments and agencies provide appropriate incident management officials with access to current databases containing information on tribal resources, demographics, and geospatial information.

Concept of Operations

General

Federal departments and agencies conduct incident management operations involving federally recognized tribal governments in accordance with the NRP and the National Incident Management System. Tribal relations functions, resources, and liaison operations are coordinated through Emergency Support Function (ESF) #15 – External Affairs.

Organization

A Tribal Relations Element is established in the Joint Field Office (JFO) to provide the operational capability for collecting and sharing relevant incident information, alerting and deploying required tribal relations staff to or near the affected area, and ensuring compliance with Federal laws relating to tribal relations.

For incidents that directly impact tribal jurisdictions, a tribal representative may be included in the JFO Coordination Group, as required.

Actions

- Through ESF #15, the DHS Office of State and Local Government Coordination and Preparedness (DHS/OSLGCP), in consultation with cooperating agencies, coordinates requirements for the Tribal Relations Element at the JFO during Incidents of National Significance.
- The Tribal Relations Element at the JFO works directly with the designated representative of the affected tribal government. The designated tribal representative may be authorized by the tribal government to:
  - Be responsible for coordinating tribal resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents involving all hazards and Incidents of National Significance including terrorism, natural disasters, accidents, and other contingencies;
  - Maintain extraordinary powers to suspend tribal laws and ordinances, such as to establish a curfew, direct evacuations, and order a quarantine;
  - Provide leadership and play a key role in communicating to the tribal nation, and in helping people, businesses, and organizations cope with the consequences of any type of domestic incident within the tribe's jurisdiction;
  - Negotiate and enter into mutual aid agreements with other tribes/jurisdictions to facilitate resource-sharing;
  - Request State and Federal assistance through the Governor of the State when the tribe's capabilities have been exceeded or exhausted; and
  - Elect to deal directly with the Federal Government.

Responsibilities

Coordinating Agency: DHS

- DHS, through OSLGCP, has primary responsibility for implementing consistent tribal relations policies and procedures during potential or actual Incidents of National Significance.
- DHS is responsible for coordinating data-sharing by other agencies and departments that have responsibilities for collecting and maintaining data relevant to incident management for incidents that involve tribes.

- DHS is responsible for coordinating and designating staff for the Tribal Relations Element at the JFO. The Tribal Relations Element may include representatives from other departments and agencies, as appropriate and as jurisdictions dictate.

Cooperating Agencies

Department of Agriculture (USDA)

USDA directly supports tribal nations by providing education, training, and support to enable the response to emergency incidents. USDA also provides expertise and support concerning food safety and security, plant and animal health, and other homeland security issues including border security.

Department of Health and Human Services (HHS) Indian Health Service

In consultation with tribal officials, the Indian Health Service provides comprehensive public health services and acute (emergency) care directly, through contract health services (nontribal contractor), or through self-determination health care contracts or compacts with American Indian and Alaska Native organizations. These comprehensive health services include all aspects of environmental health, as well as mental health and social services.

HHS/Centers for Disease Control and Prevention (HHS/CDC)

In consultation with tribal officials, HHS/CDC directly participates in the emergency response and provides expertise and epidemiological support in the event that an incident involves a biological agent. Working with tribal health officials and the Indian Health Service, HHS/CDC assesses health impacts and needs in support of tribal efforts.

HHS/Food and Drug Administration (HHS/FDA)

In consultation with tribal officials, HHS/FDA directly participates in any emergency response aimed at an act of terrorism that contaminates food or pharmaceutical industry products affecting tribal lands.

Department of the Interior/Bureau of Indian Affairs (DOI/BIA)

In consultation with tribal officials, DOI/BIA provides, either by itself, by contract with a tribe, or both, a broad variety of services in an emergency including basic law enforcement protection, fire protection, emergency social services assistance to affected individuals and families, and support for all Federal agencies responding to the incident. Also, DOI/BIA assesses impacts on trust lands, resources, and infrastructure and supports tribal efforts commensurate with trust responsibilities. DOI/BIA responsibilities include:

- In support of ESF #15, providing liaison officers to ensure coordination with tribal governments on all aspects of incident management operations, and working closely with DHS to ensure tribal relations actions are carried out in accordance with established Federal Government policies and procedures;

- In conjunction with the incident-affected tribes, assisting in providing an efficient and reliable flow of incident-related information between the tribes and the Federal Government; and

- Supplying staff and resources as requested by DHS for the Tribal Relations Element of the JFO.

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Volunteer and Donations Management Support Annex

Coordinating Agency:

Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency

Cooperating Agencies:

Department of State
Department of Transportation
General Services Administration
Corporation for National and Community Service
National Voluntary Organizations Active in Disaster

Introduction

Purpose

The Volunteer and Donations Management Support Annex describes the coordinating processes used to ensure the most efficient and effective utilization of unaffiliated volunteers and unsolicited donated goods during Incidents of National Significance.

Scope

This annex provides guidance on the Federal role in volunteer and donations management. Any reference to volunteer services and donated goods in this annex refers to unsolicited goods and unaffiliated volunteer services. This guidance applies to all agencies with direct and indirect volunteer and/or donations responsibilities under the National Response Plan.

Policies

- State, local, and tribal governments, in coordination with Voluntary Organizations Active in Disaster (VOAD), have primary responsibility for the management of unaffiliated volunteer services and unsolicited donated goods.
- The donation management process must be organized and coordinated to ensure that State, local, and tribal jurisdictions are able to take advantage of the appropriate types and amounts of donated goods and services in a manner that precludes interference with or hampering of incident management operations.
- The Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) coordinates with other Federal agencies to ensure unaffiliated volunteers and unsolicited donated goods are effectively used during an Incident of National Significance.
- Federal and State governments look principally to those voluntary organizations with established volunteer and donations management structures to receive and ensure utilization of appropriate volunteers and donated goods.
- The Federal Government encourages cash donations to recognized nonprofit voluntary organizations with relevant experience.
- The Federal Government encourages individuals interested in volunteering personal services to participate through the local Citizen Corps Council and/or to affiliate with a recognized nonprofit voluntary organization.
- All activities, functions, and services are provided in accordance with existing Federal statutes, rules, and regulations.
- Full use of existing nongovernmental organizational volunteer and donations management resources is encouraged before seeking assistance of the Federal or State governments.
- Donations of blood products are referred to in the ESF #8 – Public Health and Medical Services Annex.

Concept of Operations

Volunteer and donations management operations may include the following: a Volunteer and Donations Coordination Team led by the State Volunteer and Donations Coordinator, a phone bank functioning at the State and Federal levels, a coordinated media relations effort, effective liaison with other emergency support functions, and a facilities management plan to include a Volunteer Reception Center, donations warehouse, donations staging area, and Donations Coordination Center, as needed.

Requests for support under this annex from Federal, State, local, and tribal authorities generally are coordinated through the Regional Response Coordination Center (RRCC). However, depending on the situation, coordination may occur at the National Response Coordination Center (NRCC). DHS/EPR/FEMA provides Volunteer and Donations Management staff to the NRCC, RRCC, and Joint Field Office, as required.

Donated Goods Management Function

- Management of unsolicited donated goods involves a cooperative effort by Federal, State, local, and tribal governments; voluntary and community-based organizations; the business sector; and the media.
- DHS/EPR/FEMA supports the State Volunteer and Donations Coordinator and voluntary organizations. The affected State, local, and tribal governments, in conjunction with their voluntary organization partners, are responsible for developing donations management plans and managing the flow of donated goods during incident management operations.
- Federal support may include:
  - Assistance in establishing a Donations Coordination Team, a Donations Coordination Center, and a donations staging area and warehouse;
  - Development of a Donated Goods Facility Management Plan;
  - Technical and managerial support;
  - A national network of information and contacts to assist donations specialists in the field; and
  - Communications support as necessary.

Volunteer Management Function

- Management of unaffiliated volunteers requires a cooperative effort by Federal, State, local, and tribal governments; voluntary and community-based organizations, such as Citizen Corps Councils; faith-based organizations; the private sector; and the media.
- DHS/EPR/FEMA supports the State Volunteer and Donations Coordinator and voluntary organizations. The affected State, local, and tribal governments, in partnership with voluntary organizations, are responsible for developing plans that address the management of unaffiliated volunteers during incident response and recovery.
- Federal support may include:
  - Assistance in establishing a Volunteer Coordination Team and a Volunteer Reception Center;
  - Technical and managerial support;
  - A national network of information and contacts to assist volunteer management specialists working in the field; and
  - Communications support as necessary.

Responsibilities

Headquarters-Level Responsibilities: DHS

- Designates a headquarters-level point of contact for the management of volunteers and donated goods.
- Makes early contact with the key Volunteer and Donations Coordinators from national voluntary organizations and the affected region regarding the issue of unaffiliated volunteers and unsolicited donated goods.
- Provides program guidance, and other assistance as appropriate, based on the affected region's request for assistance.
- Provides support and assistance to the field, especially regarding international offers of assistance, large corporate offers, or other collection drives.
- Expedites the entry of approved individuals into the United States, in coordination with the Department of State (DOS) and the NRCC donations specialist.
- Provides training and technical assistance as required.
- Refers offers of gifts to the appropriate Federal agency or department for review and processing.
- DHS/Border and Transportation Security/Customs and Border Protection (DHS/BTS/CBP), in coordination with the NRCC Volunteer and Donations specialist and the Department of State/Office of Emergency Management (DOS-A/OPR/OEM), expedites the entry of approved donated items into the United States.

Regional-Level Responsibilities: DHS

- Designates a regional point of contact for volunteers and donated goods who coordinates with the RRCC.
- Assists the State Volunteer and Donations Coordinator with:
  - Establishing a Volunteer and Donations Coordination Team;
  - Setting up a Volunteer and Donations Coordination Center, including a volunteer and donations hotline;
  - Ensuring the appropriate donations receiving and distribution facilities are established and operating effectively;
  - Coordinating with Joint Information Center (JIC) staff on public service announcements, press releases, and other media-related support;
  - Coordinating with the DHS Voluntary Agency Liaison, congressional affairs, community relations, logistics, the Defense Coordinating Officer, and other Federal agencies as necessary; and
  - Preparing input for situation reports, briefings, and VIP visits as necessary.

Cooperating Agencies

Department of State	The DOS-A/OPR/OEM serves as the conduit to all U.S. Embassies and Consulates worldwide, providing them with information on DHS, State, local, tribal, and voluntary organization policies and procedures on unaffiliated volunteers and unsolicited donated goods management. ▪ As required, coordinates all actions and special issues with related agencies (e.g., U.S. Agency for International Developmenting (USAID)) concerning foreign offers of assistance and special requirements. ▪ Informs the NRCC Volunteer and Donations specialist of offers being made by foreign governments and provides assistance as necessary. ▪ Coordinates with the NRCC Volunteer and Donations specialist to ensure all foreign donors receive acknowledgment of the assistance they provide.
Department of Transportation	▪ Provides information on transportation routes as necessary. ▪ Provides guidance and support on transportation rules, regulations, and requirements as needed.
General Services Administration	Provides equipment, supplies, and facilities as required.
National Voluntary Organizations Active in Disaster	▪ Assists in providing information on affiliated volunteer and solicited donations management operations of member agencies. ▪ Assists in providing information on unaffiliated volunteer and unsolicited donations management involving national, State, and local VOAD collaboration. ▪ Provides technical assistance, as needed, to member organizations and State and local VOADs regarding their unaffiliated volunteer and unsolicited donations management activities.
Corporation for National and Community Services	Provides trained volunteer and donations management personnel as needed.

Worker Safety and Health Support Annex

Coordinating Agency:

Department of Labor/Occupational Safety and Health Administration

Cooperating Agencies:

Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Environmental Protection Agency

Introduction

Purpose

The Worker Safety and Health Support Annex provides guidelines for implementing worker safety and health support functions during potential or actual Incidents of National Significance. This annex describes the actions needed to ensure that threats to responder safety and health are anticipated, recognized, evaluated, and controlled consistently so that responders are properly protected during incident management operations.

Scope

- This annex addresses those functions critical to supporting and facilitating the protection of worker safety and health for all emergency responders and response organizations during potential and actual Incidents of National Significance. While this annex addresses coordination and provision of technical assistance for incident safety management activities, it does not address public health and safety.

- Coordination mechanisms and processes used to provide technical assistance for carrying out incident safety management activities include identification and characterization of incident hazards, assessments and analyses of health risks and exposures to responders, medical monitoring, and incident risk management.

Policies

- Emergency Support Function (ESF) #5 – Emergency Management activates the Department of Labor/Occupational Safety and Health Administration (DOL/OSHA) as the coordinator for worker safety and health technical support. DOL/OSHA then implements the activities described in this annex.

- DOL/OSHA assistance and coordination, as described in this annex, also may be requested during the course of an incident if specific needs are identified by other ESFs or individual agencies.

- Private-sector and Federal employers are responsible for the safety and health of their own employees.

- State and local governments are responsible for worker health and safety pursuant to State and local statutes, and in some cases 40 CFR 311, Worker Protection. This responsibility includes allocating sufficient resources for safety and health programs, training staff, purchasing protective clothing and equipment as needed, and correcting unsafe or unsanitary conditions.

- This annex does not replace the primary responsibilities of the government and employers; rather, it ensures that in fulfilling these responsibilities, response organizations plan and prepare in a consistent manner and that interoperability is a primary consideration for worker safety and health.

- Several Federal and State agencies, including DOL/OSHA and the Environmental Protection Agency (EPA), have oversight authority for responders and response operations. While

these agencies retain their authorities, they are expected to work cooperatively and proactively with Federal, State, local, and private-sector responders prior to and during response operations to ensure the adequate protection of all workers.

- Worker safety and health representatives work with the Joint Information Center (JIC) regarding the release of general occupational safety and health information.

Concept of Operations

General

DOL/OSHA coordinates Federal safety and health assets to provide proactive consideration of all potential hazards; ensures availability and management of all safety resources needed by responders; shares responder safety-related information; and coordinates among Federal agencies, State, local, and tribal governments, and private-sector organizations involved in incident response.

Organization

Headquarters Level

- DOL/OSHA coordinates the activities of the Federal agencies that provide the core architecture for worker safety and health technical support during an Incident of National Significance or when otherwise directed.

- DOL/OSHA and cooperating agencies provide staff to support the Joint Field Office (JFO) Safety Coordinator/Incident Command Post (ICP) Safety Officer. DOL/OSHA and cooperating agencies also may serve as technical specialists in other JFO elements as required.

Regional and Field Level

Representatives from Federal, State, local, and tribal governments and the private sector involved in incident characterization, stabilization, and cleanup meet at least daily to identify and resolve conflicts, share information, and provide the JFO Safety Coordinator/ICP Safety Officer with the information necessary to manage responder safety and health risks.

Pre-Incident Coordination

Coordination Through Existing Organizations and Committees

- DOL/OSHA supports and is a member of the National Response Team under the National Oil and Hazardous Substances Pollution Contingency Plan (NCP).

- Pre-incident coordination also involves other existing interagency committees that focus attention on responder health and safety.

NRP Worker Safety and Health Support Coordination Committee

This standing committee provides the proactive integration of worker safety and health assets needed for preparedness at all levels of government.

- DOL/OSHA coordinates this group through regular meetings and interagency exercises.

- DOL/OSHA and the cooperating agencies report to the Emergency Support Function Leaders Group at least twice yearly on the status of worker safety and health asset readiness.

Pre-Incident Planning Guidance Development and Distribution

- DOL/OSHA works with organizations such as the National Institute of Environmental Health Sciences (NIEHS) Worker Education and Training Program (WETP) National Clearinghouse for Worker Safety and Health Training to consolidate responder safety- and health-related guidance documents, regulations, and resources in one location. This information is provided to other agencies, responders, and

response organizations, including State and local public health departments and emergency management agencies.

- DOL/OSHA's Hazardous Waste Operations and Emergency Response Standard (HAZWOPER) requires training for responders based on the anticipated roles they will play during response to a hazardous substance release (see 29 CFR 1910.120(q)).

- DOL/OSHA works with other organizations that develop and fund responder training to ensure their curricula are consistent in content and message for each level of responder (skilled support, operations level, etc.) and that they support the preparedness objectives listed in the National Incident Management System (NIMS). These organizations include the Department of Homeland Security/Office of State and Local Government Coordination and Preparedness (DHS/OSLGCP), the EPA (HAZWOPER/ Emergency Response Training Program), NIEHS, organizations that develop related consensus standards, and other State and local government programs.

Proactive Coordination of Technical Assets and Reach-back Capabilities: DOL/OSHA and cooperating agencies develop and disseminate an inventory of expertise and resources available for response to Incidents of National Significance, and coordinate development of a strategy for their deployment.

Prevention Guidance Development and Distribution: DOL/OSHA coordinates with cooperating agencies to develop and disseminate information on the likely hazards associated with potential incidents and the preventive actions that can be taken to reduce or eliminate illnesses and injuries that may result from hazardous exposure.

Actions

The worker safety and health assets of DOL/OSHA and cooperating agencies support the following actions at the headquarters, regional, and field levels by:

- Providing occupational safety and health technical advice and support to the JFO Safety Officer and Coordination Group, to the ICP Safety Officer(s) involved in incident management, and, if appropriate, at all incident sites;

- Undertaking site-specific occupational safety and health plan development and implementation, and ensuring that plans are coordinated and consistent among multiple sites, as appropriate;

- Identifying and assessing health and safety hazards and characterizing the incident environment, to include continued monitoring of incident safety on a 24/7 basis;

- Carrying out responder personal exposure monitoring, on a 24/7 basis, including task-specific exposure monitoring for:

  - Chemical and biological contaminants; and

  - Physical stressors (e.g., noise, heat/cold, ionizing radiation);

- Providing responder medical surveillance and medical monitoring and, in conjunction with HHS, evaluating the need for longer term epidemiological medical monitoring and surveillance of responders;

- Assessing responder safety and health resource needs and identifying sources for those assets;

- Developing, implementing, and monitoring an incident personal protective equipment (PPE) program, including the selection, use, and decontamination of PPE; implementation of a respiratory protection fit-test program; and distribution of PPE;

- Collecting and managing data (exposure data, accident/injury documentation, etc.) to facilitate consistent data-formatting and data-sharing among response organizations;

- Communicating with labor unions, contractors, and other organizations regarding responder safety and health issues;

- Coordinating and providing incident-specific responder training;
- Providing psychological first aid during and after incident response and recovery activities; and
- Identifying, in coordination with HHS, appropriate immunization and prophylaxis for responders and recovery workers.

As the coordinator for the Worker Safety and Health Support Annex, DOL/OSHA facilitates resolution of any technical or other disputes among cooperating agencies regarding the actions described above. In the case of a dispute that cannot be resolved, DOL/OSHA summarizes the disputed areas for presentation to the JFO Safety Coordinator/ICP Safety Officer and, if necessary, the JFO Coordination Group for resolution.

After Action

DOL/OSHA facilitates a critique of operations to compile "lessons learned" related to responder safety and health issues.

Responsibilities

Coordinating Agency: DOL/OSHA

- DOL/OSHA, as annex coordinator and worker health and safety coordinator, assists the JFO Safety Coordinator/ICP Safety Officer by providing and coordinating technical support for responder safety and health.
- DOL/OSHA resolves technical, procedural, and risk assessment conflicts, if necessary through formal recourse to the JFO Safety Coordinator/ICP Safety Officer or JFO Coordination Group, before they adversely affect the consistency and accuracy of the advice and information provided to responders, response organizations, and the JFO Coordination Group.
- DOL/OSHA is responsible for carrying out the policies identified in this annex.
- DOL/OSHA implements a system to capture and manage incident exposure data in a centralized location to enable data-sharing among agencies with a responder health and safety focus.

Cooperating Agencies

Agency	Responsibilities
Department of Defense/U.S. Army Corps of Engineers (DOD/USACE)	▪ When USACE is mission assigned to provide ice, water, emergency power, debris removal, temporary housing, temporary roofing, or structural safety assessment, it deploys Safety and Occupational Health (SOH) professionals to the incident location to provide technical assistance to USACE assets. ▪ USACE SOH professionals coordinate with DOL/OSHA and other annex cooperating agencies to ensure the implementation of coordinated, effective worker safety and health activities in support of the Incident Command System as established in the NIMS. ▪ USACE provides emergency location SOH support through utilization of its worldwide SOH Functional Planning and Response Teams.
Department of Energy (DOE)	Functions pertaining to DOE are identified in ESF #12 – Energy and other applicable NRP annexes.

Agency	Responsibilities
Department of Health and Human Services	**National Institute for Occupational Safety and Health (NIOSH)** HHS/NIOSH provides technical support and expertise in the characterization of complex, unknown, and multiple-contaminant worker exposures. HHS/NIOSH and DOL/OSHA collaborate in all areas and ensure that their collective safety and industrial hygiene assets are aligned to produce consistent, vetted advice to the incident command structure.
	Agency for Toxic Substances and Disease Registry (ATSDR) Under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), section 104(i) [42 U.S.C. 9604(i)], HHS/ATSDR is required to cooperate with HHS/NIOSH and DOL/OSHA to provide information and technical support on: the toxic effects of chemicals based on peer-reviewed studies; emergency medical management information specific to potential exposures; worker protective measures, including selection of appropriate respiratory protection and chemical protective clothing; action levels to upgrade the protective ensemble; and appropriate means of monitoring hazards during response actions as defined in CERCLA.
	National Institute of Environmental Health Sciences The Superfund Amendments and Reauthorization Act of 1986 (Title 42 U.S.C. section 9660a) established, under section 126(g), the WETP as an assistance program for the training and education of workers engaged in activities related to hazardous waste removal, containment, and emergency response. The program is managed by HHS/NIEHS and provides: ▪ Training technical assistance such as instructional staff, curriculum-development experts, subject-matter experts, and professional staff. ▪ Safety training to worker target populations with respect to the nature and location of the incident and the particular hazards. ▪ Assistance and support in the development and delivery of site-specific health and safety training through appropriately qualified WETP awardee instructional staff. ▪ Assistance such as respirator fit-testing and distribution of PPE.
Department of Homeland Security	**U.S. Coast Guard (USCG)** Functions performed by DHS/USCG are identified in ESF #10 – Oil and Hazardous Materials Response and other applicable annexes.
	Emergency Preparedness and Response/Federal Emergency Management Agency (EPR/FEMA) Functions pertaining to DHS/EPR/FEMA are identified in ESF #5 – Emergency Management and other applicable annexes.
Environmental Protection Agency	Functions performed by EPA are identified in the ESF #10 – Oil and Hazardous Materials Response Annex, the Nuclear/Radiological Incident Annex, other applicable NRP annexes, and the NCP.

Agency	Responsibilities
Other Responding Organizations	Other Federal, State, local, and tribal government agencies, as well as private-sector organizations with responders at the incident location, provide technical support and expertise in accordance with their agency's mission and responsibilities, in coordination with DOL/OSHA and annex cooperating agencies. Organizations lacking safety and occupational health technical expertise are expected to provide liaisons to the JFO Coordination Group safety staff, attend appropriate safety briefings, identify issues regarding potential hazards, and communicate those issues to their responder personnel and to the JFO Safety Coordinator/ICP Safety Officer.

Incident Annexes

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INCIDENT ANNEXES: INTRODUCTION

Purpose

This section provides an overview of the annexes applicable to situations requiring specialized, incident-specific implementation of the National Response Plan (NRP).

Background

The Incident Annexes address contingency or hazard situations requiring specialized application of the NRP. The annexes in the sections that follow address the following situations:

- Biological Incident
- Catastrophic Incident
- Cyber Incident
- Food and Agriculture Incident (to be published in a subsequent version of this plan)
- Nuclear/Radiological Incident
- Oil and Hazardous Materials Incident
- Terrorism Incident Law Enforcement and Investigation

Incident Annexes are organized alphabetically. Policies and procedures in the Catastrophic Incident Annex are overarching and applicable for all hazards. Similarly, the mechanisms in the Terrorism Incident Law Enforcement and Investigation Annex apply when terrorism is associated with any incident.

INCIDENT ANNEX CONTENTS

The annexes describe the policies, situation, concept of operations, and responsibilities pertinent to the type of incident in question.

Policies: Each annex explains unique authorities pertinent to that incident, the special actions or declarations that may result, and any special policies that may apply.

Situation: Each annex describes the incident situation as well as the planning assumptions, and outlines the approach that will be used if key assumptions do not hold (for example, how authorities will operate if they lose communication with senior decisionmakers).

Concept of Operations: Each annex describes the concept of operations appropriate to the incident, integration of operations with NRP elements, unique aspects of the organizational approach, notification and activation processes, and specialized incident-related actions.

Each annex also details the coordination structures and positions of authority that are unique to the type of incident, the specialized response teams or unique resources needed, and other special considerations.

Responsibilities: Each Incident Annex identifies the coordinating and cooperating agencies involved in an incident-specific response; in some cases this responsibility is held jointly by two or more departments.

The overarching nature of functions described in these annexes frequently involves either the support to, or the cooperation of, all departments and agencies involved in incident management efforts. In some cases, actions detailed in the annex also incorporate various components of the Department of Homeland Security (DHS) and other departments and agencies to ensure seamless integration of and transitions between preparedness, prevention, response, recovery, and mitigation activities.

The responsibilities of the coordinating agency and cooperating agencies are identified below.

Coordinating Agency

Coordinating agencies described in the NRP annexes support the DHS incident management mission by providing the leadership, expertise, and authorities to implement critical and specific aspects of the response. In accordance with Homeland Security Presidential Directive-5, DHS retains responsibility for overall domestic incident management. Federal agencies designated as coordinating agencies, in close coordination with DHS, are responsible for implementation of processes detailed in the annexes that follow. Some of the Incident Annexes, such as Cyber, Nuclear/Radiological, and Oil and Hazardous Materials, list multiple coordinating agencies. In these annexes, the responsibilities of the coordinating agency may be shared or delegated based on the nature or the location of the incident.

The coordinating agency is responsible for:

- Orchestrating a coordinated delivery of those functions and procedures identified in the annex;
- Providing staff for operations functions at fixed and field facilities;
- Notifying and subtasking cooperating agencies;
- Managing tasks with cooperating agencies, as well as appropriate State agencies;
- Working with appropriate private-sector organizations to maximize use of available resources;
- Supporting and keeping ESFs and other organizational elements informed of annex activities;
- Planning for short-term and long-term support to incident management and recovery operations; and
- Maintaining trained personnel to provide appropriate support.

Cooperating Agencies

The coordinating agency will notify cooperating agencies when their assistance is needed. Cooperating agencies are responsible for:

- Conducting operations, when requested by DHS or the coordinating agency, using their own authorities, subject-matter experts, capabilities, or resources;
- Participating in planning for incident management and recovery operations and development of supporting operational plans, standard operating procedures, checklists, or other tools;
- Furnishing available personnel, equipment, or other resource support as requested by DHS or the Incident Annex coordinator;
- Participating in training and exercises aimed at continuous improvement of prevention, response, and recovery capabilities; and
- Nominating new technologies or procedures to improve performance.

When requested, and upon approval of the Secretary of Defense, the Department of Defense (DOD) provides Defense Support of Civil Authorities (DSCA) during domestic incidents. Accordingly, DOD is considered a cooperating agency to the majority of Incident Annexes. For additional information on DSCA, refer to the NRP Base Plan.

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Biological Incident Annex

Coordinating Agency:

Department of Health and Human Services

Cooperating Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Homeland Security
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of Veterans Affairs
Environmental Protection Agency
General Services Administration
U.S. Agency for International Development
U.S. Postal Service
American Red Cross

Introduction

Purpose

The purpose of the Biological Incident Annex is to outline the actions, roles, and responsibilities associated with response to a disease outbreak of known or unknown origin requiring Federal assistance. Actions described in this annex take place with or without a Presidential Stafford Act declaration or a public health emergency declaration by the Secretary of Health and Human Services (HHS). This annex applies only to potential or actual Incidents of National Significance. This annex outlines biological incident response actions including threat assessment notification procedures, laboratory testing, joint investigative/response procedures, and activities related to recovery.

Scope

The broad objectives of the Federal Government's response to a biological terrorism event, pandemic influenza, emerging infectious disease, or novel pathogen outbreak are to:

- Detect the event through disease surveillance and environmental monitoring;
- Identify and protect the population(s) at risk;
- Determine the source of the outbreak;
- Quickly frame the public health and law enforcement implications;
- Control and contain any possible epidemic (including providing guidance to State and local public health authorities);
- Augment and surge public health and medical services;
- Track and defeat any potential resurgence or additional outbreaks; and
- Assess the extent of residual biological contamination and decontaminate as necessary.

The unique attributes of this response require separate planning considerations that are tailored to specific health concerns and effects of the disease (e.g., terrorism versus natural outbreaks; communicable versus noncommunicable, etc.).

Specific operational guidelines, developed by respective organizations to address the unique aspects of a particular disease or planning consideration, will supplement this annex and are intended as guidance to assist Federal, State, local, and tribal public health and medical planners.

Special Considerations

Detection of a bioterrorism act against the civilian population may occur in several different ways and involve several different modalities:

- An attack may be surreptitious, in which case the first evidence of dissemination of an agent may be the presentation of disease in humans or animals. This could manifest either in clinical case reports to domestic or international public health authorities or in unusual patterns of symptoms or encounters within domestic or international health surveillance systems.

- A terrorist-induced infectious disease outbreak initially may be indistinguishable from a naturally occurring outbreak; moreover, depending upon the particular agent and associated symptoms, several days could pass before public health and medical authorities even suspect that terrorism may be the cause. In such a case, criminal intent may not be apparent until some time after illnesses are recognized.

- Environmental surveillance systems, such as the BioWatch system, may detect the presence of a biological agent in the environment and trigger directed environmental sampling and intensified clinical surveillance to rule out or confirm an incident. If a case is confirmed, then these systems may allow for mobilization of a public health, medical, and law enforcement response in advance of the appearance of the first clinical cases or quick response after the first clinical cases are identified.

- The U.S. Postal Service may detect certain biological agents within the U.S. postal system. Detection of a biological agent in the mail stream triggers specific response protocols outlined in agency-specific standard operating procedures.

Policies

- This annex supports policies and procedures outlined in the ESF #8 – Public Health and Medical Services Annex, the ESF #10 – Oil and Hazardous Materials Response Annex, and the Terrorism Incident Law Enforcement and Investigation Annex.

- HHS serves as the Federal Government's primary agency for the public health and medical preparation and planning for and response to a biological terrorism attack or naturally occurring outbreak that results from either a known or novel pathogen, including an emerging infectious disease.

- State, local, and tribal governments are primarily responsible for detecting and responding to disease outbreaks and implementing measures to minimize the health, social, and economic consequences of such an outbreak.

- If any agency becomes aware of an overt threat involving biological agents or indications that instances of disease may not be the result of natural causes, the Department of Justice must be notified through the Federal Bureau of Investigation (FBI)'s Weapons of Mass Destruction Operations Unit (WMDOU). The FBI, in turn, immediately notifies the Department of Homeland Security (DHS) Homeland Security Operations Center (HSOC) and the National Counterterrorism Center (NCTC). The Laboratory Response Network (LRN) is used to test samples for the presence of biological threat agents. Decisions on where to perform additional tests on samples are made by the FBI, in coordination with HHS. (See the Terrorism Incident Law Enforcement and Investigation Annex for additional information on the FBI's roles and responsibilities.)

- Once notified of a credible threat or natural disease outbreak, HHS convenes a meeting of ESF #8 partners to assess the situation and determine appropriate public health and medical actions. DHS coordinates overall nonmedical support and response actions across all Federal departments and agencies. HHS coordinates overall public health and medical emergency response efforts across all Federal departments and agencies.

- Consistent with ESF #8, DHS closely coordinates the National Disaster Medical System (NDMS) medical response with HHS. The FBI coordinates the investigation of criminal activities if such activities are suspected.

- HHS provides guidance to State and local authorities and collaborates closely with the FBI in the proper handling of any materials that may have evidentiary implications (e.g., LRN samples, etc.) associated with disease outbreaks suspected of being terrorist or criminal in nature.

- Other Federal departments and agencies may be called upon to support HHS during the various stages of a disease outbreak response in the preparation, planning, and/or response processes.

- If there is potential for environmental contamination, HHS collaborates with the Environmental Protection Agency (EPA) in developing sampling strategies and sharing results.

- Given the dynamic nature of a disease outbreak, HHS, in collaboration with other departments and agencies, determines the thresholds for a comprehensive Federal Government public health and medical response. These thresholds are based on specific event information rather than predetermined risk levels.

- Any Federal public announcement, statement, or press release related to a threat or actual bioterrorism event must be coordinated with the DHS Public Affairs Office.

Planning Assumptions

- In a large disease outbreak, Federal, State, local, and tribal officials require a highly coordinated response to public health and medical emergencies. The outbreak also may affect other countries and therefore involve extensive coordination with the Department of State (DOS).

- Disease transmission can occur via an environmental contact such as atmospheric dispersion, person-to-person contact, animal-to-person contact, insect vector-to-person contact, or by way of contaminated food or water.

- A biological incident may be distributed across multiple jurisdictions simultaneously, requiring a nontraditional incident management approach. This approach could require the simultaneous management of multiple “incident sites” from national and regional headquarters locations in coordination with multiple State and local jurisdictions.

- A response to noncontagious public health emergencies may require different planning assumptions or factors.

- The introduction of biological agents, both natural and deliberate, are often first detected through clinical or hospital presentation. However, there are other methods of detection, including environmental surveillance technologies such as BioWatch and syndromic surveillance.

- No single entity possesses the authority, expertise, and resources to act unilaterally on the many complex issues that may arise in response to a disease outbreak and loss of containment affecting a multijurisdictional area. The national response requires close coordination between numerous agencies at all levels of government and with the private sector.

- The Federal Government supports affected State, local, and tribal health jurisdictions as requested or required. The response by HHS and other Federal agencies is flexible and adapts as necessary as the outbreak evolves.

- The LRN provides for rapid public health assessment of the potential for human illness associated with exposure and the scope of this kind of risk. The LRN also addresses the need for law enforcement notification necessary to initiate threat assessment for criminal intent, and chain of custody procedures. Early HHS, FBI, and DHS coordination enhances the likelihood of successful preventative and investigative activities necessary to neutralize threats and attribute the source of the outbreak.

- Response to disease outbreaks suspected of being deliberate in origin requires consideration of special law enforcement and homeland security requirements.

- Test results from non-LRN facilities are considered a "first pass" or "screening" test (with the exception of the Legislative Branch, which has a separate lab system that is equivalent to LRN facilities).

- Any agency or organization that identifies an unusual or suspicious test result should contact the FBI to ensure coordination of appropriate testing at an HHS-certified LRN laboratory.

- HHS has identified specific Department of Defense laboratories that meet the standards and requirements for LRN membership.

- All threat and public health assessments are provided to the HSOC.

Concept of Operations

Biological Agent Response

The key elements of an effective biological response include (in nonsequential order):

- Rapid detection of the outbreak;

- Swift agent identification and confirmation;

- Identification of the population at risk;

- Determination of how the agent is transmitted, including an assessment of the efficiency of transmission;

- Determination of susceptibility of the pathogen to treatment;

- Definition of the public health, medical, and mental health implications;

- Control and containment of the epidemic;

- Decontamination of individuals, if necessary;

- Identification of the law enforcement implications/assessment of the threat;

- Augmentation and surging of local health and medical resources;

- Protection of the population through appropriate public health and medical actions;

- Dissemination of information to enlist public support;

- Assessment of environmental contamination and cleanup/decontamination of bioagents that persist in the environment; and

- Tracking and preventing secondary or additional disease outbreak.

Primary Federal functions include supporting State, local, and tribal public health and medical capacities according to the policies and procedures detailed in the NRP Base Plan and the ESF #8 Annex.

Suspicious Substances

Since there is no definitive/reliable field test for biological agents, all potential bioterrorism samples are transported to an LRN laboratory, where expert analysis is conducted using established HHS/Centers

for Disease Control and Prevention (CDC) protocols/reagents. A major component of this process is to establish and maintain the law enforcement chain of custody and arrange for transport.

The following actions occur if a positive result is obtained by an LRN on an environmental sample submitted by the FBI or other designated law enforcement personnel:

- The LRN immediately notifies the local FBI of the positive test result;
- The FBI Field Office makes local notifications and contacts the FBI Headquarters WMDOU;
- FBI Headquarters convenes an initial conference call with the local FBI and HHS to review the results, assess the preliminary information and test results, and arrange for additional testing;
- FBI Headquarters immediately notifies DHS of the situation;
- Original samples may be sent to HHS/CDC for confirmation of LRN analyses;
- HHS provides guidance on protective measures such as prophylactic treatment and continued facility operation; and
- HHS and cooperating agencies support the determination of the contaminated area, decisions on whether to shelter in place or evacuate, and decontamination of people, facilities, and outdoor areas.

Outbreak Detection

Determination of a Disease Outbreak

The initial indication of a major disease outbreak, intentional or naturally occurring, may be the recognition by public health and medical authorities that a significantly increased number of people are becoming ill and presenting to local healthcare providers. Therefore, the most critical decisionmaking support requires surveillance information, identification of the causative biological agent, a determination of whether the observations are related to a naturally occurring outbreak, and the identification of the population(s) at risk.

Laboratory Confirmation

During the evaluation of a suspected disease outbreak, laboratory samples are distributed to appropriate laboratories. During a suspected terrorist incident, sample information is provided to the FBI for investigative use and to public health and emergency response authorities for epidemiological use and agent characterization to facilitate and ensure timely public health and medical interventions. If the incident begins as an epidemic of unknown origin detected through Federal, State, local, or tribal health surveillance systems or networks, laboratory analysis is initiated through the routine public health laboratory network.

Identification (Analysis and Confirmation)

The samples collected and the analyses conducted must be sufficient to characterize the cause of the outbreak. LRN laboratories fulfill the Federal responsibility for rapid analysis of biological agents. In a suspected terrorism incident, sample collection activities and testing are coordinated with FBI and LRN member(s).

Notification

Any disease outbreak suspected or identified by an agency within HHS or through another Federal public health partner is brought to the immediate attention of the HHS Assistant Secretary for Public Health Emergency Preparedness as detailed in the ESF #8 Annex or internal HHS policy documents, in addition to the notification requirements contained in the NRP Base Plan.

Following these initial notifications, the procedures detailed in the ESF #8 Annex are followed. Instances of disease that raise the “index of suspicion” of terrorist or criminal involvement, as determined by HHS, are reported to FBI Headquarters. In these instances, FBI Headquarters, in conjunction with HHS, examines available law enforcement and intelligence information, as well as the technical characteristics and epidemiology of the disease, to determine if there is a possibility of criminal intent. If the FBI, in conjunction with HHS, determines that the information represents a

potential credible terrorist threat, the FBI communicates the situation immediately to the HSOC, which notifies the White House, as appropriate. If warranted, the FBI, HHS, and State, local, and tribal health officials conduct a joint law enforcement and epidemiological investigation to determine the cause of the disease outbreak, the extent of the threat to public health and public safety, and the individual(s) responsible.

Activation

Once notified of a threat or disease outbreak that requires or potentially requires significant Federal public health and/or medical assistance, HHS convenes a meeting of the ESF #8 organizations and HHS Operating Divisions (e.g., CDC, the Food and Drug Administration, etc.) to assess the situation and determine the appropriate public health and medical actions. DHS coordinates all nonmedical support, discussions, and response actions.

The immediate task following any notification is to identify the population affected and at risk and the geographic scope of the incident. The initial public health and medical response includes some or all of the following actions:

- Targeted epidemiological investigation (e.g., contact tracing);
- Intensified surveillance within healthcare settings for patients with certain clinical signs and symptoms;
- Intensified collection and review of potentially related information (e.g., contacts with nurse call lines, laboratory test orders, school absences, and over-the-counter pharmacy sales); and
- Organization of Federal public health and medical response assets (in conjunction with State, local, and tribal officials) to include personnel, medical supplies, and materiel (e.g., the Strategic National Stockpile (SNS)).

Actions

Controlling the Epidemic

The following steps are required to contain and control an epidemic affecting large populations:

- HHS assists State, local, and tribal public health and medical authorities with epidemic surveillance and coordination.
- HHS assesses the need for increased surveillance in States or localities not initially involved in the outbreak and notifies the appropriate State and local public health officials with surveillance recommendations should increased surveillance in these localities be needed.
- DHS coordinates with HHS and State, local, and tribal officials on the messages released to the public to ensure that communications are consistent and accurate. Messages should address anxieties, alleviate any unwarranted concerns or distress, and enlist cooperation with necessary control measures. Public health and medical messages to the public should be communicated by a recognized health authority (e.g., the Surgeon General). (See the Public Affairs Support Annex.)
- If the outbreak first arises within the United States, HHS, in coordination with DOS, immediately notifies and coordinates with appropriate international health agencies such as the World Health Organization (WHO) and Pan American Health Organization as necessary. Given the nature of many disease outbreaks, this notification and coordination may have occurred earlier in the process according to internal operating procedures. HHS advises the HSOC when notifications are made to international health agencies.
- The public health system, starting at the local level, is required to initiate appropriate protective and responsive measures for the affected population, including first responders and other workers engaged in incident-related activities. These measures include mass vaccination or prophylaxis for populations at risk and populations not already exposed, but

who are at risk of exposure from secondary transmission or the environment. An overarching goal is to develop, as early as possible in the management of a biological incident, a dynamic, prioritized list of treatment recommendations based on epidemiologic risk assessment and the biology of the disease/ microorganism in question, linked to the deployment of the SNS and communicated to the general public.

- HHS evaluates the incident with its partner organizations and makes recommendations to the appropriate public health and medical authorities regarding the need for quarantine, shelter-in-place, or isolation to prevent the spread of disease. HHS coordinates closely with DHS regarding recommendations for medical needs that are met by NDMS and the U.S. Public Health Service Commissioned Corps.

- The Governor of an affected State implements isolation and/or social-distancing requirements using State/local legal authorities. In order to prevent the interstate spread of disease, HHS may take appropriate Federal actions using the authorities granted by U.S.C. title 42, 42 CFR parts 70 and 71, and 21 CFR 1240. State, local, and tribal assistance with the implementation and enforcement of isolation and/or quarantine actions is utilized if Federal authorities are invoked.

- Where the source of the epidemic has been identified as originating outside the United States, whether the result of terrorism or a natural outbreak, HHS works in a coordinated effort with DHS/Border and Transportation Security/Customs and Border Protection (DHS/BTS/CBP) to identify and isolate persons, cargo, mail, or conveyances entering the United States that may be contaminated. HHS provides information and training, as appropriate, to DHS/BTS/CBP personnel on identifying the biological hazard and employing "first responder" isolation protocols.

- The scope of the outbreak may require mass isolation or quarantine of affected or potentially affected persons. Depending on the type of event, food, animals, and other agricultural products may need to be quarantined to prevent further spread of disease. In this instance HHS and, as appropriate, the Department of Agriculture work with State, local, and tribal health and legal authorities to recommend the most feasible, effective, and legally enforceable methods of isolation and quarantine.

Decontamination

For certain types of biological incidents (e.g., anthrax), it may be necessary to assess the extent of contamination and decontaminate victims, responders, animals, equipment, buildings, critical infrastructure (e.g., subways, water utilities), and large outdoor areas. Such decontamination and related activities take place consistent with the roles and responsibilities, resources and capabilities, and procedures contained in the ESF #8 and ESF #10 Annexes, the Terrorism Incident Law Enforcement and Investigation Annex, and the Catastrophic Incident Annex. (Note: Currently no decontamination chemicals are registered (under the Federal Insecticide, Fungicide, and Rodenticide Act) for use on biological agents, and responders must request an emergency exemption from the EPA before chemicals can be used for biological decontamination.)

Special Issues

International Notification

A biological incident may involve internationally prescribed reportable diseases. In addition to case reporting, epidemics of disease with global public health significance must also be reported to international public health authorities.

Once a positive determination is made of an epidemic involving a contagious biological agent, HHS notifies DOS and DHS. HHS, in coordination with DOS, notifies the WHO and other international health agencies as appropriate.

Allocation and Rationing

If critical resources for protecting human life are insufficient to meet all domestic needs, the Secretary of HHS makes recommendations to the Secretary of Homeland Security regarding the allocation of scarce Federal public health and medical resources.

Responsibilities

The procedures in this annex are built on the core coordinating structures of the NRP. The specific responsibilities of each department and agency are described in the respective ESFs and Incident Annexes.

Catastrophic Incident Annex

Coordinating Agency:

Department of Homeland Security

Cooperating Agencies:

All Federal departments and agencies (and other organizations) with assigned primary or supporting Emergency Support Function (ESF) responsibilities

Introduction

Purpose

- The Catastrophic Incident Annex to the National Response Plan (NRP-CIA) establishes the context and overarching strategy for implementing and coordinating an accelerated, proactive national response to a catastrophic incident.
- A more detailed and operationally specific NRP Catastrophic Incident Supplement (NRP-CIS) that is designated "For Official Use Only" will be approved and published independently of the NRP Base Plan and annexes.

Scope

- A catastrophic incident, as defined by the NRP, is any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic incident could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened. All catastrophic incidents are Incidents of National Significance. These factors drive the urgency for coordinated national planning to ensure accelerated Federal/national assistance.
- Recognizing that Federal and/or national resources are required to augment overwhelmed State, local, and tribal response efforts, the NRP-CIA establishes protocols to preidentify and rapidly deploy key essential resources (e.g., medical teams, urban search and rescue teams, transportable shelters, medical and equipment caches, etc.) that are expected to be urgently needed/required to save lives and contain incidents.
- Accordingly, upon designation by the Secretary of Homeland Security of a catastrophic incident, Federal resources—organized into incident-specific "packages"—deploy in accordance with the NRP-CIS and in coordination with the affected State and incident command structure.

Policies

- The NRP-CIA strategy is consistent with NRP and National Incident Management System protocols and Incident Command System conventions.
- Only the Secretary of Homeland Security or designee may initiate implementation of the NRP-CIA.
- All deploying Federal resources remain under the control of their respective Federal department or agency during mobilization and deployment.

- Federal resources arriving at a Federal mobilization center or staging area remain there until requested by State/local incident command authorities, when they are integrated into the incident response effort.

- Federal assets unilaterally deployed in accordance with the NRP-CIS do not require a State cost-share. However, in accordance with the Stafford Act, State requests for use of deployed Federal assets may require cost-sharing.

- Unless it can be credibly established that a mobilizing Federal resource identified in the NRP-CIS is not needed at the catastrophic incident venue, that resource deploys.

- The occurrence or threat of multiple catastrophic incidents may significantly reduce the size, speed, and depth of the Federal response. If deemed necessary or prudent, the Federal Government may reduce the availability or allocation of finite resources when multiple venues are competing for the same resources, or hold certain resources in reserve in case of additional incidents.

Situation

Incident Condition: Normal procedures for certain ESFs may be expedited or streamlined to address the magnitude of urgent requirements of the incident. All ESFs must explore economies of scale to maximize utilization and efficiency of scarce resources. In the case of catastrophic incident, it is expected that the Federal Government or other national entities provide expedited assistance in one or more of the following areas:

- **Mass Care, Housing, and Human Services (ESF #6):** The ability to provide temporary shelter, food, emergency first aid, clothing, and other essential life support to people may be complicated by contaminated resources or facilities.

- **Urban Search and Rescue (ESF #9):** Resources and personnel to perform operational activities (e.g., locating, extricating, and providing onsite medical treatment to victims trapped in collapsed structures) are limited. If search and rescue operations are required in areas of contamination, the limited availability of properly equipped resources supports or underscores the need for prompt Federal response.

- **Decontamination (ESFs #8 and #10):** Incidents involving a weapon of mass destruction (WMD) may require decontamination of casualties, evacuees, animals, equipment, buildings, critical infrastructure, and other areas. Given the potentially large numbers of casualties and evacuees, resulting decontamination requirements may quickly outstrip local and State capabilities.

- **Public Health and Medical Support (ESF #8):** There is a significant need for public health and medical support, including mental health services. Medical support is required not only at medical facilities, but at casualty evacuation points, evacuee and refugee points and shelters, and at other locations to support field operations. In addition, any contamination requirement increases the requirement for technical assistance.

- **Medical Equipment and Supplies (ESF #8):** Shortages of available supplies of preventive and therapeutic pharmaceuticals and qualified medical personnel to administer available prophylaxis are likely. Timely distribution of prophylaxis may forestall additional illnesses, and reduce the impact of disease among those already exposed.

- **Casualty and Fatality Management and Transportation (ESF #8):** Federal resources may be required to manage the transportation and storage of deceased, injured, and exposed victims if their numbers are extremely high. In addition, the immense numbers of casualties are likely to overwhelm the bed capacities of local and State medical facilities.

- **Public Information (ESF #15):** When State and local public communications channels are overwhelmed during a catastrophic incident, the Federal Government must immediately provide

resources to assist in delivering clear and coherent public information guidance and consistent messages to the affected areas.

Planning Assumptions

- A catastrophic incident results in large numbers of casualties and/or displaced persons, possibly in the tens of thousands.
- The Secretary of Homeland Security designates the event an Incident of National Significance and directs implementation of the NRP-CIA.
- A catastrophic mass casualty/mass evacuation incident triggers a Presidential disaster declaration, immediately or otherwise.
- The nature and scope of the catastrophic incident may include chemical, biological, radiological, nuclear or high-yield explosive attacks, disease epidemics, and major natural or manmade hazards.
- Multiple incidents may occur simultaneously or sequentially in contiguous and/or noncontiguous areas. Some incidents, such as a biological WMD attack, may be dispersed over a large geographic area, and lack a defined incident site.
- A catastrophic incident may occur with little or no warning. Some incidents, such as rapid disease outbreaks, may be well underway before detection.
- The incident may cause significant disruption of the area's critical infrastructure, such as energy, transportation, telecommunications, and public health and medical systems.
- The response capabilities and resources of the local jurisdiction (to include mutual aid from surrounding jurisdictions and response support from the State) may be insufficient and quickly overwhelmed. Local emergency personnel who normally respond to incidents may be among those affected and unable to perform their duties.
- A detailed and credible common operating picture may not be achievable for 24 to 48 hours (or longer) after the incident. As a result, response activities must begin without the benefit of a detailed or complete situation and critical needs assessment.
- Federal support must be provided in a timely manner to save lives, prevent human suffering, and mitigate severe damage. This may require mobilizing and deploying assets before they are requested via normal NRP protocols.
- Large-scale evacuations, organized or self-directed, may occur. More people initially are likely to flee and seek shelter for attacks involving chemical, biological, radiological, or nuclear agents than for natural events. The health-related implications of an incident aggravate attempts to implement a coordinated evacuation management strategy.
- Large numbers of people may be left temporarily or permanently homeless and may require prolonged temporary housing.
- A catastrophic incident may produce environmental impacts (e.g., persistent chemical, biological, or radiological contamination) that severely challenge the ability and capacity of governments and communities to achieve a timely recovery.
- A catastrophic incident has unique dimensions/characteristics requiring that response plans/strategies be flexible enough to effectively address emerging needs and requirements.
- A catastrophic incident may have significant international dimensions. These include potential impacts on the health and welfare of border community populations, cross-border trade, transit, law enforcement coordination, and other areas.
- If the incident is the result of terrorism, the Homeland Security Advisory System (HSAS) level likely may be raised regionally, and perhaps nationally. Elevation of the HSAS level carries additional local, State, and Federal security enhancements that may affect the availability of certain response resources.

Concept of Operations

Local and State Response: Local and State response operations and responsibilities are covered in the NRP and the NRP-CIS. This annex addresses the proactive Federal response to be taken in anticipation of or following a catastrophic incident to rapidly provide critical resources to assist and augment State, local, and tribal response efforts.

Federal Response

- In accordance with NRP provisions for proactive Federal response to catastrophic incidents, the NRP-CIA employs an expedited approach to the provision of Federal resources to save lives and contain the incident.
- Guiding principles for a proactive Federal catastrophic incident response include the following:
  - The primary mission is to save lives, protect property and critical infrastructure, contain the event, and protect the national security;
  - Standard procedures outlined in the NRP regarding requests for assistance may be expedited or, under extreme circumstances, temporarily suspended in the immediate aftermath of an incident of catastrophic magnitude, pursuant to existing law;
  - Preidentified Federal response resources are mobilized and deployed, and, if required, begin emergency operations to commence life-safety activities; and
  - Notification and full coordination with States occur, but the coordination process should not delay or impede the rapid mobilization and deployment of critical Federal resources.
- Upon recognition that a catastrophic incident condition (e.g., involving mass casualties and/or mass evacuation) exists, the Secretary of Homeland Security immediately designates the event an Incident of National Significance and begins, potentially in advance of a formal Presidential disaster declaration, implementation of the NRP-CIA. Upon notification from the Homeland Security Operations Center (HSOC) that the NRP-CIA has been implemented, Federal departments and agencies:
  - Take immediate actions to activate, mobilize, and deploy incident-specific resources in accordance with the NRP-CIS;
  - Take immediate actions to protect life, property, and critical infrastructure under their jurisdiction, and provide assistance within the affected area;
  - Immediately commence those hazard-specific activities established under the appropriate and applicable NRP Incident Annex(es), including the NRP-CIA; and
  - Immediately commence functional activities and responsibilities established under the NRP ESF Annexes.
- NRP-CIA actions that the Federal Government takes in response to a catastrophic incident include:
  - All Federal departments and agencies and the American Red Cross initiate actions to mobilize and deploy resources as planned for in the NRP-CIS;
  - All Federal departments, agencies, and organizations (e.g., the American Red Cross) assigned primary or supporting ESF responsibilities immediately begin implementation of those responsibilities, as appropriate or when directed by the President;
  - Incident-specific resources and capabilities (e.g., medical teams, search and rescue teams, equipment, transportable shelters, preventive and therapeutic pharmaceutical caches, etc.) are activated and prepare for deployment to a Federal mobilization center or staging area near the incident site. The development of site-specific catastrophic incident response strategies (as detailed in

the NRP-CIS) that include the preidentification of incident-specific critical resource requirements and corresponding deployment/employment strategies accelerate the timely provision of critically skilled resources and capabilities;

- Regional Federal facilities (e.g., hospitals) are activated and prepared to receive and treat casualties from the incident area. Federal facilities are directed to reprioritize services (in some cases reducing or postponing certain customary services) until life-saving activities are concluded. The development of site-specific catastrophic incident response plans that include the preidentification of projected casualty and mass care support requirements and potentially available facilities expands the response architecture and accelerates the availability of such resources;

- Supplementary support agreements with the private sector are activated; and

- Given the projected high demand for Federal augmentation support, as well as the potential national security implications of a catastrophic incident, Federal departments and agencies may be asked to redirect efforts from their day-to-day responsibilities to support the response effort.

Responsibilities

This section summarizes Federal department and agency responsibilities under the NRP-CIA. For a complete listing of Federal department and agency responsibilities under the NRP-CIA, refer to the NRP-CIS, which is designated For Official Use Only and maintained as a separate document. For additional Federal department and agency responsibilities, refer to the individual ESF Annexes and hazard-specific Incident Annexes in the NRP.

Coordinating Agency: Department of Homeland Security (DHS)

- Establish that a catastrophic incident has occurred and implement the NRP-CIA.

- Notify all Federal departments and agencies to implement the NRP-CIA and the NRP-CIS.

- Upon implementation of the NRP-CIA:

  - Activate and deploy (or prepare to deploy) DHS-managed teams, equipment caches, and other resources in accordance with the NRP-CIS;

  - Identify, prepare, and operationalize facilities critical to supporting the movement and reception of deploying Federal resources;

  - Activate national-level facilities and capabilities in accordance with the NRP-CIS and standard NRP protocols;

  - Establish and maintain communications with incident command authorities to ensure a common and current operating picture regarding critical resource requirements. As specific resource requirements are identified, advise the Department of Transportation to reprioritize and adjust accordingly the schedule of execution for resource flow in the NRP-CIS; and

  - Make every attempt to establish contact with the impacted State(s) to coordinate the employment of Federal resources in support of the State.

Cooperating Agencies

- When notified by the HSOC that the Secretary of Homeland Security has implemented the NRP-CIA, Federal departments and agencies (and the American Red Cross):

  - Activate and deploy (or prepare to deploy) agency- or ESF-managed teams, equipment caches, and other resources in accordance with the NRP-CIS;

- Commence ESF responsibilities as appropriate;
- Commence assessments of the probable consequences of the incident and projected resource requirements; and
- Commence development of shorter and longer term response and recovery strategies.

- The NRP-CIS provides a list of the specific actions that are initiated upon activation of the NRP-CIA. The following Federal departments and agencies and other organizations are assigned specific responsibilities as cooperating agencies:
  - Department of Agriculture
  - Department of Defense
  - Department of Energy
  - Department of Health and Human Services
  - Department of Homeland Security
  - Department of Transportation
  - Department of Veterans Affairs
  - Environmental Protection Agency
  - American Red Cross

- Departments and agencies assigned primary responsibility for one or more functional response areas under the NRP-CIS appendixes are identified below.
  - **Mass Care:** American Red Cross
  - **Search and Rescue:** Department of Homeland Security
  - **Decontamination:** Department of Homeland Security, Environmental Protection Agency, and Department of Health and Human Services
  - **Public Health and Medical Support:** Department of Health and Human Services
  - **Medical Equipment and Supplies:** Department of Health and Human Services
  - **Patient Movement:** Department of Health and Human Services and Department of Defense
  - **Mass Fatality:** Department of Health and Human Services
  - **Housing:** Department of Homeland Security
  - **Public and Incident Communications:** Department of Homeland Security
  - **Transportation:** Department of Transportation
  - **Private-Sector Support:** Department of Homeland Security
  - **Logistics:** Department of Homeland Security

Cyber Incident Annex

Coordinating Agencies:

Department of Defense
Department of Homeland Security/Information Analysis and Infrastructure Protection/National Cyber Security Division
Department of Justice

Cooperating Agencies:

Department of Commerce
Department of Energy
Department of Homeland Security
Department of State
Department of Transportation
Department of the Treasury
Intelligence Community
National Institute of Standards and Technology
Office of Management and Budget

Introduction

Purpose

This annex discusses policies, organization, actions, and responsibilities for a coordinated, multidisciplinary, broad-based approach to prepare for, respond to, and recover from cyber-related Incidents of National Significance impacting critical national processes and the national economy.

Scope

This annex describes the framework for Federal cyber incident response coordination among Federal departments and agencies and, upon request, State, local, tribal, and private-sector entities. The Cyber Incident Annex is built primarily upon the National Cyberspace Security Response System (NCSRS), described in the National Strategy to Secure Cyberspace. The NCSRS is a public-private architecture that provides mechanisms for rapid identification, information exchange, response, and remediation to mitigate the damage caused by malicious cyberspace activity.

This framework may be utilized in any Incident of National Significance with cyber-related issues, including significant cyber threats and disruptions; crippling cyber attacks against the Internet or critical infrastructure information systems; technological emergencies; or Presidentially declared disasters.

This annex describes the specialized application of the National Response Plan (NRP) to cyber-related Incidents of National Significance. Cyber-related Incidents of National Significance may result in activation of both ESF #2 – Communications and the Cyber Incident Annex.

When processes in both annexes are activated, the Department of Homeland Security/Information Analysis and Infrastructure Protection/National Cyber Security Division (DHS/IAIP/NCSD) continues its responsibilities under this annex and also fulfills its responsibilities as described in ESF #2.

Policies

- The procedures discussed in this annex are governed by Federal Government cyber security principles.
- This annex complements the National Plan for Telecommunications Support in Non-Wartime Emergencies, hereafter referred to as the National Telecommunications Support Plan (NTSP).
- This annex is implemented within the framework and operating principles of the NRP and pursuant to the following authorities:
  - The Enhancement of Non-Federal Cyber Security, The Homeland Security Act (Section 223 of P.L. 107-276)

- Homeland Security Presidential Directive-5 (HSPD-5)
- Homeland Security Presidential Directive-7 (HSPD-7)
- Federal Information Security Management Act (FISMA)
- Executive Order 12472: The Assignment of National Security Emergency Preparedness Responsibilities for Telecommunications
- Section 706, Communications Act of 1934, as amended (47 U.S.C. 606)
- The Defense Production Act of 1950, as amended
- National Security Act of 1947, as amended
- National Security Directive 42: National Policy for the Security of National Security Telecommunications and Information Systems
- Executive Order 12333: United States Intelligence Activities, as amended
- National Strategy to Secure Cyberspace

Concept of Operations

General

A cyber-related Incident of National Significance may take many forms: an organized cyber attack, an uncontrolled exploit such as a virus or worm, a natural disaster with significant cyber consequences, or other incidents capable of causing extensive damage to critical infrastructure or key assets.

Large-scale cyber incidents may overwhelm government and private-sector resources by disrupting the Internet and/or taxing critical infrastructure information systems. Complications from disruptions of this magnitude may threaten lives, property, the economy, and national security. Rapid identification, information exchange, investigation, and coordinated response and remediation often can mitigate the damage caused by this type of malicious cyberspace activity.

The Federal Government plays a significant role in managing intergovernmental (Federal, State, local, and tribal) and, where appropriate, public-private coordination in response to cyber Incidents of National Significance. Federal Government responsibilities include:

- Providing indications and warning of potential threats, incidents, and attacks;
- Information-sharing both inside and outside the government, including best practices, investigative information, coordination of incident response, and incident mitigation;
- Analyzing cyber vulnerabilities, exploits, and attack methodologies;
- Providing technical assistance;
- Conducting investigations, forensics analysis, and prosecution;
- Attributing the source of cyber attacks;
- Defending against the attack; and
- Leading national-level recovery efforts.

These activities are the product of, and require, a concerted effort by Federal, State, local, and tribal governments, and nongovernmental entities such as private industry and academia.

Organization

Interagency Incident Management Group (IIMG): Upon notification of a potential or actual incident, the Secretary of Homeland Security may activate the IIMG. The IIMG is tailored with required DHS components and Federal departments for a cyber incident. The National Cyber Response Coordination Group (NCRCG) provides subject-matter expertise related to the cyber threat, analysis, and recommendations to the IIMG.

National Cyber Response Coordination Group: The NCRCG is comprised of senior representatives from Federal agencies that have roles and responsibilities related to preventing, investigating, defending against, responding to, mitigating, and assisting in the recovery from cyber incidents and attacks. In the event of a cyber-related Incident of National Significance requiring Federal response and interagency coordination, the NCRCG is convened to harmonize operational efforts and facilitate information-sharing.

The NCRCG is an interagency forum where organizations responsible for a range of activities (technical response and recovery, law enforcement, intelligence, and defensive measures) coordinate for the purposes of preparing for and executing an efficient and effective response to an incident.

The NCRCG performs the following functions:

- Provides input to member agency and department heads and the IIMG on cyber security issues, incidents, and threats;
- Assists in reviewing threat assessments and providing strategic situational awareness and decision support across the national cyber incident management spectrum, including prevention, preparedness, response, and recovery;
- Synthesizes information, frames policy issues, and recommends actions—including use or allocation of Federal resources—for agency and department heads, the IIMG, and other appropriate officials; and
- As appropriate, supports the Executive Office of the President.

During actual or potential Incidents of National Significance, the NCRCG coordinates with the Homeland Security Operations Center (HSOC) in disseminating critical information to and from government and nongovernment sources such as information-sharing mechanisms, academia, industry, and the public. The NCRCG leverages existing resources of DHS/IAIP/NCSD/U.S. Computer Emergency Readiness Team (US-CERT) in this coordination and outreach activity.

- **U.S. Computer Emergency Readiness Team:** The US-CERT, in coordination with the Office of Management and Budget (OMB), coordinates warnings among Federal departments and agencies. The US-CERT maintains a 24/7 operations center with connectivity to all major Federal cyber operations centers and private-sector Internet service providers, information-sharing mechanisms, and vendors. The US-CERT, in concert with the HSOC, acts as a focal point to collect and disseminate, to the appropriate audiences, information received from public and private sector sources. Also, DHS/IAIP/NCSD/US-CERT provides technical and operational support to the IIMG, and interacts with private and public sectors on a continuous basis throughout the extent of the incident.
- **Intelligence Community – Incident Response Center (IC-IRC):** The Intelligence Community operates the IC-IRC, a 24/7 operation that facilitates the sharing of cyber event information among members of the Intelligence Community in order to protect the Intelligence Community's ability to collect, analyze, and disseminate intelligence via its networks. The IC-IRC is responsible for coordinating with other incident response organizations including US-CERT and the HSOC, enabling such organizations to leverage the Intelligence Community's analytic capabilities for providing advanced indications of potential threats.
- **Department of Defense (DOD):** DOD operates a network of Computer Emergency Response Teams which are staffed 24/7. These teams are coordinated by the Joint Task Force–Global Network Operations (JTF-GNO) to identify, mitigate, and, if necessary, respond to cyber attacks. U.S. Strategic Command (USSTRATCOM) and JTF-GNO also provide continuous intelligence analysis of cyber threats. Finally, the Law Enforcement/Counter Intelligence Center, located at the JTF-GNO, brings together DOD's law enforcement and counterintelligence organizations in response to cyber incidents.

Actions

Pre-Incident

Federal departments and agencies maintain computer incident response capabilities that can rapidly respond to cyber incidents on their networks, including events of prolonged duration. Law enforcement, the Intelligence Community, and DOD also maintain mechanisms that improve the Nation's readiness to address cyber incidents. The Department of Justice (DOJ) has a network of prosecutors trained in handling cybercrime. The Federal Bureau of Investigation (FBI) and the U.S. Secret Service (DHS/USSS) have agents that specialize in high-tech investigations. Law enforcement's international cybercrime network enables investigators rapidly to obtain electronic data and evidence from foreign countries.

Notification and Activation Procedures

Procedures in this annex are implemented when it is determined that a cyber-related Incident of National Significance is imminent or underway. The NCRCG is convened and immediately notifies the DHS/IAIP/NCS. Notification is made through established communications channels that exist between the Federal Government, nongovernmental entities, and the public. Such channels of communication include:

- **National Cyber Alert System:** This system provides an infrastructure, managed by US-CERT, for relaying timely and actionable computer security update and warning information to all users.

- **Homeland Security Information Network (HSIN) Joint Regional Information Exchange System:** This communications network provides States and major urban areas real-time interactive connectivity with the HSOC through a secure system carrying information on a Sensitive-but-Unclassified (SBU) level to all users.

- **Homeland Security Operations Center:** This is the primary national-level hub for domestic incident management communications and operations.

- **Cyber Warning Information Network:** This network provides out-of-band (i.e., not dependent on Internet or PSTN) connectivity to government and industry participants. The network is engineered to provide a reliable and survivable network capability.

- **HSIN/US-CERT Portal:** This is a secure collaboration tool for private and public sectors to actively converse about cyber security vulnerabilities, exploits, and incidents in a trusted environment among and between members.

- **US-CERT Public Web Site:** This Web site provides the primary means for US-CERT to convey information to the public at large. The site includes relevant and current information on cyber security issues, current cyber activity, and vulnerability resources.

Initial Actions

DHS/IAIP/NCSD, other elements of DHS, the Intelligence Community, FBI, DOD, and other Government agencies work closely together in the NCRCG and individually to coordinate response during a cyber incident or attack, identify those responsible, and otherwise respond appropriately.

When a cyber Incident of National Significance occurs, DHS/IAIP/NCSD, through the NCRCG, coordinates with the National Communications System (NCS) and supports the Joint Telecommunications Resources Board (JTRB).

The US-CERT Operations Center tracks potential cyber incidents and, when warranted, reports them to the NCRCG. The NCRCG notifies the HSOC of cyber-related incidents. The NCRCG, in coordination with the IIMG, makes recommendations to the Secretary of Homeland Security, who is responsible for designating Incidents of National Significance. The activities described in this annex are implemented when a cyber-related Incident of National Significance is imminent or underway.

Ongoing Actions

DHS coordinates technical and other assistance with and/or to other Federal agencies and, upon request, to the State, local, and tribal governments and the private sector for response to major failures of critical information systems. Requests for Federal assistance are handled as described in section V of the NRP.

Challenges and Considerations

The response to and recovery from a cyber Incident of National Significance must take into account existing challenges to the effective management of significant cyber incidents and the resulting physical effects of such cyber incidents and of cyber consequences of physical incidents. Such consideration allows resources to be appropriately channeled into resolving identified challenges. Identifiable challenges include:

- **Management of Multiple Cyber Events:** The occurrence or threat of multiple cyber incidents may significantly hamper the ability of responders to adequately manage the cyber incident. Strategic planning and exercises should be conducted to assist in addressing this problem.

- **Availability and Security of Communications:** A debilitating infrastructure attack could impede communications needed for coordinating response and recovery efforts. A secure, reliable communications system is needed to enable public and private-sector entities to coordinate efforts in the event that routine communications channels are inoperable.

- **Availability of Expertise and Surge Capacity:** Federal agencies must ensure that sufficient technical expertise is developed and maintained within the Government to address the wide range of ongoing cyber attacks and investigations. In addition, the ability to surge technical and analytical capabilities in response to cyber incidents that may occur over a prolonged period must be planned for, exercised, and maintained.

- **Coordination With the Private Sector:** Cyberspace is largely owned and operated by the private sector; therefore, the authority of the Federal Government to exert control over activities in cyberspace is limited.

Responsibilities

Coordinating Agencies

Apart from the NCRCG, certain Federal departments and agencies have core roles and responsibilities related to securing cyberspace and coordinating incident response.

Department of Defense	DOD entities responsible for computer security and computer network defense may exercise those duties in support of the national response effort in four primary roles: 1) Defense Support of Civil Authorities; 2) intelligence and information-sharing; 3) law enforcement investigations; and 4) military operations to defend the homeland. DOD capabilities include Intelligence components (the National Security Agency, the Defense Intelligence Agency, the National Geospatial-Intelligence Agency, the National Reconnaissance Organization, and military intelligence components), Defense criminal investigative organizations (law enforcement and counterintelligence), Network Operation Security Centers, and Computer Emergency Response Teams. These entities, in cooperation with other Federal entities, as appropriate, provide attack sensing and warning capabilities, gather and analyze information to characterize the attack and to gain attribution of the cyber threat, participate in information-sharing, offer mitigation techniques, perform network intrusion diagnosis and provide technical expertise. DOD capabilities also include military operational units, which defend the DOD global information grid. DOD can take action to deter or defend against cyber attacks which pose an imminent threat to national security, as authorized by applicable law and policy.
Department of Homeland Security/Infrastructure Analysis and Infrastructure Protection/National Cyber Security Division	DHS/IAIP/NCSD is a focal point for the security of cyberspace for purposes of analysis, warning, information-sharing, vulnerability reduction, mitigation, and aiding national recovery efforts for critical infrastructure information systems. It facilitates interactions and collaborations (with the exception of investigation and prosecution of cybercrime, military operations to defend the homeland, or other activities identified below) between and among the Federal departments and agencies; State, local, and tribal governments; the private sector; and international organizations. Other Federal departments and agencies with cyber expertise collaborate with and support DHS in accomplishing its mission. DHS/IAIP/NCSD is responsible for preparation for and response to cyber threats, vulnerabilities, and incidents and works closely with the DHS/IAIP/NCS and DHS/USSS in its prevention and protection role. DHS/IAIP/NCSD supports DOJ and other Federal law enforcement agencies in their mission to investigate and prosecute threats to and attacks against cyberspace. DHS/IAIP/NCSD also reports to the Secretary of Homeland Security and the Executive Office of the President, as appropriate, regarding coordination and response related to cyber incidents. DHS/IAIP/NCSD coordinates with the Department of State (DOS) on the notification and resolution of incidents with foreign governments. DHS and DOS coordinate with the interagency community to work with foreign countries and international organizations to strengthen the protection of U.S. critical information infrastructures and those foreign critical information infrastructures on which the United States relies.

Department of Justice/Federal Bureau of Investigation	DOJ and the FBI, working with other law enforcement agencies, lead the national effort to investigate and prosecute cybercrime. The Attorney General has lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States, or directed at U.S. citizens or institutions abroad, where such acts are within the Federal criminal jurisdiction of the United States. DOJ, in cooperation with other Federal departments and agencies engaged in activities to protect national security, also coordinates the activities of the other members of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the United States. DOJ, working with other law enforcement agencies and the intelligence community, uses its authorities to attribute the source of a cyber attack. Among other things, DOJ works with the private sector in regard to the prevention, investigation, and prosecution of cybercrime. DOJ coordinates with DHS to provide domestic investigative information relevant to DHS analysis of the vulnerability of the cyber infrastructure to terrorist attack or to DHS analysis of terrorist threats against the cyber infrastructure.

Cooperating Agencies

Department of Homeland Security/U.S. Secret Service	DHS/USSS works with the FBI and other law enforcement agencies in helping to lead the national effort to investigate and prosecute cybercrime. DHS/USSS coordinates with DOJ to assist in providing domestic investigative information used in DHS analysis of the vulnerability of the cyber infrastructure to terrorist attacks.
Department of State	DOS coordinates, in conjunction with DHS/IAIP/NCSD, Federal Government efforts in the development and implementation of foreign policies related to cyberspace security. DOS engages in the following activities to support U.S. national cyber security goals and objectives: ▪ Chairs the interagency International Critical Infrastructure Protection Working Group. This group serves as an interagency coordination mechanism on international cyber security matters of a bilateral, multilateral, or international nature. ▪ Participates as a member of the NCRCG to provide advice and assistance on the foreign policy issues related to a cyber incident of national significance. ▪ Manages a cable/message address collective available for use to notify senior foreign leaders of 30 allied and like-minded nations of cyber incidents of international significance. This collective is a vehicle by which the United States can notify senior national-level personnel in select foreign governments of impending cyber incidents; it complements the technical watch and warning notifications distributed by US-CERT.

The Intelligence Community	The Intelligence Community, through the IC-IRC, coordinates and shares information with DOD, US-CERT, and other incident response organizations in order to safeguard the integrity of Intelligence Community networks. The IC-IRC uses procedures to ensure that the Director of Central Intelligence and the President are kept informed of any activity that could jeopardize the ability of the Intelligence Community to accomplish its mission. In the event of a cyber emergency, the Intelligence Community exercises its authorities and uses its resources and expertise to provide foreign threat-based analysis and to assist in efforts to gain attribution regarding a cyber attack.
Other Cooperating Agencies	Other Federal departments and agencies, listed as cooperating agencies, provide cyber-related expertise in support of this annex as requested.

Other Federal Entities

Office of Science and Technology Policy	The Director, Office of Science and Technology Policy (OSTP), is responsible for the coordination of planning for and provision of national security and emergency preparedness communications for the Federal Government under all circumstances, including crisis or emergency, attack, recovery, and reconstitution. The Director, OSTP, chairs the JTRB, which brings together Federal communications policymakers with key authorities during an Incident of National Significance involving communications. The communications-related responsibilities and authorities for OSTP are found in the Communications Act of 1934, Executive Order 12472, ESF #2, and the NTSP.
Homeland Security Council/National Security Council	The Assistant to the President for Homeland Security and the Assistant to the President for National Security Affairs provide interagency policy coordination for domestic and international incident management, respectively, as directed by the President.
Office of Management and Budget	OMB, through the Federal Information Security Management Act (FISMA) requirements and with the assistance of US-CERT, chief information officers, and the departments' and agencies' Inspectors General, ensures that the departments and agencies properly employ continuity and recovery plans in response to a cyber incident.
Sector-Specific Agencies	The heads of all Federal departments and agencies, as directed by HSPD-5 and HSPD-7, provide their full and prompt cooperation, resources, and support, as consistent with law, policy, and their own responsibilities for protecting national security.

Other Entities

State, Local, and Tribal Governments	The Federal Government uses available homeland security, emergency management, and other information-sharing mechanisms to provide centrally coordinated sharing of security intelligence and information to the States. In addition, in the event of a cyber Incident of National Significance, State, local, and tribal government entities are encouraged to activate their incident management/response support architecture and coordinate through the national incident management structure, to include requests for the provision of additional resources to address the incident. The ability of States to quickly and effectively augment local response operations may be enhanced through participation in the development of venue-specific cyber incident response plans that include a coordinated advance strategy for receiving, deploying, and/or utilizing preidentified State resources. DHS can assist in the creation of such plans.
Nongovernmental Entities	The Federal Government recognizes that the private and nongovernmental sectors play a central role in preventing, preparing for, responding to, and recovering from cyber incidents. Consequently, the Federal Government, primarily through DHS, maintains multiple lines of communication with the private and nongovernmental sectors to permit the ongoing exchange of vital security information. Information-sharing mechanisms allow critical sectors to share information and to work together to better protect infrastructures across all sectors of society. Through information-sharing mechanisms and associations, information about network vulnerabilities and effective solutions, as well as information related to threats and ways to protect against those threats, is provided to the private and nongovernmental sectors to assist them in achieving a higher level of critical infrastructure protection. In the event of a cyber incident, the Federal Government continues to work with the private sector in a coordinated response. DHS/IAIP/NCSD serves as a focal point for cyberspace security and facilitates interactions and collaborations with nongovernmental and private-sector entities for purposes of analysis, warning, information-sharing, vulnerability reduction, mitigation, and aiding national recovery efforts for critical infrastructure information systems. The private sector and academia use many security mechanisms and have their own internal cyber security management systems. However, widespread cyber disruption requires high levels of cooperation and sector-specific and cross-sector collaboration. Therefore, the private sector and academia are encouraged to work with sector-specific agencies, information-sharing mechanisms, associations, DHS, and law enforcement through existing mechanisms to ensure that adequate collaboration is conducted. In addition, DOJ and law enforcement authorities continue to work with the private sector with respect to prevention, investigation, and prosecution of cybercrime. For example, entities such as InfraGard and the Electronic Crime Task Forces (ECTFs) work to improve and extend information-sharing between private industry and government (particularly FBI and DHS/USSS, respectively) regarding critical infrastructures. InfraGard and the ECTFs promote ongoing dialogue and timely communication between private industry and Federal law enforcement and enable industry to protect assets and provide information to the Government that can help prevent terrorism and other crimes.

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Nuclear/Radiological Incident Annex

Coordinating Agencies:

Department of Defense
Department of Energy
Department of Homeland Security
Environmental Protection Agency
National Aeronautics and Space Administration
Nuclear Regulatory Commission

Cooperating Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of Housing and Urban Development
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of Veterans Affairs
Environmental Protection Agency
General Services Administration
Nuclear Regulatory Commission
American Red Cross

Introduction

Purpose

The Nuclear/Radiological Incident Annex provides an organized and integrated capability for a timely, coordinated response by Federal agencies to terrorist incidents involving nuclear or radioactive materials (Incidents of National Significance), and accidents or incidents involving such material that may or may not rise to the level of an Incident of National Significance. The Department of Homeland Security (DHS) is responsible for overall coordination of all actual and potential Incidents of National Significance, including terrorist incidents involving nuclear materials.

This annex describes how the coordinating agencies and cooperating agencies support DHS's overall coordination of the response to a nuclear/ radiological Incident of National Significance. In addition, this annex describes how the coordinating agencies lead the response to incidents of lesser severity. [1]

The actions described in this annex may be implemented: (1) concurrently with, and as an integral part of, the National Response Plan (NRP) for all nuclear/radiological incidents or accidents considered to be Incidents of National Significance; or (2) independently for all other nuclear/ radiological accidents or incidents considered to be below the threshold of an Incident of National Significance and, therefore, not requiring overall Federal coordination by DHS.

[1] Nuclear/radiological incidents of "lesser severity" are considered below the threshold of an Incident of National Significance, as determined by DHS, and vary from lost radiography sources or discovery of orphan radiological sources to incidents/emergencies at nuclear power plants below the classification of General Emergency, as defined by the cognizant regulatory agency (e.g., Department of Energy (DOE) or Nuclear Regulatory Commission (NRC)).

Scope

This annex applies to nuclear/radiological incidents, including sabotage and terrorist incidents, involving the release or potential release of radioactive material that poses an actual or perceived hazard to public health, safety, national security, and/or the environment. This includes terrorist use of radiological dispersal devices (RDDs) or improvised nuclear devices (INDs) as well as reactor plant accidents (commercial or weapons production facilities), lost radioactive material sources, transportation accidents involving nuclear/ radioactive material, and foreign accidents involving nuclear or radioactive material.

The level of Federal response to a specific incident is based on numerous factors, including the ability of State, local, and tribal officials to respond; the type and/or amount of radioactive material involved; the extent of the impact or potential impact on the public and environment; and the size of the affected area.

In situations where threat analysis includes indications that a terrorist incident involving radiological materials could occur, actions are coordinated in accordance with the pre-incident prevention protocols set forth in the NRP Base Plan.

This annex:

- Provides planning guidance and outlines operational concepts for the Federal response to any nuclear/radiological incident, including a terrorist incident, that has actual, potential, or perceived radiological consequences within the United States or its territories, possessions, or territorial waters, and that requires a response by the Federal Government. This includes both Incidents of National Significance and incidents of lesser severity;

- Acknowledges the unique nature of a variety of nuclear/radiological incidents and the responsibilities of Federal, State, local, and tribal governments to respond to them;

- Describes Federal policies and planning considerations on which this annex and Federal agency-specific nuclear/radiological response plans are based;

- Specifies the roles and responsibilities of Federal agencies for preventing, preparing for, responding to, and recovering from nuclear/radiological incidents;

- Includes guidelines for notification, coordination, and leadership of Federal activities, and coordination of public information, congressional relations, and international activities; and

- Provides protocols for coordinating Federal Government capabilities to respond to radiological incidents. These capabilities include, but are not limited to:

  - The Interagency Modeling and Atmospheric Assessment Center (IMAAC), which is responsible for production, coordination, and dissemination of consequence predictions for an airborne hazardous material release;

  - The Federal Radiological Monitoring and Assessment Center (FRMAC), established at or near the scene of an incident to coordinate radiological assessment and monitoring; and

  - The Advisory Team for Environment, Food, and Health (known as "the Advisory Team"), which provides expert recommendations on protective action guidance.

  More information on these capabilities is included in subsequent sections of this annex.

Policies

- DHS coordinates the overall Federal Government response to radiological Incidents of National Significance in accordance with Homeland Security Presidential Directive-5 and the NRP. In the NRP Base Plan, Figure 4, Structure for NRP Coordination: Terrorist Incident, illustrates the organizational framework that DHS utilizes to respond to terrorist incidents. In the NRP Base Plan, Figure 5, Structure for NRP Coordination: Federal-to-Federal Support, illustrates the organizational framework that DHS utilizes to respond to nonterrorist Incidents of National Significance.

- The NRP supersedes the Federal Radiological Emergency Response Plan, dated May 1, 1996.

- The concept of operations described in this annex recognizes and addresses the unique challenges associated with and the need for specialized technical expertise/actions when responding to RDD/IND incidents with potentially catastrophic consequences.

- DHS, as the overall incident manager for Incidents of National Significance, is supported by coordinating agencies and cooperating agencies. Coordinating agencies have specific nuclear/radiological technical expertise and assets for responding to the unique characteristics of these types of incidents. Coordinating agencies facilitate the nuclear/ radiological aspects of the response in support of DHS. For any given incident, the coordinating agency is the Federal agency that owns, has custody of, authorizes, regulates, or is otherwise designated responsibility for the nuclear/ radioactive material, facility, or activity involved in the incident. The coordinating agency is represented in the Joint Field Office (JFO) Coordination Group, the Interagency Incident Management Group (IIMG), and the Homeland Security Operations Center (HSOC). The coordinating agency is also represented in other response centers and entities, as appropriate for the specific incident.

- Coordinating agencies are also responsible for leading the Federal response to nuclear/ radiological incidents of lesser severity (those incidents that do not reach the level of an Incident of National Significance).

- Coordinating agencies may use the structure of the NRP to carry out their response duties, or any other structure consistent with the National Incident Management System (NIMS) capable of providing the required support to the affected State, local, or tribal government.

- Cooperating agencies include other Federal agencies that provide technical and resource support to DHS and the coordinating agencies. These agencies are represented in the IIMG, the HSOC, and other response centers and entities, as appropriate for the specific incident. They may or may not be represented in the JFO Coordination Group.

- DHS/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA) is responsible for maintaining and updating this annex. DHS/EPR/FEMA accomplishes this responsibility through the Federal Radiological Preparedness Coordinating Committee (FRPCC).

- The Attorney General, generally acting through the Federal Bureau of Investigation (FBI), has lead responsibility for criminal investigations of terrorist acts or terrorist threats and for coordinating activities of other members of the law enforcement community to detect, prevent, preempt, investigate, and disrupt terrorist attacks against the United States, including incidents involving nuclear/radioactive materials, in accordance with the following:

  - The Atomic Energy Act directs the FBI to investigate all alleged or suspected criminal violations of the act. Additionally, the FBI legally is responsible for locating any illegally diverted nuclear weapon, device, or material and for restoring nuclear facilities to their rightful custodians. In view of its unique responsibilities under the Atomic Energy Act (amended by the Energy Reorganization Act), the FBI has concluded formal agreements with the coordinating agencies that provide for interface, coordination, and technical support for the FBI's law enforcement and criminal investigative efforts.

  - Generally, for nuclear facilities and materials in transit, the designated coordinating agency and cooperating agencies perform the functions delineated in this annex and provide technical support and assistance to the FBI in the performance of its law enforcement and criminal investigative mission. Those agencies supporting the FBI additionally coordinate and manage the technical portion of the response and activate/request assistance under this annex for measures to protect the public health and safety. In all cases, the

FBI manages and directs the law enforcement and intelligence aspects of the response, while coordinating its activities with appropriate Federal, State, local, and tribal governments within the framework of this annex, and/or as provided for in established interagency agreements or plans. Further details regarding the FBI response are outlined in the Terrorism Incident Law Enforcement and Investigation Annex.

- All Federal nuclear/radiological assistance capabilities outlined in this annex are available to support the Federal response to a terrorist threat, whether or not the threat develops into an actual incident.

- When the concept of operations in this annex is implemented, existing interagency plans that address nuclear/radiological incident management are incorporated as supporting plans and/or operational supplements (e.g., the National Oil and Hazardous Substances Pollution Contingency Plan (NCP)).

- This annex does not create any new authorities nor change any existing ones.

- Nothing in this annex alters or impedes the ability of Federal departments and agencies to carry out their specific authorities and perform their responsibilities under law.

- Some Federal agencies are authorized to respond directly to certain incidents affecting public health and safety. In these cases, procedures outlined in this annex may be used to coordinate the delivery of Federal resources to State, local, and tribal governments, and to coordinate assistance among Federal agencies for incidents that can be managed without the need for DHS coordination (i.e., incidents below the threshold of an Incident of National Significance).

- The owner/operator of a nuclear/radiological facility primarily is responsible for mitigating the consequences of an incident, providing notification and appropriate protective action recommendations to State, local, and/or tribal government officials, and minimizing the radiological hazard to the public. The owner/operator has primary responsibility for actions within the facility boundary and may also have responsibilities for response and recovery activities outside the facility boundary under applicable legal obligations (e.g., contractual; licensee; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA)).

- State, local, and tribal governments primarily are responsible for determining and implementing measures to protect life, property, and the environment in those areas outside the facility boundary or incident location. This does not, however, relieve nuclear/radiological facility or material owners/operators from any applicable legal obligations.

- State, local, and tribal governments and owners/operators of nuclear/radiological facilities or activities may request assistance directly from DHS, other Federal agencies, and/or State governments with which they have preexisting arrangements or relationships.

- Response to nuclear/radiological incidents affecting land owned by the Federal Government is coordinated with the agency responsible for managing that land to ensure that incident management activities are consistent with Federal statutes governing use and occupancy. In the case of tribal lands, tribal governments have a special relationship with the U.S. Government, and Federal, State, and local governments may have limited or no authority on specific tribal reservations. Further guidance is provided in the Tribal Relations Support Annex.

- Participating Federal agencies may take appropriate independent emergency actions within the limits of their own statutory authority to protect the public, mitigate immediate hazards, and gather information concerning the emergency to avoid delay.

- Departments and agencies are not reimbursed for activities conducted under their own authorities unless other agreements or reimbursement mechanisms exist (e.g., Stafford Act, Federal-to-Federal assistance).

- Federal coordination centers and agency teams provide their own logistical support consistent with agreed upon interagency execution plans. State, local, and tribal governments are encouraged to coordinate their efforts with the Federal effort, but maintain their own logistical support, consistent with applicable authorities and requirements.

- For radiological incidents involving a nuclear weapon, special nuclear material, and/or classified components, the agency with custody of the material (the Department of Defense (DOD), the Department of Energy (DOE), or the National Aeronautics and Space Administration (NASA)) may establish a National Defense Area (NDA) or National Security Area (NSA). NDAs and NSAs are established to safeguard classified information and/or restricted data, or equipment and material, and place non-Federal lands under Federal control for the duration of the incident. In the event radioactive contamination occurs, Federal officials coordinate with State and local officials to ensure appropriate public health and safety actions are taken outside the NDA or NSA.

Planning Assumptions

- Radiological incidents may not be immediately recognized as such until the radioactive material is detected or the effects of radiation exposure are manifested in the population.

- An act of radiological terrorism, particularly an act directed against a large population center within the United States, will have major consequences that can overwhelm the capabilities of many local, State, and/or tribal governments to respond and may seriously challenge existing Federal response capabilities.

- A radiological incident may include chemical or biological contaminants, which may require concurrent implementation of the NCP or other Federal plans and procedures.

- An incident involving the potential release of radioactivity may require implementation of protective measures.

- An expeditious Federal response is required to mitigate the consequences of the nuclear/radiological incident. Radiological Incidents of National Significance that result in significant impacts likely will trigger implementation of the NRP Catastrophic Incident Annex and Catastrophic Incident Supplement.

- The Federal Government response to radiological terrorist threats/incidents also includes the following assumptions:

  - If appropriate personal protective equipment and capabilities are not available and the area is contaminated by radioactive material, response actions in a contaminated area may be delayed until the material has dissipated to a safe level for emergency response personnel or until appropriate personal protective equipment and capabilities arrive, whichever is sooner;

  - The response to a radiological threat or actual incident requires an integrated Federal Government response;

  - In the case of a radiological terrorist attack, the effect may be temporarily and geographically dispersed, requiring response operations to be conducted over a multijurisdictional, multistate region; and

  - A radiological terrorist incident may affect a single location, or multiple locations, each of which may require an incident response and a crime scene investigation simultaneously.

Concept of Operations

General

This concept of operations is applicable to potential and actual radiological Incidents of National Significance requiring DHS coordination and other radiological incidents of lesser severity, utilizing the protocols delineated in this annex. For other radiological incidents of lesser severity, other Federal response plans (i.e., the NCP and/or agency-specific radiological incident response plans) may also be utilized, as appropriate.

Hazard-Specific Planning and Preparedness

Headquarters

- The Federal Radiological Policy Coordinating Committee (FRPCC) provides a national-level forum for the development and coordination of radiological prevention and preparedness policies and procedures. It also provides policy guidance for Federal radiological incident management activities in support of State, local and tribal government radiological emergency planning and preparedness activities. The FRPCC is an interagency body consisting of the coordinating and cooperating agencies discussed in this annex, chaired by DHS/EPR/FEMA. The FRPCC establishes subcommittees, as necessary.

- The FRPCC also coordinates research-study efforts of its member agencies related to State, local and tribal government radiological emergency preparedness to ensure minimum duplication and maximum benefits to State and local governments. The FRPCC coordinates planning and validating requirements of each agency, reviewing integration requirements and incorporating agency-specific plans, procedures, and equipment into the response system.

Regional: Regional Assistance Committees (RACs) in the DHS/EPR/FEMA regions serve as the primary coordinating structure at the Federal regional level. RAC membership mirrors that of the FRPCC, and RACs are chaired by a DHS/EPR/FEMA regional representative. Additionally, State emergency management agencies send representatives to RAC meetings and participate in regional exercise and training activities. The RACs provide a forum for information-sharing, consultation, and coordination of Federal regional awareness, prevention, preparedness, response, and recovery activities. The RACs also assist in providing technical assistance to State and local governments and evaluating radiological plans and exercises.

Coordinating Agencies and Cooperating Agencies

During a response to an Incident of National Significance, coordinating agencies and cooperating agencies provide technical expertise, specialized equipment, and personnel in support of DHS, which is responsible for overall coordination of incident management activities. Coordinating agencies have primary responsibilities for Federal activities related to the nuclear/radiological aspects of the incident.

The coordinating agency is that Federal agency which owns, has custody of, authorizes, regulates, or is otherwise deemed responsible for the radiological facility or activity involved in the incident. The following paragraphs identify the coordinating agency for a variety of radiological incidents. For example, the Nuclear Regulatory Commission (NRC) is the coordinating agency for incidents involving nuclear facilities licensed by the NRC; DOE is the coordinating agency for incidents involving the transportation of radioactive materials shipped by or for DOE. Table 1 identifies the coordinating agency for a variety of radiological incidents.

Radiological Terrorism Incidents:

- The coordinating agency provides technical support to DHS, which has overall responsibility for domestic incident management, and to the FBI, which has the lead responsibility for criminal investigations of terrorist acts or terrorist threats. The FBI also is responsible for coordinating activities of other members of the law enforcement community to detect, prevent, preempt, investigate, and disrupt terrorist attacks against the United States, including incidents involving nuclear/radioactive materials (e.g. RDD/IND incidents).

TABLE 1. Coordinating agencies

Note: DHS is responsible for the overall coordination of incident management activities for all nuclear or radiological Incidents of National Significance, including those involving terrorism.

Type of Incident	Coordinating Agency
a. Radiological terrorism incidents (e.g., RDD/IND or radiological exposure device): (1) Material or facilities owned or operated by DOD or DOE (2) Material or facilities licensed by NRC or Agreement State (3) All others	 (1) DOD or DOE (2) NRC (3) DOE
b. Nuclear facilities: (1) Owned or operated by DOD or DOE (2) Licensed by NRC or Agreement State (3) Not licensed, owned, or operated by a Federal agency or an Agreement State, or currently or formerly licensed facilities for which the owner/operator is not financially viable or is otherwise unable to respond	 (1) DOD or DOE (2) NRC (3) EPA
c. Transportation of radioactive materials: (1) Materials shipped by or for DOD or DOE (2) Shipment of NRC or Agreement State-licensed materials (3) Shipment of materials in certain areas of the coastal zone that are not licensed or owned by a Federal agency or Agreement State (see USCG list of responsibilities for further explanation of "certain areas") (4) All others	 (1) DOD or DOE (2) NRC (3) DHS/USCG (4) EPA
d. Space vehicles containing radioactive materials: (1) Managed by NASA or DOD (2) Not managed by DOD or NASA impacting certain areas of the coastal zone (3) All others	 (1) NASA or DOD (2) DHS/USCG (3) EPA
e. Foreign, unknown or unlicensed material: (1) Incidents involving foreign or unknown sources of radioactive material in certain areas of the coastal zone (2) All others	 (1) DHS/USCG (2) EPA
f. Nuclear weapon accident/incident (based on custody at time of event)	DOD or DOE
Other types of incidents not otherwise addressed above	DHS designates

- For radiological terrorism incidents involving materials or facilities owned or operated by DOD or DOE, DOD or DOE is the coordinating agency, as appropriate.

- For radiological terrorism incidents involving materials or facilities licensed by the NRC or Agreement States, the NRC is the coordinating agency.

- For all other radiological terrorist incidents, DOE is the coordinating agency. The coordinating agency role transitions from DOE to the Environmental Protection Agency (EPA) for environmental cleanup and site restoration at a mutually agreeable time, and after consultation with State, local, and tribal governments, the cooperating agencies, and the JFO Coordination Group.

Nuclear Facilities:

- The NRC is the coordinating agency for incidents that occur at fixed facilities or activities licensed by the NRC or an Agreement State. These include, but are not limited to, commercial nuclear power plants, fuel cycle facilities, DOE-owned gaseous diffusion facilities operating under NRC regulatory oversight, independent spent fuel storage installations, radiopharmaceutical manufacturers, and research reactors.

- DOD or DOE is the coordinating agency for incidents that occur at facilities or vessels under their jurisdiction, custody, or control. These incidents may involve reactor operations, nuclear material, weapons production, radioactive material from nuclear weapons or munitions, or other radiological activities.

- EPA is the coordinating agency for incidents that occur at facilities not licensed, owned, or operated by a Federal agency or an Agreement State, or currently or formerly licensed facilities for which the owner/operator is not financially viable or is otherwise unable to respond.

Transportation of Radioactive Materials:

- Either DOD or DOE is the coordinating agency for transportation incidents involving DOD or DOE materials, depending on which of these agencies has custody of the material at the time of the incident.

- The NRC is the coordinating agency for transportation incidents that involve radiological material licensed by the NRC or an Agreement State.

- DHS/U.S. Coast Guard (DHS/USCG) is the coordinating agency for the shipment of materials in certain areas of the coastal zone that are not licensed or owned by a Federal agency or Agreement State.

- EPA is the coordinating agency for shipment of materials in other areas of the coastal zone and in the inland zone that are not licensed or owned by a Federal agency or an Agreement State.

Space Vehicles Containing Radioactive Materials:

- NASA is the coordinating agency for missions involving NASA space vehicles or joint space vehicles with significant NASA involvement. DOD is the coordinating agency for missions involving DOD space vehicles or joint space vehicles with significant DOD involvement. A joint venture is an activity in which the U.S. Government has provided extensive design/financial input; has provided and maintains ownership of instruments, spacecraft, or the launch vehicle; or is intimately involved in mission operations. A joint venture is not created by simply selling or supplying material to a foreign country for use in its spacecraft.

- DHS/USCG is the coordinating agency for space vehicles not managed by DOD or NASA impacting certain areas of the coastal zone.

- EPA is the coordinating agency for all other space vehicle incidents involving radioactive material.

Foreign, Unknown, or Unlicensed Material: EPA or DHS/USCG is the coordinating agency depending on the location of the incident. DHS/USCG is the coordinating agency for incidents involving foreign or unknown sources of radioactive material in certain areas of the coastal zone. EPA is the coordinating agency for all other incidents involving foreign, unknown, or unlicensed radiological sources that have actual, potential, or perceived radiological consequences in the United States or its territories, possessions, or territorial waters. The foreign or unlicensed source may be a reactor, a spacecraft containing radioactive material, imported radioactively contaminated material, or a shipment of foreign-owned radioactive material. Unknown sources of radioactive material, also termed "orphan sources," are those materials whose origin and/or radiological nature are not yet established. These types of sources include contaminated scrap metal or abandoned radioactive material.

Other Types of Incidents: For other types of incidents not covered above, DHS, in consultation with the other coordinating agencies, designates a coordinating agency. If DHS determines that it is an Incident of National Significance, DHS is responsible for overall coordination and the designated coordinating agency assumes responsibilities as the coordinating agency.

Notification Procedures

- The owner/operator of a nuclear/radiological facility or owner/transporter of nuclear/ radiological material is generally the first to become aware of an incident and notifies State, local and tribal authorities and the coordinating agency.
- Federal, State, local, and tribal governments that become aware of a radiological incident from any source other than the coordinating agency notify the HSOC and the coordinating agency.
- The coordinating agency provides notification of a radiological incident to the HSOC and other coordinating agencies, as appropriate.
- Releases of hazardous materials that are regulated under the NCP (40 CFR part 302) are reported to the National Response Center.

Incident Actions

Headquarters: Incidents of National Significance

- Coordinating agencies and cooperating agencies report information and intelligence relative to situational awareness and incident management to the HSOC. Agencies with radiological response functions provide representatives to the HSOC, as requested.
- The coordinating agency and cooperating agencies, as appropriate, provide representation to the IIMG.
- Coordinating agencies and cooperating agencies provide representation to the National Response Coordination Center (NRCC), as appropriate.

Other Radiological Incidents

- For radiological incidents that are below the threshold of an Incident of National Significance but require Federal participation in the response, the coordinating agency coordinates the Federal response utilizing the procedures in this annex, agency-specific plans, and/or the NCP, as appropriate. The coordinating agency provides intelligence and information relative to the incident to the HSOC.
- The NRCC may be utilized to provide interagency coordination and Federal resource tracking, if needed.

Regional: Incidents of National Significance

- The coordinating agency provides representation to the JFO to serve as a Senior Federal Official within the JFO Coordination Group. Cooperating agencies may also be represented, as needed.
- The coordinating agency is part of the Unified Command, as defined by the NIMS, and coordinates Federal radiological response activities at appropriate field facilities.[2]

[2] Appropriate field facilities may include a JFO, Incident Command Post, Emergency Operations Center, Emergency Operations Facility, Emergency Control Center, etc.

Other Radiological Incidents: The coordinating agency coordinates Federal response operations at a designated field facility. Cooperating agencies may also be represented, as needed.

Response Functions: Primary radiological response functions are addressed in this section. An overview of specific DHS and coordinating agency response functions is provided in Table 2.

Table 2: DHS and coordinating agency response functions overview

Response Function	Incidents of National Significance	Other Radiological Incidents
a. Coordinate actions of Federal agencies related to the overall response.	DHS	Coordinating agency
b. Coordinate Federal activities related to response and recovery of the radiological aspects of an incident.	DHS and coordinating agency	Coordinating agency
c. Coordinate incident security.	DHS and coordinating agency	Coordinating agency
d. Ensure coordination of technical data (collection, analysis, storage, and dissemination).	DHS and coordinating agency	Coordinating agency
e. Ensure Federal protective action recommendations are developed and provide advice and assistance to State, local, and tribal governments.	DHS and coordinating agency	Coordinating agency
f. Coordinate release of Federal information to the public.	DHS	Coordinating agency
g. Coordinate release of Federal information to Congress.	DHS	Coordinating agency
h. Keep the White House informed on all aspects of an incident.	DHS	Coordinating agency
i. Ensure coordination of demobilization of Federal assets.	DHS	Coordinating agency

Response Coordination

Federal Agency Coordination

Incidents of National Significance	DHS is responsible for the overall coordination of Incidents of National Significance using elements described in the NRP Base Plan concept of operations.
Other Radiological Incidents	▪ The agency with primary responsibility for coordinating the Federal response to a radiological incident serves as the coordinating agency. ▪ The coordinating agency coordinates the actions of Federal agencies related to the incident utilizing this annex, agency-specific plans, and/or the NCP, as appropriate. ▪ Cooperating agencies provide technical and resource support, as requested by the coordinating agency. ▪ The coordinating agency may establish a field facility; assist State, local, and tribal response organizations; monitor and support owner/operator activities (when there is an owner or operator); provide technical support to the owner/operator, if requested; and serve as the principal Federal source of information about incident conditions.

Coordinating Radiological Aspects of an Incident

Incidents of National Significance	▪ DHS and the coordinating agency coordinate Federal activities related to responding to and recovering from the radiological aspects of an incident. They are assisted by cooperating agencies, as requested. ▪ The coordinating agency provides a hazard assessment of conditions that might have significant impact and ensures that measures are taken to mitigate the potential consequences.
Other Radiological Incidents	The coordinating agency coordinates Federal activities related to response and recovery of the radiological aspects of an incident, assisted by cooperating agencies, as requested.

Incident Security Coordination

Incidents of National Significance	DHS and the coordinating agency are responsible for coordinating security activities related to Federal response operations.
Other Radiological Incidents	The coordinating agency coordinates security activities related to Federal response operations.

Incident Security Coordination (Continued)

Incidents of National Significance and Other Radiological Incidents	▪ DOD, DOE, or NASA, as the appropriate coordinating agency, may establish NDAs or NSAs to safeguard classified information and/or restricted data, or equipment and material, and place non-Federal lands under Federal control for the duration of the incident. DOD, DOE, or NASA, as appropriate, coordinates security in and around these locations, as necessary. ▪ For incidents at other Federal or private facilities, the owner/operator provides security within the facility boundaries. If a release of radioactive material occurs beyond the facility boundaries, State, local, or tribal governments provide security for the release area. ▪ State, local, and tribal governments provide security for radiological incidents occurring on public lands (e.g., a transportation incident). ▪ If needed, ESF #13 – Public Safety and Security may be activated to provide supplemental security resources and capabilities.

Technical Data Management

Incidents of National Significance	▪ DHS and the coordinating agency approve the release of all data to State, local, and tribal governments. ▪ For incidents involving terrorism, the coordinating agency consults with other members of the JFO Coordination Group as issues arise regarding the sharing of sensitive information that may be needed, on a need-to-know basis, for responder and public safety. ▪ DHS and the coordinating agency, in consultation with the JFO Coordination Group and State, local, and tribal governments, determine if the severity of an incident warrants a request for Nuclear Incident Response Team (NIRT) assets. ▪ The IMAAC is responsible for production, coordination, and dissemination of consequence predictions for an airborne hazardous material release. The IMAAC generates the single Federal prediction of atmospheric dispersions and their consequences utilizing the best available resources from the Federal Government.
Other Radiological Incidents	The coordinating agency authorizes the release of all data to State, local, and tribal governments.

Technical Data Management (Continued)

Incidents of National Significance and Other Radiological Incidents	▪ The coordinating agency oversees the collection, analysis, storage, and dissemination of all technical data through the entire process. ▪ The coordinating agency is responsible for ensuring the sharing of all technical data, including outputs from the FRMAC, the Advisory Team, and the IMAAC, with all appropriate response organizations. ▪ Federal monitoring and assessment activities are coordinated with State, local, and tribal governments. Federal agency plans and procedures for implementing this activity are designed to be compatible with the radiological emergency planning requirements for State and local governments, specific facilities, and existing memorandums of understanding and interagency agreements. ▪ Prior to the on-scene arrival of the coordinating agency, Federal first responders may provide radiological monitoring and assessment data to State, local, and tribal governments as requested in support of protective action decisionmaking. Federal first responders also begin collecting data for transmission to the coordinating agency. If a FRMAC is established, the coordinating agency provides a mechanism for transmitting data to and from the FRMAC. Prior to the initiation of FRMAC operations, Federal first responders coordinate radiological monitoring and assessment data with the DOE Consequence Management Home Team (CMHT) or the Consequence Management Response Team (CMRT). (Note: A CMHT provides a reach-back capability to support the CMRT. The CMRT functions as an advance element of the FRMAC to establish contact with on-scene responders to coordinate Federal radiological monitoring and assessment activities.) ▪ DOE and other participating Federal agencies learn of an emergency when they are alerted to a possible problem or receive a request for radiological assistance. DOE maintains national and regional coordination offices as points of access to Federal radiological emergency assistance. Requests for Radiological Assessment Program (RAP) teams are generally directed to the appropriate DOE Regional Coordinating Office. All other requests for Federal radiological monitoring and assessment go directly to DOE's Emergency Operations Center (EOC) in Washington, DC. When other agencies receive requests for Federal radiological monitoring and assessment assistance, they notify the DOE EOC.

Technical Data Management (Continued)

Incidents of National Significance and Other Radiological Incidents (Continued)	▪ DOE may respond to a State or coordinating agency request for assistance by dispatching a RAP team. If the situation requires more assistance than a RAP team can provide, DOE alerts or activates additional resources. These resources can include the establishment of a FRMAC as the coordination center for Federal radiological assessment activities. DOE may respond with additional resources including the Aerial Measurement System (AMS) to provide wide-area radiation monitoring, Radiation Emergency Assistance Center/Training Site (REAC/TS) medical advisory teams, National Atmospheric Release Advisory Center (NARAC) support, or if the accident involves a U.S. nuclear weapon, the Accident Response Group (ARG). Federal and State agencies are encouraged to collocate their radiological assessment activities. Some participating Federal agencies have radiological planning and emergency responsibilities as part of their statutory authority, as well as established working relationships with State counterpart agencies. The monitoring and assessment activity, coordinated by DOE, does not alter these responsibilities but complements them by providing for coordination of the initial Federal radiological monitoring and assessment response activity. ▪ Responsibility for coordinating radiological monitoring and assessment activities may transition to EPA at a mutually agreeable time, and after consultation with State, local, and tribal governments, the coordinating agency, and the JFO Coordination Group.

Protective Action Recommendations

Incidents of National Significance	DHS and the coordinating agency oversee the development of Federal Protective Action Recommendations and provide advice and assistance to State, tribal, and local governments. Federal Protective Action Recommendations are developed by the Advisory Team, in conjunction with the coordinating agency. Federal Protective Action Recommendations may include advice and assistance on measures to avoid or reduce exposure of the public to radiation from a release of radioactive material. This includes advice on emergency actions such as sheltering, evacuation, and prophylactic use of potassium iodide. It also includes advice on long-term measures, such as restriction of food, temporary relocation, or permanent resettlement, to avoid or minimize exposure to residual radiation or exposure through the ingestion pathway.
Other Radiological Incidents	The coordinating agency, in consultation with the Advisory Team, develops and provides Protective Action Recommendations.
Incidents of National Significance and Other Radiological Incidents	State, local, and tribal governments are responsible for implementing protective actions as they deem appropriate.

Public Information Coordination

Incidents of National Significance and Other Radiological Incidents	DHS, in consultation with other agencies and the JFO Coordination Group oversees and manages the establishment of a Joint Information Center (JIC), if required.
Other Radiological Incidents	The coordinating agency may establish a JIC depending on the needs of the incident response.
Incidents of National Significance and Other Radiological Incidents	▪ Owners/operators and Federal, State, local, tribal, and other relevant information sources coordinate public information to the extent practical with the JIC. Communication with the public is accomplished in accordance with procedures outlined in the ESF #15 – External Affairs Annex and the Public Affairs Support Annex. ▪ It may be necessary to release Federal information regarding public health and safety. In this instance, Federal agencies coordinate with the coordinating agency and State, local, and tribal governments in advance, or as soon as possible after the information is released.

Congressional Coordination

Incidents of National Significance	DHS coordinates Federal responses to congressional requests for information. Points of contact for this function are the congressional liaison officers. All Federal agency congressional liaison officers and congressional staffs seeking site-specific information about an incident should contact the DHS Office of Legislative Affairs and the coordinating agency. While Congress may request information directly from any Federal agency, any agency responding to such requests shall inform DHS and the coordinating agency.
Other Radiological Incidents	The coordinating agency is responsible for congressional coordination, consulting with DHS as required.

White House Coordination

Incidents of National Significance	DHS submits reports to the President and keeps the White House informed of all aspects of the incident. While the White House may request information directly from any Federal agency, any agency responding to such requests must promptly inform DHS and the coordinating agency.
Other Radiological Incidents	The coordinating agency is responsible for any necessary White House coordination, consulting with DHS as requested. Note that these actions can take place during the transition from response to recovery.

Deactivation/Demobilization Coordination

Incidents of National Significance	DHS and the coordinating agency, in consultation with the JFO Coordination Group and State, local, and tribal governments, develop plans to demobilize the Federal presence.
Other Radiological Incidents	The coordinating agency discontinues incident operations when a centralized Federal coordination presence is no longer required, or when its statutory responsibilities are fulfilled. Prior to discontinuing operations, the coordinating agency coordinates this decision with each Federal agency and State, local, and tribal governments.

International Coordination

Incidents of National Significance and Other Radiological Incidents	▪ In the event of an actual or potential environmental impact upon the United States or its possessions, territories, or territorial waters from a radiological emergency originating on foreign soil or, conversely, a domestic incident with an actual or potential foreign impact, DHS and the coordinating agency immediately inform the Department of State (DOS), which is responsible for official interactions with foreign governments. In either case (foreign incident with domestic impact, or vice versa), the coordinating agency consults with DHS, and DHS makes a determination on whether it is an Incident of National Significance. DHS and the coordinating agency keep DOS informed of all Federal incident management activities. ▪ DOS coordinates notification and information-gathering activities with foreign governments, except in cases where existing bilateral agreements permit direct communication. Where the coordinating agency has existing bilateral agreements that permit direct exchange of information, the coordinating agency keeps DOS informed of consultations with their foreign counterparts. DHS and the coordinating agency ensure that any offers of assistance to, or requests from, foreign governments are coordinated with DOS. ▪ The National Oceanic and Atmospheric Administration is the point of interaction with the hydrometeorological services of other countries. International response activities are accomplished in accordance with the International Coordination Support Annex.

Victim Decontamination/Population Monitoring

Incidents of National Significance and Other Radiological Incidents	▪ External monitoring and decontamination of possibly affected victims are accomplished locally and are the responsibility of State, local, and tribal governments. Federal resources are provided at the request of, and in support of, the affected State(s). HHS, through ESF #8 and in consultation with the coordinating agency, coordinates Federal support for external monitoring of people and decontamination. ▪ HHS assists and supports State, local, and tribal governments in performing monitoring for internal contamination and administering available pharmaceuticals for internal decontamination, as deemed necessary by State health officials. ▪ HHS assists local and State health departments in establishing a registry of potentially exposed individuals, perform dose reconstruction, and conduct long-term monitoring of this population for potential long-term health effects.

Other Federal Resource Support

For Stafford Act or Federal-to-Federal support incidents, DHS/EPR/FEMA coordinates the provision of Federal resources and assistance to affected State, local, and tribal governments as part of the JFO Operations Section or other appropriate location established by DHS/EPR/FEMA.

Recovery

- For an Incident of National Significance, DHS coordinates overall Federal recovery activities, while the coordinating agency maintains responsibility for managing the Federal technical radiological cleanup activities in accordance with NRP mechanisms.

- For all radiological incidents, the coordinating agency coordinates environmental remediation/cleanup in concert with cognizant State, local, and tribal governments, and owners/operators, as applicable. While retaining overall technical lead, a coordinating agency may require support from a cooperating agency that has significant cleanup/recovery experience and capabilities (e.g., EPA, U.S. Army Corps of Engineers (USACE)) for a long-term cleanup. The initial coordinating agency may request that the coordinating agency role be transitioned to a cooperating agency to manage long-term cleanup efforts.

- State, local, and tribal governments primarily are responsible for planning the recovery of the affected area (the term "recovery," as used here, encompasses any action dedicated to the continued protection of the public and resumption of normal activities in the affected area). Recovery planning is initiated at the request of the State, local, or tribal governments, and generally does not take place until the initiating conditions of the incident have stabilized and immediate actions to protect public health, safety, and property are accomplished. Upon request, the Federal government assists State, local, and tribal governments develop and execute recovery plans.

- Private owners/operators have primary responsibility for recovery planning activities and eventual cleanup within their facility boundaries and may have responsibilities for recovery activities outside their facility under applicable legal obligations (e.g., contractual, licensee, CERCLA).

- The DOE FRMAC Director works closely with the Senior EPA representative to facilitate a smooth transition of the Federal radiological monitoring and assessment coordination responsibility to EPA at a mutually agreeable time, and after consultation with DHS, the JFO Coordination Group, and State, local, and tribal

governments. The following conditions are intended to be met prior to transfer:

- The immediate emergency condition is stabilized;
- Offsite releases of radioactive material have ceased, and there is little or no potential for further unintentional offsite releases;
- The offsite radiological conditions are characterized and the immediate consequences are assessed;
- An initial long-range monitoring plan has been developed in conjunction with the affected State, local, and tribal governments and appropriate Federal agencies; and
- EPA has received adequate assurances from the other Federal agencies that they are committing the required resources, personnel, and funds for the duration of the Federal response.

- Radiological monitoring and assessment activities are normally terminated when DHS, in consultation with the coordinating agency, other participating agencies, and State, local, and tribal governments, determines that:
  - There is no longer a threat to public health and safety or the environment;
  - State, local, and tribal resources are adequate for the situation; and
  - There is mutual agreement among the agencies involved to terminate monitoring and assessment.

Federal Assets Available Upon Request by the Coordinating Agency or DHS

Federal Radiological Monitoring and Assessment Center

DOE is responsible for developing and maintaining FRMAC policies and procedures, determining FRMAC composition, and maintaining FRMAC operational readiness. The FRMAC is established at or near the incident location in coordination with DHS, the coordinating agency, other Federal agencies, and State, local, and tribal authorities. A FRMAC normally includes representation from DOE, EPA, the Department of Commerce, the National Communications System (DHS/IAIP/NCS), USACE, and other Federal agencies as needed. Regardless of who is designated as the coordinating agency, DOE, through the FRMAC or DOE CMHT and CMRT, coordinates radiological monitoring and assessment activities for the initial phases of the response. When the FRMAC is transferred to the EPA, they assume responsibility for coordination of radiological monitoring and assessment activities.

Advisory Team for Environment, Food, and Health

- The Advisory Team includes representatives from DHS, EPA, the Department of Agriculture (USDA), the Food and Drug Administration, the Centers for Disease Control and Prevention, and other Federal agencies. The Advisory Team develops coordinated advice and recommendations for DHS, the JFO Coordination Group, the coordinating agency, and State, local, and tribal governments concerning environmental, food health, and animal health matters.
- The Advisory Team selects a chair for the Team.
- The Advisory Team provides recommendations in matters related to the following:
  - Environmental assessments (field monitoring) required for developing recommendations with advice from State, local, and tribal governments and/or the FRMAC senior Monitoring Manager;
  - Protective Action Guides and their application to the emergency;
  - Protective Action Recommendations using data and assessment from the FRMAC;
  - Protective actions to prevent or minimize contamination of milk, food, and water, and to prevent or minimize exposure through ingestion;

- Recommendations regarding the disposition of contaminated livestock, poultry, and contaminated foods, especially perishable commodities (e.g., meat in processing plants);
- Recommendations for minimizing losses of agricultural resources from radiation effects;
- Availability of food, animal feed, and water supply inspection programs to assure wholesomeness;
- Relocation, reentry, and other radiation protection measures prior to recovery;
- Recommendations for recovery, return, and cleanup issues;
- Health and safety advice or information for the public and for workers;
- Estimated effects of radioactive releases on human health and the environment; and
- Other matters, as requested by the coordinating agency.

DOE Radiological Assistance Program, Emergency Management Teams, and Nuclear Incident Response Team Assets

- RAP teams are located at DOE operations offices, national laboratories, and some area offices. They can be dispatched to a radiological incident by the DOE regional coordinating offices responding to a radiological incident.

Additional DOE planning and response teams and capabilities are located at various DOE facilities throughout the country and can be dispatched, as needed, to a radiological incident.

American Red Cross	(See the ESF #6 – Mass Care, Housing, and Human Services Annex for additional information.) Assesses the mass care consequences of a radiological incident, and in conjunction with State, local, and tribal (including private-sector) mass care organizations, develop and implement a sustainable short-term and long-term strategy for effectively addressing the consequences of the incident.
Department of Agriculture	(See the ESF #11 – Agriculture and Natural Resources Annex for additional information.) ▪ Inspects meat and meat products, poultry and poultry products, and egg products identified for interstate and foreign commerce to ensure that they are safe for human consumption. ▪ Assists, in conjunction with HHS, in monitoring the production, processing, storage, and distribution of food through the wholesale level to eliminate contaminated product or to reduce the contamination in the product to a safe level. ▪ Collects agricultural samples within the Ingestion Exposure Pathway Emergency Planning Zone (through the FRMAC). Assists in the evaluation and assessment of data to determine the impact of the incident on agriculture. ▪ Assesses damage to crops, soil, livestock, poultry, and processing facilities and incorporates findings in a damage assessment report. ▪ Provides emergency communications assistance to the agricultural community through the State Research, Education, and Extension Services electronic mail, or other USDA telecommunications systems. ▪ Supports/advises on decontamination and screening of pets and farm animals that may be exposed to radioactive material. ▪ Assists in animal carcass disposal.
Department of Commerce	▪ Provides operational weather observations and prepares forecasts tailored to support emergency incident management activities. ▪ Provides plume dispersion assessment and forecasts to the IMAAC and/or coordinating agency, in accordance with established procedures. ▪ Archives, as a special collection, the meteorological data from national observing and numerical weather analysis and prediction systems applicable to the monitoring and assessment of the response. ▪ Ensures that marine fishery products available to the public are not contaminated. ▪ Provides assistance and reference material for calibrating radiological instruments. ▪ Provides radiation shielding materials. ▪ In the event of materials potentially crossing international boundaries, serves as the agent for informing international hydrometeorological services and associated agencies through the mechanisms afforded by the World Meteorological Organization. ▪ Provides radioanalytical measurement support and instrumentation.

Department of Defense	▪ Serves as a coordinating agency, as identified in Table 1, coordinating Federal actions for radiological incidents involving DOD facilities, including U.S. nuclear-powered ships, or material otherwise under their jurisdiction (e.g., transportation of material shipped by or for DOD). ▪ Provides Defense Support of Civil Authorities (DSCA) in response to requests for assistance during domestic incidents. With the exception for support provided under Immediate Response Authority, the obligation of DOD resources to support requests for assistance is subject to the approval of the Secretary of Defense. Details regarding DSCA are provided in the NRP Base Plan. ▪ Provides Immediate Response Authority under imminently serious conditions resulting from any civil emergency that may require immediate action to save lives, prevent human suffering, or mitigate great property damage. When such conditions exist and time does not permit prior approval from higher headquarters, local military commanders and responsible officials from DOD components and agencies are authorized by DOD directive, subject to any supplemental direction that may be provided by their DOD component, to take necessary action to respond to requests of civil authorities. All such necessary action is referred to as "Immediate Response."

Department of Defense/U.S. Army Corps of Engineers	(See the ESF #3 – Public Works and Engineering Annex for additional information.)
	▪ Directs response/recovery actions as they relate to ESF #3 functions, including contaminated debris management.
	▪ For RDD/IND incidents, provides response and cleanup support as a cooperating agency.
	▪ Integrates and coordinates with other agencies, as requested, to perform any or all of the following:
	  ▪ Radiological survey functions;
	  ▪ Gross decontamination;
	  ▪ Site characterization;
	  ▪ Contaminated water management; and
	  ▪ Site remediation.

Department of Energy	▪ Serves as a coordinating agency, as identified in Table 1, coordinating Federal actions for radiological incidents involving DOE facilities or material otherwise under their jurisdiction (e.g., transportation of material shipped by or for DOE). ▪ Coordinates Federal offsite radiological environmental monitoring and assessment activities as lead technical organization in FRMAC (emergency phase), regardless of who is designated the coordinating agency. ▪ Maintains technical liaison with State and local agencies with monitoring and assessment responsibilities. ▪ Maintains a common set of all offsite radiological monitoring data in an accountable, secure, and retrievable form and ensures the technical integrity of FRMAC data. ▪ Provides monitoring data and interpretations, including exposure rate contours, dose projections, and any other requested radiological assessments, to the coordinating agency and to the States. ▪ Provides, in cooperation with other Federal agencies, the personnel and equipment to perform radiological monitoring and assessment activities, and provides on-scene analytical capability supporting assessments. ▪ Requests supplemental assistance and technical support from other Federal agencies as needed. ▪ Arranges consultation and support services through appropriate Federal agencies to all other entities (e.g., private contractors) with radiological monitoring functions and capabilities and technical and medical expertise for handling radiological contamination and population monitoring. ▪ Works closely with the Senior EPA representative to facilitate a smooth transition of the Federal radiological monitoring and assessment coordination responsibility to EPA at a mutually agreeable time and after consultation with the States and coordinating agency. ▪ Provides, in cooperation with other Federal and State agencies, personnel and equipment, including portal monitors, to support initial external screening and provides advice and assistance to State and local personnel conducting screening/decontamination of persons leaving a contaminated zone. ▪ Provides plume trajectories and deposition projections for emergency response planning assessments including source term estimates where limited or no information is available, including INDs and RDDs, to the IMAAC and/or coordinating agency, in accordance with established procedures. ▪ Upgrades, maintains, coordinates, and publishes documentation needed for the administration, implementation, operation, and standardization of the FRMAC. ▪ Maintains and improves the ability to provide wide-area radiation monitoring now resident in the AMS. ▪ Maintains and improves the ability to provide medical assistance, advisory teams, and training related to nuclear/radiological accidents and incidents now resident in the REAC/TS.

Department of Energy (Continued)	▪ Maintains and improves the ability to provide near-real time assessments of the consequences of accidental or potential radiation releases by modeling the movement of hazardous plumes, and to correct modeled results through integration of actual radiation measurements obtained from both airborne and ground sources, resident in the NARAC. The NARAC also maintains and improves their ability to model the direct results (blast, thermal, radiation, EMP) of a nuclear detonation. ▪ Maintains and improves the first-response ability to assess an emergency situation and to advise decisionmakers on what further steps can be taken to evaluate and minimize the hazards of a radiological emergency resident in the RAP. ▪ Maintains and improves the ability to respond to an emergency involving U.S. nuclear weapons resident in the ARG. ▪ Maintains and improves the ability of the Consequence Management Planning Team, CMHT, and CMRTs to provide initial planning, coordination, and data collection and assessment prior to or in lieu of establishment of a FRMAC. ▪ Maintains and improves the ability of the Nuclear/Radiological Advisory Team to provide advice and limited technical assistance, including search, diagnostics, and effects prediction, as part of a Domestic Emergency Support Team. ▪ Maintains and improves the ability of the Search Response Teams to provide covert search capability using local support for initial nuclear search activities. ▪ Maintains and improves the ability of the Joint Technical Operations Team to provide technical operations advisory support and advanced technical assistance to the Federal primary or coordinating agency, provide extended technical support to other deployed operations through an emergency response home team; perform nuclear safety reviews to determine safe-to-ship status before moving a weapon of mass destruction (WMD) to an appropriate disposal location; and accept custody of nuclear or radiological WMD on behalf of DOE and provide for the final disposition of these devices. ▪ Maintains and improves the ability of Radiological Triage to determine through remote analysis of nuclear spectra collected on-scene if a radioactive object contains special nuclear materials. ▪ Assigns a Senior Energy Official (SEO) for any response involving the deployment of the DOE/NNSA emergency response assets. The SEO is responsible for the coordination and employment of these assets at the scene of a radiological event, and the deployed assets will work in support of and under the direction of the SEO.

Department of Health and Human Services	(See the ESF #8 – Public Health and Medical Services Annex for additional information.) ▪ In conjunction with USDA, inspects production, processing, storage, and distribution facilities for human food and animal feeds that may be used in interstate commerce to ensure protection of the public health. ▪ Collects samples of agricultural products to monitor and assess the extent of contamination as a basis for recommending or implementing protective actions (through the FRMAC). ▪ Provides advice on proper medical treatment of the general population and response workers exposed to or contaminated by radioactive materials. ▪ Provides available medical countermeasures through deployment of the Strategic National Stockpile. ▪ Provides assessment and treatment teams for those exposed to or contaminated by radiation. ▪ Provides advice and guidance in assessing the impact of the effects of radiological incidents on the health of persons in the affected area. ▪ Manages long-term public monitoring and supports follow-on personal data collection, collecting and processing of blood samples and bodily fluids/matter samples, and advice concerning medical assessment and triage of victims. Tracks victim treatment and long-term health effects.
Department of Homeland Security/Emergency Preparedness and Response/Federal Emergency Management Agency	▪ Serves as the annex coordinator for this annex. ▪ In consultation with the coordinating agency, coordinates the provision of Federal resources and assistance to affected State, local, and tribal governments under the Stafford Act or Federal-to-Federal support provisions of the NRP. ▪ Monitors the status of the Federal response to requests for assistance from the affected State(s) and provides this information to the State(s). ▪ Keeps the coordinating agency informed of requests for assistance from the State(s) and the status of the Federal response. ▪ Identifies and informs Federal agencies of actual or apparent omissions, redundancies, or conflicts in response activity. ▪ Establishes and maintains a source of integrated, coordinated information about the status of all nonradiological resource support activities. ▪ Provides other support to Federal agencies responding to the emergency.
Department of Homeland Security/National Communications System	(See the ESF #2 – Communications Annex for additional information.) Acting through its operational element, the National Coordinating Center for Telecommunications (NCC), the NCS ensures the provision of adequate telecommunications support to Federal radiological incident response operations.
Department of Homeland Security/Science and Technology	(See the Science and Technology Support Annex for additional information.) Provides coordination of Federal science and technology resources as described in the Science and Technology Support Annex. This includes organization of Federal S&T support as well as assessment and consultation in the form of Scientific and Technical Advisory and Response Teams (STARTs) and the IMAAC.

Department of Homeland Security/Customs and Border Protection (DHS/CBP)	▪ For incidents at the border, maintains radiation detection equipment and nonintrusive inspection technology at ports of entry and Border Patrol checkpoints to detect the presence of radiological substances transported by persons, cargo, mail, or conveyance arriving from foreign countries. ▪ Through its National Targeting Center, provides extensive analytical and targeting capabilities to identify and interdict terrorists and WMD. ▪ The CBP Weapons of Mass Destruction Teleforensic Center provides 24/7 support to DHS/CBP and other Federal law enforcement personnel in the identification of suspect hazardous material. ▪ The CBP Laboratory and Scientific Services staffs WMD Response Teams in strategic locations nationwide. ▪ Through the Container Security Initiative, DHS/CBP personnel are stationed at major foreign seaports in order to detect and prevent the transport of WMD on container vessels destined to the U.S. ▪ Has extensive authority and expertise regarding the entry, inspection, and admissibility of persons, cargo, mail, and conveyances arriving from foreign countries.

Department of Homeland Security/U.S. Coast Guard	▪ Serves as coordinating agency for incidents that occur in certain areas of the coastal zone, as identified in Table 1.
	▪ "Certain areas of the coastal zone," for the purposes of this document, means the following areas of the coastal zone as defined by the NCP:
	  ▪ Vessels, as defined in 33 CFR 160;
	  ▪ Areas seaward of the shoreline to the outer edge of the Economic Exclusion Zone; and
	  ▪ Within the boundaries of the following waterfront facilities subject to the jurisdiction of DHS/USCG; those regulated by 33 CFR 126 (Dangerous cargo handling), 127 (LPG/LNG), 128 (Passenger terminals), 140 (Outer Continental Shelf Activities), 1541-56 (Waterfront portions of Oil & Hazmat bulk transfer facilities – delineated as per the NCP), 105 (Maritime security - facilities).
	EPA is the coordinating agency for responses in areas of the coastal zone other than those defined above as certain areas of the coastal zone.
	▪ For incidents that have cross-boundary impacts, works with the other affected agency to determine how best to cooperatively respond consistent with the NCP model.
	▪ Serves as the coordinating agency for these incidents only during the prevention and emergency response phase, and transfers responsibility for later response phases to the appropriate agency, consistent with the NCP.
	▪ Because of its unique maritime jurisdiction and capabilities, is prepared to provide appropriate security, command and control, transportation, and support to other agencies that need to operate in the maritime domain.

Department of Housing and Urban Development	▪ Reviews and reports on available housing for disaster victims and displaced persons. ▪ Assists in planning for and placing homeless victims in available housing ▪ Provides staff to support emergency housing within available resources. ▪ Provides housing assistance and advisory personnel.
Department of the Interior (DOI)	▪ Advises and assists in evaluating processes affecting radioisotopes in soils, including personnel, equipment, and laboratory support. ▪ Advises and assists in the development of geographic information systems databases to be used in the analysis and assessment of contaminated areas, including personnel and equipment. ▪ Advises and assists in assessing and dealing with impacts to natural resources, including fish and wildlife, subsistence uses, public lands, Indian tribal lands, land reclamation, mining, minerals, and water resources. Further guidance is provided in the Tribal Relations Support Annex and the ESF #11 – Agriculture and Natural Resources Annex. ▪ Provides liaison between federally recognized tribal governments and Federal, State, and local agencies for coordination of response activities. Additionally, DOI advises and assists DHS on economic, social, and political matters in the U.S. insular areas should a radiological incident occur in these areas.
Department of Justice/Federal Bureau of Investigation	Coordinates all law enforcement and criminal investigative response to acts of terrorism, to include intelligence gathering, hostage negotiations, and tactical operations. Further details regarding the FBI response are outlined in the Terrorism Incident Law Enforcement and Investigation Annex.
Department of Labor/Occupational Safety and Health Administration	Provides advice and technical assistance to DHS, the coordinating agency, and State, local, and tribal governments concerning the health and safety of response workers implementing the policies and concepts in this annex.
Department of State	▪ Coordinates foreign information-gathering activities and all contacts with foreign governments, except in cases where existing bilateral agreements permit direct agency-to-agency cooperation. ▪ Conveys the U.S. Government response to foreign offers of assistance.
Department of Transportation	(See the ESF #1 – Transportation Annex for further information.) Provides technical advice and assistance on the transportation of radiological materials and the impact of the incident on the transportation infrastructure.
Department of Veterans Affairs	▪ Provides medical assistance using the Medical Emergency Radiological Response Team. ▪ Provides temporary housing.

Environmental Protection Agency	(See the Hazardous Materials Incident Annex for additional information.) ▪ Serves as a coordinating agency, as identified in Table 1. ▪ Provides resources, including personnel, equipment, and laboratory support (including mobile laboratories) to assist DOE in monitoring radioactivity levels in the environment. ▪ Assumes coordination of Federal radiological monitoring and assessment responsibilities after the transition from DOE. ▪ Assists in the development and implementation of a long-term monitoring plan and long-term recovery plan. ▪ Provides nationwide environmental monitoring data from the Environmental Radiation Ambient Monitoring Systems for assessing the national impact of the incident. ▪ Develops Protective Action Guides in coordination with the FRPCC. ▪ Recommends protective actions and other radiation protection measures. ▪ Recommends acceptable emergency levels of radioactivity and radiation in the environment. ▪ Prepares health and safety advice and information for the public. ▪ Estimates effects of radioactive releases on human health and the environment. ▪ Provides response and recovery actions to prevent, minimize, or mitigate a threat to public health, safety, or the environment caused by actual or potential releases of radioactive substances, including actions to detect, identify, contain, clean up, and dispose of such substances. ▪ Assists and supports the NIRT, when activated. ▪ Provides, in cooperation with other Federal agencies, the law enforcement personnel and equipment to conduct law enforcement operations and investigations for nuclear/radiological incidents involving criminal activity that are not terrorism related.
General Services Administration	(See the ESF #7 – Resource Support Annex for additional information.)
National Aeronautics and Space Administration	Serves as a coordinating agency, as identified in Table 1.

Nuclear Regulatory Commission	▪ Serves as a coordinating agency, as identified in Table 1.
	▪ Provides technical assistance to include source term estimation, plume dispersion, and dose assessment calculations.
	▪ Provides assistance and recommendations concerning protective action measures as coordinating agency.
	▪ Provides assistance in Federal radiological monitoring and assessment activities.
	▪ For an incident at a facility licensed by the NRC or an Agreement State, or involving Atomic Energy Act licensed material:
	▪ The licensee takes action to mitigate the consequences of the incident and provides appropriate protective action recommendations to State, local, and tribal officials;
	▪ The NRC:
	  ▪ Performs an independent assessment of the incident and potential offsite consequences and, as appropriate, provides recommendations concerning any protective measures;
	  ▪ Performs oversight of the licensee, to include monitoring, evaluation of protective action recommendations, advice, assistance, and, as appropriate, direction; and
	  ▪ Dispatches, if appropriate, an NRC site team of technical experts to the licensee's facility.
	  ▪ Under certain situations involving the protection of public health/safety or national security, the NRC may take possession of special nuclear materials and/or operate certain facilities regulated by the NRC.

Oil and Hazardous Materials Incident Annex

Coordinating Agencies:

Environmental Protection Agency
Department of Homeland Security/U.S. Coast Guard

Cooperating Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
General Services Administration
Nuclear Regulatory Commission

Introduction

Purpose

This annex describes roles, responsibilities, and coordinating mechanisms for managing certain oil and hazardous materials[1] pollution incidents that are determined to be Incidents of National Significance. This annex addresses those oil and hazardous materials Incidents of National Significance that are managed through concurrent implementation of the National Response Plan (NRP) and the NCP,[2] but are not Emergency Support Function (ESF) #10 – Oil and Hazardous Materials Response activations. Procedures for oil and hazardous material Incidents of National Significance for which ESF #10 is activated are addressed in the ESF #10 Annex.

Scope

- The NCP provides the organizational structure and procedures for Federal response to releases of oil and hazardous materials in the United States and its territories, accidental or intentional. The NCP addresses incident prevention, planning, response, and recovery.

  The hazardous materials addressed under the NCP include certain substances considered weapons of mass destruction (i.e., chemical agents, biological agents, and radiological/ nuclear material).

- The NCP establishes structures at the national, regional, and local levels that are used to respond to thousands of incidents annually that never rise to the level of an Incident of National Significance. When an Incident of National Significance does occur, these NCP structures remain in place to provide hazard-specific expertise and support. This annex describes how the NCP structures work with NRP coordinating structures during Incidents of National Significance.

[1] For the purposes of this annex, "hazardous materials" is a general term intended to mean hazardous substances, pollutants, and contaminants as defined by the National Oil and Hazardous Substances Pollution Contingency Plan (NCP).
[2] Found at 40 CFR part 300. The establishment of the NCP is required by section 105 of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), as amended, and by section 311(d) of the Clean Water Act, as amended by the Oil Pollution Act of 1990.

Policies

- It is expected that most Incidents of National Significance involving oil and hazardous materials are managed through an ESF #10 activation, but it is possible that an Incident of National Significance involving oil and hazardous materials could occur for which ESF #10 would not be activated.

- Some oil and hazardous materials incident responses may be initiated under the NCP alone, or under this annex as an Incident of National Significance, then transition to ESF #10 after a Stafford Act declaration is made (or after ESF #10 is activated via the NRP Federal-to-Federal support mechanism). Federal On-Scene Coordinators (OSCs) have independent authority under the NCP to respond to an oil or hazardous materials incident and may initiate initial response activities before the Department of Homeland Security (DHS) determines whether the incident is an Incident of National Significance and/or the President declares a Stafford Act major disaster or emergency.

- NCP structures and response mechanisms remain in place during an Incident of National Significance involving an actual or potential release of oil or hazardous materials, and coordinate with NRP mechanisms as described in this annex.

- Under the NCP, the OSC conducts response activities from the Incident Command Post (ICP) level. A Unified Command may be established with Federal, State, local, and/or tribal authorities, as appropriate. State, local, and/or tribal authorities are typically the initial responders to an oil or hazardous materials incident.

- The NCP provides that the Environmental Protection Agency (EPA) or U.S. Coast Guard (DHS/USCG) may classify an oil discharge as a Spill of National Significance (SONS). For a SONS, EPA or DHS/USCG may name a "senior Agency official" (EPA) or National Incident Commander (DHS/USCG) who assists the OSC, or assumes certain functions of the OSC, respectively (e.g., communicating with the affected parties and public, coordinating resources at the national level). EPA and DHS/USCG maintain authority for classifying a discharge a SONS. DHS maintains authority for classifying an incident an Incident of National Significance. A SONS may or may not be an Incident of National Significance, depending on the determination of DHS. Further, DHS may determine that an NCP response that is not a SONS nevertheless rises to the level of an Incident of National Significance.

- Hazardous materials addressed under the NCP include certain biological and radiological substances. The Biological and Nuclear/Radiological Incident Annexes may therefore be implemented simultaneously with this annex for an Incident of National Significance. The Biological and Nuclear/Radiological Incident Annexes describe additional procedures and Federal agency responsibilities for biological and radiological/nuclear incidents that are not addressed in this annex, and are used in conjunction with this annex when applicable.

- NCP provisions are summarized in this annex for purposes of brevity. The references in this annex to NCP provisions are not intended to change NCP requirements or interpretations.

- Nothing in the NRP alters or impedes the ability or authorities of designated Federal officials to carry out their duties under the NCP or to coordinate directly with their agency in execution of these duties.

- An Incident of National Significance involving oil or hazardous materials that is a result of a criminal act or results in a criminal act, but is not an act of terror, is investigated by EPA Special Agents assigned to the EPA Criminal Investigation Division (CID) in coordination with the Federal OSC and Senior Federal Official (SFO). In this case, the EPA CID Special Agent in Charge of the local Area Office serves as the Senior Federal Law Enforcement Official in the Joint Field Office (JFO) Coordination Group.

Concept of Operations

Coordination Structures: Figure 1 lists the coordinating mechanisms in the NRP along with parallel, but not necessarily equivalent, structures in the NCP. The key NCP structures are described further below. The sections that follow summarize the coordination between NRP and NCP structures during Incidents of National Significance.

FIGURE 1. NRP coordinating mechanisms and hazard-specific NCP structures

	NATIONAL		REGIONAL	FIELD			ON-SCENE	
NRP	**Interagency Incident Mgmt Group**	**Homeland Security Ops Center**	**Regional Response Coordination Center**	**Principal Federal Official**	**Joint Field Office**	**JFO Coordination Group**	**N/A**	**Incident Command Post**
NCP	National Response Team	EPA or DHS/USCG HQ Emergency Ops Center	Regional EPA or DHS/USCG Emergency Ops Center*	EPA or DHS/USCG Senior Federal Official	N/A	Regional Response Team	Federal On-Scene Coordinator	Incident Command Post

* EPA regional emergency operations centers are called Regional Response Centers.

NCP National Response Team (NRT): Under the NCP, the NRT coordinates a program of preparedness, planning, and response to oil and hazardous materials incidents at the local, regional, and national levels; facilitates research to improve response activities; and provides assistance for responses to specific incidents as needed. The NRT is composed of 16 Federal agencies with responsibilities and capabilities in preparedness, planning, and response to oil and hazardous materials incidents. On a day-to-day basis, the EPA is the Chair of the NRT, and DHS/USCG serves as the Vice Chair.

During an incident, the NRT Chair transitions to the member agency that provides the Federal OSC for that incident. The NRT may be activated for an incident to:

- Monitor and evaluate reports from the OSC and recommend actions, through the Regional Response Team (RRT), to address the spill;
- Request other Federal, State, local, and tribal governments or private agencies to provide resources; and
- Coordinate the supply of equipment, personnel, or technical advice to the affected region from other regions or districts.

NCP Regional Response Teams: The NCP also establishes 13 RRTs to coordinate preparedness, planning, and response at the regional level, and requires Area Committees composed of local, tribal, State, Federal, and private-sector responders to coordinate preparedness and planning at the local level. The NCP cross-references provisions of the Emergency Planning and Community Right-to-Know Act (EPCRA) that require establishment of State Emergency Response Commissions (SERCs) and Local Emergency Planning Committees (LEPCs). Through regulation, EPA has designated federally recognized tribes as Tribal Emergency Response Commissions (TERCs) with the same responsibilities as States in implementing EPCRA. LEPCs prepare local hazardous materials emergency plans, coordinating their local area planning activities with SERCs and TERCs. RRTs, SERCs, TERCs, and LEPCs should keep each other apprised of, and coordinate, their activities. Each Area Committee, in consultation with the SERCs, TERCs, and LEPCs, develops an Area Contingency Plan (ACP) for its designated area.

On a day-to-day basis, EPA and DHS/USCG co-chair the RRT. When activated in support of an incident, the RRT Chair transitions to the member agency that provides the Federal OSC for that incident. During an incident, the RRTs coordinate with the NRT and provide support to the Federal OSC. RRTs:

- Monitor and evaluate reports from the Federal OSC and make recommendations to address the spill;
- Request other Federal, State, local, and tribal governments or private agencies to provide resources;
- Help prepare information releases for the public and for communication with the NRT; and
- Make recommendations, if needed, to the regional or district head of the agency providing the Federal OSC to designate a different Federal OSC.

NCP On-Scene Coordinators: The NCP outlines the responsibility of the pre-designated Federal OSCs to determine the need for Federal response, direct response efforts, and coordinate all other efforts at the scene of a discharge or release in accordance with existing delegations of authority.[3] OSCs carry out their duties from the ICP. For oil discharges, depending on the location, the agency providing the Federal OSC is either EPA or DHS/USCG. For hazardous substance emergencies, the agency providing the Federal OSC may be EPA, DHS/USCG, the Department of Energy (DOE), or the Department of Defense (DOD), depending on the source and location of the release. Other Federal agencies provide Federal OSCs for hazardous substance removal actions that are not emergencies. This arrangement is summarized in the figures below. Under CERCLA section 106 and Clean Water Act section 311, EPA and DHS/USCG may also issue administrative orders to compel responsible parties to respond. (Certain other agencies also have order authority in certain circumstances.)

FIGURE 2. Federal On-Scene Coordinator for oil spills

Incident Location	Federal OSC
Inland Zone	EPA
Coastal Zone	DHS/USCG

FIGURE 3. Federal On-Scene Coordinator for CERCLA incidents

Incident Location/Source	Federal OSC for Emergency Phase	Federal OSC for Non-Emergency Removal and Remediation
Inland Zone	EPA	EPA
Coastal Zone	DHS/USCG	EPA (non-vessel incidents) DHS/USCG (vessel incidents)
DOD Vessel, Facility, Weapons/Munitions	DOD	DOD
DOE Facility, Vessel	DOE	DOE
Other Federal Facility	EPA or DHS/USCG	Individual Federal agency responsible for facility

NCP National Response Center: While not depicted in Figure 1, the NCP requires that oil and hazardous materials releases be reported to the National Response Center, operated by DHS/USCG for the NCP National Response System (NRS).

Response Actions

Notification and Assessment: Under the NCP, the National Response Center receives notification of releases of oil and hazardous materials. The National Response Center immediately forwards the incident report to the appropriate pre-designated Federal OSC, the appropriate State, and other Federal entities (as previously arranged). The Federal OSC assesses the incident to determine the need for a Federal NCP response. The National Response Center also provides incident reports to the Homeland Security Operations Center (HSOC), and DHS assesses the incident to determine if it is an Incident of National Significance.

[3] See Title 40 CFR, part 300, sections 105, 120, 130, 135, 305, 322, and 415 in particular.

If the OSC determines that an incident is of a magnitude or complexity or involves national interests that may warrant declaration of an Incident of National Significance, the OSC reports the situation and recommendations through his/her regional or district management to the appropriate headquarters emergency response program manager, who notifies the HSOC and provides a recommendation to DHS. (This notification does not delay OSC response to the incident.)

Response Coordination: Upon DHS declaration of an Incident of National Significance involving oil or hazardous materials (for which ESF #10 is not activated) and/or notification of DHS's activation of any of the following mechanisms, the NCP structures coordinate with NRP components as follows:

Headquarters-Level Coordination

Interagency Incident Management Group (IIMG): The NRT continues to function as provided under the NCP, but coordinates its activities with the IIMG when activated by DHS for the incident. The NRT Chair works with DHS during the incident to establish appropriate mechanisms for IIMG/NRT coordination. The NRT may also send a liaison to the IIMG to facilitate IIMG/NRT interactions, synchronize efforts, and avoid redundant or conflicting activities. In this case, the NRT liaison and NRT Chair work together to coordinate IIMG/NRT interactions. For an incident involving oil or hazardous materials, the key NRT agencies involved in the incident also are likely to have agency representatives on the IIMG.

Under the NCP, interagency issues that are not resolved by the OSC at the ICP level generally are referred first to the appropriate RRT agency representatives for resolution. If not resolved at the regional level, they are elevated to the NRT for consideration. NRT representatives may elevate the issues to higher level agency representatives for resolution as needed. For NCP incidents for which DHS activates the IIMG, the NRT Chair and/or NRT liaison makes arrangements to coordinate headquarters-level issues with the IIMG and provides NRT input to the IIMG as necessary. The NRT may be called upon to provide subject-matter expertise in oil/hazardous materials responses to the IIMG. The NRT may also be called upon to provide input to the Homeland Security Council or other White House entities, through the IIMG.

Homeland Security Operations Center: EPA or DHS/USCG, depending upon which agency is responsible for the incident, uses its headquarters emergency operations center (EOC) to coordinate and manage national-level support. The NRT also uses the primary agency's EOC to coordinate its activities. While incident reports generally flow to the HSOC from the JFO once a JFO is established, the EPA or DHS/USCG EOC also keeps the HSOC apprised of incident management efforts. EPA, DHS/USCG, and other appropriate NRT agencies also provide representatives at the HSOC to support the coordination of information regarding NCP activities.

National Response Coordination Center (NRCC): Because this annex addresses oil and hazardous materials Incidents of National Significance that do not require the support of the ESF structure, it is unlikely that DHS will utilize the NRCC for such incidents. Under this annex, Federal resources are generally expected to be activated using NCP mechanisms, such as the RRTs and NRT.

As noted earlier, it is possible under this annex that the EPA or DHS/USCG could request additional Federal assistance from DHS via the NRP Federal-to-Federal support mechanism to obtain support not otherwise readily available under the NCP. In that case, if support from other agencies is significant, DHS may utilize the NRCC. EPA or DHS/USCG, as appropriate, as well as the agencies that are activated via the Federal-to-Federal support mechanisms, then provide representatives to the NRCC to provide information and coordinate activities at the national level.

Interagency Modeling and Atmospheric Assessment Center (IMAAC): The IMAAC is an interagency center responsible for the production, coordination, and dissemination of consequence predictions for an airborne hazardous material release. The IMAAC generates the single Federal prediction of atmospheric dispersions and their consequences utilizing the best available resources from the Federal Government.

Regional-Level Coordination

Regional Response Coordination Center (RRCC): If DHS activates the RRCC, EPA or DHS/USCG and other agencies as appropriate provide representatives to aid in coordination of regional support efforts. Once established, the JFO is the focal point for multiagency coordination, and the RRCC plays a support role.

Field-Level Coordination

Principal Federal Official (PFO): When a PFO is designated for an oil or hazardous materials incident, the agency providing the Federal OSC designates an SFO to work in coordination with the PFO at the JFO (or alternative location if a JFO is not established). The OSC continues to conduct his/her activities at the ICP. The OSC, SFO, and other responding agency representatives provide their full and prompt cooperation, resources, and support, as appropriate and consistent with applicable authorities. The SFO coordinates with the PFO on activities such as providing incident information to the PFO as requested, coordinating the public communications strategy with the PFO and DHS Public Affairs, and clearing Federal interagency communications to the public through the PFO. It is recognized, however, that in some cases, it may be necessary for responding OSCs to communicate with the media/public on tactical operations and matters affecting public health and safety from the scene, particularly during the early stages of the emergency response, in accordance with their responsibilities under the NCP. When established for a response, the Joint Information Center coordinates public communications among the agencies and between the ICP and JFO.

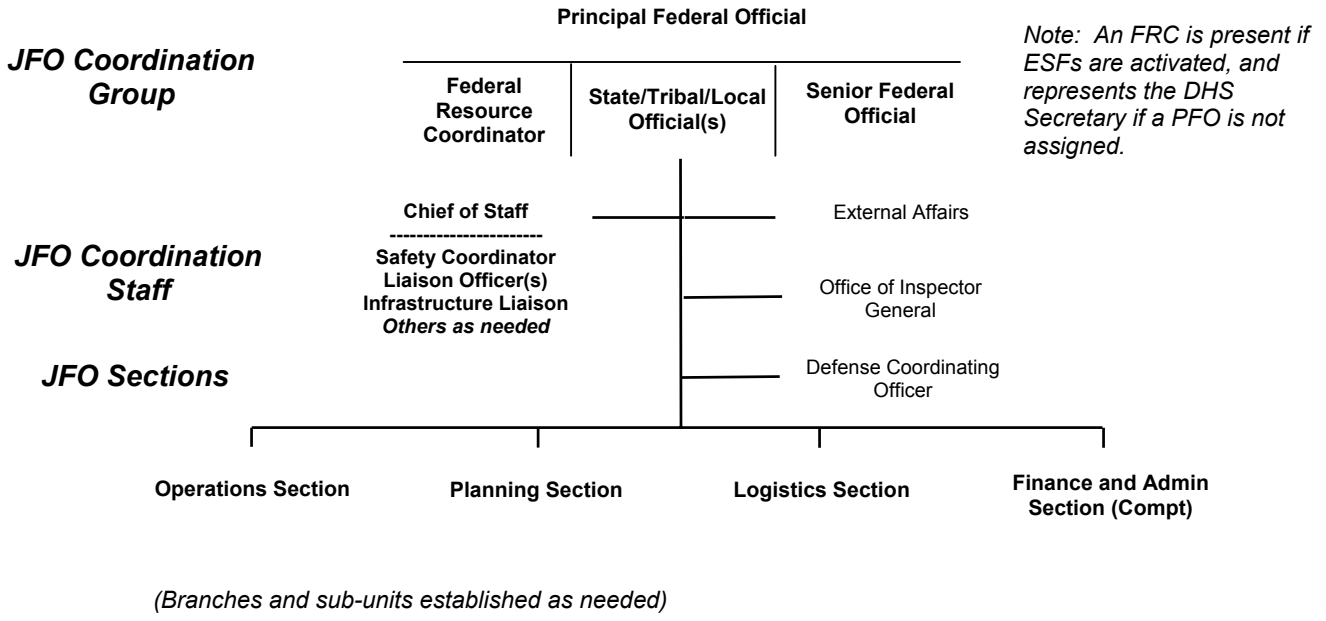
Joint Field Office: During Incidents of National Significance, a JFO may be established as a multiagency coordination center to provide support to the on-scene ICP. For oil and hazardous materials Incidents of National Significance that do not involve Stafford Act declarations or terrorist incidents, a JFO may not be necessary. The decision to establish a JFO is made by DHS on a case-by-case basis. The SFO confers with the PFO and other agency representatives regarding the establishment of a JFO. If an Area Command has been established, the JFO may be collocated with the Area Command. If neither a JFO nor Area Command is warranted, the PFO and PFO staff may be collocated with the ICP.

When a JFO is established, the JFO Coordination Group includes the PFO; the SFO from the agency providing the Federal OSC; State, local, and tribal officials; and, when applicable, a representative from the owners or operators responsible for the release. If other ESFs are activated to provide Federal-to-Federal support, a Federal Resource Coordinator (FRC) is also be part of the JFO Coordination Group. When a full JFO is warranted for an incident under this annex, Figure 4 illustrates the JFO organization.

During a SONS in DHS/USCG jurisdiction, DHS/USCG may establish an Area Command structure, known as a Regional Incident Command (RIC) or National Incident Command (NIC) depending on the level of coordination needed. The RIC/NIC organization is responsible for coordinating strategic direction and allocation of resources to support the Federal OSC with senior government officials. During an Incident of National Significance, the RIC/NIC coordinates its activities with the JFO, and the JFO would likely collocate with the RIC/NIC.

During an Incident of National Significance, the RRTs coordinate with the NRT and provide support to the OSC. The SFO coordinates RRT activities with the JFO as appropriate, and the RRTs support the JFO as requested. If an FRC is assigned to coordinate Federal-to-Federal support for the oil/hazardous materials response from other agencies, and the RRT is coordinating NCP support from NRT organizations, the SFO ensures that the RRT coordinates its activities with the FRC.

FIGURE 4. JFO organization for oil and hazardous materials Incidents of National Significance



On-Scene-Level Coordination

Under the NCP, Federal OSCs determine the need for Federal response and have the authority to direct response efforts and coordinate all other efforts at the scene of a discharge or release in accordance with existing delegations of authority. The OSC generally joins an ICP already established by local authorities or designates an ICP at the site in accordance with the local ACP, and conducts activities from that ICP under a Unified Command. OSC efforts are coordinated with other appropriate Federal, State, local, tribal, and private response mechanisms through Incident Command System mechanisms. The OSC carries out his/her responsibilities outlined in the NCP and coordinates activities with the JFO Coordination Group. Typically, the OSC communicates with the SFO at the JFO, and the SFO coordinates with the PFO and FCO/FRC. The ICP Unified Command communicates with the JFO Coordination Group. Existing NRT agency-delegated decisionmaking and contracting authorities remain in place, and the OSC and other NCP agency representatives continue to report through chains of command established by their respective agencies.

An Area Command(s) may also be established for multiple-site incidents, which would be a Unified Area Command for multijurisdictional responses. If established, Federal agencies in the Area Command coordinate their activities with the JFO Coordination Group. Typically, Federal Area Command personnel communicate with their designated SFO in the JFO, and the SFO coordinates with the PFO and FCO/FRC. The Unified Area Command coordinates with the JFO Coordination Group.

Continuing Actions: Operational response phases are described in detail in the family of plans that include the NCP, Regional Contingency Plans (RCPs), and ACPs. In addition to the initial response actions of discovery, notification, and preliminary assessment, continuing response actions include: containment, countermeasures, decontamination, cleanup, and disposal; and documentation and cost recovery.

These plans also describe the national response priorities, general pattern of response, response to substantial threats to public health and welfare, SONSs, response to worst-case discharges, funding, and the roles of and coordination and consultation with natural resources trustees.

Hazard-Specific Planning and Preparedness

Planning and preparedness for oil and hazardous materials incidents under the NCP involves Federal, State, tribal, and local governments; industry; the private sector; and bordering countries. Planning and preparedness is performed at the national, regional, and local levels, and incorporates stakeholder outreach and engagement at each level. The responsibilities for planning at each level are described in the NCP as follows:

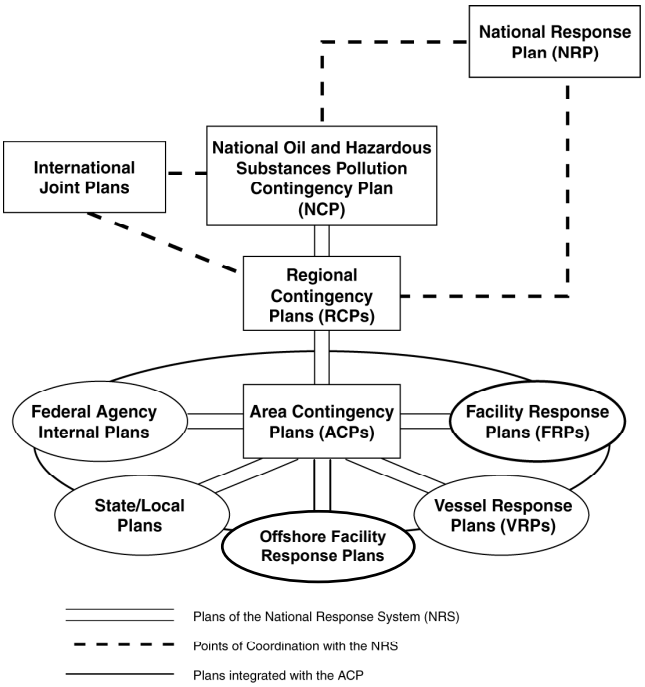
- **National Planning:** National planning and coordination for oil and hazardous materials incidents is accomplished through the NRT as described in 40 CFR 300.110 – National Response Team. The NRT coordinates with the DHS Emergency Support Function Leaders Group for planning activities related to concurrent implementation of the NRP and NCP.

- **Regional Planning:** Regional planning and coordination of preparedness and response actions is accomplished through the RRTs as described in 40 CFR 300.115 – Regional Response Team. The RRTs coordinate with the DHS Regional Interagency Steering Committees for planning activities related to concurrent implementation of the NRP and NCP.

- **Local Planning:** As required by section 311(j) of the Clean Water Act, under direction of the Federal OSC for its area, Area Committees comprising qualified personnel of Federal, State, and local agencies are responsible for preparing Area Contingency Plans as described in 40 CFR Subpart C – Planning and Preparedness. Also, as provided by sections 301 and 303 of title III of the Emergency Planning and Community Right to Know Act of 1986, the SERC, appointed by the Governor, is to designate emergency planning districts, appoint LEPCs, supervise and coordinate their activities, and review local emergency response plans, which are described in the Emergency Planning and Community Right-To-Know Act of 1986 and 40 CFR 300.215 – Title III local comprehensive emergency plans.

Figure 5 shows the relationship of the plans under the National Response System and their supporting relationship with the National Response Plan.

FIGURE 5. Relationship of response plans under the NRS and coordination with the NRP



Responsibilities

Environmental Protection Agency and Department of Homeland Security/U.S. Coast Guard

Responsibilities under the NCP include:

- Each agency provides the NRT Chair for NRT activations for incidents within its jurisdiction. EPA provides the NRT Chair and DHS/USCG the Vice Chair on a day-to-day basis.

- Each agency provides the RRT Chair for RRT activations for incidents within its jurisdiction. Each agency provides an RRT Co-Chair on a day-to-day basis.

- Each agency provides OSCs to direct response efforts and coordinate all other efforts at the scene of a discharge or release for incidents within its jurisdiction.

Cooperating Agencies: Federal agencies are to make available those facilities or resources that may be useful in a response situation, consistent with agency authorities and capabilities. During preparedness planning or in an actual response, various Federal agencies may be called upon to provide assistance in their respective areas of expertise, as indicated in 40 CFR 300.170 – Federal agency participation and 40 CFR 300.175 – Federal Agencies: Additional responsibilities and assistance.

In addition, assistance may be requested from the DHS Science and Technology Directorate for scientific support as described in the Science and Technology Support Annex, and from the DHS Information Analysis and Infrastructure Protection Directorate for information on sites with hazardous materials.

Senior Federal Official: The agency providing the Federal OSC also provides the SFO to coordinate with the PFO and participate in the JFO Coordination Group.

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Terrorism Incident Law Enforcement and Investigation Annex

Coordinating Agency:

Department of Justice/Federal Bureau of Investigation

Cooperating Agencies:

Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of State
Environmental Protection Agency

Introduction

Purpose

The purpose of this annex is to facilitate an effective Federal law enforcement and investigative response to all threats or acts of terrorism within the United States, regardless of whether they are deemed credible and/or whether they escalate to an Incident of National Significance. To accomplish this, the annex establishes a structure for a systematic, coordinated, unified, timely, and effective national law enforcement and investigative response to threats or acts of terrorism within the United States.

Scope

This annex is a strategic document that:

- Provides planning guidance and outlines operational concepts for the Federal law enforcement and investigative response to a threatened or actual terrorist incident within the United States; and
- Acknowledges and outlines the unique nature of each threat or incident, the capabilities and responsibilities of the local jurisdictions, and the law enforcement and investigative activities necessary to prevent or mitigate a specific threat or incident.

Policies

The United States regards terrorism as a potential threat to national security, as well as a violent criminal act, and applies all appropriate means to combat this danger. In doing so, the United States vigorously pursues efforts to deter and preempt these crimes and to apprehend and prosecute directly, or assist other governments in prosecuting, individuals who perpetrate or plan terrorist attacks.

To ensure the policies established in applicable Presidential directives are implemented in a coordinated manner, this annex provides overall guidance to Federal, State, local, and tribal agencies concerning the Federal Government's law enforcement and investigative response to potential or actual terrorist threats or incidents that occur in the United States, particularly those involving weapons of mass destruction (WMD), or chemical, biological, radiological, nuclear, or high-explosive (CBRNE) material.

Federal Agencies

The law enforcement and investigative response to a terrorist threat or incident within the United States is a highly coordinated, multiagency State, local, tribal, and Federal responsibility. In support of this mission, the following Federal agencies have primary responsibility for certain aspects of the overall law enforcement and investigative response:

- Department of Defense (DOD)
- Department of Energy (DOE)
- Department of Health and Human Services (HHS)
- Department of Homeland Security (DHS)
- Department of Justice/Federal Bureau of Investigation (FBI)
- Environmental Protection Agency (EPA)

According to HSPD-5, "The Attorney General has lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States, or directed at U.S. citizens or institutions abroad, where such acts are within the Federal criminal jurisdiction of the United States, as well as for related intelligence collection activities within the United States, subject to the National Security Act of 1947 and other applicable law, Executive Order 12333, and Attorney General-approved procedures pursuant to that Executive order. Generally acting through the Federal Bureau of Investigation, the Attorney General, in cooperation with other Federal departments and agencies engaged in activities to protect our national security, shall also coordinate the activities of the other members of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the United States. Following a terrorist threat or an actual incident that falls within the criminal jurisdiction of the United States, the full capabilities of the United States shall be dedicated, consistent with U.S. law and with activities of other Federal departments and agencies to protect our national security, to assisting the Attorney General to identify the perpetrators and bring them to justice. The Attorney General and the Secretary shall establish appropriate relationships and mechanisms for cooperation and coordination between their two departments."

Although not formally designated under this annex, other Federal departments and agencies may have authorities, resources, capabilities, or expertise required to support terrorism-related law enforcement and investigation operations. Agencies may be requested to participate in Federal planning and response operations, and may be requested to designate liaison officers and provide other support as required.

Deployment/Employment Priorities

In addition to the priorities identified in the National Response Plan (NRP) Base Plan, the law enforcement and investigative response to terrorist threats or incidents is based on the following priorities:

- Preserving life or minimizing risk to health; which constitutes the first priority of operations.
- Preventing a threatened act from being carried out or an existing terrorist act from being expanded or aggravated.
- Locating, accessing, rendering safe, controlling, containing, recovering, or disposing of a WMD that has not yet functioned, and disposing of CBRNE material in coordination with appropriate departments and agencies (e.g., DOD, DOE, EPA).
- Apprehending and successfully prosecuting perpetrators of terrorist threats or incidents.

Planning Assumptions and Considerations

In addition to the planning assumptions and considerations identified in the NRP Base Plan, the law enforcement and investigative response to terrorist threats or incidents, particularly those involving WMD and CBRNE material, are based on the following assumptions and considerations:

- A terrorist threat or incident may occur at any time of day with little or no warning, may involve single or multiple geographic areas, and may result in mass casualties.
- The suspected or actual involvement of terrorists adds a complicating dimension to incident management.
- The response to a threat or actual incident involves FBI law enforcement and investigative activity as an integrated element.

- In the case of a threat, there may be no incident site, and no external consequences, and, therefore, there may be no need for establishment of traditional Incident Command System (ICS) elements such as an Incident Command Post (ICP) or a Joint Field Office (JFO).

- An act of terrorism, particularly an act directed against a large population center within the United States involving nuclear, radiological, biological, or chemical materials, will have major consequences that can overwhelm the capabilities of many local, State, and/or tribal governments to respond and may seriously challenge existing Federal response capabilities.

- In the case of a biological attack, the effect may be temporally and geographically dispersed, with no determined or defined "incident site." Response operations may be conducted over a multijurisdictional, multistate region.

- A biological attack employing a contagious agent may require quarantine by Federal, State, local, and tribal health officials to contain the disease outbreak.

- If appropriate personal protective equipment and capabilities are not available and the area is contaminated with CBRNE or other hazardous materials, it is possible that response actions into a contaminated area may be delayed until the material has dissipated to a level that is safe for emergency response personnel to operate or until appropriate personal protective equipment and capabilities arrive, whichever is sooner.

Situation

The complexity, scope, and potential consequences of a terrorist threat or incident require that there be a rapid and decisive capability to resolve the situation. The resolution to an act of terrorism demands an extraordinary level of coordination of law enforcement, criminal investigation, protective activities, emergency management functions, and technical expertise across all levels of government. The incident may affect a single location or multiple locations, each of which may be an incident scene, a hazardous scene, and/or a crime scene simultaneously.

Concept of Operations

Command and Control

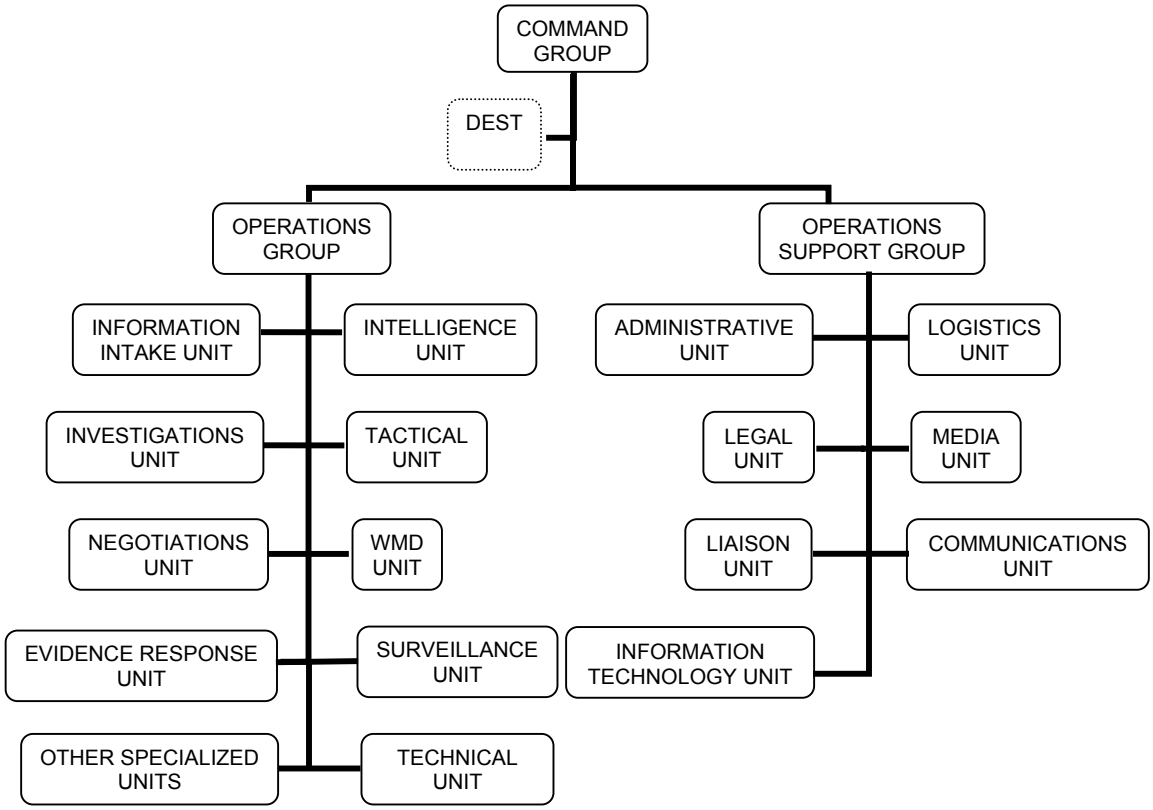
The FBI is the lead agency for criminal investigations of terrorist acts or terrorist threats and intelligence collection activities within the United States. Investigative and intelligence activities are managed by the FBI from an FBI command post or Joint Operations Center (JOC). The command post or JOC coordinates the necessary Federal law enforcement assets required to respond to and resolve the threat or incident with State, local, and tribal law enforcement agencies.

The FBI Special Agent in Charge (SAC) of the local Field Office establishes a command post to manage the threat based upon a graduated and flexible response. This command post structure generally consists of three functional groups: Command, Operations, and Operations Support, and is designed to accommodate participation of other agencies, as appropriate (see Figure 1).

When the threat or incident exceeds the capabilities and resources of the local FBI Field Office, the SAC can request additional assistance from regional and national assets to augment existing capabilities. In a terrorist threat or incident that may involve a WMD or CBRNE material, the traditional FBI command post will transition to a JOC, which may temporarily incorporate a fourth functional entity, the Consequence Management Group (see Figure 2), in the absence of an activated JFO.

When, in the determination of the Secretary of Homeland Security, in coordination with the Attorney General, the incident becomes an Incident of National Significance and a JFO is established, the JOC becomes a section of the JFO and the FBI SAC becomes the Senior Federal Law Enforcement Official (SFLEO) in the JFO Coordination Group. In this situation, the JOC Consequence Management Group is incorporated into the appropriate components of the JFO (see NRP Base Plan, Figure 4 and Figure 7).

FIGURE 1. FBI command post



The JOC structure may also be used to coordinate law enforcement, investigative, and intelligence activities for the numerous threats or incidents that occur each year that do not escalate to Incidents of National Significance.

Joint Operations Center

- The JOC is an interagency command and control center for managing multiagency preparation for, and the law enforcement and investigative response to, a credible terrorist threat or incident. Similar to the Area Command concept within the ICS, the JOC also may be established to coordinate and organize multiple agencies and jurisdictions during critical incidents or special events. Following the basic principles established in the National Incident Management System (NIMS), the JOC is modular and scalable and may be tailored to meet the specific operational requirements needed to manage the threat, incident, or special event.

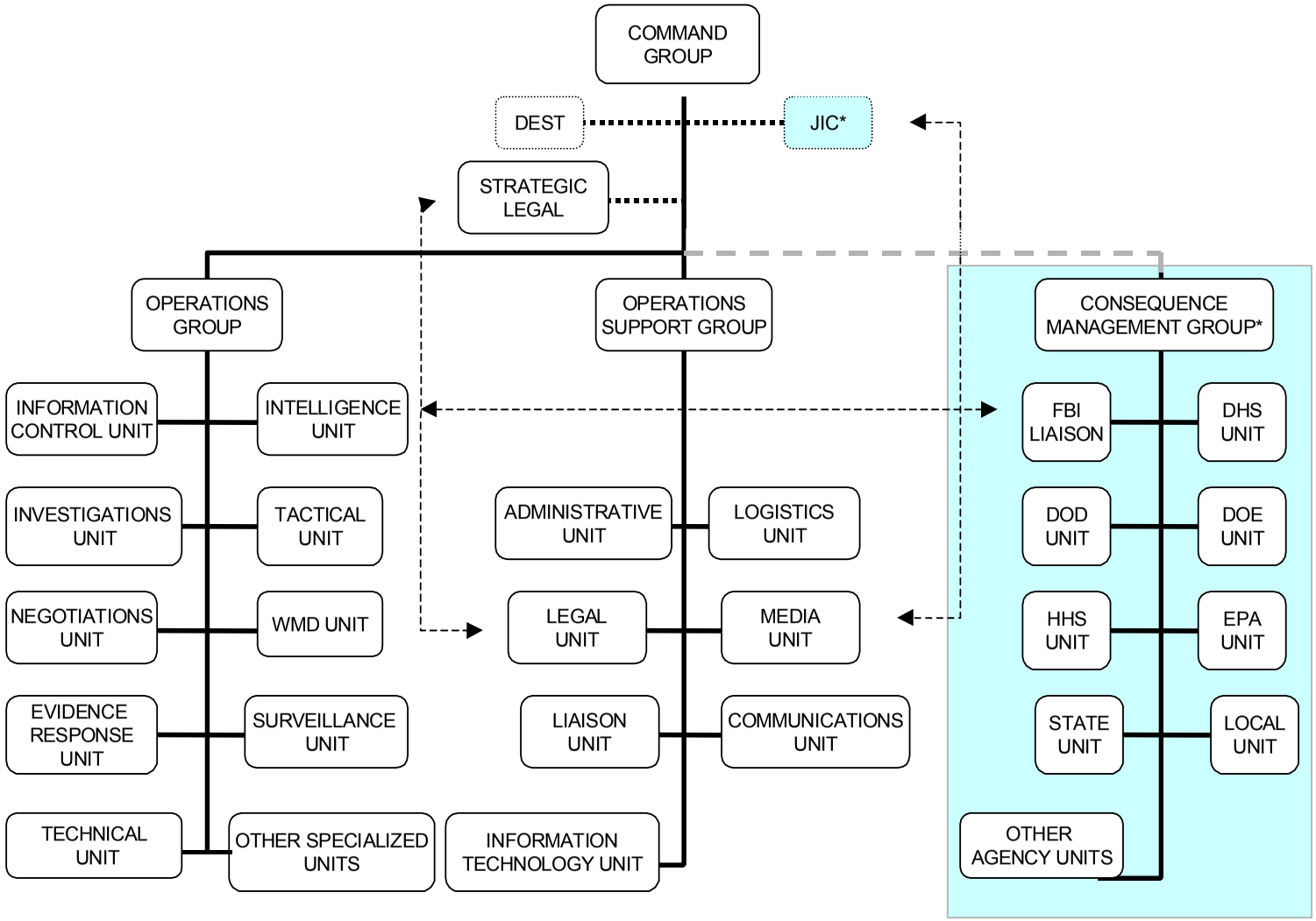
- A JOC may be established and staffed in a pre-incident, pre-emptive role in support of a significant special event. This "watch mode" allows for rapid expansion to full operations if a critical incident occurs during the special event. The JOC is a strategic management tool that effectively coordinates law enforcement investigative, intelligence, and operational activities at multiple sites from a single location. The JOC may be the only management structure related to a threat, critical incident, or special event, or it may integrate into other management structures in accordance with the NRP.

- Law enforcement public safety functions, such as proactive patrol and traffic control, historically are managed through the Operations Section of the ICS. Criminal investigation and the collection, analysis, and dissemination of intelligence are sensitive law enforcement operations that require a secure environment and well-defined organizational management structure. The JOC is designed to coordinate this specialized law enforcement investigative and intelligence activity. It provides mechanisms for controlling access to and dissemination of sensitive or classified information. Management of crisis information and intelligence is recognized under the NIMS as a sixth functional area within ICS. The structure of the JOC supports this functional area and enhances the overall management of critical incidents and special events.

- The NIMS provides the framework within which the ICS and JOC structures operate for a unified approach to domestic incident management.

- The JOC is composed of four main groups: the Command Group, the Operations Group, the Operations Support Group, and the Consequence Management Group.

FIGURE 2. Joint Operations Center



* **While the Operations Group and Operations Support Group remain components of the JOC when it is incorporated into the JFO, the JIC and Consequence Management Group will be merged into the appropriate JFO staff components, if established.**

Command Group

- The Command Group of the JOC provides recommendations and advice to the FBI SAC regarding the development and implementation of strategic decisions to resolve the situation. It is responsible for approving the deployment and employment of law enforcement investigative and intelligence resources. The Command Group maintains its advisory role to the FBI SAC when the JOC becomes a section of the JFO for an Incident of National Significance. When a JFO is established in this situation, the FBI SAC becomes the SFLEO in the JFO Coordination Group. The Assistant SAC or an alternate senior FBI official leads the JOC Command Group once the SAC has transitioned to the JFO.

- The FBI representatives in the Command Group include the SAC, the Assistant SAC, and an executive-officer position known as the Crisis Management Coordinator (CMC). The SAC of the FBI Field Office in which the incident occurs is responsible for developing the overall strategy for managing Federal investigative law enforcement activities at the critical incident or special event and coordinating the implementation of that strategy with other agency decisionmakers and FBI Headquarters. The FBI SAC also is responsible for coordinating Federal law enforcement activities with other Federal incident management personnel during domestic critical incidents and special events. The CMC ensures that the strategy of the SAC is communicated to everyone in the JOC and that the JOC is staffed and equipped to effectively implement the strategy of the SAC. The CMC also ensures that information flows efficiently within the JOC and between the JOC and other command and control centers.

- The JOC Command Group includes senior officials with decisionmaking authority from local, State, and Federal agencies, as appropriate, based upon the circumstances of the threat or incident. Consistent with the Unified Command concept, law enforcement investigative and intelligence strategies, tactics, and priorities are determined jointly within the JOC Command Group. Federal law enforcement investigative, intelligence, and operational decisions are made cooperatively to the extent possible, but the authority to make these decisions rests ultimately with the FBI SAC.

- Three specialized teams provide guidance and expertise directly to the Command Group. These teams are the Strategic Legal Team, the Joint Information Center Team, and the Domestic Emergency Support Team.

  - The Strategic Legal Team is composed of legal counsel from the FBI, U.S. Attorney's Office, and the District or State's Attorney's Office. This team provides legal guidance to the Command Group concerning the strategies under consideration for resolution of the crisis.

  - The Joint Information Center (JIC) Team is integrated into the JFO when established. It is composed of the public affairs (media) officers from the participating local, State, and Federal public safety agencies. It manages information released to the public through a coordinated, unified approach. A separate media unit within the JOC Operations Support Group provides FBI-specific guidance and expertise to the FBI SAC and coordinates with the JIC to ensure the media strategy is consistent with the overall investigative strategy.

  - The Domestic Emergency Support Team (DEST) is a specialized interagency team composed of subject-matter experts from the FBI, the DHS/Emergency Preparedness and Response/Federal Emergency Management Agency (DHS/EPR/FEMA), DOD, DOE, HHS, and EPA. It provides guidance to the FBI SAC concerning WMD threats and actual incidents.

Operations Group

- The Operations Group handles all investigative, intelligence, and operational functions related to the threat, critical incident, or special event.

- Each unit within the Operations Group provides expertise in a specific functional area that is important in the overall resolution of the incident.

- The units within the Operations Group are scalable and modular, and may be tailored to the specific threat, critical incident, or special event.

- The Operations Group normally consists of the Information Intake unit (formerly referred to as the Control unit), the Intelligence unit, the Investigations unit, and Field Operations units.

Information Intake (or Control)

- Information Intake is the central point for receiving all information that comes into the JOC. The purpose of Information Intake is to ensure that telephone calls, e-mail messages, fax reports, and other incoming information are assessed for relevance to the threat, critical incident, or special event. The information is checked to determine if it has been previously reported. It is prioritized and entered into the information management system. Through this filtering mechanism the Information Intake unit ensures that only current and relevant information is disseminated to the JOC.

- The Information Intake Coordinator is responsible for providing guidance and direction to all personnel within the Information Intake unit and coordinating the activities of the unit with all other units within the JOC. Personnel within the Information Intake unit are responsible for receiving incoming information, processing new information, routing followup information appropriately, and implementing procedures for tracking evidentiary material that is introduced into the command post.

Intelligence

- The Intelligence unit manages the collection, analysis, archiving, and dissemination of relevant and valid investigative and strategic intelligence. It fuses historical intelligence from a variety of sources with new intelligence specific to the threat, critical incident, or special event. The Intelligence unit also disseminates intelligence products and situation reports to all JOC units, FBI Headquarters Strategic Information and Operations Center (SIOC), and the JFO Coordination Group. This information is shared with the DHS Homeland Security Operations Center (HSOC), the National Counterterrorism Center (NCTC), and, as appropriate, other government agencies, consistent with operational security considerations.

- The Intelligence unit usually is divided into teams based on functional responsibility. Teams manage intelligence related to the crisis site or target, build intelligence portfolios and databases on significant elements related to the investigation (subjects, vehicles, and organizations), analyze and identify trends in activities related to the investigation (predictive and strategic intelligence), conduct liaison with outside members of the Intelligence Community, and prepare periodic briefings and reports concerning the status of the crisis or investigation. The Intelligence unit is responsible for collecting and reviewing all intelligence related to the threat, crisis, or special event to enable the SAC to further develop and refine strategic objectives.

Investigations

- The Investigations unit provides oversight and direction to all investigative activity related to the threat, critical incident, or special event. The Investigations unit implements the strategy of the SAC by directing the collection and management of investigative information. It is composed of investigative personnel from the agencies with specific jurisdiction or authority for investigating crimes related to the threat, critical incident, or special event. The Investigations Unit Coordinator is usually an FBI Supervisor who has responsibility for investigating the most significant substantive law violation.

- Teams within the Investigations unit review all incoming information to determine investigative value. The Investigations unit assigns, tracks, and reviews all investigative leads and documents the investigation in the appropriate case file(s). The case agents or primary investigators within the Investigations unit manage all evidence and information, and prepare it for court presentation, if appropriate. The case agents or primary investigators are assisted by analytical personnel to ensure that all investigative information is pursued to its logical conclusion. A Records Check Team within the Investigations unit reviews case files and databases to ensure that all items of investigative value are identified and evaluated. The Investigations unit is responsible for collecting and reviewing all reports of investigative activity to enable the SAC to further develop and refine strategic objectives.

Field Operations

- The Field Operations units are based upon the specific needs of the threat, critical incident, or special event. The personnel staffing these units are subject-matter experts in a number of specialized skill areas. Field Operations unit coordinators are responsible for ensuring the activity of the specialized units is consistent with and in support of the strategy of the SAC.

- Field Operations units may include representatives of tactical, negotiations, WMD/CBRNE, evidence response, surveillance, technical, or any other specialized unit deployed to the crisis site(s) or staged in readiness. The mission of these units is to provide the SAC with current information and specialized assistance in dealing with the threat, critical incident, or special event. Information is communicated between the JOC and the crisis site(s) through the Field Operations unit representatives in the JOC. This ensures that decisionmakers both in the JOC and in the forward areas maintain full situational awareness. The Field Operations units coordinate their activities within the JOC to ensure each is aware of the impact of their activities on the other field units.

- Local, State, and Federal law enforcement specialty units assigned to assist with field operations during the threat, incident, or special event coordinate their activities with the appropriate FBI Field Operations units through the JOC. Federal Government mission-specific units are designated to help the FBI maintain their respective chains of command and coordinate their activities through representation in the JOC. The JOC manages the activities of the specialized units at a strategic level. Activities at the individual or "tactical" level are managed at the crisis site(s) through forward command structures such as the Tactical Operations Center, Negotiations Operations Center, and Evidence Response Team Operations Center.

Operations Support Group

- The Operations Support Group units designated within the JOC are based upon the specific needs of the threat, critical incident, or special event. The personnel who staff these units are subject-matter experts in a number of specialized areas. Operations Support Group unit coordinators are responsible for ensuring the activity of their units is consistent with and in support of the strategy of the SAC.

- Operations Support Group units can include administrative, logistics, legal, media, liaison, communications, and information management. The mission of these units is to support the investigative, intelligence, and operational functions of the JOC.

- The Administrative and Logistics units have responsibilities that are similar to the Finance and Logistics Sections in ICS. However, they are tasked with managing only the activities related to the law enforcement investigative, intelligence, and operational functions; they do not manage the administrative and logistics functions associated with the overall incident.

- The Legal and Media units support the investigative and intelligence operations of the JOC through the preparation of specific legal processes and management of media affairs. These units focus on specific objectives related to the investigation such as search warrants and press releases, and not the strategic overall objectives handled by the Strategic Legal Team and JIC that are attached to the Command Group.

- The Liaison unit is composed of representatives from outside agencies who assist the FBI with resolution of the threat, critical incident, or special event. The Liaison unit may include agencies without clear authority or jurisdiction over the threat, critical incident, or special event if they have a potential investigative interest. For example, law enforcement agencies that border affected jurisdictions may be represented in the JOC to maintain situational awareness of potential threats. Additional Liaison unit representatives may include fire department personnel, utility company workers, or engineering specialists.

- The Communications unit handles radio and telephone communications to support JOC operations. The Communications unit establishes communications networks within the JOC. It also establishes networks to facilitate timely and reliable information-sharing between the JOC and other command and control centers.

- The Information Technology unit is responsible for the JOC computer system operation within each unit and between units. Information technology specialists and facilitators assigned to this unit are responsible for ensuring the uninterrupted operation of the information management system used during JOC operations.

Consequence Management Group

- The JOC Consequence Management Group consists of representatives of agencies that provide consequence-focused expertise in support of law enforcement activities. The JOC does not manage consequence functions; rather, it ensures that law enforcement activities with emergency management implications are communicated and coordinated to appropriate personnel in a complete and timely manner.

- A DHS representative coordinates the actions of the JOC Consequence Management Group, and expedites activation of a Federal incident management response should it become necessary. FBI and DHS representatives screen threat/incident intelligence for the Consequence Management Group. Representatives of the JOC Consequence Management Group monitor the law enforcement criminal investigation and may provide advice regarding decisions that impact the general public or critical infrastructure. This integration provides continuity should a Federal incident management response become necessary.

- Agencies comprising the Consequence Management Group may also have personnel assigned to other units within the JOC structure. Depending on the nature of the incident and required assets, additional teams assigned to support the FBI may be included under Other Specialized Units.

- Should the threat of a terrorist incident become imminent, the JOC Consequence Management Group may forward recommendations to the RRCC Director to initiate limited pre-deployment of assets under the Stafford Act.

- Requests for DOD assistance for law enforcement and criminal investigation during the incident come from the Attorney General to the Secretary of Defense through the DOD Executive Secretary. Once the Secretary approves the request, the order is transmitted either directly to the unit involved or through the Chairman of the Joint Chiefs of Staff. The FBI SAC informs the Principal Federal Official (PFO), if one has been designated, when requesting this additional assistance.

- The Consequence Management Group is established when a JOC is necessary but a JFO has not yet been activated, or the event has not reached the level of being considered an Incident of National Significance.

- Representatives in this group may move to appropriate positions in other sections of the JFO when one is established.

The Response

- Receipt of a terrorist threat may be through any source or medium and may be articulated or developed through intelligence sources. It is the responsibility of all local, State, and Federal agencies and departments to notify the FBI when such a threat is received. As explained below, the FBI evaluates the credibility of the terrorist threat and notifies the HSOC, NCTC, and other departments and agencies, as appropriate.

- Upon receipt of a threat of terrorism within the United States, the FBI conducts a formal threat credibility assessment in support of operations with assistance from select interagency experts. For a WMD or CBRNE threat, this assessment includes three perspectives:

  - Technical Feasibility: An assessment of the capacity of the threatening individual or organization to obtain or produce the material at issue;

  - Operational Practicability: An assessment of the feasibility of delivering or employing the material in the manner threatened; and

  - Behavioral Resolve: A psychological assessment of the likelihood that the subject(s) will carry out the threat, including a review of any written or verbal statement by the subject(s).

- A threat assessment is conducted to determine whether the potential threat is credible, and confirm whether WMD or CBRNE materials are involved in the developing terrorist incident. Intelligence varies with each threat and impacts the level of the Federal response. If the threat is credible, the situation requires the tailoring of response actions to use Federal resources needed to anticipate, prevent, and/or resolve the situation. The Federal response focuses on law enforcement/investigative actions taken in the interest of public safety and welfare, and is predominantly concerned with preventing and resolving the threat. In addition, contingency planning focuses on the response to potential consequences and the pre-positioning of tailored resources, as required. The threat increases in significance when the presence of a CBRNE device or WMD capable of causing a significant destructive event, prior to actual injury or loss, is confirmed or when intelligence and circumstances indicate a high probability that a device exists. In this case, the threat has developed into a WMD or CBRNE terrorist situation requiring an immediate process to identify, acquire, and plan the use of Federal resources to augment State, local, and tribal authorities in lessening or averting the potential consequence of terrorist use or employment of WMD or CBRNE material. It should be noted that a threat assessment would also be conducted if an incident occurs without warning. In this case, the assessment is focused on criminal intent, the extent of the threat, and the likelihood of secondary devices or locations.

- The FBI manages a Terrorist Threat Warning System to ensure that vital information regarding terrorism reaches those in the U.S. counterterrorism and law enforcement community responsible for countering terrorist threats. This information is coordinated with DHS and the NCTC, and is transmitted via secure teletype. Each message transmitted under this system is an alert, an advisory, or an assessment—an alert if the terrorist threat is credible and specific, an advisory if the threat is credible but general in both timing and target, or an assessment to impart facts and/or threat analysis concerning terrorism.

- Upon determination of a credible threat, FBI Headquarters activates its SIOC to coordinate and manage the national-level support to a terrorism incident. At this level, the SIOC generally mirrors the JOC structure operating in the field. The SIOC is staffed by liaison officers from other Federal agencies who coordinate with and provide assistance to the FBI. The SIOC serves as the focal point for law enforcement operations and maintains direct connectivity with the HSOC. The HSOC is notified immediately by the SIOC once a threat has been determined to be credible. In turn, this notification may result in activation of NRP components in coordination with the FBI.

- The FBI leads the criminal investigation related to the incident, and the SIOC is the focal point for all intelligence related to the investigative law enforcement response to the incident. Consistent with the NRP, affected Federal agencies operate headquarters-level emergency operations centers, as necessary. FBI Headquarters initiates appropriate liaison with other Federal agencies to activate their operations centers and provide liaison officers to the SIOC. In addition, FBI Headquarters initiates communications with the SAC of the responsible Field Office, apprising him/her of possible courses of action and discussing deployment of the DEST. The FBI SAC establishes initial operational priorities based upon the specific circumstances of the threat or incident. This information is then forwarded to FBI Headquarters to coordinate identification and deployment of appropriate resources.

- The JOC is established by the FBI under the operational control of the FBI SAC, and acts as the focal point for the field coordination of criminal investigation, law enforcement, and intelligence activities related to the threat or incident. When a PFO is designated for a terrorism incident, the FBI SAC provides full and prompt cooperation, resources, and support to the PFO, as appropriate and consistent with applicable authorities. The PFO (or an initial PFO designated by the Secretary of Homeland Security) may elect to use the JOC as an initial operating facility for strategic management and identification of State, local, and tribal requirements and priorities, and coordination of the Federal response. The FBI SAC coordinates with the PFO, including providing incident information to the PFO as requested, coordinating the public communications strategy with the PFO, and approving Federal interagency communications for release to the public through the PFO. It is recognized, however, that in some cases it may be necessary for the FBI SAC to respond directly to media/public inquiries on investigative operations and matters affecting law enforcement operations, particularly during the early stages of the emergency response.

- The local FBI Field Office activates a Crisis Management Team to establish the JOC in the affected area, possibly collocated with an existing emergency operations facility. In locating the JOC, consideration is given to the possibility that the facility may have to accommodate other Federal incident management field activities including the JFO, the JIC, and other supporting teams. Additionally, the JOC is augmented by outside agencies, including representatives from the DEST (if deployed), who provide interagency technical expertise as well as interagency continuity during the transition from an FBI command post structure to the JOC structure.

- Based upon a credible threat assessment and a request by the SAC, the FBI Director and DHS Under Secretary for Emergency Preparedness and Response, in consultation with the Attorney General and Secretary of Homeland Security, may request authorization through the National Security Council to deploy the DEST to assist the SAC in mitigating the crisis situation. The DEST is a rapidly deployable, interagency team responsible for providing expert advice and support concerning the Federal Government's capabilities in resolving the terrorist threat or incident. This includes law enforcement, criminal investigation, and emergency management assistance, technical and scientific advice, and contingency planning guidance tailored to situations involving chemical, biological, or nuclear/radiological weapons.

- Upon arrival at the FBI command post or JOC, the DEST may act as a stand-alone advisory team to the SAC providing recommended courses of action. Although it would be unusual, the DEST may be tasked to deploy before a JOC is established. The DEST may handle some of the specialized interagency functions of the JOC until the JOC is fully staffed. The DEST emergency management component merges into the Consequence Management Group in the JOC structure.

- Prior to an actual WMD or CBRNE incident, law enforcement, intelligence, and investigative activities generally have priority. When an incident results in the use of WMD or CBRNE material, rescue and life-safety activities generally have priority. Activities may overlap and/or run concurrently during the incident management, and are dependent on the threat and/or the strategies for responding to the incident.

- Upon determination that applicable law enforcement/intelligence goals and objectives are met and no further immediate threat exists, the FBI SAC may deactivate the JOC and order a return to routine law enforcement/investigative operations in accordance with pre-event protocols.

- When an incident occurs and an ICP is established on-scene, FBI personnel integrate into the ICP to enhance the ability of the FBI to carry out its mandated mission (see Figure 3). Three specific positions within an ICP are provided. The first FBI Special Agent (SA) or Joint Terrorism Task Force (JTTF) member responding receives an initial briefing from the Incident Commander or his/her designee and works closely with the Incident Commander as a member of the Unified Command. The FBI representative then informs the local Field Office of the current situation and, if necessary, requests additional assets. When a more senior FBI SA arrives on the scene, he/she assumes the role of the FBI representative in the Unified Command.

- The first arriving SA or JTTF member moves to the Operations Section as the Deputy Chief of Operations. This position is responsible for managing the deployment and coordination of Federal law enforcement and investigative assets in support of the Incident Action Plan. Additionally, an FBI SA assumes the position of Deputy Chief of Planning within the ICP. This position permits the FBI SA to remain updated on the situation and serve as a conduit for requests for additional law enforcement and investigative assets. The Agent also inputs Federal objectives into the developing incident action plan and performs other duties as appropriate. Also, FBI assets form a unit in the Operations Section. Throughout the incident, the actions and activities of the Unified Command at the incident scene and the Command Group of the JOC (and the JFO Coordination Group if established) are continuously and completely coordinated throughout the incident.

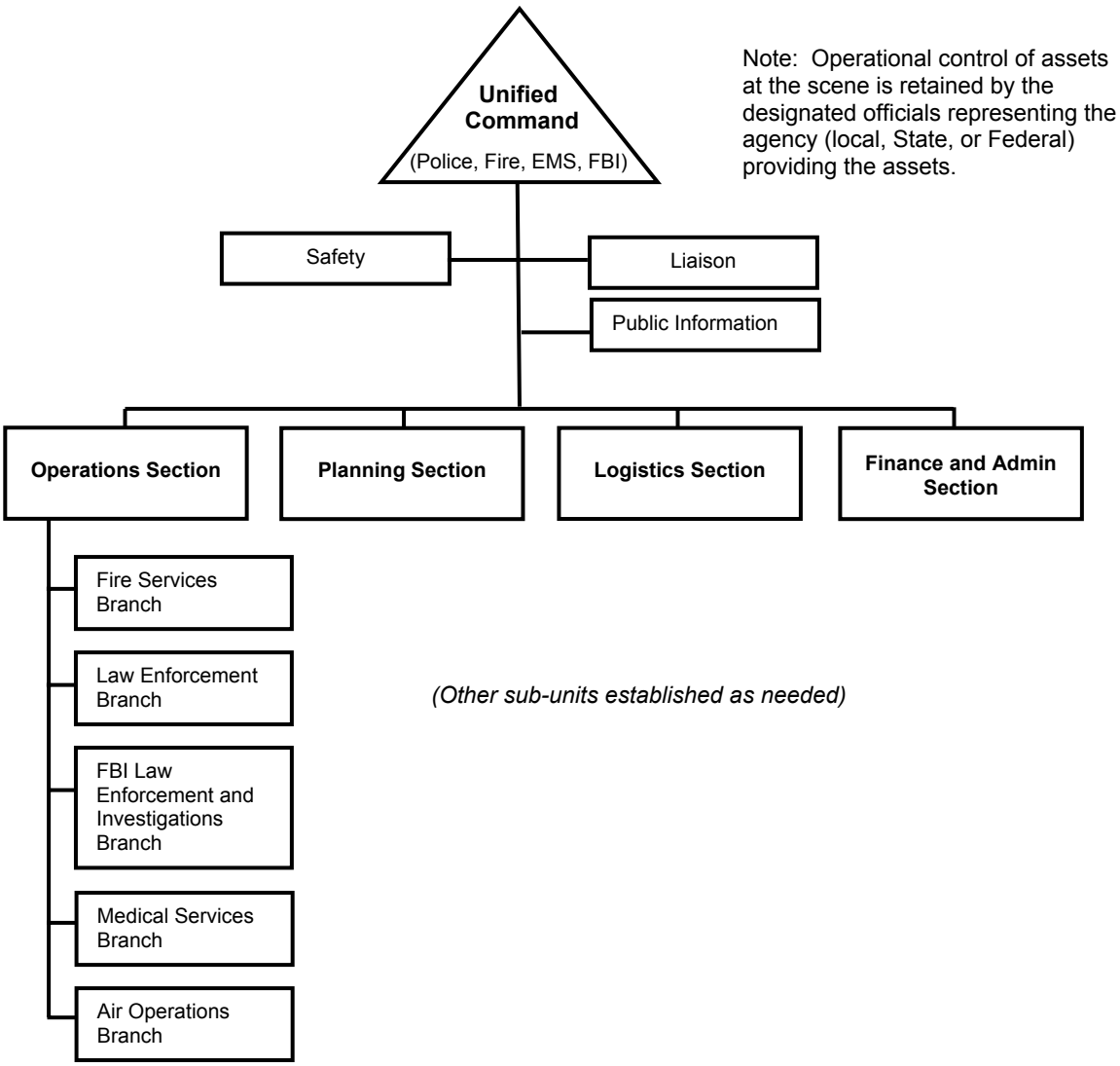



FIGURE 3. On-scene coordination