

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. The following section includes a series of annexes describing the roles and responsibilities of Federal departments and agencies as ESF coordinators, primary agencies, or support agencies.

Background

The ESFs provide the structure for coordinating Federal interagency support for a Federal response to an incident. They are mechanisms for grouping functions most frequently 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 (see Table 1).

The Incident Command System provides for the flexibility to assign ESF and other stakeholder resources according to their capabilities, taskings, and requirements to augment and support the other sections of the Joint Field Office (JFO)/Regional Response Coordination Center (RRCC) or National Response Coordination Center (NRCC) in order to respond to incidents in a more collaborative and cross-cutting manner.

While ESFs are typically assigned to a specific section at the NRCC or in the JFO/RRCC for management purposes, resources may be assigned anywhere within the Unified Coordination structure. Regardless of the section in which an ESF may reside, that entity works in conjunction with other JFO sections to ensure that appropriate planning and execution of missions occur.

Table 1. Roles and Responsibilities of the ESFs

ESF	Scope
ESF #1 – Transportation	Aviation/airspace management and control Transportation safety Restoration/recovery of transportation infrastructure Movement restrictions Damage and impact assessment
ESF #2 – Communications	Coordination with telecommunications and information technology industries Restoration and repair of telecommunications infrastructure Protection, restoration, and sustainment of national cyber and information technology resources Oversight of communications within the Federal incident management and response structures
ESF #3 – Public Works and Engineering	Infrastructure protection and emergency repair Infrastructure restoration Engineering services and construction management Emergency contracting support for life-saving and life-sustaining services
ESF #4 – Firefighting	Coordination of Federal firefighting activities Support to wildland, rural, and urban firefighting operations

Report Documentation Page

Form Approved
OMB No. 0704-0188

Public reporting burden for the collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to a penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

1. REPORT DATE JAN 2008		2. REPORT TYPE		3. DATES COVERED 00-00-2008 to 00-00-2008	
4. TITLE AND SUBTITLE Emergency Support Function Annexes				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Department of Homeland Security,NRF Resource Center,Washington,DC,20528				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release; distribution unlimited					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT	18. NUMBER OF PAGES	19a. NAME OF RESPONSIBLE PERSON
a. REPORT unclassified	b. ABSTRACT unclassified	c. THIS PAGE unclassified			

ESF	Scope
ESF #5 – Emergency Management	Coordination of incident management and response efforts Issuance of mission assignments Resource and human capital Incident action planning Financial management
ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services	Mass care Emergency assistance Disaster housing Human services
ESF #7 – Logistics Management and Resource Support	Comprehensive, national incident logistics planning, management, and sustainment capability Resource support (facility space, office equipment and supplies, contracting services, etc.)
ESF #8 – Public Health and Medical Services	Public health Medical Mental health services Mass fatality management
ESF #9 – Search and Rescue	Life-saving assistance Search and rescue operations
ESF #10 – Oil and Hazardous Materials Response	Oil and hazardous materials (chemical, biological, radiological, etc.) response Environmental short- and long-term cleanup
ESF #11 – Agriculture and Natural Resources	Nutrition assistance Animal and plant disease and pest response Food safety and security Natural and cultural resources and historic properties protection and restoration Safety and well-being of household pets
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 resource assistance Public safety and security support Support to access, traffic, and crowd control
ESF #14 – Long-Term Community Recovery	Social and economic community impact assessment Long-term community recovery assistance to States, local governments, and the private sector Analysis and review of mitigation 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

ESF Notification and Activation

The NRCC, a component of the National Operations Center (NOC), develops and issues operations 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 (DHS)/Federal Emergency Management Agency (FEMA) Operations Center. At the regional level, ESFs are notified by the RRCC per established protocols.

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 Member Roles and Responsibilities

Each ESF Annex identifies the 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, response, and recovery activities. ESFs with multiple primary agencies designate an ESF coordinator for the purposes of preincident planning and coordination of primary and supporting agency efforts throughout the incident. Following is a discussion of the roles and responsibilities of the ESF coordinator and the primary and support agencies.

ESF Coordinator

The ESF coordinator is the entity with management oversight for that particular ESF. The coordinator has ongoing responsibilities throughout the preparedness, response, and recovery 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 and, as appropriate, support agencies. Responsibilities of the ESF coordinator include:

- Coordination before, during, and after an incident, including preincident 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.
- Coordinating ESF activities relating to catastrophic incident planning and critical infrastructure preparedness, as appropriate.

Primary Agencies

An ESF primary agency is a Federal agency with significant authorities, roles, resources, or capabilities for a particular function within an ESF. ESFs may have multiple primary agencies, and the specific responsibilities of those agencies are articulated within the relevant ESF Annex. 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, the primary agency is responsible for:

- Supporting the ESF coordinator and coordinating closely with the other primary and support agencies.
- 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 officials, operations centers, and 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.
- Conducting situational and periodic readiness assessments.
- Executing contracts and procuring goods and services as needed.
- Ensuring financial and property accountability for ESF activities.
- Planning for short- and long-term incident management and recovery operations.
- Maintaining trained personnel to support interagency emergency response and support teams.
- 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.

Support Agencies

Support agencies are those entities with specific capabilities or resources that support the primary agency in executing the mission of the ESF. When an ESF is activated, support agencies are responsible for:

- Conducting operations, when requested by DHS or the designated ESF primary agency, consistent with their own authority and resources, except as directed otherwise pursuant to sections 402, 403, and 502 of the Stafford Act.
- Participating in planning for short- and long-term incident management and recovery operations and the development of supporting operational plans, SOPs, checklists, or other job aids, in concert with existing first-responder standards.
- Assisting in the conduct of situational assessments.
- Furnishing available personnel, equipment, or other resource support as requested by DHS or the ESF primary agency.
- Providing input to periodic readiness assessments.
- Maintaining trained personnel to support interagency emergency response and support teams.
- 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.

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.

ESF COORDINATING, PRIMARY, AND SUPPORT DESIGNATIONS

Table 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, Emergency Assistance, Housing, and Human Services	#7 - Logistics Management and Resource Support	#8 - Public Health and Medical Services	#9 - 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	#15 - External Affairs
USDA			S		S	S	S	S		S	C/P/S	S		P	S
USDA/FS	S	S	S	C/P		S	S	S	S	S			S		
DOC	S	S	S	S	S		S	S	S	S	S	S	S	S	S
DOD	S	S	S	S	S	S	S	S	P	S	S	S	S	S	S
DOD/USACE	S		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	S	C/P	S	S	S			S	S
DHS	S	S	S		S		S	S	S	S	S	S	S	P	C
DHS/FEMA	S	P	P	S	C/P	C/P/S	C/P	S	C/P	S	S			C/P	P
DHS/NCS		C/P					S					S			
DHS/USCG	S		S	S				S	P	P			S		
HUD					S	S								P	S
DOI	S	S	S	S	S	S	S	S	P	S	P/S	S	S	S	S
DOJ	S				S	S		S	S	S	S		C/P		S
DOL			S		S	S	S	S	S	S	S	S		S	S
DOS	S		S	S	S			S		S	S	S			S

TABLE CONTINUED ON THE NEXT PAGE

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

Note: Components or offices within a department or agency are not listed on this chart unless they are the ESF coordinator or a primary agency. Refer to the ESF Annexes for details.

Agency	Emergency Support Functions														
	#1 - Transportation	#2 - Communications	#3 - Public Works and Engineering	#4 - Firefighting	#5 - Emergency Management	#6 - Mass Care, Emergency Assistance, Housing, and Human Services	#7 - Logistics Management and Resource Support	#8 - Public Health and Medical Services	#9 - 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	#15 - External Affairs
DOT	C/P		S		S	S	S	S		S	S	S		S	S
TREAS					S	S							S	S	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
USAID								S	S						S
USPS	S				S	S		S			S		S		S
ACHP											S				
ARC			S		S	S		S			S			S	
CNCS			S			S								S	
DRA														S	
HENTF											S				
NARA											S				
NVOAD						S								S	

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

Note: Components or offices within a department or agency are not listed on this chart unless they are the ESF coordinator or a primary agency. Refer to the ESF Annexes for details.

This page intentionally left blank.

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 provides support to the Department of Homeland Security (DHS) by assisting Federal, State, tribal, and local governmental entities, voluntary organizations, nongovernmental organizations, and the private sector in the management of transportation systems and infrastructure during domestic threats or in response to incidents. ESF #1 also participates in prevention, preparedness, response, recovery, and mitigation activities. ESF #1 carries out the Department of Transportation (DOT)'s statutory responsibilities, including regulation of transportation, management of the Nation's airspace, and ensuring the safety and security of the national transportation system.

Scope

ESF #1 embodies considerable intermodal expertise and public and private sector transportation stakeholder relationships. DOT, with the assistance of the ESF #1 support agencies, provides transportation assistance in domestic incident management, including the following activities:

- Monitor and report status of and damage to the transportation system and infrastructure as a result of the incident.
- Identify temporary alternative transportation solutions that can be implemented by others when systems or infrastructure are damaged, unavailable, or overwhelmed.
- Perform activities conducted under the direct authority of DOT elements as these relate to aviation, maritime, surface, railroad, and pipeline transportation.
- Coordinate the restoration and recovery of the transportation systems and infrastructure.
- Coordinate and support prevention, preparedness, response, recovery, and mitigation activities among transportation stakeholders within the authorities and resource limitations of ESF #1 agencies.

ESF #1 is not responsible for movement of goods, equipment, animals, or people.

Policies

Primary responsibility for management of incidents involving transportation normally rests with State and local authorities and the private sector, which own and operate the majority of the Nation's transportation resources. As such, a Federal response must acknowledge State and local transportation policies, authorities, and plans that manage transportation systems and prioritize the movement of relief personnel and supplies during emergencies.

The Secretary of Transportation coordinates ESF #1, consistent with DOT's statutory mission, to promote fast, safe, efficient, and convenient transportation in support of the national objectives of general welfare, economic growth and stability, and the security of the United States.

DHS/Federal Emergency Management Agency (FEMA) is responsible for the provision of transportation assets and services (including contracts or other agreements for transportation assistance) for responders, equipment, and goods, consistent with the ESF #7 – Logistics Management and Resource Support Annex.

The ability to sustain transportation services, mitigate adverse economic impacts, meet societal needs, and move emergency relief personnel and commodities will hinge on effective transportation decisions at all levels. Unnecessary reductions or restrictions to transportation will directly impact the effectiveness of all prevention, preparedness, response, recovery, and mitigation efforts.

Department of Defense (DOD) transportation support will be provided in accordance with Defense Support of Civil Authorities, the memorandum of understanding between DOD and DOT concerning commercial aviation programs, and the memorandum of agreement between DOD and DOT concerning the National Defense Reserve Fleet and the Ready Reserve Force.

DOT/Federal Aviation Administration (FAA) is responsible for the operation and regulation of the U.S. National Airspace System, including during emergencies.

In cases where State, tribal, and local authorities are overwhelmed, Federal support for mass evacuations is addressed in the Mass Evacuation Incident Annex to the *National Response Framework (NRF)*. ESF #1 can provide any or all of the activities within the scope of this annex to support the Mass Evacuation Incident Annex.

During mass evacuations, consistent with the Mass Evacuation Incident Annex, DHS/FEMA provides transport for persons, including individuals with special needs, provided they meet the following criteria:

- Evacuees can be accommodated at both embarkation points and at destination general population shelters.
- Evacuees can travel on commercial long-haul buses, aircraft or passenger trains, or lift-equipped buses.
- Evacuees do not have medical needs indicating that they should be transported by ESF #8 – Public Health and Medical Services.

Consistent with the Mass Evacuation Incident Annex and the Post-Katrina Emergency Management Reform Act, DHS/FEMA is responsible for evacuation of service and companion animals.

Emergency Support Function #1 – Transportation Annex

Evacuation of medical patients is the responsibility of ESF #8. DHS/FEMA can support ESF #8 by providing limited bus evacuations between medical facilities within the limitations and capabilities of the assets and drivers.

CONCEPT OF OPERATIONS

General

ESF #1 provides DHS with a single point to obtain key transportation-related information, planning, and emergency management, including prevention, preparedness, response, recovery, and mitigation capabilities at the Headquarters, regional, State, and local levels. The ESF #1 structure integrates DOT and support agency capabilities and resources into the *NRF* and the *National Incident Management System (NIMS)*.

Initial response activities that ESF #1 conducts during emergencies include the following:

- Monitoring and reporting the status of and damage to the transportation system and infrastructure.
- Identifying temporary alternative transportation solutions to be implemented by others when primary systems or routes are unavailable or overwhelmed.
- Implementing appropriate air traffic and airspace management measures.
- Coordinating the issuance of regulatory waivers and exemptions.

In addition to the above initial activities, ESF #1 provides longer-term coordination of the restoration and recovery of the affected transportation systems and infrastructure if required.

Activation

The National Response Coordination Center (NRCC) issues operation orders and mission assignments to activate ESF #1 based on the scope and magnitude of the threat or incident.

The NRCC notifies the DOT Crisis Management Center (CMC), which serves as the focal point for the Department's emergency response and the formal point of contact for ESF #1 activation within DOT.

DOT, in turn, activates Headquarters and regional ESF #1 staff and primary and support agencies as required, including support to specialized teams such as modal transportation experts acting under the *NRF*. In cases where Regional Response Coordination Centers (RRCCs) activate ESF #1 in individual regions, the Regional Emergency Transportation Coordinator (RETCO) notifies the CMC and coordinates activation and activities with ESF #1 in the NRCC.

ORGANIZATION

Headquarters Response Organization

NRCC: When activated, ESF #1 provides staff to the NRCC. Staffing levels and composition will be determined by the scope, scale, and nature of the threat or incident. Additional technical expertise, planning, and operational support are provided by DOT Headquarters and field offices.

Emergency Support Function #1 – Transportation Annex

DOT Emergency Response Team: DOT activates the Department's Emergency Response Team. The team works closely with other departments and agencies and DOT's extensive stakeholder network to assess the affected transportation systems, identify alternatives to damaged or overwhelmed modes to be implemented by others, and identify the sector's needs.

DOT/FAA Response Cells: FAA activates specialized response cells to manage and coordinate air navigation services and other aviation-related efforts.

Regional Response Organization

DOT's Regional Emergency Transportation Program: The Regional Emergency Transportation Program provides the staff and expertise required to support ESF #1 in the field. The program consists of a Headquarters element and 10 regions, which are based on the standard Federal regions. The Regional Emergency Transportation Coordinators and Representatives (RETCO/RETREP) provide full-time, collateral duty and volunteer DOT and contractor staff to augment regional and State incident command structures. This includes RRCCs, Joint Field Offices (JFOs), and State emergency operations centers, as needed. This cadre also provides regional DOT transportation support during nonemergency periods in contingency planning efforts within the limits of available resources and/or as funded by FEMA.

The DOT RETCO provides direction for the regional ESF #1 mission. The RETCO is the Secretary of Transportation's representative for emergency preparedness and response matters within the region and receives policy guidance and operational direction from the Office of the Secretary.

The RETCO is responsible for the administrative support of DOT individuals involved in regional emergency transportation operations and coordination with DOT Headquarters in the management of all financial transactions undertaken through mission assignments and interagency agreements issued to ESF #1.

ACTIONS: INITIAL ACTIONS

National Activation

DOT: Immediately upon notification of a threat or an imminent or actual incident, the following actions will be taken, as required:

- Initiate reporting to the Office of the Secretary of Transportation, the National Operations Center (NOC) elements (NOC watch, National Infrastructure Coordinating Center (NICC), NRCC, and TSOC), Domestic Readiness Group (DRG), Counterterrorism Security Group (CSG), DOT operating administrations and regional offices, and the RETCO.
- Activate the DOT Emergency Response Team.
- Staff ESF #1 at the NRCC.
- Dispatch staff to the Incident Management Planning Team (IMPT), DRG, CSG, NRCC, RRCC(s), JFO(s), and Evacuation Liaison Team.
- Activate the RETCOs and RETREPs.
- Inform and invite participation by ESF #1 support agencies.

Support Agencies: Provide staff and support to ESF #1.

Regional Activation

At the regional level (RRCC and/or JFO), the RETCO or a designated representative establishes communications with the NRCC, the FCO/FRC, the CMC, and the Principal Federal Official (if designated).

Initial Emergency Support Activities

- **Monitor and report status of and damage to transportation systems and infrastructure as a result of the incident.** DOT provides this information (via the CMC) to the NOC, NRCC, and NICC, as well as the affected RRCCs and JFOs. Information is compiled from a variety of sources, including ESF #1 support agencies, ESF #1 cadre at various locations, each of DOT's Operating Administrations (through more than 300 field offices nationwide), and key transportation associations and transportation providers. Reports include specific damages sustained, ongoing recovery efforts, alternatives planned or implemented by others, and assessments of the impact.

The NOC, NICC, and Transportation Security Operations Center (TSOC) provide relevant situational awareness and threat information reports input to ESF #1 in its lead role in reporting the status of transportation infrastructure.

- **Identify temporary alternative transportation solutions implemented by others when systems or infrastructure are damaged, unavailable, or overwhelmed.** Primary responsibility for arranging for alternate transportation services lies at the State and local levels, with the system owner or operator and/or State and local government. However, during major incidents, or when Federal coordination or funding support is required, ESF #1 identifies alternate transportation services implemented by others.

The Transportation Security Administration, as Sector-Specific Agency for transportation, supports ESF #1 in the identification and prioritization of critical transportation infrastructure and key resources (CIKR) and, in cases of terrorist threats or attacks, will recommend actions to protect these resources.

The DHS Office of Infrastructure Protection supports ESF #1 in the identification and prioritization of nontransportation CIKR that may be impacted by transportation.

Within the limits of the scope of this annex, the RETCO or designated alternate coordinates with appropriate State, tribal, and local entities, DOT Headquarters, and the NRCC in decisions regarding issues such as movement restrictions, critical facilities closures, and evacuations.

On a case-by-case basis, and within the limits of the scope of this annex, DOT will assist DHS/FEMA in coordinating passenger rail support to mass evacuations under the Mass Evacuation Incident Annex, when activated.

In addition to the above activities, during major evacuations, ESF #1 provides support to the DHS/FEMA-led Evacuation Liaison Team to assist in coordination of large-scale highway evacuations, especially when involving more than one State.

- **Perform activities conducted under the direct authority of DOT elements.** This includes a variety of statutory activities, including management of the National Airspace System; maritime, surface transportation, railroad, and pipeline regulatory activities; funding; issuing transportation regulatory waivers and exemptions (e.g., hours of service, hazardous materials regulations, etc.); and other emergency support.

Emergency Support Function #1 – Transportation Annex

The RETCO or designated alternate coordinates with appropriate DOT regional operating administrations on the implementation of specific DOT statutory authorities providing immediate assistance. Examples include airspace management, long-term recovery of the transportation infrastructure, and any authorized mitigation efforts.

ACTIONS: CONTINUING AND ONGOING ACTIONS

In addition to sustaining the initial actions, ESF #1 provides long-term coordination of the restoration and recovery of the affected transportation systems and infrastructure.

- **Coordinate the restoration and recovery of the transportation infrastructure.** Primary responsibility for coordinating the restoration and recovery of the transportation infrastructure beyond the State and local level rests with DOT through the unique resources and expertise of each Operating Administration and the ESF #1 support agencies to facilitate recovery.

Prioritization of restoration efforts is based on response needs as identified within the JFO, RRCC, and NRCC, as well as the State, regional, or national interdependencies that may have far-reaching impacts.

Several DOT Operating Administrations have individual programs, funding sources, and technical experts (e.g., inspectors, engineers, etc.) that can be utilized to support restoration and recovery efforts. These include the FAA, the Federal Highway Administration, the Federal Transit Administration, the Federal Railroad Administration, the Pipeline and Hazardous Materials Safety Administration, the Maritime Administration, and the Research and Innovative Technologies Administration (including the Volpe Transportation Center).

- **Coordinate and support prevention, preparedness, and mitigation activities among transportation stakeholders.** This is a continuous activity that is conducted within the authorities and resource limitations of ESF #1 agencies. Activities include supporting Federal, State, and local planning efforts as they relate to transportation, including evacuation planning, contingency plans, etc. as well as working with the designated Special Needs Advisor, as described in the *NIMS*, to address persons with special needs in the planning process.

RESPONSIBILITIES

ESF Coordinator: DOT

DOT is responsible for planning and coordination of activities affecting transportation throughout prevention, preparedness, response, recovery, and mitigation. These activities include planning and coordination, maintaining ongoing contact with ESF primary and support agencies, conducting periodic ESF meetings and conference calls, coordinating efforts with State/local/tribal and private-sector organizations, and coordinating ESF activities relating to catastrophic incident and mass evacuation planning and critical infrastructure preparedness as appropriate.

Emergency Support Function #1 – Transportation Annex

DOT:

- Provides support to DHS in prevention, preparedness, response, recovery, and mitigation activities among transportation infrastructure stakeholders at the regional, State, and local levels within the authorities and resource limitations of ESF #1 agencies. (Preparedness for mass evacuations is addressed in the Mass Evacuation Incident Annex.)
- Supports planning and coordination elements of preparedness as requested and funded on a reimbursable basis by DHS.
- Manages the financial aspects of the Federal ESF #1 response, including management of Stafford Act mission assignments or reimbursable agreements for non-Stafford Act Federal-to-Federal support.

Primary Agency: DOT

- Manages the headquarters and the regional ESF #1 activities.
- Provides trained personnel to staff ESF #1 positions at the NRCC, the RRCC, the JFO, or any other temporary facility in the impacted region appropriate to the ESF #1 mission.
- Deploys members to fill positions on emergency response teams, the IMPT, and other entities as necessary.
- Through DOT/FAA, oversees the operation and regulation of the U.S. National Airspace System, including during emergencies. Under certain conditions, DOT/FAA may delegate use of specified airspace for national defense, homeland security, law enforcement, and response (e.g., search and rescue) missions, but retains control of the airspace at all times. DOT/FAA may also implement air traffic and airspace management measures such as temporary flight restrictions in conjunction with these missions. Coordination of these activities can be initiated through ESF #1 or directly with DOT/FAA, as appropriate.
- Works with primary and support agencies, State and local transportation departments, and industry partners, and with input from the NICC and TSOC, to assess and report the damage to the transportation infrastructure and analyze the impact of the incident on transportation operations, nationally and regionally.
- Coordinates and implements, as required, emergency-related response and recovery functions performed under DOT statutory authorities. This includes management of the airspace within and surrounding the disaster-impacted area, emergency highway funding for federally owned highways and highways on the Federal Aid System, hazardous material movement, and damage assessment, including safety- and security-related actions.
- Provides technical assistance to Federal, State, tribal, and local governmental entities in determining the most viable transportation networks to, from, and within the incident area and on availability of accessible transportation.
- Assists in restoring the transportation infrastructure through ESF #3 – Public Works and Engineering and the Stafford Act program.

SUPPORT AGENCIES

Agency	Functions
<p>Department of Agriculture (USDA)</p>	<p>Forest Service</p> <ul style="list-style-type: none"> • If available, provides transportation assets to ESF #1 when Forest Service resources are the most effective to support the ESF #1 mission. • If available, provides appropriate engineering and contracting/procurement personnel and equipment to assist in emergency removal of debris, demolition, repair of roads and bridges, and temporary repair of essential public facilities. <p>Resources will be assigned commensurate with each unit’s level of training and the adequacy and availability of equipment. ESF #4 – Firefighting or the USDA/Forest Service Disaster and Emergency Operations Branch is the contact for this support.</p>
<p>Department of Commerce (DOC)</p>	<p>National Oceanic and Atmospheric Administration (NOAA)</p> <p>Provides the following products and information to support ESF #1 activities, including mass evacuations:</p> <ul style="list-style-type: none"> • Forecasts, watches, and warnings including weather, storm surge, and dispersion forecasts. • Surface and marine forecasts and nowcasts including ice and debris tracking. • Emergency hydrographic surveys, search and recovery, obstruction location, and vessel traffic rerouting in ports and waterways. • Remote aerial and orbital imagery through the DOC/NOAA desk at the NOC.
<p>Department of Defense</p>	<ul style="list-style-type: none"> • Provides military transportation capacity from the U.S. Transportation Command (USTRANSCOM) or other organizations to move essential resources, including DOT response personnel and associated equipment and supplies, 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. • Provides assets to complement temporarily degraded or disrupted DOT/FAA air navigation services capabilities as requested by DOT/FAA and ESF #1. <p>U.S. Army Corps of Engineers (USACE)</p> <ul style="list-style-type: none"> • Provides support in the emergency operation and restoration of inland waterways, ports, and harbors under the supervision of DOD/USACE, including dredging operations. • Assists in restoring the transportation infrastructure.
<p>Department of Energy (DOE)</p>	<ul style="list-style-type: none"> • When requested, DOE/National Nuclear Security Administration provides fixed-wing and rotary aircraft to support radiological environment surveys and/or search capabilities during a radiological or nuclear incident. • Provides information on status of, needs for, and plans for restoration of interdependent infrastructure.

Emergency Support Function #1 – Transportation Annex

Agency	Functions
<p>Department of Homeland Security</p>	<p>Customs and Border Protection (CBP)</p> <ul style="list-style-type: none"> Identifies and provides transportation-related DHS/CBP assets and resources. Provides assets to complement temporarily degraded or disrupted DOT/FAA air navigation services capabilities as requested by DOT/FAA and ESF #1.
	<p>Federal Emergency Management Agency</p> <ul style="list-style-type: none"> Provides timely funding for activation and Stafford Act-eligible ESF #1 activities. Provides necessary funding for ESF #1 participation in DHS- and FEMA-sponsored planning, training, exercises, and other preparedness activities.
	<p>Transportation Security Administration</p> <ul style="list-style-type: none"> Through the TSOC, provides relevant transportation and threat information reports, including Information Sharing and Analysis Centers reports, to ESF #1 in its lead role in reporting the status of transportation infrastructure. Serves as ESF #1 liaison to ESF #13 – Public Safety and Security, as appropriate. Leads efforts to protect transportation infrastructure from the effects of acts of terrorism, and supports efforts to protect transportation infrastructure from the effects of manmade and natural disasters. Provides assets to address security and on-site coordination requirements for the ground operations and in-flight segments of mass air evacuation operations as requested by ESF #1. Provides assistance in the allocation and prioritization of resources through the Infrastructure Liaison and the NICC.
	<p>U.S. Coast Guard</p> <ul style="list-style-type: none"> Identifies and provides assets and resources in support of the ESF #1 mission. Coordinates with support agencies and other maritime stakeholders through ESF #1 to prioritize, evaluate, and support restoration of domestic ports, shipping, waterways, and related systems and infrastructure. Provides staff to the DOT CMC during emergencies to provide status of maritime domain, including ports, waterways and operations, in ESF #1 for integration in overall transportation sector status reporting.
	<p>Office of Infrastructure Protection: Provides information and assistance concerning the recovery and restoration of transportation critical infrastructure, as well as all other CIKR impacted by transportation.</p>
<p>Department of the Interior (DOI)</p>	<ul style="list-style-type: none"> Identifies, and if available, provides departmental transportation assets (e.g., fixed-wing aircraft and all-terrain vehicles) and support resources (e.g., mechanics, pilots) if these are the most effective to support the ESF #1 mission. Resources will be assigned commensurate with each unit’s level of training and the adequacy and availability of equipment. ESF #4 or the DOI Operations Center is the contact for this support. Provides information on status of, needs for, and plans for restoration of infrastructure.
<p>Department of Justice</p>	<p>Identifies and provides departmental transportation support assets in support of the ESF #1 mission when not committed for internal operations.</p>

Emergency Support Function #1 – Transportation Annex

Agency	Functions
Department of State (DOS)	<ul style="list-style-type: none">• When requested, provides liaison to the DOT CMC in the event of incidents having potential international implications.• In accordance with the International Coordination Support Annex, coordinates international offers of transportation-related assistance and support.• In coordination with DOT/FAA, modify or revoke previously approved foreign diplomatic aircraft clearances. This DOS action does not obviate the continuing need for flight crews to check the pertinent Notices to Airmen released by DOT/FAA. DOS will reference DOT/FAA airspace restrictions, including Temporary Flight Restrictions, as part of its processing of requests from foreign embassies/missions for diplomatic aircraft clearance.
General Services Administration	Assists in identifying sources for and contracting transportation services needed for execution of the ESF #1 mission.
U.S. Postal Service	Collects and reports on transportation infrastructure disruption and damages as information becomes available.

ESF Coordinator:

Department of Homeland Security/National Protection and Programs/Cybersecurity and Communications/National Communications System

Primary Agencies:

Department of Homeland Security/National Protection and Programs/Cybersecurity and Communications/National Communications System
Department of Homeland Security/Federal Emergency Management Agency

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 supports the restoration of the communications infrastructure, facilitates the recovery of systems and applications from cyber attacks, and coordinates Federal communications support to response efforts during incidents requiring a coordinated Federal response (hereafter referred to as “incidents”). This ESF implements the provisions of the Office of Science and Technology Policy (OSTP) National Plan for Telecommunications Support in Non-Wartime Emergencies (NPTS).

ESF #2 also provides communications support to Federal, State, tribal, and local governments and first responders when their systems have been impacted, and provides communications and information technology (IT) support to the Joint Field Office (JFO) and JFO field teams.

With the rapid convergence of communications and IT, the National Communications System (NCS) and the National Cyber Security Division (NCS) work closely to coordinate the ESF #2 response to cyber incidents. This convergence requires increased synchronization of effort and capabilities between the communications and IT sectors to facilitate ESF #2’s ability to respond to all types of incidents.

Scope

ESF #2 coordinates Federal actions to assist industry in restoring the public communications infrastructure and to assist State, tribal, and local governments with emergency communications and restoration of public safety communications systems and first responder networks. ESF #2 supports Federal departments and agencies in procuring and coordinating National Security and Emergency Preparedness (NS/EP) communications services.

ESF #2 provides communications support to the JFO and any JFO field teams.

ESF #2 also addresses cyber security issues that result from or occur in conjunction with incidents. However, for incidents that are primarily cyber in nature, the Cyber Incident Annex is used and ESF #2 supports responses to cyber incidents as directed.

Policies

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

Executive Order 12472 assigns authority to the Director, OSTP, to direct the exercise of the war power functions of the President under § 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 non-wartime emergency communications authorities to the Director, OSTP.

The NPTS serves as the basis for planning the use of national communications assets and resources in support of non-wartime emergencies, as defined by Executive Order 12472. The NPTS is applicable to all Federal departments, agencies, and other organizations in accordance with Executive Order 12472 and other national policies.

An OSTP memorandum to the Manager, NCS, dated June 11, 1993, Subject: NS/EP Telecommunications, states that the Office of the Manager, NCS, executes Federal Response Plan primary agency functional responsibilities on behalf of OSTP. This delegation of authority is retained in the *National Response Framework*. Furthermore, OSTP delegates ESF #2 coordinator functional responsibilities to the Office of the Manager, NCS.

The Cyber Incident Annex outlines the provision of Federal cyber incident response coordination among the Federal departments and agencies and, upon request, State, tribal, local, and private-sector entities in response to any incident induced by cyber means (e.g., significant cyber events, technological emergencies, and Presidentially declared major disasters and emergencies that threaten, disrupt, or cripple communications and IT services or degrade other essential infrastructures).

The Homeland Security Act of 2002, as amended by the Post-Katrina Emergency Management Reform Act, establishes an Office of Emergency Communications within the Department of Homeland Security (DHS). In cooperation with the NCS, this office is responsible for coordinating the establishment of a national response capability with initial and ongoing planning, implementation, and training for the deployment of communications equipment for relevant State, tribal, and local governments and emergency response providers in the event of a catastrophic loss of local and regional emergency communications services.

CONCEPT OF OPERATIONS

General

DHS/Federal Emergency Management Agency (FEMA) activates ESF #2 when a significant impact to the communications infrastructure is expected or has occurred. When activated, ESF #2 provides communications support to the impacted area, as well as internally to the JFO and associated Federal JFO teams. ESF #2 support is scalable to meet the specific needs of each incident response, and response resources are drawn from a matrix of personnel and equipment available from the ESF #2 support agencies.

Primary Agencies

NCS

- Acts as the ESF #2 coordinator.
- Acts as the ESF #2 primary agency in accordance with the Memorandum from OSTP to the Manager, NCS, dated June 11, 1993, to include exercising primary responsibility for restoration of telecommunications in an incident area.
- Establishes, in consultation with FEMA and other NCS member agencies, a cadre of qualified and appropriately trained personnel certified to serve as Federal Emergency Communications Coordinators (FECCs)/Communications Branch Directors.
- Coordinates the planning for and provision of NS/EP communications for the Federal Government under all circumstances, including crisis or emergency, attack, recovery, and reconstitution, in accordance with Executive Order 12472.
- Designates an FECC to lead ESF #2 when it is activated. Normally the NCS will confer with FEMA and the ESF #2 support agencies regarding the selection of the FECC from the cadre of FECC qualified personnel.
- Coordinates with FEMA and support agencies to develop a program to certify FECCs.
- Coordinates with FEMA and support agencies to develop training for the FECC cadre.
- Monitors training for all ESF #2 team members.
- Certifies personnel for inclusion in the FECC cadre.
- Designates a team lead for a component responsible for communications infrastructure restoration functions.
- Coordinates the restoration of communications infrastructure and supports Federal departments and agencies in procuring and coordinating NS/EP communications services when the component responsible for communications infrastructure restoration functions becomes operational.
- Coordinates with FEMA and support agencies to develop ESF #2 documentation, policies, and procedures.
- Coordinates with FEMA and support agencies to provide and execute a construct for training and deploying personnel to support ESF #2 operations.

FEMA

- Acts as the ESF #2 primary agency for support of public safety disaster emergency communications.
- Consults with and advises the NCS on the selection, training, and certification of a cadre of personnel eligible to serve as FECCs.

Emergency Support Function #2 – Communications Annex

- Activates ESF #2 under the Stafford Act as required by the event, including the need for State, tribal, and local government support for tactical communications or as requested by the NCS for infrastructure restoration.
- In the event an FECC is required, may provide a recommendation to the NCS regarding the selection of an FECC for a specific incident.
- Provides short-term restoration support to State, tribal, and local government emergency communications in the event of a failure.
- Designates a team lead for a component responsible for tactical communications functions.
- Designates personnel to support tactical communications functions.
- Provides personnel to support overall ESF #2 operations.
- Coordinates with the NCS and support agencies to develop appropriate documentation, policies, and procedures pertinent to tactical communications functions.
- Provides communications support to State, tribal, and local first responders.
- Coordinates the restoration of public safety communications systems and first responder networks.
- Provides communications and IT support to the JFO, JFO field teams, other Federal response/recovery facilities within the area of operation, the Federal Coordinating Officer (FCO), the Principal Federal Official (PFO) if appointed, and Federal response teams.

Support Agencies

The following support agencies and responsibilities are not all-inclusive. Additional functions, staffing, and managerial support are detailed in the support agency functions table in this annex and in supporting documents.

- The Federal Communications Commission (FCC) provides spectrum management and frequency allocation for the entities it regulates.
- The National Telecommunications and Information Administration (NTIA) provides Federal spectrum management and interoperability support.
- The General Services Administration (GSA) provides regionally based personnel, who often deliver the initial ESF #2 field response.

The following guidelines are observed to allow ESF #2 to meet its incident management responsibilities:

- Communications incidents and requirements are handled in accordance with the NPTS and the *National Incident Management System*.
- Communications management occurs on a bottom-up basis: decisions are made at the lowest level possible; only issues requiring adjudication or additional resources are referred to the next higher management level.
- Agencies that provide communications assets in support of incident response control their own organic assets and coordinate location and use with the Communications Branch.

Emergency Support Function #2 – Communications Annex

- Uniform emergency communications management and plans, procedures, and handbooks are to be developed and used throughout the ESF #2 operating environment.
- ESF #2 supports cyber incident response when requested by the National Cyber Response Coordination Group (NCRCG), in coordination with the NCSD/U.S. Computer Emergency Readiness Team (US-CERT), as described in the Cyber Incident Annex. NCSD/US-CERT leads the coordination of cyber security issues associated with an ESF #2 response.

ORGANIZATION

Headquarters

NCS is the coordinating agency for ESF #2.

NCS and FEMA are co-primary agencies for ESF #2.

NCS is the primary agency for communications infrastructure restoration.

FEMA is the primary agency for tactical communications response efforts and providing communications and information technology support to the JFO and JFO Federal teams.

The National Coordinating Center (NCC) is the operational component of the NCS and the Federal office for national communications incident management and infrastructure restoration.

The Emergency Communications Team – National (ECT-N) is responsible for supporting the national-level ESF #2 response. It is composed of Federal representatives from the ESF #2 primary and supporting agencies. The ECT-N staff is located at the NCC with a representative at the National Response Coordination Center (NRCC).

The Joint Telecommunications Resources Board (JTRB) resolves conflicts regarding NS/EP communications priorities and resources that cannot be resolved by the FCO or PFO (if appointed). The JTRB:

- Advises the Director, OSTP, on the exercise of those non-wartime emergency communications service functions assigned by Executive Order 12472.
- Monitors potential or actual communications incidents that pose a threat to communications facilities or services, and situations that create the need for extraordinary communications support.
- Is supported by the NCS using the resources of the NCC, Global NetOps Center, FEMA Operations Center, and other Federal agency operations centers as necessary.

NCSD coordinates implementation of the National Strategy to Secure Cyberspace and is the national focal point for cyber security issues. NCSD implements Homeland Security Presidential Directive 7 infrastructure protection responsibilities for the IT sector and supports efforts by Sector-Specific Agencies to protect the cyber elements of their critical infrastructure and key resources sectors.

The NCRCG is an interagency forum to coordinate response to cyber incidents and threats.

Regional

The Regional Response Coordination Center (RRCC) establishes Federal priorities and coordinates Federal response efforts and assistance activities. During the course of an incident response, RRCC activities and roles surge and diminish as field facilities (e.g., JFOs) are established and subsequently closed.

Field

The Emergency Communications Team – Field (ECT-F) supports the regional-level ESF #2 response. It is composed of members from the ESF #2 primary and supporting agencies, regional communications specialists, and representatives from the communications industry. The ECT-F may be deployed to the RRCC, JFO, or State emergency operations center at the direction of the FEMA Regional Administrator or the FCO.

ESF #2 will organize according to the JFO Standard Operating Procedure and operate according to the ESF #2 Operations Plan.

GSA regionally based communications managers are designated as NCS Regional Managers (NCSRMs) and may be requested by the NCS to assume a leadership or support role in the Communications Branch.

Joint Field Office

Operations Section – Communications Branch

- Is led by an NCS-appointed Communications Branch Director who manages the ECT-F.
- Becomes the focal point for communications infrastructure restoration and coordination with industry service providers.
- Coordinates with other components of the Operations Section and other ESFs to ensure industry Essential Service Providers, as defined by the Stafford Act, as amended, have the access, security, and fuel required to restore communications in the incident area.
- Coordinates with Federal agencies providing communications support to response operations and advocates for their needs and priorities.
- Provides communications support to Federal, State, tribal, and local response operations.
- Coordinates the restoration of public safety communications systems and first responder networks.
- Organizes into groups to support activities such as providing communications support to responders, restoring communications infrastructure and providing spectrum management.

Logistics Section – Services Branch – Communications Unit

- Led by a FEMA-appointed Communications Unit Leader.
- Provides internal communications and IT support to the JFO and any satellite facilities.
- Provides communications and IT support to JFO Federal field teams.

ACTIONS

Initial Actions

NCC/ECT-N

- Alerts appropriate NCS, NCC, and industry personnel and notifies the Director, OSTP, when ESF #2 is activated.
- Assigns ESF #2 representatives to the NRCC, providing for 24-hour coverage if required.
- Requests staff for ECT-N and ECT-F from the ESF #2 primary and support agencies.
- Requests activation of the FEMA National Radio System (FNARS) and/or the Shared Resources (SHARES) High Frequency Radio Program when commercial communications outages are expected.
- Dispatches NCS Individual Mobilization Augmentees (IMAs) to assist the Communications Branch Director in coordinating national-level communications support, as appropriate.

Communications Branch Director/ECT-F

- Deploys to the RRCC, JFO, or other facility as required.
- Coordinates with the NCC and FEMA to fill ECT-F duty positions.

Continuing Actions

NCC/ECT-N

- Assesses anticipated and actual damage in the incident area in conjunction with industry partners.
- Coordinates with the JTRB when conflicts regarding NS/EP service requirements cannot be resolved at the JFO.
- Coordinates with NCSD/US-CERT, NCRCG, and industry partners to resolve cyber security issues.
- Coordinates with the Communications Branch Director to assess the need for communications industry support and ensures such support is available as needed.
- Identifies operational communications assets available for use within the incident area.
- Identifies communications assets that may be employed to support the incident area.
- Identifies actual and planned actions of commercial communications industry for recovery and reconstruction of their facilities; receives reports when commercial communications assets are prepared for movement to the incident area, are deployed, and become operational.

Emergency Support Function #2 – Communications Annex

- Coordinates with other JFO sections and ESF #1 – Transportation, ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services, ESF #12 – Energy, and ESF #13 – Public Safety and Security to ensure industry Essential Service Providers, as defined by the Stafford Act, as amended, have the access, security, and fuel required to restore the communications infrastructure.
- Obtains information from ESF #1, through the NRCC ESF #2 representative, on transportation conditions and determines routes and methods to use to get mobile communications assets into the area.
- Provides damage and outage information to the National Operations Center (NOC) Watch, the NRCC ESF #2 representative, and the Communications Branch Director; provides information to other Federal agencies upon request.

Communications Branch Director/ECT-F

- Surveys the status of the communications infrastructure, determines residual capabilities, and assesses the extent of damage within the incident area.
- Coordinates with Federal and private-sector organizations, as well as other ESFs involved with incident recovery, to ascertain their communications assets, capabilities, and requirements.
- Advises the FCO or Federal Resource Coordinator on ESF #2 regional and incident area NS/EP communications requirements.
- Coordinates requests for national-level programs: Telecommunications Service Priority (TSP), Government Emergency Telecommunications System (GETS), Wireless Priority Service (WPS), SHARES, and FNARS/National Emergency Coordination Net.
- Conducts communications status evaluations using damage information obtained from other branches and sections of the JFO, the NCC, Federal agencies, and private-sector sources.
- Coordinates Federal communications support to responding Federal agencies and private-sector organizations as directed by the PFO/FCO.
- Forwards cyber-related incidents and analysis requirements to the NCC for coordination, action, and resolution with the NCS and NCS/US-CERT.
- Provides ESF #2 representatives to support damage assessments.
- Coordinates the status of ESF #2 operations with the Infrastructure Liaison at the JFO.
- Coordinates with other sections of the JFO and ESF #1, ESF #6, ESF #12, and ESF #13 to ensure industry Essential Service Providers have the access, security, and fuel required to restore communications in the incident area.
- Coordinates the release of Federal communications resources as soon as commercial, State, tribal, and local communications can support the response mission.
- Maintains a record of all communications support provided.

RESPONSIBILITIES

Co-Primary Agency: NCS

When ESF #2 is activated, the NCS coordinates NS/EP communications support by leveraging its communications sector expertise and relationships with industry, and provides information and assistance to the JTRB as required.

Co-Primary Agency: FEMA

FEMA provides communications and IT support to JFO operations, and coordinates the restoration of Public Safety Communications systems and first-responder networks.

SUPPORT AGENCIES

Agency	Functions
<p>Department of Agriculture/Forest Service and Department of the Interior</p>	<p>Provide appropriate communications resources, including:</p> <ul style="list-style-type: none"> • Radio communications systems to support firefighters, law enforcement officers, and incident response operations. • Engineers, technicians, and liaison staff to assist the Communications Branch Director. • National Interagency Radio Support systems for damage reconnaissance teams and other applications. • A communications officer to accompany radio systems for user training and operator maintenance indoctrination. • Additional radio systems to support the JFO radio network.
<p>Department of Commerce</p>	<p>National Telecommunications and Information Administration (NTIA)</p> <ul style="list-style-type: none"> • Supports the Communications Branch Director either in an on-call capacity at NTIA headquarters or deployed as a member of the ECT-F. • Provides policy and procedural guidance concerning the control and allocation of radio frequency assignments in those parts of the electromagnetic spectrum assigned to the Federal Government. • Amends, modifies, or revokes such assignments as necessary and will develop plans and procedures for spectrum priorities, including a system for radio spectrum management. • Assists the Director of the OSTP in the implementation of these plans and procedures in non-wartime emergencies, including the resolution of any conflicts in or among such priorities. • Publishes and maintains the Emergency Readiness Plan for Use of the Radio Frequency Spectrum. • Supports the JTRB as required. <p>National Oceanic and Atmospheric Administration (NOAA)/National Weather Service: Supports the Emergency Alert System and provides, in coordination with 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.</p>

Emergency Support Function #2 – Communications Annex

Agency	Functions
<p>Department of Defense (DOD)</p>	<ul style="list-style-type: none"> • Promptly notifies the Communications Branch Director of all communications requirements, assets available, and assets deployed to the incident area. • Provides resources and capabilities to relief operations after other Federal resources and capabilities are exhausted.
	<p>Secretary of Defense and Assistant Secretary of Defense for Homeland Defense and Americas’ Security Affairs: Provide civilian oversight and policy direction for the use of DOD assets in Defense Support of Civil Authorities.</p>
	<p>Joint Director of Military Support: Serves as the DOD action agent for Defense Support of Civil Authorities.</p>
	<p>Defense Coordinating Officers and their support Defense Coordinating Elements: Serve as the DOD interface to FEMA and the FCO at the RRCC or JFO and the single point of contact in the JFO for requesting DOD assistance.</p>
<p>Department of Homeland Security</p>	<p>Office of Infrastructure Protection: Provides situational awareness, cross-sector coordination, and prioritized recommendations regarding critical infrastructures and key resources.</p>
	<p>National Cyber Security Division</p> <ul style="list-style-type: none"> • If required, convenes the NCRCG to provide strategic situational awareness and decision support, and coordinate response to cyber security issues. US-CERT provides technical operational support to the NCRCG and ESF #2, and gathers and disseminates cyber security information and warnings. • Coordinates with private-sector representatives of the IT community through the IT Information Sharing and Analysis Center and the IT Sector Coordinating Council, as appropriate, to exchange policy and operational information necessary to respond to and recover from incidents. • Supports the NCS and, as necessary, the JTRB when an incident results in cyber security issues. • Disseminates cyber threat warning information in conjunction with the NOC. • Coordinates cyber incident preparedness, response, and recovery activities to identify, analyze, and reduce cyber threats and vulnerabilities. • Facilitates interaction and collaboration among Federal departments and agencies, and with State, tribal, and local governments, the private sector, and international organizations related to cyber security and cyber incidents. • Supports the Department of Justice and other Federal law enforcement agencies in investigating and prosecuting cyber threats and attacks. • Fulfills additional responsibilities as directed in the Cyber Incident Annex for preparing for, responding to, and recovering from cyber incidents requiring a coordinated Federal response.
	<p>Wireless Services: Provides spectrum management support and coordination in conjunction with the Communications Branch Spectrum Manager, FCC, NTIA, and DOD.</p>

Emergency Support Function #2 – Communications Annex

Agency	Functions
Federal Communications Commission (FCC)	<ul style="list-style-type: none"> • Collects, compiles, and analyzes communications infrastructure and service outage and restoration information. • Provides trained staff members to support communications restoration teams and senior personnel for assignment as the Communications Branch Director. • Assists with the provision of communications support to Federal, State, tribal, and local governments, including public safety entities. • Assists with developing and conducting communications restoration training and exercises. • Conducts outreach to all FCC licensees to determine: (1) their needs, and (2) whether they have resources to offer that would aid the restoration effort. • 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. Also, reviews policies, plans, and procedures that are developed by entities licensed or regulated by the FCC to provide NS/EP communications services to ensure such policies, plans, and procedures are consistent with the public interest, convenience, and necessity.
General Services Administration (GSA)	<p>Each GSA Regional Administrator ensures that an NCSRM is identified for each of the 10 standard Federal regions and the National Capital Region. The GSA Federal Acquisition Service Emergency Coordinator authorizes the NCSRM to accept direction from the Manager, NCC, or his or her designated representative during the predeployment phase of a communications emergency.</p>
Other Federal Agencies	<p>NCS member organizations assist the NCS in deploying agency-owned/leased or otherwise unique communications assets to support the response effort.</p> <p>All other Federal agencies:</p> <ul style="list-style-type: none"> • Use organizational resources to meet their mission requirements before requesting Communications Branch emergency communications support. • Notify the Communications Branch Director promptly of all communications 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 Communications Branch Director when a representative of an organization at an incident location has requested regional communications resources or support. • Coordinate with the NCC as necessary for any required national-level communications support. • Notify the Communications Branch Director of any radio frequency devices being brought to the incident area. • Notify the Communications Branch Director when communications resources are to be withdrawn or discontinued. • Notify the Communications Branch Director when communications resources provided by ESF #2 are no longer required.

This page intentionally left blank.

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/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 State
Department of Transportation
Department of Veterans Affairs
Environmental Protection Agency
General Services Administration
Nuclear Regulatory Commission
Tennessee Valley Authority
American Red Cross
Corporation for National and Community Service

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 prepare for, respond to, and/or recover from a disaster or an incident requiring a coordinated Federal response.

Scope

ESF #3 is structured to provide public works and engineering-related support for the changing requirements of domestic incident management to include preparedness, response, and recovery actions. Activities within the scope of this function include conducting preincident and postincident 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 public infrastructure and critical facilities; and implementing and managing the DHS/Federal Emergency Management Agency (FEMA) Public Assistance Program and other recovery programs.

Policies

State, Tribal, and Local

- State, tribal, and local governments are responsible for their own public works and infrastructures and have the primary responsibility for mitigation, preparedness, response, and recovery.
- State, tribal, and local governments are fully and consistently integrated into ESF #3 activities.

Emergency Support Function #3 – Public Works and Engineering Annex

- When activated to respond to an incident, the primary agencies for ESF #3 develop work priorities in cooperation with State, tribal, and/or local 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.
- State, tribal, and local mutual aid and assistance networks facilitate the sharing of resources to support response and recovery.

Private Sector

- The private sector owns or operates a large proportion of the Nation's infrastructure and is a partner and/or lead for the rapid restoration of infrastructure-related services. Through ongoing planning and coordination, the private sector provides critical details for incident action planning and decisionmaking processes during an incident. Also, private-sector mutual aid and assistance networks facilitate the sharing of resources to support response and recovery.
- The Critical Infrastructure and Key Resources (CIKR) Support Annex provides details regarding the processes that help to ensure coordination and integration of private sector CIKR-related activities among a wide array of public and private incident managers.

Federal Government

- ESF #3 provides Federal public works and engineering support when there is a need for additional resources or capabilities to support and sustain the response and initial recovery. During large-scale events, all levels of government and the private sector will take proactive actions to respond, anticipating resources that may be required. Resources and capabilities can also be provided 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.
- Federal agencies are responsible for complying with appropriate environmental and historic preservation statutes.

CONCEPT OF OPERATIONS

General

- The Department of Defense (DOD)/U.S. Army Corps of Engineers (USACE) is the primary agency for providing ESF #3 technical assistance, engineering, and construction management resources and support during response activities.
- DHS/FEMA is the primary agency for providing ESF #3 recovery resources and support, to include assistance under the DHS/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, tribal, and local officials to determine potential needs for support and to track the status of response and recovery activities.

Emergency Support Function #3 – Public Works and Engineering Annex

- Priorities are determined jointly among State, tribal, and/or local officials. Federal ESF #3 support is integrated into the overall Federal, State, tribal, local, nongovernmental organization (NGO), and private-sector efforts.
- Support agency representatives collocate with ESF #3 field personnel to coordinate support as necessary.

ORGANIZATION

Headquarters ESF #3 Support

- **Domestic Readiness Group (DRG):** For all phases of incident management, ESF #3 can provide on-call subject-matter experts to support DRG activities.
- **National Operations Center (NOC):** ESF #3 identifies on-call representatives that can deploy to any of the NOC elements, if required.
- **National Response Coordination Center (NRCC):** When activated by DHS/FEMA, ESF #3 representatives deploy to the NRCC. Following a Presidential emergency or major disaster declaration, DHS/FEMA Headquarters may also 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/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. When activated, DHS/FEMA Public Assistance personnel deploy to initiate regional support.

Field-Level ESF #3 Support

- **JFO:** When activated by DHS/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. When activated, DHS/FEMA Public Assistance personnel deploy to initiate State- or tribal-level support (in coordination with ESF #15 – External Affairs).
- **Unified 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 official to participate in the Unified Coordination Group.

Emergency Support Function #3 – Public Works and Engineering Annex

- **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/FEMA to establish field offices to support the mission execution.

ACTIONS

Headquarters

Upon activation of ESF #3:

- The UOC:
 - Notifies the Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs, the Joint Director of Military Support, and the Army Operations Center.
 - Provides situation reports to the Army Operations Center and the appropriate combatant command.
- The 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 preincident activities, such as the positioning of assessment teams and contractors, and deploying advance support elements.
- Participation in postincident assessments of public works and infrastructure to help determine critical needs and potential workloads.
- Implementation of structural and nonstructural mitigation measures, including deployment 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 (for life-saving/life-sustaining purposes such as medical-related requirements), 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. (For chemical, biological, and radiological weapons of mass destruction incidents, demolition is coordinated with ESF #10 - Oil and Hazardous Materials Response.) 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, including drinking water distribution and wastewater collection 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. ESF #3 will seek technical assistance from the DHS/FEMA Disability Coordinator to ensure that accessibility standards are addressed during infrastructure restoration activities.
- ESF #3 may be responsible for managing, monitoring, and/or providing technical advice in the clearance, removal, and disposal of debris from public property and the reestablishment of ground and water routes into impacted areas. The scope of actions related to debris may include waste sampling, classification, packaging, transportation, treatment, demolition, and disposal. For purposes of ESF #3, the term “debris” includes general construction debris that may contain inherent building material contaminants, such as asbestos and paint. Debris may include livestock or poultry carcasses and/or plant materials. When ESF #3 is activated for a debris mission, ESF #3 may also: collect, segregate, and transport to an appropriate staging or disposal site hazardous materials that are incidental to building demolition debris, such as household hazardous waste and oil and gas from small motorized equipment; remove and dispose of Freon from appliances; and remove, recycle, and dispose of electronic goods. (The removal of hazardous material containers that may have become intermingled with construction debris, such as drums, tanks, and cylinders containing oil and hazardous materials, is managed under ESF #10.)
- The management of contaminated debris (e.g., chemical, biological, radiological, or nuclear contamination) will be a joint effort with ESF #10 and FEMA. The scope of actions related to contaminated debris may include waste sampling, classification, packaging, transportation, treatment, demolition, and disposal of contaminated debris and soil. 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.
- ESF #3 may also be responsible for managing, monitoring, and/or providing technical advice in the demolition and subsequent removal and disposal of buildings and structures contaminated with chemical, biological, radiological, and nuclear (CBRN) elements, in consultation with ESF #10. The scope of actions may include air monitoring and sampling, waste sampling, classification, packaging, transportation, treatment (onsite and offsite), demolition, and disposal (onsite and offsite). Except where necessary to address structural stability or other imminent threats, such demolition actions are taken after incident decisionmakers have had an opportunity to evaluate options for site cleanup and have selected demolition as the desired cleanup approach. (ESF #10 leads the identification, analysis, selection, and implementation of cleanup actions for incidents where Federal assistance is requested for hazardous materials environmental cleanup (except for certain facilities and materials owned, operated, or regulated by other Federal departments and

Emergency Support Function #3 – Public Works and Engineering Annex

agencies). Decontamination of buildings or infrastructure would be led by ESF #10.)

- Providing coordination and technical assistance (to include vessel removal, significant marine debris removal, and hydrographic survey) to effect the rapid recovery and reconstitution of critical waterways, channels, and ports.
- 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/FEMA Public Assistance Program and other recovery programs between and among Federal, State, tribal, and local 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.

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/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/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/FEMA Public Assistance Program. DHS/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)	<ul style="list-style-type: none">• If available, provides engineering and contracting/procurement personnel and equipment to assist in emergency removal of debris, demolition, temporary protection of roads and bridges, temporary protection of essential public facilities, water supply, and sanitation. 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 is the regional contact for this support.

Emergency Support Function #3 – Public Works and Engineering Annex

Agency	Functions
<p>Department of Commerce</p>	<p>National Institute of Standards and Technology: Through the Interagency Committee on Seismic Safety in Construction, Building, and Fire Research Laboratory, 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).</p>
	<p>National Oceanic and Atmospheric Administration</p> <ul style="list-style-type: none"> • Provides hydrographic survey assets and expertise as part of a coordinated strategy of response/restoration of critical waterways, channels, and ports. • Provides scientific support in assessing impact to the coastal zone using population data, storm track, known areas of coastal damage, and general information on currents and winds to predict areas of high debris density and abundance.
<p>Department of Defense</p>	<p>Navy Supervisor of Salvage and Diving</p> <ul style="list-style-type: none"> • Provides expertise and conducts/supports specialized salvage/wreck removal operations as part of a coordinated response and restoration strategy. • Exercises and manages regional standing emergency salvage contracts to quickly draw upon the required resources of the commercial salvage industry. • Accesses and coordinates the U.S. Navy’s hydrographic survey assets and capabilities. • When requested, coordinates salvage and wreck removal operations.
<p>Department of Energy</p>	<ul style="list-style-type: none"> • 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.
	<p>National Nuclear Security Administration: Enables radiologically contaminated debris management activities by coordinating and/or providing resources, assessments, data, expertise, technical assistance, monitoring, and other appropriate support.</p>
<p>Department of Health and Human Services (HHS)</p>	<ul style="list-style-type: none"> • Supplies engineering and environmental health personnel to assist, in conjunction with the Environmental Protection Agency (EPA), in assessing the status of water, 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. • Provides situational awareness regarding water and wastewater needs at critical health care and other CIKR sector facilities.

Emergency Support Function #3 – Public Works and Engineering Annex

Agency	Functions
<p>Department of Homeland Security</p>	<p>Office of Infrastructure Protection</p> <ul style="list-style-type: none"> • Supports ESF #3 infrastructure protection and mitigation missions by providing infrastructure risk and vulnerability assessments in response to actionable intelligence and other information. • Through the Infrastructure Liaison, provides situational awareness and prioritized recommendations concerning the recovery and restoration of the associated CIKR sectors supported by this ESF.
	<p>U.S. Coast Guard (USCG)</p> <ul style="list-style-type: none"> • Marks and coordinates with DOD/USACE for removal of obstructions declared to be hazards to navigation. • Assists in vessel salvage and removal of vessel debris. This includes coordinating and/or providing resources, assessments, expertise, technical assistance, monitoring, and other appropriate support. <p>Note: DHS/USCG has statutory authority/responsibility to oversee oil and hazardous substance pollution response operations associated with debris removal/salvage operations in the Coastal Zone in accordance with the National Contingency Plan (40 CFR Part 300).</p>
<p>Department of the Interior</p>	<p>Bureau of Reclamation</p> <ul style="list-style-type: none"> • 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.
	<p>Bureau of Indian Affairs: Provides tribal nation liaisons, as described in the Tribal Relations Support Annex, if required.</p>
	<p>Office of Wildland Fire Coordination: If available, provides appropriate 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, water supply, and sanitation. Resources will be assigned commensurate with each unit's level of training and the adequacy and availability of equipment. ESF #4 is the contact for this support.</p>
<p>Department of Labor</p>	<p>Through the Occupational Safety and Health Administration, provides worker safety advice, assistance, and policy support for debris removal, building demolition, and other ESF #3 activities.</p>
<p>Department of State</p>	<p>When requested, provides liaison to DOD/USACE in the event of incidents having potential international implications. In accordance with the International Coordination Support Annex, coordinates international offers of public works and engineering assistance and support.</p>
<p>Department of Transportation</p>	<ul style="list-style-type: none"> • 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 as well as grant programs for transit systems and railroads that could be used for repair and rehabilitation of damaged infrastructure.

Emergency Support Function #3 – Public Works and Engineering Annex

Agency	Functions
Department of Veterans Affairs	Provides engineering personnel and support, including design estimating and construction supervision, for repair, reconstruction, and restoration of eligible facilities.
Environmental Protection Agency	<ul style="list-style-type: none"> • Conducts infrastructure protection activities for drinking water and water treatment agencies in the water sector, 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 critical water and wastewater needs, including personnel, electrical power, and treatment chemicals. • Assists, in conjunction with State/tribal primacy agencies and permitting authorities, in determining the operating status of water and wastewater systems. • Provides assistance to State solid waste agencies regarding municipal solid waste landfills and construction and demolition waste landfills. Provides technical assistance for nonhazardous waste management, including debris management and recycling/reuse opportunities. Assists State solid waste agencies with assessments of staging/storage areas, solid waste facilities, and wastewater facilities; environmental sampling and monitoring; and inspections, resources, data, and other support as appropriate. • Identifies locations of, and provides safety guidance for, areas affected by hazardous materials. • For chemical, biological, and radiological weapons of mass destruction incidents, coordinates with ESF #3 on management of contaminated debris and demolition. • Assists in investigation and intelligence analysis for hazardous materials incidents involving contaminated water and wastewater systems, pursuant to existing EPA statutory authorities. • Provides expertise on waste and debris disposal options.
General Services Administration	<ul style="list-style-type: none"> • Provides resource support to assist in damage assessment, structural inspections, debris clearance monitoring, and restoration of facilities in general. • Provides technical assistance in 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/FEMA; other Federal, State, tribal, and local government entities; and other NGOs to ensure integration of commodities requirements and distribution processes into mass care operations.
Corporation for National and Community Service	Provides teams of trained National Service Participants (including AmeriCorps members, Learn and Serve America volunteers, and Retired and Senior Volunteer Program volunteers) to carry out canvassing, needs assessment, information distribution, debris clearance, temporary roof repair, elimination of specified health/safety hazards, and other response and recovery activities, including support commodity distribution, in disadvantaged communities and for special needs residents.

This page intentionally left blank.

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
Department of State
Environmental Protection Agency

INTRODUCTION

Purpose

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

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, tribal, and local agencies involved in wildland, rural, and urban firefighting operations.

Policies

Priority is given to 1) life safety (firefighters and the public), and 2) protecting property and the environment, in that order.

Processes and procedures established by the National Wildfire Coordinating Group (NWCG) in the *National Interagency Mobilization Guide* and the *Interagency Incident Business Management Handbook* are followed, in accordance with the *National Incident Management System (NIMS)* and the *National Response Framework (NRF)*.

National support is accomplished through the National Interagency Coordination Center (NICC) located at the National Interagency Fire Center (NIFC) in Boise, ID. All support provided by the NICC will be coordinated with the National Response Coordination Center (NRCC).

Coordination with and support of State and local fire suppression organizations is accomplished through the State Forester, State Fire Marshal, State emergency management agency, or other appropriate State agency and/or tribal fire suppression organizations operating under the Incident Command System (ICS) element of the *NIMS* Command and Management component.

The coordinator for ESF #4 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 (DOI)/Bureau of Land Management.

CONCEPT OF OPERATIONS

General

ESF #4 manages and coordinates Federal firefighting activities. This function is accomplished by mobilizing firefighting resources in support of State, tribal, and local wildland, rural, and urban firefighting agencies.

Emergency Support Function #4 – Firefighting Annex

ESF #4 uses established firefighting and support organizations, processes, and *NIMS* procedures as outlined in the *National Interagency Mobilization Guide*. Responsibility for situation assessment and determination of resource needs lies primarily with the local Incident Commander.

States have the option of requesting interstate and intrastate firefighting assistance and resources, both utilizing existing agreements. Intrastate resources would be requested under local or statewide mutual aid and assistance agreements. Interstate resources, including National Guard firefighting resources from other States, would be requested through the Emergency Management Assistance Compact, other compacts, or State-to-State mutual aid and assistance agreements.

Requests for Federal assistance in obtaining firefighting resources for incidents other than wildland fires are transmitted from the Regional Response Coordination Center (RRCC) or Joint Field Office (JFO) ESF #4 representative to the appropriate Geographic Area Coordination Center (GACC). For wildland fire incidents, requests for assistance in obtaining firefighting resources are submitted as per the *National Interagency Mobilization Guide* to the GACC and coordinated with the JFO. 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 national ESF #4 coordinator in the event of national-level shortages or unavailability of needed resources.

All Federal military personnel and resources for firefighting and incident management activities will be requested through the NICC in coordination with the Defense Coordinating Officer and the NRCC.

Shortages of critical resources are adjudicated at the lowest jurisdictional level. If needed, resolution would begin at the JFO, then progress to the NRCC, and then to the Domestic Readiness Group (DRG).

Actual firefighting operations are managed under the ICS element of the *NIMS* Command and Management component.

Situation and damage assessment information is transmitted through established channels and directly between the headquarters-level and regional-level response support structures 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 DRG.

The ESF #4 coordinator operates under the direction of the Assistant Director for Partnerships, Fire and Aviation Management, USDA/Forest Service. Assistance is provided as necessary by the USDA/Forest Service and DOI Fire Directors at the NIFC.

The USDA/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 USDA/Forest Service Headquarters.

Emergency Support Function #4 – Firefighting Annex

The national ESF #4 coordinator, through the NRCC, provides subject-matter expertise to the DRG and to other departments/agencies at the headquarters level. Based on recommended Department of Homeland Security (DHS) requirements, ESF #4 may be operational on a 24-hour basis.

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

The NICC provides national logistics support and mobilization of resources.

Regional-Level Response Support Structure

The regional/area ESF #4 coordinator provided by the USDA/Forest Service regional/area office coordinates Federal firefighting response support. The regional ESF #4 coordinator is responsible for establishing and maintaining coordination with the national ESF #4 coordinator, regional support agencies, regional FEMA officials, and the JFO.

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

GACCs provide regional firefighting response, mobilization of resources, and logistics support.

Notification

Upon notification of a potential or actual event requiring ESF #4 response, the national ESF #4 coordinator notifies the regional/area ESF #4 coordinator(s), the NICC, the U.S. Fire Administration (USFA), and the DOI Departmental Emergency Coordinator.

ACTIONS

Preincident

National preparedness levels for wildland fire suppression planning are established by the National Multiagency Coordinating Group (NMAC) in the *National Interagency Mobilization Guide*. When competition for wildland fire resources occurs, the NMAC will establish wildland fire priorities, making decisions on resource allocations.

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 USDA/Forest Service Headquarters, and USDA/Forest Service Assistant Director – Operations at the NIFC.
- Establishes communication links with the regional/area ESF #4 coordinator(s).
- Obtains an initial fire situation and damage assessment through established intelligence procedures; determines the appropriate management response to meet the request for

Emergency Support Function #4 – Firefighting Annex

assistance; and obtains and distributes, through appropriate channels, incident contact information to emergency responders mobilized through ESF #4.

- Analyzes each request before committing people and other resources; ensures employees will be provided with appropriate vaccinations, credentials, and personal protective equipment to operate in the all-hazard environment to which they are assigned; and ensures that all employees involved in all-hazard response will be supported and managed by an agency leader, agency liaison, or interagency Incident Management Team.
- Ensures that an all-hazard incident-specific briefing and training are accomplished prior to task implementation. This preparation will usually occur prior to mobilization where incident description, mission requirements, and known hazards are addressed. Key protective equipment and associated needs for tasks that employees do not routinely encounter or perform will be identified.

Postincident

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.
- Maintains close coordination through the NRCC with the DRG, RRCC, support agencies, NICC, and JFO.
- Maintains a complete log of actions taken, resource orders, records, and reports.

Recovery

Federal firefighting support is primarily a response function. Efforts should be made to ensure that firefighting resources are managed and utilized appropriately so they can be available for life saving, incident stabilization, and property protection assignments. Otherwise, the Nation's capability to respond to new emergencies may be compromised.

RESPONSIBILITIES

ESF Coordinator/Primary Agency: USDA/Forest Service

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

Emergency Support Function #4 – Firefighting Annex

- Assumes full responsibility for suppression of wildfires burning on National Forest System lands and joins in a unified command with the local jurisdiction on incidents threatening National Forest System lands.
- Provides and coordinates firefighting assistance to other Federal land management, State forestry, tribal, and local fire organizations as requested under the terms of existing agreements and the *NRF*.
- Arranges for direct liaison with State emergency operations centers (EOCs), local EOCs, and fire chiefs in the designated area, as appropriate, to coordinate requests for firefighting assistance in structural or industrial fire detection, protection, and suppression operations.
- Provides information to the Planning Section at the incident and the JFO as assessments of fire-caused damages are obtained.

SUPPORT AGENCIES

Agency	Functions
Department of Commerce	<ul style="list-style-type: none"> • 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 <i>National Agreement for Meteorological Services in Support of Agencies with Land Management and Fire Protection Responsibilities</i>. • Provides forecasts of the dispersion of smoke in support of planning and response activities.
Department of Defense (DOD)	<ul style="list-style-type: none"> • 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 current interagency agreement between DOD, USDA, and DOI, including the arrangement of liaisons as required. <p>U.S. Army Corps of Engineers: Provides contracting services through ESF #3 – Public Works and Engineering to urban and rural firefighting forces to obtain heavy equipment and/or demolition services as needed to suppress incident-related fires.</p>
Department of Homeland Security	<p>Federal Emergency Management Agency/U.S. Fire Administration</p> <ul style="list-style-type: none"> • 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. <p>U.S. Coast Guard</p> <ul style="list-style-type: none"> • Provides marine firefighting assistance as available, commensurate with each unit's level of training and the adequacy of available equipment. • Has the responsibility and direct authority for safeguarding ports and may exercise Federal control over vessels, ports, and harbors and waterfront facility operations and vessel movements as deemed necessary.

Emergency Support Function #4 – Firefighting Annex

Agency	Functions
Department of the Interior	<ul style="list-style-type: none"> • Assumes full responsibility for fighting wildfires burning on lands within its jurisdiction. • Assists the USDA/Forest Service in managing and coordinating firefighting operations. • Provides firefighting assistance to other Federal land management organizations as requested under the terms of existing agreements and the <i>NRF</i>.
Department of State	<ul style="list-style-type: none"> • As requested, DOS coordinates with foreign governments on identification and movement to the United States of assets and resources for firefighting assistance. • Coordinates with foreign states concerning offers of support, gifts, offerings, donations, or other aid.
Environmental Protection Agency	<ul style="list-style-type: none"> • Provides technical assistance and advice in the event of fires involving hazardous materials. • Provides assistance in identifying an uncontaminated, operational water source for firefighting. • Provides assistance in identifying critical water systems requiring priority restoration for firefighting. • Provides technical assistance on issues concerning the impacts of firefighting chemicals on wastewater treatment facilities.
Other Organizations	<p>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. Private-sector resources are mobilized through standard contract procedures.</p>

Emergency Support Function #5 – Emergency Management Annex

ESF Coordinator:

Department of Homeland Security/Federal
Emergency Management Agency

Primary Agency:

Department of Homeland Security/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

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 coordination ESF for all Federal departments and agencies across the spectrum of domestic incident management from hazard mitigation and preparedness to response and recovery. ESF #5 will identify resources for alert, activation, and subsequent deployment for quick and effective response.

Emergency Support Function #5 – Emergency Management Annex

During the postincident response phase, ESF #5 is responsible for the support and planning functions. ESF #5 activities include those functions that are critical to support and facilitate multiagency planning and coordination for operations involving incidents requiring Federal coordination. This includes alert and notification; staffing and deployment of Department of Homeland Security (DHS) and DHS/Federal Emergency Management Agency (FEMA) response teams, as well as response teams from other Federal departments and agencies; incident action planning; coordination of operations; logistics management; direction and control; information collection, analysis, and management; facilitation of requests for Federal assistance; resource acquisition and management; Federal worker safety and health; facilities management; financial management; and other support as required.

Policies

NOTE: These policies depict how the Federal Government will implement provisions of the *National Response Framework*. Other levels of government should develop similar provisions for their emergency plans.

ESF #5 is responsible for coordinating emergency response plans at its level of government. ESF #5 facilitates information flow in the preincident phase and coordinates intergovernmental planning, training, and exercising in order to prepare assets for deployment. For example, at the Federal level, DHS/FEMA has the lead; at the State level, the State's emergency management organization has that responsibility; tribal and local governments will also have an appropriate emergency management capability.

ESF #5 is responsible for establishing the Federal support infrastructure in the affected State and/or region in anticipation of requirements for hazard mitigation, response, and recovery Federal assistance.

Resource allocation and taskings are coordinated through the appropriate multiagency coordination center using the DHS/FEMA mission assignment process and other procedures outlined in the Financial Management Support Annex. For catastrophic incidents, DHS/FEMA monitors department/agency implementation of the Execution Checklist for the deployment of Federal staff and emergency response teams as outlined in the Catastrophic Incident Annex and Supplement.

DHS and DHS/FEMA staff, working with partner agencies, identify and resolve resource allocation issues identified at the multiagency coordination centers. In the event that the total requirement for a specific resource is greater than the amount available, the decision regarding allocation to each requesting entity will be referred to the Domestic Readiness Group for adjudication.

ESF #5 staff provide an informational link between the NRCC, other Federal department and agency operations centers, and other National Operations Center (NOC) components. ESF #5 serves as the centralized conduit for Federal situation reports to the NOC from the various ESFs.

Departments and agencies participate in the incident action planning process coordinated by the Planning Section at each multiagency coordination center.

DHS, DHS/FEMA, and other agencies as required provide representatives to staff key positions on national/regional teams in support of the regions and the Unified Coordination Group.

Planning Section staff provide, manage, and organize geospatial data.

ESF #5 ensures the establishment of required field facilities and arranges for supplies and equipment to support Federal activities related to the management of an incident. These facilities include but are not limited to the JFO, the Joint Information Center, Interim Operating Facilities (IOFs), mobilization centers, Federal operational staging areas, and Disaster Recovery Centers. In the event of multiple incidents, multiple field facilities may be established at the discretion of the Secretary of Homeland Security or designee.

Emergency management organizations and programs are expected to maintain an on-call workforce of trained and skilled active and reserve employees to provide capability to perform essential emergency management functions on short notice and for varied duration.

The DHS/FEMA Operations Center is responsible for notifying the Federal departments and agencies, as well as State, tribal, and local emergency management organizations, of potential threats to enable the elevation of operational response postures or the pre-positioning of assets.

ACTIVITIES TO SUPPORT PREPAREDNESS

Planning

National Level: DHS develops and provides strategic planning guidance and direction to the Federal interagency community.

DHS/FEMA works with its national-level partner ESFs and support agencies to develop risk-specific, coordinated interagency operational plans. Within this construct, each partner agency prepares its own plans for how it will execute its portion of the coordinated response mission. DHS/FEMA reviews their national-level partners' plans to ensure interoperability.

DHS/FEMA provides direction and guidance to its regional offices to assist them in focusing their planning effort to develop regional operations plans.

Regional Level: DHS/FEMA regional offices work with their regional interagency partners to develop coordinated interagency operational plans focused on specific threats/risks within the region. Within this construct, each partner agency prepares its own plans for how it will execute its portion of the coordinated response mission. DHS/FEMA regions review their partner plans to ensure interoperability.

DHS/FEMA regional offices coordinate closely with State emergency management officials to develop detailed, risk-based, unified Federal-State response plans. The goal is to identify prior to an event the specific resources and tasks for which each entity is responsible to ensure a smooth response effort.

DHS/FEMA regions coordinate Regional Interagency Steering Committee (RISC) meetings with their Federal and State partners.

Training

National Level: DHS/FEMA ensures that there are training standards for each individual and team that has a role in emergency response.

Regional Level: DHS/FEMA regional offices work through the RISC with their regional interagency partners to coordinate training that supports interagency operational plans.

Emergency Support Function #5 – Emergency Management Annex

DHS/FEMA regional offices coordinate closely with State emergency management officials to develop and manage training courses to ensure standardization and relevance to unified response plans.

Exercises

National Level: DHS develops and manages the National Exercise Schedule.

DHS/FEMA coordinates exercises for its emergency personnel and teams with its partner and supporting agencies.

Regional Level: DHS/FEMA regional offices work through the RISC with their regional interagency partners and States to develop coordinated interagency and intergovernmental exercises to ensure the interoperability of response plans and teams.

CONCEPT OF OPERATIONS

General

ESF #5 ensures that there are trained and experienced staff to fill appropriate positions in the NRCC, RRCC, IOF, and JFO, when 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. In the event of a no-notice event, the Secretary of Homeland Security or his or her designee may direct execution of the Catastrophic Incident Supplement depending on the size of the incident.

ESF #5 supports the activation and deployment of emergency response teams.

The RRCC, staffed by ESF #5 and other ESFs as required, coordinates operations and situational reporting to the NRCC until the JFO is operational. Once the JFO is operational, the RRCC assumes a monitoring role.

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, as required.

Organizational Structure

ESF #5 is organized in accordance with the *National Incident Management System (NIMS)*. ESF #5 supports the general staff functions contained in the *NIMS* at each of the Federal multiagency coordination centers (e.g., NRCC, RRCC, IOF, JFO). See the applicable element standard operating procedure for detailed descriptions of staff positions of each multiagency coordination center.

POSTEVENT ACTIONS

DHS/FEMA Headquarters Level

When an incident occurs or has the potential to occur, DHS/FEMA activates ESF #5 personnel and teams and increases staffing and the operational tempo at the NRCC and RRCC(s), as necessary. Actions include alert, notification, and situation reporting in coordination with the NOC Watch.

Emergency Support Function #5 – Emergency Management Annex

The Office of Disaster Operations maintains continuous communications with the affected regional office and RRCC, and convenes periodic video teleconferences with all appropriate parties to coordinate State and Federal operations.

The NRCC ESF #5 component provides situation reports and other information as requested to the NOC, in accordance with NOC standard operating procedures and protocols.

DHS/FEMA activates other ESFs required to handle the threat or incident, issues initial activation mission assignments, and establishes reporting and communications protocols with the activated agencies.

The NRCC Planning Section develops the initial national-level Incident Action Plan outlining Federal operations priorities and coordinates with other sections and associated staff to implement the plan.

Regional and Field Levels

When an incident occurs or has the potential to occur, appropriate DHS/FEMA regions activate and increase the operational tempo of the RRCC. This includes alert, notification, and situation reporting to other appropriate Federal, State, tribal, local, private-sector, or nongovernmental partners.

Regional Disaster Operations and Assistance staff members make initial contact with the affected State(s) and identify capabilities and shortfalls as a means of determining initial response requirements for Federal support. The RRCC coordinates the resourcing and delivery of required resources.

The Planning Section develops and issues the appropriate operational orders, issues initial activation mission assignments or reimbursable agreements, and establishes reporting and communications protocols with the activated agencies.

DHS/FEMA regions activate and deploy the State Liaison Officer and regional emergency response teams, including representatives of other ESFs as necessary.

The Planning Section, working with other staff sections, develops the initial Incident Action Plan at the JFO based on objectives established by the Unified Coordination Group and coordinates with other staff sections to implement the plan.

DHS/FEMA staffs and operates the RRCC along with representatives of other ESFs.

ESF #5 initiates actions to staff multiagency coordination centers.

DHS/FEMA regions establish communications with the affected State(s) to coordinate initial requests for Federal assistance, including coordination of the initial response resources.

ESF #5 coordinates initial provisions of the Federal-State Agreement that must be signed by the Governor and the DHS/FEMA Regional Administrator.

Incident Planning and Management Activities

Prior to an event, ESF #5 coordinates interagency planning for departments and agencies relevant to that level of government. The ESF #5 elements at each level of government are responsible for coordinating planning efforts with their higher, lower, and adjacent partners.

ESF #5 helps maintain situational awareness of the threat or incident. It coordinates and represents the Federal interest in the Federal-State operational partnership and ensures that State, tribal, local, and individual applicants receive timely, equitable, and comprehensive assistance as provided for in Federal statutes and directives.

As the operation progresses from the preincident phase through response and recovery, the Planning Section continues to provide incident action, current, and future 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 demobilization of Federal assistance. Each section of the JFO continues to execute its responsibility until the Federal presence is no longer required by the State and the operation is terminated.

RESPONSIBILITIES

Primary Agency

As the primary agency, DHS/FEMA:

- Conducts operational planning, coordinating with other Federal agencies at both the national and regional levels. The regional offices coordinate with their respective States to develop unified Federal-State response plans.
- Activates and convenes Federal emergency assets and capabilities to prevent and respond to incidents that may require a coordinated Federal response, and coordinates with State and tribal emergency management organizations.
- Coordinates Federal preparedness, response, recovery, and mitigation planning activities including incident action, current, and future operations planning.
- Coordinates the use of remote sensing and reconnaissance operations, activation and deployment of assessment personnel or teams, and geospatial and geographic information system support needed for incident management.
- Coordinates overall staffing of Federal emergency management activities at multiagency coordination centers, 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.

Support Agencies

Support agencies' responsibilities and capabilities are outlined in the ESF Annexes.

Support agencies provide expert personnel to the multiagency coordination centers, as requested, to assist with the delivery of Federal resources and provide reports to the respective Planning Section. 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.

Emergency Support Function #5 – Emergency Management Annex

All Federal departments and agencies should maintain comprehensive and current plans and procedures identifying how they will execute the support functions for which they are responsible.

All DHS components/directorates will maintain emergency support plans and provide support, as required.

This page intentionally left blank.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

ESF Coordinator:

Department of Homeland Security/Federal
Emergency Management Agency

Primary Agency:

Department of Homeland Security/Federal
Emergency Management Agency

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
Small Business Administration
Social Security Administration
U.S. Postal Service
American Red Cross
Corporation for National and Community
Service
National Voluntary Organizations Active in
Disaster
Other voluntary agency and
nongovernmental support organizations

INTRODUCTION

Purpose

Emergency Support Function (ESF) #6 – Mass Care, Emergency Assistance, Housing, and Human Services coordinates the delivery of Federal mass care, emergency assistance, housing, and human services when local, tribal, and State response and recovery needs exceed their capabilities.

Authorities

- Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288), as amended
- Homeland Security Act of 2002
- Homeland Security Presidential Directive 5
- Post-Katrina Emergency Management Reform Act of 2006
- Pets Evacuation and Transportation Standards Act of 2006
- Public Health Service Act, as amended
- Social Security Act of 1935, as amended
- Americans With Disabilities Act of 1990

SCOPE

The Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) coordinates and leads Federal resources, as required, to support local, tribal, and State governments and voluntary agencies (VOLAGs) in the performance of mass care, emergency assistance, housing, and human services missions.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

When directed by the President, ESF #6 services and programs are implemented to assist individuals and households impacted by potential or actual disaster incidents. ESF #6 is organized into four primary functions: Mass Care, Emergency Assistance, Housing, and Human Services.

- **Mass Care:** Includes sheltering, feeding operations, emergency first aid, bulk distribution of emergency items, and collecting and providing information on victims to family members.
- **Emergency Assistance:** Assistance required by individuals, families, and their communities to ensure that immediate needs beyond the scope of the traditional “mass care” services provided at the local level are addressed. These services include: support to evacuations (including registration and tracking of evacuees); reunification of families; provision of aid and services to special needs populations; evacuation, sheltering, and other emergency services for household pets and services animals; support to specialized shelters; support to medical shelters; nonconventional shelter management; coordination of donated goods and services; and coordination of voluntary agency assistance.
- **Housing:** Includes housing options such as rental assistance, repair, loan assistance, replacement, factory-built housing, semipermanent and permanent construction, referrals, identification and provision of accessible housing, and access to other sources of housing assistance. This assistance is guided by the National Disaster Housing Strategy.
- **Human Services:** Includes the implementation of disaster assistance programs to help disaster victims recover their nonhousing losses, including programs to replace destroyed personal property, and help to obtain disaster loans, food stamps, crisis counseling, disaster unemployment, disaster legal services, support and services for special needs populations, and other Federal and State benefits.

POLICIES

ESF #6 will assist in coordination with impacted local, tribal, and State governments and communities without regard to race, color, national origin, religion, nationality, sex, age, disability, limited English proficiency, or economic status.

Duplication of effort and benefits will be reduced to the extent possible.

ESF #6 will support local, tribal, State, and Federal agencies, voluntary agencies and nongovernmental organizations, and ESF #8 – Public Health and Medical Services in addressing the functional needs of special needs populations, as defined in the *National Response Framework (NRF)* Glossary. Functional needs may be present before, during, or after an incident in one or more areas, including but not limited to:

- Maintaining independence.
- Communication.
- Transportation.
- Supervision.
- Medical care.

Individuals in need of additional response assistance may include those who have disabilities, who live in institutional settings, who are elderly, who are from diverse cultures, who have limited English proficiency or who are non-English speaking, who are children, or who are transportation disadvantaged.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

The Federal response community recognizes the varying and special requirements of individuals that require and utilize the assistance of family members, personal assistants, and/or service animals and is committed to ensuring that the physical and mental health needs of these individuals are appropriately addressed and that the individuals and assistance providers remain together to the maximum extent possible during evacuation, transport, sheltering, or the delivery of other services. Service animals shall be treated as required by law (e.g., the Americans With Disabilities Act (ADA) of 1990).

The Federal response community recognizes the varying and special requirements of children and is committed to ensuring that the physical and mental health needs of children will be appropriately addressed, and that children will remain with their families or caregivers to the maximum extent possible during evacuation, transport, sheltering, or the delivery of other services.

CONCEPT OF OPERATIONS

General

DHS/FEMA will coordinate Federal response and recovery operations in close coordination with local, tribal, and State governments, VOLAGs, and the private sector. ESF #6 assistance is managed and coordinated at the lowest possible organizational level—e.g., the Joint Field Office (JFO) and the Regional Response Coordination Center (RRCC). Only requests that cannot be filled or issues that cannot be resolved at the RRCC/JFO levels are elevated to the National Response Coordination Center (NRCC) ESF #6 Branch for resolution.

Initial response activities will focus on immediate needs of victims.

Recovery efforts are initiated concurrently with response activities.

ORGANIZATION

Headquarters-Level ESF #6 Support – National Response Coordination Center (NRCC) ESF #6 Branch

When activated, ESF #6 reports to the NRCC Operations Section.

The NRCC ESF #6:

- Coordinates and resolves national-level ESF #6 issues.
- Addresses RRCC requests for additional ESF #6 support teams and de-conflicts multiple requests for limited resources.
- Contacts and activates national-level ESF #6 support agencies, as required.
- Provides consolidated reports on mass care, emergency assistance, housing, and human services activities to the NRCC Planning Section for inclusion in the national situation report.
- Distributes ESF #6 information to ESF #6 support agencies, as appropriate.

Headquarters-Level ESF #6 Support – National Processing Service Centers (NPSCs)

NPSCs provide registration intake services and process disaster assistance applications, including eligibility determinations for FEMA Individuals and Households Program. The NPSCs are managed by DHS/FEMA Individual Assistance Division.

DHS/FEMA will ensure that individuals and families evacuated or sheltered are afforded access to Federal disaster assistance, by providing access to the DHS/FEMA registration intake system. This includes access for individuals who may need alternate formats, sign language interpreters, or information presented in a language other than English.

Disaster victims may register for Disaster Assistance by phone, Internet, or in person at Mobile Registration Intake Centers (MRICs).

State-Level ESF #6 Support

The State designates an official(s) to coordinate with Federal mass care, emergency assistance, housing, and human services assistance. This official(s) will serve as the principal point(s) of contact with the RRCC ESF #6 Branch.

Regional-Level ESF #6 Support – Regional Response Coordination Center (RRCC) ESF #6 Branch

Upon activation, the RRCC ESF #6 Branch:

- Assesses the situation and identifies resource requirements in close coordination with State counterparts.
- Convenes regional ESF #6 support agencies.
- Provides ESF #6 liaisons to the Incident Management Assistance Team, JFO, and other DHS/FEMA or State facilities, as appropriate.
- Coordinates ESF #6 Federal resource requests with Federal departments and agencies at the regional level. Only requests that cannot be filled or issues that cannot be resolved at the RRCC/JFO levels are elevated to the NRCC for resolution.
- Contacts and activates regional ESF #6 support agencies, as required.
- Provides updated consolidated reports on mass care, emergency assistance, housing, and human services activities to the RRCC Planning Section for inclusion in regional situation reports.
- Distributes ESF #6 information to ESF #6 support agencies, as appropriate.
- Provides technical assistance to designated State lead agencies, as needed.

As the primary Federal agency for ESF #6, DHS/FEMA will identify initial needs and ensure that the requested and necessary support is in place for the ESF #6 support agencies to execute their missions to include: requests for assistance, activation of pre-scripted mission assignments, and issuance of mission assignments.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Liaisons from Federal support agencies and VOLAGs may assist the ESF #6 Branch at the RRCC and JFO, as necessary.

Field-Level ESF #6 Support – Joint Field Office (JFO) ESF #6 Branch

Once established, the JFO ESF #6 Branch:

- Supports local, tribal, and State governments and VOLAGs in the provision of mass care, emergency assistance, housing, and human services.
- Provides consolidated reports on mass care, emergency assistance, housing, and human services activities to the JFO Planning Section for inclusion in field Incident Action Plans and situation reports.
- Distributes ESF #6 information to ESF #6 support agencies, as appropriate.
- Reports on current mass care services and activities using data provided by the American Red Cross and local, tribal, State, Federal, and other voluntary agencies.
- Anticipates and identifies future requirements in coordination with local, tribal, State, and other Federal agencies.
- Monitors State requirement for the use of Federal-facilitated reunification systems (e.g., the National Emergency Family Registry and Locator System (NEFRLS) and the National Emergency Child Locator Center (NECLC)).
- Facilitates the process by which VOLAGs providing mass care services in affected State(s) request resource support from the Federal Government and the designated State lead agency for mass care.
- Coordinates with local, tribal, State, Federal, and voluntary agencies for additional shelter capacity, including accessible shelters.
- Develops an initial housing strategy, in coordination with local, tribal, and State leadership, DHS/FEMA Headquarters, and Federal support agencies.
- Coordinates with local, tribal, and State governments and VOLAGS to depopulate shelters as required and, when possible, plan for the return of evacuees, including evacuees with special needs, to their pre-disaster locations.

Staff from the ESF #6 primary and support agencies remain activated through the initial phase of recovery activities to ensure all response issues are addressed and to support the transition of related issues and responsibilities from mass care to housing.

FUNCTIONAL AREAS

Mass Care

Each State designates a lead State agency for mass care that works at the direction of the Governor to ensure mass care services are provided to the affected population.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Local, tribal, and State governments in coordination with voluntary organizations will provide shelter, feeding, bulk distribution, emergency first aid, and disaster welfare information (DWI). DHS/FEMA, in its role as the ESF #6 lead, coordinates closely with the State to provide Federal mass care resources to support and augment mass care capabilities, when requested by the State.

- **Shelter:** Emergency shelter includes the use of designated shelter sites in existing structures within the affected area(s), as well as additional sites designated by local government. Shelter sites shall be selected to maximize accessibility for individuals with disabilities, whenever possible.
- **Feeding:** Feeding includes a combination of fixed sites, mobile feeding units, and bulk distribution sites.
- **Bulk Distribution:** Bulk distribution includes distribution of emergency relief items to meet urgent needs through sites established within the affected area(s). These sites are used to distribute food, water, or other commodities in coordination with local, tribal, State, and Federal governmental entities and voluntary agencies and other private-sector organizations.
- **Emergency First Aid:** Emergency first aid includes provision of basic first aid at mass care facilities and designated sites and referral to appropriate medical personnel and facilities.
- **Disaster Welfare Information:** DWI includes services related to the provision of information about individuals residing within the affected area to immediate family members outside the affected area. It may also include services related to the reunification of family members within the affected area.

ESF #6 may provide the following support to local, tribal, State governments, and VOLAGs, as requested by the State.

- **Emergency Feeding and Distribution:** ESF #6 will work in concert with Department of Agriculture (USDA) Food and Nutrition Service (FNS) and with local, tribal, and State governments and VOLAGs to distribute food and food supplies when their capabilities are in need of additional resources from the Federal Government, as determined by the State. This may include support to private-sector feeding operations, securing food commodities, developing feeding plans, and obtaining warehouse space.
- **Distribution of Emergency Relief Items:** ESF #6 will support local, tribal, State, and VOLAG points of distribution (PODs) for distribution of emergency relief items. Support may also include transportation, technical support, and other mission-critical items.

Emergency Assistance

DHS/FEMA coordinates resources and emergency assistance in support of local, tribal, and State governments, VOLAGs, and the private sector to augment their mass care response activities, as requested or directed.

- **Mass Evacuation:** The ESF #6 Branch, at the lowest available organizational level (e.g., JFO, RRCC, NRCC), may provide staff to support local, tribal, and State authorities with mass evacuation.

ESF #6 mass evacuation activities and requirements are identified and addressed in the Mass Evacuation Incident Annex to the *NRF*.

- **Facilitated Reunification:** When a mass evacuation process requires Federal support, DHS/FEMA will track information on individuals and families in an effort to assist with the reunification of separated family members. Tracking, locating, registering, and reuniting evacuees and survivors are activities performed at local, State, and Federal levels.
- **Household Pets and Service Animals:** ESF #6 ensures coordination of mass care services to provide for the safety and well-being of household pets and service animals during evacuations and sheltering. ESF #8 and ESF #11 - Agriculture and Natural Resources will ensure support to ESF #6 through an integrated response. ESF #11, under ESF #6, coordinates Federal support services for household pets and service animals during disasters. When requested by the State, ESF #6 will collaborate with ESF #8 and ESF #11 to ensure coordination of support to household pets and service animals.

The Federal response community recognizes the varying and special requirements of individuals that require and utilize service animals and is committed to ensuring that the physical and mental health needs of these individuals are appropriately addressed and that the individuals and service animals remain together to the maximum extent possible during evacuation, transport, sheltering, or the delivery of other services and in accordance with the requirements of the ADA.

- **General, Specialized, Medical, and Nonconventional Shelters:** ESF #6 will provide Federal assistance, resources, and technical assistance in support of local, tribal, and State governments, VOLAGs, and host States when conventional and nonconventional congregate care systems and shelter-in-place activities are in need of additional resources from the Federal Government, as determined by the State. Congregate care facilities are accessible to individuals with disabilities, whenever possible.

Nonconventional sheltering may include:

- Hotels, motels, and other single-room facilities.
- Temporary facilities such as tents, prefab module facilities, trains, and ships.
- Specialized shelters and functional and medical support shelters (through coordination with ESF #8 and the affected or host State).
- Support for other specialized congregate care areas that may include respite centers, rescue areas, and decontamination processing centers.

National Shelter System

The National Shelter System (NSS) is a web-based comprehensive database that provides information for shelters posted to the NSS during response to disasters and emergencies. Reports from the NSS will detail the location and capacities of shelters (evacuation, general, ADA compliant, pet friendly, medical, etc.) open, on stand-by, or closed. The information in the NSS is submitted by the local, tribal, State, and VOLAG entities operating these shelters.

- **Support to Unaffiliated Volunteers and Unsolicited Donations:** The Donations Management Unit at DHS/FEMA Headquarters supports tribal and State government management of volunteers and donated goods, as required.

The procedures, processes, and activities for Federal assistance to support spontaneous volunteers and unsolicited donations are defined in the Volunteer and Donations Management Support Annex.

Federal support to volunteer and donations management may include the following:

- A database system to manage and record offers of donated goods and services.
- Warehouse support for housing unsolicited donated goods.
- Coordination of unsolicited private and international donations.
- **Voluntary Agency Coordination:** ESF #6 works in concert with local, tribal, and State governments, VOLAGs, faith-based organizations, and the private sector to facilitate an inclusive, multiagency, communitywide, and coordinated response and recovery effort.

ESF #6 works with local officials, private nonprofit organizations, the State, and others to establish a long-term recovery strategy to address the unmet needs of individuals and families, including those with special needs. ESF #6 may also coordinate with National Voluntary Organizations Active in Disaster (National VOAD) and international relief organizations to support the efforts of local voluntary agencies and faith-based organizations.

ESF #6 coordinates among nontraditional and newly formed voluntary agencies, existing social service agencies, and other government agencies with formal coalitions such as VOAD and Long-Term Recovery Committees. Nontraditional voluntary agencies include disaster response or recovery service providers that have not been involved with the planning and coordination efforts prior to a particular event. New voluntary agencies include groups that form in response to a particular event.

Housing

The National Disaster Housing Strategy defines the full scope of options for disaster housing assistance, including:

- **Temporary Roof Repair:** Quick repairs to damaged roofs on private homes. This assistance allows residents to return to and remain in their own homes while performing permanent repairs.
- **Repair Program:** Financial assistance to homeowners for repair of their primary residence, utilities, and residential infrastructure.
- **Replacement Program:** Financial assistance issued to victims to replace their destroyed primary residence.
- **Existing Housing Resources:** A centralized location for identified available housing resources from the private sector and other Federal agencies (i.e., Department of Housing and Urban Development (HUD), Department of Veterans Affairs (VA), and USDA properties).
- **Rental Assistance:** Financial assistance issued to individuals and families for rental of temporary accommodations.
- **Noncongregate Facilities:** Facilities that provide private or semiprivate accommodations, but are not considered temporary housing (e.g., cruise ships, tent cities, military installations, school dorm facilities, or modified nursing homes).
- **Transportation to Other Locations:** Assistance to relocate individuals and families outside of the disaster area where short- or long-term housing resources are available. Transportation services may include return to the pre-disaster location.

- **Permanent Construction:** Direct assistance to victims and families of permanent or semipermanent housing construction.
- **Direct Financial Housing:** Payments made directly to landlords on behalf of disaster victims.
- **Hotel/Motel Program:** Temporary accommodations for individuals and families in transition from congregate shelters or other temporary environments, but unable to return to their pre-disaster dwelling.
- **Direct Housing Operations:** Provision of temporary units, usually factory-built. This option is utilized only when other housing resources are not available. Units will be appropriate to the community needs and include accessible units.
- **Housing Resources** are available from the private sector, FEMA, and other Federal agencies (as described below).
 - **Small Business Administration (SBA) Disaster Loan Program**
 - Provides low-interest, long-term disaster loan assistance for qualified homeowners and renters, nonagricultural businesses of all sizes, and nonprofit organizations to fund the repair and 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 one-year insurance premiums.
 - **Department of Housing and Urban Development (HUD)**
 - Provides access to and information on available habitable housing units, including housing units accessible to individuals with disabilities, owned, or in HUD possession, within or adjacent to the incident area for use as temporary housing.
 - Ensures that disaster victims who were receiving Section 8 Rental Assistance vouchers prior to the disaster are reintegrated into that program.
 - Provides available HUD staff to assist when needed with mass care and housing operations.
 - When requested and funded by FEMA, administers the Disaster Housing Assistance Program for eligible applicants.
 - Provides housing resources for individuals certified as eligible for long-term housing.
 - Provides access to housing counseling services.
 - Provides enforcement of the Fair Housing Act and compliance with other civil rights statutes.
 - **USDA – Rural Development (RD)**

As part of the National Disaster Housing Strategy:

 - Provides information (location, type, owners, and/or management service) on USDA-financed, currently available, habitable housing units that are not under lease or under agreement of sale.
 - Provides available USDA (RD) staff to assist when needed with ESF #6.
 - Provides Letters of Priority Entitlement allowing the holder of the letter (identified evacuee and/or victim) to go to the top of any USDA MF 515 or 514 waiting lists for placement in USDA-financed housing.
 - Assists eligible recipients to meet emergency housing assistance needs resulting from Presidentially declared emergencies or major disasters.

- **VA**
 - Provides available facilities suitable for mass shelter.
 - Provides assistance to veterans affected by disasters to help them avoid defaulting on existing home mortgages and/or foreclosure on their homes, as well as assistance for veterans with disabilities to retrofit their homes with necessary accessibility measures (e.g., wheelchair ramp).
 - Develops and maintains plans to make available housing assets that are habitable, to which VA has title and possession, for use by survivors in catastrophic disasters.

Human Services

Human Services provides assistance to address the nonhousing needs of individuals and families. This assistance falls into the following categories:

- **Cora Brown Fund – DHS/FEMA:** The Cora Brown Fund is used for uninsured or underinsured disaster-related needs of individuals or families who are unable to obtain adequate assistance from other local, tribal, State, and Federal government programs or from voluntary agencies. The fund is not intended to replace or supersede those programs; therefore, if assistance is available from another source, the Cora Brown Fund may not be used. Awards from this fund may be granted only at the discretion of FEMA.
- **Crisis Counseling and Training – FEMA/Substance Abuse and Mental Health Services Administration (SAMHSA):** The Crisis Counseling Assistance and Training Program provides immediate, short-term crisis counseling services. The program helps relieve grieving, stress, or mental health problems caused or aggravated by a disaster or its aftermath. Assistance provided is short term and is at no cost to the disaster victim.
- **Other Needs Assistance (ONA) – DHS/FEMA:** Awards help with medical, dental, funeral, personal property, transportation, moving and storage, and other expenses authorized by law (for uninsured or underinsured eligible applicants).
- **Disaster Case Management – FEMA/Department of Health and Human Services (HHS):** ESF #6 provides case management services, including financial assistance, through government agencies or qualified nonprofits to eligible individuals. Case management ensures that a sequence of delivery is followed to streamline assistance, prevent duplication of benefits, and provide an efficient referral system.
- **HHS**
 - Expedites claims for new Federal benefits.
 - Ensures continuity of services to beneficiaries, such as Medicaid, Temporary Assistance to Needy Families, Child Care, etc.
 - Supports States hosting relocated populations by extending existing programs and benefits or taking other actions as needed, consistent with program authorities.
 - Provides support and consultation to the primary agency in the development and provision of case management services, to include advocacy services.
 - Provides public health and medical support under ESF #8.
- **Victims of Crime Assistance – Department of Justice (DOJ):** Supports local, tribal, State, and Federal assistance to crime victim compensation in incidents resulting from terrorism or acts of criminal violence, as appropriate.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

- **Disaster Unemployment Assistance (DUA) – Department of Labor (DOL):** Administered by the impacted State, DUA provides financial assistance to individuals whose employment or self-employment has been lost or interrupted as a direct result of a major disaster declared by the President, and who are not covered by regular unemployment insurance.
- **Department of the Treasury – Alcohol and Tobacco Tax and Trade Bureau (TTB):** Provides Federal alcohol and tobacco excise tax refunds to businesses that have lost assets in a disaster.
- **Department of the Treasury – Internal Revenue Service (IRS):** Provides tax counseling and assistance to taxpayers whose property has been damaged or lost in a federally declared disaster area.
- **Department of the Treasury – Bureau of the Public Debt**
 - Assists disaster victims by expediting replacement or redemption of U.S. Savings Bonds.
 - May waive the minimum holding period for Series EE and I Savings Bonds presented to authorized paying agents for redemption.
- **Veterans Assistance Program –VA**
 - Provides insurance settlements, adjustments to home mortgages, and death benefits.
 - Ensures continuity of services, such as pensions, to beneficiaries.
- **Social Security Administration (SSA)**
 - Provides Social Security Disability, Social Security Retirement, Social Security Survivors, Special Veterans, and Supplemental Security Income benefits.
 - Ensures continuity of service to beneficiaries.
- **U.S. Postal Service (USPS):** Provides extended mail services to relocated populations.
- **Disaster Legal Services – American Bar Association (ABA)/Young Lawyers Program:** Disaster Legal Services provides free disaster legal services for low-income individuals who, prior to or because of the disaster, are unable to secure legal services adequate to meet their disaster-related needs.

SUPPORT AGENCIES

Agency	Functions
Department of Agriculture	Animal and Plant Health Inspection Service: Supports ESF #6 to ensure an integrated response to provide for the safety and well-being of household pets. ESF #11 provides technical support and subject-matter expertise regarding the safety and well-being of household pets.
	Food and Nutrition Service <ul style="list-style-type: none"> • 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. • Provides emergency food stamps.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>Department of Agriculture (Continued)</p>	<p>Forest Service</p> <ul style="list-style-type: none"> • If available, provides appropriate resources (e.g., cots, blankets, sleeping bags, personnel) for shelters. • Resources will be assigned commensurate with each unit’s level of training and the adequacy and availability of equipment. ESF #4 – Firefighting or the USDA/Forest Service Disaster and Emergency Operations Branch is the contact for this support. <p>Rural Development: As part of the National Disaster Housing Strategy:</p> <ul style="list-style-type: none"> • Provides information (location, type, owners, and/or management service) on USDA-financed, currently available, habitable housing units that are not under lease or under agreement of sale. • Provides available USDA (RD) staff to assist when needed with ESF #6. • Provides Letters of Priority Entitlement allowing the holder of the letter (identified evacuee and/or victim) to go to the top of any USDA MF 515 or 514 waiting lists for placement in USDA financed housing. • Assists eligible recipients to meet emergency housing assistance needs resulting from Presidentially declared emergencies or major disasters.
<p>Department of Defense</p>	<p>U.S. Army Corps of Engineers</p> <ul style="list-style-type: none"> • Fulfills mass care requirements for ice and water in coordination with ESF #6. • Provides assistance by inspecting mass care shelter sites to ensure suitability and accessibility of facilities to safely shelter victims. • Provides assistance in constructing temporary shelter facilities, including accessible shelters, 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.
<p>Department of Health and Human Services</p>	<p>Human Services</p> <ul style="list-style-type: none"> • Executes requirements as defined under the Crisis Counseling and Training Program. • Provides support within the disaster-affected area through the deployment of pre-rostered human services assessment teams. • Provides interdepartmental policy and planning, program management, and oversight of HHS staff onsite to HHS regional staff responsible for the coordination of human services provision. • Provides assistance to State agencies that administer emergency human services programs within the Disaster Recovery Centers. • Provides subject-matter expertise, consultation, and technical assistance to ESF #6 partners on disaster human services issues (e.g., working with special needs populations, assessing child care needs, accessing HHS programs that address human services needs in an emergency, etc.). • Coordinates with the ESF #6 lead agencies to ensure that the appropriate benefits are delivered to the impacted population. • Informs people receiving services under HHS direction about the availability of the National Emergency Family Registry Locator System (NEFRS) and the National Emergency Child Locator Center (NECLC), and facilitates their access to the system in order to assist displaced adults and medically evacuated patients in reunification with their families.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>Department of Health and Human Services (Continued)</p>	<p>Public Health and Medical Services</p> <ul style="list-style-type: none"> • Provides HHS medical workers to augment health services personnel as appropriate. • Provides medical care and mental health services for impacted populations either in or outside the shelter locations in accordance with appropriate guidelines utilized by local health agencies. • Provides technical assistance for shelter operations related to food, vectors, water supply, and waste disposal. • Assists in the provision of medical supplies and services, including durable medical equipment. • Coordinates emergency medical care in shelters as needed at the request of affected State(s) in accordance with appropriate guidelines utilized by local health agencies. <p>Veterinary Medical Services</p> <ul style="list-style-type: none"> • Identifies and provides qualified Veterinary Medical personnel for events requiring veterinary medical services or public health support for household pets and service animals. • Coordinates and provides emergency and disaster-related veterinary medical care services to impacted animal populations (including household pets and service animals) in or outside of shelter locations until local infrastructures are reestablished. • Provides veterinary public health, zoonotic disease control, environmental health, and related services.
<p>Department of Homeland Security</p>	<p>FEMA Citizen Corps: Involves community members in all-hazards emergency preparedness, planning, mitigation, response, and recovery.</p>
<p>Department of Housing and Urban Development</p>	<ul style="list-style-type: none"> • Provides access to and information on available habitable housing units, including housing units accessible to individuals with disabilities, owned, or in HUD possession, within or adjacent to the incident area for use as temporary housing. • Ensures that disaster victims who were receiving Section 8 Rental Assistance vouchers prior to the disaster are reintegrated into that program. • Provides available HUD staff to assist when needed with mass care and housing operations. • When requested and funded by FEMA, administers the Disaster Housing Assistance Program for eligible applicants. • Provides housing resources for individuals certified as eligible for long-term housing. • Provides access to housing counseling services. • Provides enforcement of the Fair Housing Act and compliance with other civil rights statutes. • Provides Community Development Block Grants to support communitywide disaster recovery initiatives.
<p>Department of the Interior</p>	<ul style="list-style-type: none"> • If available, provides appropriate resources (e.g., cots, blankets, sleeping bags, personnel) for shelters. • Resources will be assigned commensurate with each unit's level of training and the adequacy and availability of equipment. ESF #4 or the USDA/Forest Service Disaster and Emergency Operations Branch is the contact for this support.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
Department of Justice	<ul style="list-style-type: none"> • In response to an act of criminal mass victimization (mass violence, domestic or international terrorism), may coordinate through the Office for Victims of Crime (OVC) with local, tribal, State, Federal, and voluntary agency service providers in the provision of assistance via the Antiterrorism and Emergency Assistance Program or other mechanisms. • Provides security at mass care facilities when necessary to augment the capacity of local, tribal, and State authorities.
Department of Labor	<ul style="list-style-type: none"> • Through the Occupational Safety and Health Administration, provides technical assistance related to worker safety and health issues. • Executes requirements as defined under the Disaster Unemployment Assistance (DUA) program.
Department of Transportation	<ul style="list-style-type: none"> • Provides highway information and other resources related to supporting transportation activities. • Provides information on status of and plans for transportation infrastructure and operations.
Department of the Treasury	Alcohol and Tobacco Tax and Trade Bureau: Provides Federal alcohol and tobacco excise tax refunds to businesses that have lost assets in a disaster.
	Bureau of the Public Debt <ul style="list-style-type: none"> • Assists disaster victims by expediting replacement or redemption of U.S. Savings Bonds. • May waive the minimum holding period for Series EE and I Savings Bonds presented to authorized paying agents for redemption.
	Internal Revenue Service <ul style="list-style-type: none"> • Assists victims with filing claims for tax refunds. • Provides tax information and assistance. • Distributes disaster kits containing tax forms and publications to help victims determine the amount of a causality loss deduction for destroyed property. • Provides information on ways to reconstruct destroyed financial records. • Provides copies or transcripts of previously filed tax returns free of charge to taxpayers located in the federally declared disaster area. • May postpone tax deadlines to provide extra time to file and pay before assessing any penalty or additional amount to the tax. Interest may be abated for the period of time for which an extension of time to file tax returns and pay taxes is granted because the individual or business is located in a Presidentially declared disaster area. • Executes agreement to supplement DHS/FEMA’s teleregistration capabilities.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
Department of Veterans Affairs	<ul style="list-style-type: none"> • May provide for food preparation and stockpiling in its facilities during the incident. • Provides for the provision of medical supplies and services. • Provides medical workers to augment health services personnel to support mass care operations, as appropriate. • 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 healthcare 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. Contributes to emergency support functions, including providing remedial infrastructure restoration, mass care services, resource (logistic) support, and health and medical services. • Works with lenders concerning foreclosure/waiver/underwriting/credit protection flexibilities related to VA-issued home loans. • Provides assistance to veterans affected by disasters to help them avoid defaulting on existing home mortgages and/or foreclosure on their homes, as well as assistance for veterans with disabilities to retrofit their homes with necessary accessibility measures (e.g., wheelchair ramp). • Develops and maintains plans to make available housing assets that are habitable, to which VA has title and possession, for use by survivors in catastrophic disasters.
General Services Administration	Provides resource support for ESF #6 requirements as requested to meet the needs of the affected population.
Small Business Administration	<ul style="list-style-type: none"> • Provides low-interest, long-term disaster loan assistance for qualified homeowners and renters, nonagricultural businesses of all sizes, and nonprofit organizations to fund the repair and 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 premiums.
Social Security Administration	<ul style="list-style-type: none"> • Manages America’s major income-support programs. • Provides expedited processing of new Federal benefit claims during emergency operations.
U.S. Postal Service	<ul style="list-style-type: none"> • 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.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>American Red Cross</p>	<ul style="list-style-type: none"> • Provides Red Cross staff to work daily at DHS/FEMA regional offices in support of ESF #6 Mass Care activities. • Provides specially trained liaisons to work at designated DHS/FEMA locations to support ESF #6 Mass Care activities as requested. • Provides subject-matter expertise on regulations, policy, and all relevant American Red Cross issues including general mass care planning, preparedness, response, and recovery activities, as well as Red Cross-specific activities in these areas. • Provides information on current Red Cross mass care activities as requested prior to and during response operations. • Supports DHS/FEMA in working with designated State lead agencies for mass care in planning preparedness and response activities, to include exercise participation. • Provides guidance to designated State lead agency for mass care as the State determines its needs for Federal resource support. • Promotes cooperation and coordination among government and national-level NGOs that provide mass care services and appropriate government entities engaged in planning for response to major disasters. • Works on a case-by-case basis with DHS/FEMA on transient accommodations to eligible disaster victims. • Supports reunification efforts through its “Safe and Well” website and in coordination with government entities as appropriate. Facilitates and supports reunification programs in general population shelters operated by the American Red Cross. • Promotes public information sharing through its website (www.redcross.org), National Response Center, and “Safe and Well” website. <p>The American Red Cross’s role as the Nation’s largest mass care service provider is separate and distinct from its role in the <i>NRF</i>. As the Nation’s largest mass care service provider, the American Red Cross provides sheltering, feeding, bulk distribution of needed items, basic first aid, welfare information, and casework, among other services, at the local level as needed. In its role as a service provider, the American Red Cross works closely with local, tribal, and State governments to provide mass care services to victims of every disaster, large and small, in an affected area. In providing these services, the American Red Cross fulfills its humanitarian mission, acting on its own behalf and not on behalf of the Federal Government or any other governmental entity.</p>
<p>Corporation for National and Community Service</p>	<p>Provides teams of trained National Service Participants (including AmeriCorps members, Learn and Serve America volunteers, and Retired and Senior Volunteer Program volunteers) to carry out a wide range of response and recovery support activities emphasizing disadvantaged communities and special needs residents, including:</p> <ul style="list-style-type: none"> • Canvassing, needs assessment, and information distribution support for State and Federal operations. • Shelter and feeding support; and distribution of water, food, ice, and other emergency goods. • Debris clearance, temporary roof repair, and elimination of identified health/safety hazards. • Unaffiliated volunteer support and warehousing assistance. • Registration and call center support. • Case management assistance. • Other appropriate activities identified by ESF #6 coordinators or DHS/FEMA Voluntary Agency Liaisons (VALs).

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>National Voluntary Organizations Active in Disaster</p>	<ul style="list-style-type: none"> • 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, preparedness, response, and recovery, and after a disaster incident. • Provides members with information pertaining to the severity of the disaster, needs identified, and actions of volunteers throughout the response, relief, and recovery process. • Provides guidance in sharing client information, in promoting spiritual and emotional care, and in the management of unaffiliated volunteers and unsolicited donated goods, as needed.
	<p>Adventist Community Services</p> <ul style="list-style-type: none"> • Receives, processes, and distributes clothing, bedding, and food products. • Provides emergency food and counseling and participates in the cooperative disaster child care program.
	<p>America’s Second Harvest</p> <ul style="list-style-type: none"> • Collects, transports, warehouses, and distributes donated food and grocery products for other agencies involved in both feeding operations and distribution of relief supplies through its national network of food banks. • Processes food products collected in food drives by communities wishing to help another disaster-affected community. • Develops, certifies, and supports their food banks. • Serves as a liaison between the food banks and the donors. • Educates the public about the problems and solutions of hunger.
	<p>American Baptist Men/USA: Provides cleanup, repair, and initial rebuilding. Short-term volunteers work cooperatively with Church World Service.</p>
	<p>American Disaster Reserve</p> <ul style="list-style-type: none"> • Provides trained staffing teams to assist government agencies and other organizations in the operation of Emergency Operations Centers and the performance of disaster management functions • Provides trained teams to meet specific needs identified by local jurisdictions and established in memorandums of understanding, • Provides technology applications of the Internet to disaster management.
	<p>American Radio Relay League (ARRL) – Amateur Radio Emergency Services (ARES): Provides volunteer radio communications services to Federal, State, county, and local governments, as well as to voluntary agencies.</p>
	<p>Ananda Marga Universal Relief Team (AMURT)</p> <ul style="list-style-type: none"> • Provides food and clothing, shelters, and counseling. • Renders emergency medical services, sanitation, etc.
	<p>Catholic Charities, USA</p> <ul style="list-style-type: none"> • Provides assistance to communities in addressing the crisis and recovery needs of local families. • Provides ongoing and long-term recovery services for individuals and families, including temporary housing assistance for low-income families, counseling programs for children and the elderly, and special counseling for disaster relief workers.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>National Voluntary Organizations Active in Disaster (Continued)</p>	<p>Christian Disaster Response: Provides:</p> <ul style="list-style-type: none"> • Initial on-site disaster assessment program. • Emergency food service—fixed-site kitchen/feeding and mobile food service. • In-kind donations of disaster recovery supplies. • Advocacy for disaster victims (elderly, poor, minorities). • Home repair or rebuilding.
	<p>Christian Reformed World Relief Committee (CRWRC)</p> <ul style="list-style-type: none"> • Assists churches in the disaster-affected community to respond to the needs of persons within that community. • Provides advocacy services to assist disaster victims in finding permanent, long-term solutions to their disaster-related problems, as well as housing repair and construction, needs assessment, cleanup, child care, and other recovery services. • Assists disaster survivors through interreligious partner organizations in the United States and worldwide on behalf of its 32-member communions plus affiliated agencies. • Convenes local churches and religious organizations to form an interfaith organization to coordinate responses to unmet needs during the recovery phase.
	<p>Church of the Brethren Disaster Response</p> <ul style="list-style-type: none"> • Provides cleanup and debris removal from damaged or destroyed homes and personal property. • Trains volunteers through the Cooperative Disaster Child Care Program to establish child care centers following major disasters.
	<p>Church of Scientology Disaster Response</p> <ul style="list-style-type: none"> • Assists relief crews in providing food and water. • Provides emotional and spiritual care.
	<p>Church World Service</p> <ul style="list-style-type: none"> • Stand on the side of the oppressed through advocacy with and for those most in need. • Seek out unmet needs of all survivors – particularly people who were vulnerable and marginalized before the disaster. • Provide a larger vision of life that includes emotional and spiritual care as well as physical rebuilding. • Assist in long-term recovery of those in need. • Restore and build community relationships.
	<p>Convoy of Hope: Facilitates relief efforts between churches and other organizations to help best serve the needs of survivors. With its fleet of trucks, 300,000-square-foot warehouse, and Mobile Command Center, and utilizing the first response POD (Points of Distribution) model, Convoy of Hope’s U.S. Disaster Response (USDR) has become an active and efficient disaster relief organization, providing resources and help to victims in the first days of a disaster.</p>
	<p>Disaster Psychiatry Outreach: Provides education and training in disaster mental health to a range of professionals in the emergency management sector.</p>

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>National Voluntary Organizations Active in Disaster (Continued)</p>	<p>Episcopal Relief and Development</p> <ul style="list-style-type: none"> • Sends immediate relief grants for such basics as food, water, medical assistance, and financial aid within the first 90 days following a disaster. • Provides ongoing recovery activities through rehabilitation grants, which offer the means to rebuild, replant ruined crops, and counsel those in trauma. • Works primarily through Church World Service in providing its disaster-related services.
	<p>Feed the Children</p> <ul style="list-style-type: none"> • Provides help to victims of natural disasters occurring in the United States and around the world. • Depending on the situation, provides food, water, blankets, cleaning supplies, or other relief supplies to individuals and families affected.
	<p>Friends Disaster Service (FDS)</p> <ul style="list-style-type: none"> • Provides cleanup and rebuilding assistance to the elderly, disabled, low income, or uninsured survivors of disasters. • Provides an outlet for Christian service to Friends volunteers, with an emphasis on love and caring.
	<p>HOPE Coalition America: Supports disaster survivors by assisting with budgeting and developing financial recovery plans.</p>
	<p>Humane Society of the United States (HSUS): Through the HSUS National Disaster Animal Response Team (NDART™):</p> <ul style="list-style-type: none"> • Serves as a resource for individuals, animal-related organizations, government agencies, and others concerned about the urgent needs of animals before, during, and after disasters. • Provides assistance with animal rescue, handling, and transport in a timely and humane way. <p>HSUS assists ESF #6 with the coordination of other participating entities having an assistance animal-related mission.</p>
	<p>International Aid</p> <ul style="list-style-type: none"> • Provides trained disaster aid and medical personnel. • Provides trauma counseling. • Provides food and medical supplies. • Provides disease prevention products including portable medical clinics and water purification systems.
	<p>International Critical Incident Stress Foundation: Provides emotional and spiritual care.</p>
	<p>International Relief and Development</p> <ul style="list-style-type: none"> • Distributes food and critical supplies. • Helps communities develop effective social services through collaborative efforts to improve roads; renovate schools; rebuild utility, water, and sewage systems; and establish health facilities.
	<p>International Relief Friendship Foundation: Provides needs assessment, case management, distribution of designated relief supplies, and spiritual care and counseling.</p>

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>National Voluntary Organizations Active in Disaster (Continued)</p>	<p>Lutheran Disaster Response</p> <ul style="list-style-type: none"> • Provides for immediate disaster response, in both natural and technological disasters, long-term rebuilding efforts, and support for preparedness planning through synods, districts, and social ministry organizations. • Provides crisis counseling, support groups, mental health assistance, and pastoral care through its accredited social service agencies.
	<p>Medical Teams International: Enlists volunteers as needed to the stricken areas and sends money and supplies for cleaning and reconstruction.</p>
	<p>Mennonite Disaster Services: Assists disaster victims by providing volunteer personnel to clean up and remove debris from damaged and destroyed homes and personal property and to repair or rebuild homes. Special emphasis is placed on assisting those less able to help themselves, such as the elderly and people with disabilities.</p>
	<p>Mercy Medical Airlift (Angel Flight)</p> <ul style="list-style-type: none"> • Ensures that no needy patient is denied access to distant specialized medical evaluation, diagnosis, or treatment for lack of a means of long-distance medical air transportation. • Ensures the provision of urgent transportation in situations of compelling human need and homeland security emergencies.
	<p>National Association of Jewish Chaplains (NAJC): Provides emotional and spiritual care.</p>
	<p>National Emergency Response Team (NERT): Provides coordinated emergency services with Federal, State, and local government agencies.</p>
	<p>National Organization for Victim Assistance (NOVA): Provides social and mental health services for individuals and families who experience major trauma after disaster, including critical incident debriefings.</p>
	<p>Nazarene Disaster Response (NDR)</p> <ul style="list-style-type: none"> • Provides cleanup and rebuilding assistance, especially to the elderly, disabled, widowed, and those least able to help themselves. • Works in the recovery phase by assisting with the emotional needs of disaster victims.
	<p>Operation Blessing: Transports food and emergency supplies to disaster survivors.</p>
	<p>The Phoenix Society for Burn Survivors: Provides social services and emotional support for individuals who experience major burn injuries, as well as their families.</p>
<p>Points of Light Foundation and Volunteer Center National Network</p> <ul style="list-style-type: none"> • Coordinates spontaneous, unaffiliated volunteers. • Meets the needs of the local community and other disaster response agencies through its affiliated network of local Volunteer Centers. 	

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>National Voluntary Organizations Active in Disaster (Continued)</p>	<p>Presbyterian Disaster Assistance (PDA)</p> <ul style="list-style-type: none"> • Works primarily through Church World Service in providing volunteers to serve as disaster consultants and funding for local recovery projects that meet certain guidelines. • Provides trained volunteers who participate in the Cooperative Disaster Child Care program. • Provides volunteer labor and material assistance at the local level. • Supports volunteer base camps for volunteer groups assisting with the rebuilding efforts.
	<p>REACT International: Provides emergency communication facilities for other agencies through its national network of Citizens Band radio operators and volunteer teams.</p>
	<p>The Salvation Army</p> <ul style="list-style-type: none"> • Provides emergency assistance including mass and mobile feeding, temporary shelter, counseling, missing person services, medical assistance, and the warehousing and distribution of donated goods including food, clothing, and household items. • Provides referrals to government and private agencies for special services.
	<p>Samaritan's Purse</p> <ul style="list-style-type: none"> • Provides emotional and spiritual care. • Provides cleanup assistance.
	<p>Save the Children: Provides children's disaster preparedness workshops.</p>
	<p>Society of St. Vincent De Paul</p> <ul style="list-style-type: none"> • Provides social services to individuals and families and collects and distributes donated goods. • Makes stores' merchandise available to disaster victims. Operates retail stores, homeless shelters, and feeding facilities that are similar to those run by the Salvation Army. • Provides warehousing facilities for storing and sorting donated merchandise during the emergency period.
	<p>Southern Baptist Convention Disaster Relief</p> <ul style="list-style-type: none"> • Provides more than 200 mobile feeding units staffed by volunteers who can prepare and distribute thousands of meals a day. • Provides disaster child care. The agency has several mobile child care units. • Assists with cleanup activities, temporary repairs, reconstruction, counseling, and bilingual services.
	<p>Tzu Chi Foundation</p> <ul style="list-style-type: none"> • Provides emotional and spiritual care. • Provides medical and financial assistance.
	<p>United Church of Christ: Provides coordinators who help to organize volunteers for cleanup and rebuilding efforts, and also participate in response and long-term recovery efforts in communities affected by natural disasters.</p>
	<p>United Jewish Communities (UJC)</p> <ul style="list-style-type: none"> • Organizes direct assistance, such as financial and social services, to Jewish and general communities in the United States following disaster. • Provides rebuilding services to neighborhoods and enters into long-term recovery partnerships with residents.

Emergency Support Function #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex

Agency	Functions
<p>National Voluntary Organizations Active in Disaster (Continued)</p>	<p>United Methodist Committee on Relief (UMCOR)</p> <ul style="list-style-type: none"> • Provides funding for local United Methodist Committee on Relief units in response and recovery projects based on the needs of each situation. • Provides spiritual and emotional care to disaster victims and long-term care of children impacted by disaster.
	<p>United Way of America: Provides experience, expertise, and resources to local United Ways facing local, regional, State, or national emergencies.</p>
	<p>Volunteers of America (VOA)</p> <ul style="list-style-type: none"> • Makes trucks available for transporting victims and supplies to designated shelters. • Collects and distributes donated goods and provides mental health care for survivors of disaster.
	<p>World Vision</p> <ul style="list-style-type: none"> • Trains and mobilizes community-based volunteers in major response and recovery activities. • Provides consultant services to local unaffiliated churches and Christian charities involved in locally designed recovery projects. • Collects, manages, and organizes community-based distribution for donated goods.

ESF Coordinators:

General Services Administration
Department of Homeland Security/
Federal Emergency Management Agency

Primary Agencies:

General Services Administration
Department of Homeland Security/
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 the Interior
Department of Labor
Department of Transportation
Department of Veterans Affairs
National Aeronautics and Space
Administration
Office of Personnel Management

INTRODUCTION

Purpose

Emergency Support Function (ESF) #7 – Logistics Management and Resource Support assists the Department of Homeland Security (DHS) by:

- DHS/Federal Emergency Management Agency (FEMA) Logistics providing a comprehensive, national disaster logistics planning, management, and sustainment capability that harnesses the resources of Federal logistics partners, key public and private stakeholders, and nongovernmental organizations (NGOs) to meet the needs of disaster victims and responders; and
- The General Services Administration (GSA) supporting Federal agencies and State, tribal, and local governments that need resource support prior to, during, and/or after incidents requiring a coordinated Federal response.

ESF #7 operates under the following authorities:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288) as amended
- Homeland Security Act of 2002
- Homeland Security Presidential Directive 5
- Homeland Security Presidential Directive 8
- Post-Katrina Emergency Management Reform Act of 2006

Scope

ESF #7 provides centralized management for the role of the National Logistics Coordinator and management of resource support requirements in support of Federal, State, tribal, and local governments. ESF #7 scope includes:

- Setting forth the framework for DHS/FEMA and GSA to jointly manage a supply chain that provides a collaborative response for incidents requiring an integrated national response capability.
- Establishing a link between the DHS/FEMA national Logistics Management and the GSA Resources Support capabilities.

- Establishing a framework for the integration of internal and external logistics partners through increased collaboration in the planning, sourcing, acquisition, and utilization of resources.
- Accelerating communication among all service support elements in order to minimize recovery efforts in the impacted area and reestablish State and local self-sufficiency as rapidly as possible.

Logistics Management and Resource Support to Federal, State, tribal, and local governments consists of:

- GSA providing:
 - 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.
 - Personnel required to support immediate response activities.
 - 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.

- DHS/FEMA Logistics providing a nationally integrated process for the collaborative implementation of the logistics capability of Federal agencies, public- and private-sector partners, and NGOs.

The process is driven by three overarching principles:

- Integration of internal and external Federal disaster logistics partners.
- Collaboration between public- and private-sector partners and NGO stakeholders.
- Communication between all elements involved in the process from planning through execution, sustainment, and demobilization of response resources.

During response operations, acquisition of these resources will be supported by preexisting memorandums of understanding (MOUs), memorandums of agreement (MOAs), interagency agreements (IAAs), or through the execution of mission assignments between DHS/FEMA and GSA.

This document:

- Identifies the components of the ESF #7 Logistics Management and Resource Support delivery structure.
- Provides an overview of Logistics Management and Resource Support roles and responsibilities.
- Provides a concept of operations for Logistics Management and Resource Support in support of the *National Response Framework (NRF)*.

Emergency Support Function #7 – Logistics Management and Resource Support Annex

- Describes how DHS/FEMA and GSA coordinate Logistics Management and Resource Support with other Federal agencies (OFAs); State, tribal, and local governments; and the private sector for incidents requiring Federal coordination.

Policies

The ESF #7 Logistics Management and Resource Support capability is maintained in support of the National Response Coordination Center (NRCC). Nationwide Resource Support capabilities are channeled through the NRCC, the Regional Response Coordination Centers (RRCCs), or the Joint Field Office (JFO).

The primary determination of supply and service requirements is made by operational elements at the regional level working in concert with the affected State. 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.

GSA is the primary agency for Resource Support and together with the other support agencies furnishes resources to help meet requirements to establish operations effectively at the headquarters and regional levels. Such support is terminated at the earliest practical time.

All acquisition and procurement activities by GSA are supported by written justification in accordance with current Federal laws and regulations (e.g., Federal Acquisition Regulations), which, when necessary, authorize other than "full and open competition." All procurement actions, including those for multimodal transportation services, are made at the request of Logistics Management and OFAs in support of the *NRF*, 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/FEMA MOU, dated June 17, 2007, or succeeding agreements.

CONCEPT OF OPERATIONS

General

GSA activities are conducted primarily within the various organizational elements detailed in the *NRF* core document (i.e., JFOs, RRCCs, and the NRCC).

The DHS/FEMA Logistics adaptation of a supply chain management approach to managing the national logistics processes focuses the efforts of all partners and stakeholders of the end-to-end supply chain processes, beginning with planning of customer-driven requirements for materiel and services, delivery to disaster victims as requested by the State or tribe, and ending with replenishment of agency inventories.

Supply chain planning occurs at all levels within the national logistics management process. Strategic planning occurs within FEMA's Logistics Management Directorate supported by the following GSA elements:

- Office of Emergency Response and Recovery
- Public Building Service (PBS)
- Federal Acquisition Service (FAS)

In the field, DHS/FEMA and GSA will provide staff to support the ESF #7 mission and the Logistics Section in the JFOs, RRCCs, NRCC, Federal Mobilization Centers (MOB Centers), and National Logistics Staging Areas (NLSAs) for management and accountability of Federal supplies and equipment; resource ordering; delivery of equipment, supplies, and services; resource tracking; facility location and operations; transportation coordination; and management and support of information technology systems services and other administrative services.

ORGANIZATION

Headquarters-Level Logistics Management Structure (DHS/FEMA)

- Establishes, maintains, and executes national logistics plans, policies, procedures, and doctrines.
- Develops and maintains national logistics support requirements and capabilities, and visibility of resources.
- Provides functional command, coordination, and oversight of all national logistics activities, including resource management at JFOs, Distribution Centers (DCs), and MOB Centers.
- Sets up and operates NLSAs/MOB Centers.
- Establishes national IAAs with OFAs/NGOs, MOAs/ MOUs, and standby logistics contracts.
- Coordinates the national logistics response through the national Logistics Management Center (LMC), which is part of the NRCC.
- Provides transportation assets and services contracts in support of the Mass Evacuation Incident Annex.

Regional/Field/JFO-Level Logistics Management Structure (DHS/FEMA)

- Develops, maintains, and executes supplemental regional logistics plans, policies, and procedures that implement headquarters plans, policies, and procedures.
- Manages, directs, oversees, and executes national logistics support to State, tribal, OFA, and internal FEMA functions within the area of responsibility of the disaster incident.
- Staffs JFOs and NLSAs.
- Coordinates national logistics response for JFOs, NLSAs, and other field facilities. This support includes location, setup, voice and data communications, and other logistical support.
- Develops and coordinates regional requirements and capabilities with State, tribal, and local emergency managers/planners.
- Provides safeguards and accountability for Federal property and equipment assigned to the regions, the JFO, and the JFO area of responsibility (AOR).
- Executes regional IAAs with OFAs and NGOs and orders support from local sources.

Emergency Support Function #7 – Logistics Management and Resource Support Annex

- Develops MOUs/MOAs as appropriate with Department of Defense elements within the region in coordination with assigned Defense Coordinating Officers for potential use of sites as MOB Centers or NLSAs.
- Manages, directs, or acts as Contracting Officer's Technical Representative for supporting Base Camp contracts.
- Implements a single-point ordering process.
- Manages and directs FEMA-contracted transportation resources assigned to the JFO AOR.
- Participates in the development of after-action reports and Remedial Action Management Program inputs to Headquarters to correct deficiencies or publicize best practices.

Headquarters-Level Response Support Structure (GSA)

- The 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 an incident requiring a coordinated Federal response, 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 Domestic Readiness Group and maintains liaison with the regional ESF #7 and other interested parties.
- The GSA Central Office provides administrative support to ESF #7.

Regional-Level Response Support Structure (GSA)

- 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 REC 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 Logistics Management and 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 AND CONTINUING ACTIONS – LOGISTICS MANAGEMENT

DHS/FEMA Headquarters, Regions and JFO/Field (Logistics Section)

Under the supply chain management process adopted by DHS/FEMA Logistics, response actions are divided into three phases that encompass six steps:

- **Preparedness Phase**
 - Identify logistics requirements
 - Identify logistics resources
 - Balance logistics resources with logistics requirements
 - Establish and communicate logistics policies, procedures, and plans

- **Response Phase**
 - Provide logistics response to incident
 - Initial surge (push)
 - Ongoing sustainment (pull)

- **Recovery Phase**
 - Provide logistics recovery after incident

ACTIONS: INITIAL ACTIONS – RESOURCE SUPPORT

GSA 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; and
- The GSA EC provides support to Federal agencies engaged in the response as requirements are identified.

GSA Region

The REC or DREC assumes control of ESF #7 operations in the affected regions, and 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 Incident Management Assistance Team (IMAT) 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 preidentified locations where applicable, is acquired and ready to occupy within 72 hours of receiving DHS requirements and/or DHS acceptance of the space.
- Provides support in acquiring communications, office furniture, equipment, and supplies to equip the JFO.

ACTIONS: CONTINUING ACTIONS – RESOURCE SUPPORT

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 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 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.
- Motor equipment is provided from the following sources:
 - Equipment owned by Federal agencies that is reassigned to the Federal operation
 - Federal supply schedule contractors
 - 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 DCs or other government and commercial sources. Small businesses and vendors in the affected area are used whenever possible.
- Support is provided as required to augment DHS/FEMA and other ESF procurement functions on a case-by-case basis, using GSA contracting resources.
- 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 DCs, the National Defense Stockpile, and customer supply centers if available.
- In addition to the above, ESF #7 transfers excess Federal personal property and provides other services as requested by the FCO.

RESPONSIBILITIES: LOGISTICS MANAGEMENT

Primary Agency: DHS/FEMA

As the primary agency for Logistics Management, DHS/FEMA Logistics divides its responsibilities along functional lines.

Logistics Management functions include:

- Material management that includes determining requirements, sourcing, ordering and replenishment, storage, and issuing of supplies and equipment. This includes network, computer, and communications equipment required to support JFO and other field operations.

Emergency Support Function #7 – Logistics Management and Resource Support Annex

- Transportation management that includes equipment and procedures for moving material from storage facilities and vendors to incident victims, particularly with emphasis on the surge and sustainment portions of response. Transportation management also includes providing services to requests from other Federal organizations.
- Facilities management that includes the location, selection, and acquisition of storage and distribution facilities. These facilities include DCs, MOB Centers, and NLSAs. Logistics is responsible for establishing and operating facilities as well as managing related services to shelter and support incident responders in JFOs and other field-related operations, including Base Camps.
- Personal property management and policy and procedures guidance for maintaining accountability of material and identification and reutilization of property acquired to support a Federal response operation.
- Management of Electronic Data Interchange to provide end-to-end visibility of response resources.
- Planning and coordination with internal and external customers and other supply chain partners in the Federal and private sectors. Providing for the comprehensive review of best practices and available solutions for improving the delivery of goods and services to the customer.

SUPPORT AGENCIES: LOGISTICS MANAGEMENT

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 Management		Transportation Management
DHS/ FEMA	ESF #5	■		■	■	■	■	■	■	■	■	■	■	Responsible for <i>NRF</i> logistics planning and execution. When additional resources are needed, the other ESFs are activated through mission assignments.
USDA/ FNS	ESF #11	■												Determines nutrition assistance needs, obtains food supplies, arranges for delivery of food supplies, and authorizes disaster food stamps.
USDA/ FS	ESF #4								■	■	■	■	Provides staff to support MOB Center establishment, if available, when mission assigned.	
USDA/ FSIS	ESF #11	■												Inspects food and coordinates disposal of contaminated food products.

Emergency Support Function #7 – Logistics Management and Resource Support Annex

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 Management	
DOC										■	■		Provides technical expertise on structural surveys as well as the procurement of external consulting services.
DOD		■		■	■	■	■	■	■		■	■	When requested by FEMA and approved by DOD.
DOD/ USACE	ESF #3		■			■	■	■		■			Provides water, ice, construction materials, and engineering services when activated under ESF #3 – Public Works and Engineering and ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services. ESF #3 also provides a robust capability of mobile field elements and logistics support teams as requested.
DOE	ESF #12		■										In accordance with ESF #12 – Energy, 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 – Public Health and Medical Services is activated. Also staffs field hospitals.
DOI									■	■	■	■	Provides staff to support MOB Center establishment, if available, when mission assigned.
DOT	ESF #1											■	Monitors and reports damage to the transportation system and infrastructure as a result of the incident. Coordinates temporary alternative transportation solutions when systems or infrastructure are damaged or overwhelmed. Coordinates the restoration and recovery of transportation systems and infrastructure. Coordinates prevention, preparedness, and mitigation activities among transportation infrastructure stakeholders within the authorities and resource limitations of ESF #1 – Transportation agencies.

Emergency Support Function #7 – Logistics Management and Resource Support Annex

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 Management		Transportation Management
VA		■		■		■	■		■		■			Provides technical assistance in procuring medical supplies and other medical services.
GSA	ESF #7			■		■		■			■	■	■	When activated, provides contracting, regional telecommunications, facilities, land, supplies, transportation, and personnel.
NASA											■			Provides available space, buildings, airports, and telecommunications as may be required for emergency support operations.

RESPONSIBILITIES: RESOURCE SUPPORT

Primary Agency: GSA

As the primary agency for the Resource Support component of ESF #7, GSA’s EC is responsible for providing, directing, and coordinating ESF #7 operations.

The GSA REC is responsible for coordinating the following:

- On a case-by-case basis, locating, procuring, and issuing resources to OFAs 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 DCs 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.

Emergency Support Function #7 – Logistics Management and Resource Support Annex

- Providing support to the GSA Regional Administrator for all Resource Support activities.

SUPPORT AGENCIES: RESOURCE SUPPORT

Agency	Functions
Department of Commerce	Through 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, coordinates with energy industries to assist in satisfying critical fuel, lubricant, and electrical power needs unable to be met by local, tribal, State, or Federal resources or actions.
Department of Homeland Security	<ul style="list-style-type: none"> • Acts as liaison to provide logistical support to Federal, State, tribal, and local governments. • Provides Contracting Officer's Technical Representatives from the RRCC, IMAT, 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 IMAT missions and general operations.
	National Cyber Security Division/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 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	Provides information about the status of the transportation infrastructure.
Department of Veterans Affairs	<ul style="list-style-type: none"> • 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.
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.

This page intentionally left blank.

ESF Coordinator:

Department of Health and Human Services

Primary Agency:

Department of Health and Human Services

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 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, tribal, and local resources in response to a public health and medical disaster, potential or actual incidents requiring a coordinated Federal response, and/or during a developing potential health and medical emergency. The phrase “medical needs” is used throughout this annex. Public Health and Medical Services include responding to medical needs associated with mental health, behavioral health, and substance abuse considerations of incident victims and response workers. Services also cover the medical needs of members of the “at risk” or “special needs” population described in the Pandemic and All-Hazards Preparedness Act and in the *National Response Framework (NRF) Glossary*, respectively. It includes a population whose members may have medical and other functional needs before, during, and after an incident.

Public Health and Medical Services includes behavioral health needs consisting of both mental health and substance abuse considerations for incident victims and response workers and, as appropriate, medical needs groups defined in the core document as individuals in need of additional medical response assistance, and veterinary and/or animal health issues.

Scope

ESF #8 provides supplemental assistance to State, tribal, and local governments in the following core functional areas:

- Assessment of public health/medical needs
- Health surveillance
- Medical care personnel
- Health/medical/veterinary equipment and supplies
- Patient evacuation
- Patient care
- Safety and security of drugs, biologics, and medical devices
- Blood and blood products
- Food safety and security

- Agriculture safety and security
- All-hazard public health and medical consultation, technical assistance, and support
- Behavioral health care
- Public health and medical information
- Vector control
- Potable water/wastewater and solid waste disposal
- Mass fatality management, victim identification, and decontaminating remains
- Veterinary medical support

Policies

The Secretary of Health and Human Services (HHS) leads all Federal public health and medical response to public health emergencies and incidents covered by the *NRF*. The response addresses medical needs and other functional needs of those in need of medical care, including assistance or support in maintaining independence, communicating, using transportation, and/or requiring supervision.

The Secretary of HHS shall assume operational control of Federal emergency public health and medical response assets, as necessary, in the event of a public health emergency, except for members of the Armed Forces, who remain under the authority and control of the Secretary of Defense.

The Secretary of HHS, through the Office of the Assistant Secretary for Preparedness and Response (ASPR), 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 internal policies and procedures (e.g., HHS Concept of Operations Plan for Public Health and Medical Emergencies, and the National Disaster Medical System (NDMS) Four Partner Memorandum of Agreement).

ESF #8 support agencies are responsible for maintaining administrative control over their respective response resources after receiving coordinating instructions from HHS.

The Emergency Management Group (EMG), operating from the HHS Secretary's Operations Center (SOC), coordinates the overall national ESF #8 response for the ASPR and maintains constant communications with the National Operations Center (NOC).

All headquarters and regional organizations (including those involved in other ESFs) participating in response operations report public health and medical requirements to the appropriate ESF #8 representative operating in the National Response Coordination Center (NRCC), the Regional Response Coordination Center (RRCC), or the Joint Field Office (JFO) when activated.

The Joint Information Center (JIC) will be established to coordinate incident-related public information, and is authorized to release general medical and public health response information to the public. When possible, a recognized spokesperson from the public health and medical community (State, tribal, or local) delivers relevant community messages. After consultation with HHS, the lead Public Affairs Officer from other JICs may also release general medical and public health response information.

In the event of a zoonotic disease outbreak and in coordination with ESF #11 – Agriculture and Natural Resources, public information may be released after consultation with the Department of Agriculture (USDA). In the event of an oil, chemical, biological, or radiological environmental contamination incident, ESF #8 coordinates with ESF #10 – Oil and Hazardous Materials Response on the release of public health information.

As the lead agency for ESF #8, HHS determines the appropriateness of all requests for release of public health and medical information and is responsible for consulting with and organizing Federal public health and medical subject-matter experts, as needed.

CONCEPT OF OPERATIONS

General

Upon notification, the ASPR alerts identified HHS personnel to represent ESF #8, as required, in or on the:

- Domestic Readiness Group (DRG).
- NOC (Planning Element or Watch).
- NRCC.
- RRCC/JFO.
- National/regional teams.
- JIC.
- Other Federal, State, or tribal operations centers as required by the mission.

HHS notifies and requests all supporting departments and agencies to participate in headquarters coordination activities. The ASPR may request ESF #8 support agencies and organizations to provide liaison personnel to the HHS Headquarters command locations.

HHS Headquarters and ESF #8 staff provide liaison and communications support to regional ESF #8 offices.

Regional ESF #8 staff may be assisted by supporting Federal partners and HHS components.

ESF #8 staff in the RRCC or JFO will conduct a risk analysis, evaluate, and determine the capability required to meet the mission objective and provide required public health and medical support medical assistance to State, tribal, and local medical and public health officials.

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.

During the response period, HHS has primary responsibility for the analysis of public health and medical assistance, determining the appropriate level of response capability based on the requirement contained in the action request form as well as developing updates and assessments of public health status.

ORGANIZATION

Headquarters

The Secretary of HHS leads the ESF #8 response. ESF #8, when activated, is coordinated by the ASPR. Once activated, ESF #8 functions are coordinated by the EMG through the SOC.

During the initial activation, HHS coordinates audio and video conference calls with the ESF #8 supporting departments and agencies, and public health and medical representatives from State, tribal, and local officials, to discuss the situation and determine the appropriate initial response actions.

HHS alerts and requests supporting organizations to provide a representative to the EMG to provide liaison support.

Public health and medical subject-matter experts (including partners representing all appropriate populations, such as pediatric populations, populations with disabilities, the aging, and those with temporary or chronic medical conditions) 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 Health Official to serve as the senior Federal health official in the JFO.

Regional ESF #8 staff are ready to rapidly deploy, as the Incident Response Coordination Team – Advance (IRCT-A) to provide initial ESF #8 support to the affected location. As the situation matures, the IRCT-A will receive augmentation from HHS and partner agencies transitioning into a full IRCT capable of providing the full range of ESF #8 support to include medical command and control.

The regional ESF #8 staff includes representatives to staff the RRCC and/or JFO, as required, on a 24-hour basis for the duration of the incident.

ACTIONS: INITIAL ACTIONS

The HHS EMG increases staffing immediately on notification of an actual or potential public health or medical emergency. When activated by the NRCC, HHS consults with the appropriate ESF #8 supporting organizations to determine the need for assistance according to the functional areas listed below.

Assessment of Public Health/Medical Needs

HHS, in collaboration with the Department of Homeland Security (DHS), mobilizes and deploys ESF #8 personnel to support national or regional teams to assess public health and medical needs, including the needs of at-risk population groups, such as language assistance services for limited English-proficient individuals and accommodations and services for individuals with disabilities. This function includes the assessment of the health care system/facility infrastructure.

Health Surveillance

HHS, in coordination with supporting departments and agencies, enhances existing surveillance systems to monitor the health of the general and medical needs population; carries out field studies and investigations; monitors injury and disease patterns and potential disease outbreaks, blood and blood product biovigilance, and blood supply levels; and provides 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, NDMS, and Federal Civil Service employees) and from ESF #8 supporting organizations.

- ESF #8 may request Department of Defense (DOD) support for casualty clearing and staging, patient treatment, and support services such as surveillance and laboratory diagnostics.
- ESF #8 may seek individual clinical public health and medical care specialists from the Department of Veterans Affairs (VA) to assist State, tribal, and local public health and medical personnel.
- ESF #8 may engage civilian volunteers, such as Medical Reserve Corps, to assist State, tribal, and local public health and medical personnel.

Health/Medical/Veterinary Equipment and Supplies

In addition to deploying assets from the Strategic National Stockpile (SNS), ESF #8 may request DOD or the VA to provide medical equipment, durable medical equipment, and supplies, including medical, diagnostic, and radiation-detecting 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. When a veterinary response is required, assets may be requested from the National Veterinary Stockpile, which is managed by USDA Animal and Plant Health Inspection Service (APHIS).

Patient Evacuation

ESF #8 is responsible for transporting seriously ill (seriously ill describes persons whose illness or injury is of such severity that there is cause for immediate concern, but there is not imminent danger to life) or injured patients, and medical needs populations from casualty collection points in the impacted area to designated reception facilities. ESF #8 coordinates the Federal response in support of emergency triage and prehospital treatment, patient tracking, and distribution. This effort is coordinated with Federal, State, tribal, territorial, and local emergency medical services officials.

ESF #8 may request DOD, VA, and DHS/Federal Emergency Management Agency (FEMA), via the national ambulance contract, to provide support for evacuating seriously ill or injured patients. Support may include providing transportation assets, operating and staffing NDMS Federal Coordination Centers, and processing and tracking patient movements from collection points to their final destination reception facilities.

DOD is the only recognized Federal partner responsible for regulating and tracking patients transported on DOD assets to appropriate treatment facilities (i.e., NDMS hospitals).

Patient Care

ESF #8 may task HHS components to engage civil service personnel, the Officers from the U.S. Public Health Service Commissioned Corps, the regional offices, and States to engage civilian volunteers and request the VA and DOD to provide available personnel to support prehospital triage and treatment, inpatient hospital care, outpatient services, pharmacy services, and dental care to victims who are seriously ill, injured, or suffer from chronic illnesses who need evacuation assistance, regardless of location.

ESF #8 may assist with isolation and quarantine measures and with point of distribution operations (mass prophylaxis and vaccination). Health care providers and support staff will ensure appropriate patient confidentiality is maintained, including Health Insurance Portability and Accountability Act privacy and security standards, where applicable.

Safety and Security of Drugs, Biologics, and Medical Devices

ESF #8 may task HHS components to ensure the safety and efficacy of and advise industry on security measures for regulating human and veterinary drugs, biologics (including blood and vaccines), medical devices (including radiation emitting and screening devices), and other HHS-regulated products.

Blood, Organs, and Blood Tissues

ESF #8 may task HHS components and request assistance from other ESF #8 partner organizations to monitor and ensure the safety, availability, and logistical requirements of blood, organs, and tissues. This includes the ability of the existing supply chain resources to meet the manufacturing, testing, storage, and distribution of these products.

Food Safety and Security

ESF #8, in cooperation with ESF #11, may task HHS components and request assistance from other ESF #8 partner organizations 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. The Environmental Protection Agency establishes tolerance levels for pesticide residues.)

Agriculture Safety and Security

ESF #8, in coordination with ESF #11, may task HHS components to ensure the health, 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 Safety and Health

Under agreement with the U.S. Department of Labor (DOL), DOL is the lead Federal agency for worker safety and health. ESF #8/HHS is a supporting agency. Refer to the *NRF Worker Safety and Health Support Annex* for detailed information.

All-Hazard Public Health and Medical Consultation, Technical Assistance, and Support

ESF #8 may task HHS components and regional offices and request assistance from other ESF #8 partner organizations in assessing public health, medical, and veterinary 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, tribal, and local officials retain primary responsibility for victim screening and decontamination operations, ESF #8 can deploy the National Medical Response Teams to assist with victim decontamination.

Behavioral Health Care

ESF #8 may task HHS components and request assistance from other ESF #8 partner organizations in assessing mental health and substance abuse needs, including emotional, psychological, psychological first aid, behavioral, or cognitive limitations requiring assistance or supervision; providing disaster mental health training materials for workers; providing liaison with assessment, training, and program development activities undertaken by Federal, State, tribal, or local mental health and substance abuse officials; and providing additional consultation as needed.

Public Health and Medical Information

ESF #8 provides 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 in languages and formats that are understandable to individuals with limited English proficiency and individuals with disabilities.

Vector Control

ESF #8 may task HHS components and request assistance from other ESF #8 partner organizations, as appropriate, 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.

Public Health Aspects of Potable Water/Wastewater and Solid Waste

ESF #8 may task HHS components and request assistance from other ESF #8 organizations to assist in assessing potable water, wastewater, solid waste disposal, and other environmental health issues related to public health in establishments holding, preparing, and/or serving food, drugs, or medical devices at retail and medical facilities, as well as examining and responding to public health effects from contaminated water; conducting field investigations, including collection and laboratory analysis of relevant samples; providing equipment and supplies as needed; and providing technical assistance and consultation.

Mass Fatality Management

ESF #8, when requested by State, tribal, or local officials, in coordination with its partner organizations, will assist the jurisdictional medico-legal authority and law enforcement agencies in the tracking and documenting of human remains and associated personal effects; reducing the hazard presented by chemically, biologically, or radiologically contaminated human remains (when indicated and possible); establishing temporary morgue facilities; determining the cause and manner of death; collecting antemortem data in a compassionate and culturally competent fashion from authorized individuals; performing postmortem data collection and documentation; identifying human remains using scientific means (e.g., dental, pathology, anthropology, fingerprints, and, as indicated, DNA samples); and preparing, processing, and returning human remains and personal effects to the authorized person(s) when possible; and providing technical assistance and consultation on fatality management and mortuary affairs. In the event that caskets are displaced, ESF #8 assists in identifying the human remains, recasketing, and reburial in public cemeteries.

ESF #8 may task HHS components and request assistance from other ESF #8 partner organizations, as appropriate, to provide support to families of victims during the victim identification mortuary process.

Veterinary Medical Support

ESF #8 will provide veterinary assistance to ESF #11. Support will include the amelioration of zoonotic disease and caring for research animals where ESF #11 does not have the requisite expertise to render appropriate assistance.

ESF #8 will assist ESF #11 as required to protect the health of livestock and companion and service animals by ensuring the safety of the manufacture and distribution of foods and drugs given to animals used for human food production. ESF #8 supports DHS/FEMA together with ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services, ESF #9 – Search and Rescue, and ESF #11 to ensure an integrated response to provide for the safety and well-being of household pets and service and companion animals.

ESF #8 Support to ESF #6

ESF #8 supports ESF #6 by providing expertise and guidance on the public health issues of the medical needs populations.

ACTIONS: CONTINUING ACTIONS

Headquarters and Regional Support

ESF #8 continuously acquires and assesses information on the incident. The EMG, ESF #8 regional staff, and ESF #8 liaison staff in the RRCC/JFO continue to identify the nature and extent of public health and medical problems and establish appropriate monitoring and public surveillance. Other sources of information may include:

- State incident management authorities.
- Officials of the responsible jurisdiction in charge of the disaster scene.
- 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.

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 in the most appropriate manner.

Activation of Public Health/Medical Response Teams

HHS components are deployed directly as part of the ESF #8 response. Public health and medical personnel and teams provided by ESF #8 are deployed under a DHS/FEMA mission assignment.

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, tribal, and local requests for Federal medical transportation assistance are executed by ESF #8 in coordination with DHS/FEMA. Such assistance may include accessible transportation for medical needs populations

Coordination for Obtaining, Assembling, and Delivering Medical Equipment and Supplies to the Incident Area

ESF #8 will coordinate with DHS/FEMA, VA, DOD, the General Services Administration (GSA), and other Federal partners as required to arrange for the procurement and transportation of medical and durable medical equipment and supplies.

Communications

ESF #8 establishes communications necessary to coordinate Federal public health, medical, and veterinary medical assistance effectively.

Public Affairs Information Requests

Requests for information may be received from various sources, such as the media and the general public, and are referred to ESF #15 – External Affairs for action and response. ESF #8 makes available language-assistance services, such as interpreters for different languages, telecommunications devices for the deaf, and accessible print media, to facilitate communication with all members of the public.

After-Action Reports/Lessons Learned

ESF #8, on completion of the incident, prepares summary after-action and lessons learned reports. These reports identify key problems, indicate how they were solved, and make recommendations for improving response operations. ESF #8 will request input and coordinate the preparation of the after-action and lessons learned reports with all supported and supporting agencies.

RESPONSIBILITIES

Primary Agency: HHS

- Leads the Federal effort to provide public health and medical assistance to the affected area.
- Coordinates staffing of the HHS EMG to support the response operation.
- Requests appropriate ESF #8 organizations to activate and deploy public health, medical, and veterinary medical personnel, equipment, and supplies in response to requests for Federal public health and medical assistance, as appropriate.
- Uses HHS personnel (U.S. Public Health Service Commissioned Corps, NDMS, Federal Civil Service, and civilian volunteers) to address public health, medical, and veterinary medical needs.
- Assists and supports State, tribal, and local officials in performing monitoring for internal patient contamination and administering pharmaceuticals for internal decontamination.

Emergency Support Function #8 – Public Health and Medical Services Annex

- Assists State, tribal, and local officials 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.
- Confidentially monitors blood and blood product supplies throughout the year using the Blood Availability and Safety Information System as baseline data for ESF #8 activation.
- Liaisons with the AABB Interorganizational Task Force on Domestic Disasters and Acts of Terrorism (i.e., AABB TF) to assist in logistical requirements and to coordinate a national public blood announcement message for the need to donate.
- Monitors blood and blood product shortages and reserves, including the safety and availability of the blood supply.
- Activates NDMS as necessary to support response operations.
- Evaluates requests for deployment or redeployment of the SNS and Federal Medical Stations based upon relevant threat information.
- Coordinates public health and medical support, patient evacuation, and movement requirements 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). In cooperation with State, tribal, and local officials, assesses whether food manufacturing, food processing, food distribution, food service, and food retail establishments in the affected area are able to provide safe and secure food.
- In cooperation with State, tribal, and local officials as well as the food industry, conducts tracebacks or recalls of adulterated products.
- In cooperation with Federal, State, tribal, and local officials, ensures 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	<ul style="list-style-type: none">• If available, provides appropriate personnel, equipment, and supplies, primarily for communications, aircraft, and the establishment of base camps for deployed Federal public health and medical teams. Resources will be assigned commensurate with each unit's level of training and the adequacy and availability of equipment. ESF #4 – Firefighting or the USDA/Forest Service Disaster and Emergency Operations Branch is the contact for this support.• Provides support for public health matters for radiological incidents as a member of the Advisory Team for Environment, Food, and Health.

Emergency Support Function #8 – Public Health and Medical Services Annex

Agency	Functions
<p>Department of Agriculture (Continued)</p>	<p>USDA also supports a multiagency response to a domestic incident through:</p> <ul style="list-style-type: none"> • 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. • Provision of appropriate personnel, equipment, and supplies coordinated through the APHIS Emergency Management Operations Center. Support is primarily for coordinating disposal issues for animal carcasses resulting from disease, protecting livestock animal health, reducing the potential for livestock to transmit zoonotic diseases, and providing technical support and subject-matter expertise for the safety and well-being of household pets.
<p>Department of Commerce</p>	<p>National Oceanic and Atmospheric Administration: Provides near real-time transport, dispersion, and 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.</p>
<p>Department of Defense</p>	<ul style="list-style-type: none"> • 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, provides support for the evacuation of patients and medical needs populations to locations where hospital care or outpatient services are available. • Using available DOD transportation resources, in coordination with the NDMS Medical Interagency Coordination Group, 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 public 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 hospitals, VA hospitals, and DOD military treatment facilities that are available and can provide appropriate care. • Provides available military medical personnel to assist ESF #8 in the protection of public health (such as food, water, wastewater, solid waste disposal, vectors, hygiene, and other environmental conditions). • Provides available veterinary military personnel to assist ESF #8 personnel in the medical treatment of animals. • 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, tribal, or local officials 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, as available, in managing human remains, including victim identification and mortuary affairs and temporary internment of the dead.

Emergency Support Function #8 – Public Health and Medical Services Annex

Agency	Functions
<p>Department of Defense (Continued)</p>	<ul style="list-style-type: none"> • 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 medical surveillance and laboratory diagnostics and confirmatory testing in coordination with HHS. <p>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 and medical facilities. In the event of a catastrophic mass fatality incident, assists with the temporary interment of the dead.</p>
<p>Department of Energy/National Nuclear Security Administration</p>	<ul style="list-style-type: none"> • 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, tribal, and local personnel conducting screening/decontamination of persons leaving a contaminated zone. <p>Radiological Assistance Program</p> <ul style="list-style-type: none"> • 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. • Assists State, tribal, or local officials in the monitoring and surveillance of the incident area. <p>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.</p> <p>Federal Radiological Monitoring and Assessment Center (FRMAC): Assists public 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.</p>
<p>Department of Homeland Security</p>	<ul style="list-style-type: none"> • Provides communications support in coordination with ESF #2 – Communications. • Maintains situational awareness and the Common Operating Picture via the Homeland Security Information Network. • Assists in providing information/liaison with emergency management officials in NDMS FCC areas. • Identifies and arranges for use of DHS/U.S. Coast Guard (USCG) 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. • Through 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. • Provides enforcement of international quarantines through DHS/USCG, Customs and Border Protection, and Immigration and Customs Enforcement.

Emergency Support Function #8 – Public Health and Medical Services Annex

Agency	Functions
<p>Department of Homeland Security (Continued)</p>	<p>FEMA</p> <ul style="list-style-type: none"> • Provides logistical support for deploying ESF #8 medical elements required and coordinates the use of mobilization centers/staging areas, transportation of resources, use of disaster fuel contracts, emergency meals, potable water, base camp services, supply and equipment resupply, and use of all national contracts and interagency agreements managed by DHS for response operations. • Provides Total Asset Visibility through the use of Global Positioning System (GPS) tracking services to enable visibility of ESF #8 resources through mapping capabilities and reports. • Assists in arranging transportation to support evacuating patients who are too seriously ill or otherwise incapable of being evacuated in general evacuation conveyances. • Provides tactical communications support through Mobile Emergency Response Support, inclusive of all types (i.e., deployable satellite and RF/radio communications). <p>Office of Infrastructure Protection: Provides situational awareness, cross-sector coordination, and prioritized recommendations regarding critical infrastructure and key resources.</p>
<p>Department of the Interior</p>	<p>If available, provides appropriate personnel, equipment, and supplies, primarily for communications, aircraft, and the establishment of base camps for deployed Federal public health and medical teams. Resources will be assigned commensurate with each unit's level of training and the adequacy and availability of equipment. ESF #4 or the DOI Operations Center is the contact for this support.</p>
<p>Department of Justice</p>	<ul style="list-style-type: none"> • Assists in victim identification, coordinated through the Federal Bureau of Investigation (FBI). • Provides State, tribal, or local officials 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 security for the SNS, secure movement of needed blood and blood product supply, and quarantine enforcement assistance, if required. • Establishes an adult missing persons call center and assists in the disposition of cases. • Shares missing persons data with ESF #8 and ESF #13 – Public Safety and Security in support of identification of the dead and seriously wounded. • Supports local death scene investigations and evidence recovery.
<p>Department of Labor</p>	<ul style="list-style-type: none"> • 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.

Emergency Support Function #8 – Public Health and Medical Services Annex

Agency	Functions
<p>Department of State</p>	<ul style="list-style-type: none"> • Coordinates international activities related to chemical, biological, radiological, and nuclear incidents and events that pose transborder threats as well as naturally occurring disease outbreaks with international implications. Contributes to the development of projections of the international consequences of the event (e.g., disease spread, quarantine, isolation, travel restrictions, pharmaceutical supply and distribution, and displaced persons) through coordination with foreign states and other international stakeholders, and assists in communicating real-time actions taken by the United States and U.S. projections of the international consequences of the event. • 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. • Acts as the health and medical services information conduit to U.S. Embassies/Consulates.
<p>Department of Transportation (DOT)</p>	<ul style="list-style-type: none"> • In collaboration with DOD, GSA, and other transportation-providing agencies, provides technical assistance in identifying and arranging for all types of transportation, such as air, rail, marine, and motor vehicle and accessible transportation. • Coordinates with the Federal Aviation Administration for air traffic control support for priority missions. • At the request of ESF #8, provides technical support to assist in arranging logistical movement support (e.g., supplies, equipment, blood supply, etc.) from DOT resources, subject to DOT statutory requirements.
<p>Department of Veterans Affairs</p>	<p>Subject to the availability of resources and funding, and consistent with the VA mission to provide priority services to veterans, when requested:</p> <ul style="list-style-type: none"> • Coordinates with participating 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. • 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. • Alerts VA FCCs and provides reporting instructions to support incident relief efforts. • Alerts VA FCCs to activate NDMS patient reception plans in a phased, regional approach, and when appropriate, in a national approach. • Buries and memorializes eligible veterans and advises on methods for interment of the dead during national or homeland security emergencies.
<p>Environmental Protection Agency</p>	<ul style="list-style-type: none"> • Provides technical assistance and environmental information for the assessment of the public health/medical aspects of situations involving hazardous materials, including technical and policy assistance in matters involving water and wastewater systems, for critical health care facilities. • 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 and wastewater collection and treatment for critical health care facilities. • Provides environmental technical assistance (e.g., air monitoring) and information in the event temporary interment is necessary and/or human remains are contaminated.

Emergency Support Function #8 – Public Health and Medical Services Annex

Agency	Functions
General Services Administration	Provides resource support for ESF #8 requirements as requested to meet the needs of the affected population.
U.S. Agency for International Development	Office of Foreign Disaster Assistance: Assists in the tracking and distribution of international support assets.
U.S. Postal Service	Assists in the distribution and transportation of medicine, pharmaceuticals, and medical information to the general public affected by a major disaster or emergency, as needed.
American Red Cross	<ul style="list-style-type: none"> • 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 family members of the dead, for the injured, and for others affected by the incident. • Supports NDMS evacuation through the provision of services for accompanying family members/caregivers in coordination with Federal, State, tribal, and local officials. • 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 Inter-organizational Task Force on Domestic Disasters and Acts of Terrorism to provide blood products and services as needed through regional blood centers. • Supports reunification efforts through its "Safe and Well" website and in coordination with government entities as appropriate. • Refers all concerns regarding animal health care, safety, or welfare to American Veterinary Medical Association contact(s) in the disaster area. These contact people are veterinarians affiliated with national, State, county, or local veterinary associations.

This page intentionally left blank.

Emergency Support Function #9 – Search and Rescue Annex

ESF Coordinator:

Department of Homeland Security/Federal
Emergency Management Agency

Primary Agencies:

Department of Homeland Security/Federal
Emergency Management Agency
Department of Homeland Security/U.S.
Coast Guard
Department of the Interior/National Park
Service
Department of Defense/U.S. Air Force

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
National Aeronautics and Space
Administration
U.S. Agency for International Development

INTRODUCTION

Purpose

Emergency Support Function (ESF) #9 – Search and Rescue (SAR) rapidly deploys components of the Federal SAR Response System to provide specialized lifesaving assistance to State, tribal, and local authorities when activated for incidents or potential incidents requiring a coordinated Federal response.

Scope

The Federal SAR Response System is composed of the primary agencies that provide specialized SAR operations during incidents or potential incidents requiring a coordinated Federal response. This includes:

- Structural Collapse (Urban) Search and Rescue (US&R)
- Waterborne Search and Rescue
- Inland/Wilderness Search and Rescue
- Aeronautical Search and Rescue

SAR services include the performance of distress monitoring, communications, location of distressed personnel, coordination, and execution of rescue operations including extrication or evacuation along with the provisioning of medical assistance and civilian services through the use of public and private resources to assist persons and property in potential or actual distress.

Structural Collapse (Urban) Search and Rescue (US&R)

Primary Agency: Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)

Operational Overview: Includes building/structural collapse SAR operations for natural disasters as well as other building collapse operations that primarily require DHS/FEMA US&R task force operations. The National US&R Response System integrates DHS/FEMA US&R task forces, Incident Support Teams (ISTs), and technical specialists.

Emergency Support Function #9 – Search and Rescue Annex

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 SAR operations and possess specialized expertise and equipment.

ISTs 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, tribal, and local government emergency managers. The ISTs are staffed by personnel from US&R task forces; Federal, State, tribal, and local government emergency response organizations; and private-sector organizations.

Technical specialists provide expertise in various US&R disciplines and are mobilized as needed.

Waterborne Search and Rescue

Primary Agency: DHS/U.S. Coast Guard (USCG)

Operational Overview: Includes waterborne SAR operations for hurricane, dam/levee failure, and other disasters that primarily require DHS/USCG air, ship, and boat force operations. The Federal waterborne SAR response integrates DHS/USCG assets in support of overall SAR operations conducted in accordance with the U.S. National Search and Rescue Plan (NSP).

DHS/USCG develops, maintains, and operates rescue facilities for the promotion of safety on, under, and over waters subject to U.S. jurisdiction and has been designated as the lead agency for waterborne (i.e., maritime) SAR under the NSP. DHS/USCG personnel are highly trained and experienced in waterborne SAR operations and possess specialized expertise, facilities, and equipment for carrying out responses to maritime distress situations. Additionally, DHS/USCG staffing at Area/District/Sector Command Centers promotes effective localized interaction, coordination, and communications with State, tribal, and local emergency managers during incidents requiring a coordinated Federal response in which waterborne SAR resource allocation is required.

Inland/Wilderness Search and Rescue

Primary Agency: Department of the Interior (DOI)/National Park Service (NPS)

Operational Overview: Includes SAR operations conducted in backcountry, remote, or undeveloped or rural or roadless areas that primarily require operations necessitating the use of specialized equipment to access these areas and may require responders traveling over land by alternate methods or by aircraft.

DOI/NPS has a congressional mandate to perform SAR and a cadre of highly trained SAR providers that are specially trained to operate in their respective areas of responsibility. NPS integrates the SAR capabilities of the U.S. Fish and Wildlife Service, U.S. Geological Survey, and other DOI components in planning for ESF #9.

Aeronautical Search and Rescue

Primary Agency: Department of Defense (DOD)/U.S. Air Force (USAF)/Air Force Rescue Coordination Center (AFRCC)

Operational Overview: Includes SAR operations conducted in aviation-related incidents and aeronautical search and rescue corresponding to the continental United States, the Virgin Islands and Puerto Rico, and other U.S. territories and possession other than Alaska and U.S. territories in the Pacific Ocean. This may require specialized SAR operations in both open and

Emergency Support Function #9 – Search and Rescue Annex

wilderness areas and in the vicinity of airports requiring the coordinated deployment of personnel and equipment. DOD/USAF maintains a Rescue Coordination Center that coordinates a cooperative network to respond to aviation-related incidents. This network is made up of DOD components, facilities, and other resources that are used in civil SAR operations to the fullest extent practicable on a noninterference basis with their primary military duties in accordance with national directives, plans, guidelines, and agreements.

Policies

Immediate SAR operations are conducted in accordance with the NSP and the U.S. National Search and Rescue Supplement (NSS) to the International Aeronautical and Maritime Search and Rescue Manual, which defines SAR responsibilities and provides guidance to the Federal agencies with civil SAR mandates.

Federal SAR response assists and augments State and local SAR capabilities in incidents requiring a coordinated Federal response or in accordance with the NSP, which defines the responsibilities and provides guidance to Federal agencies with civil SAR mandates.

In incidents requiring a coordinated Federal response and upon activation by DHS under the *National Response Framework (NRF)*, DHS/FEMA US&R task forces are considered Federal assets under the Robert T. Stafford Disaster Relief and Emergency Assistance Act and other applicable authorities.

Other State-to-State SAR resources would be requested by the affected State through the Emergency Management Assistance Compact.

Other local SAR resources would be requested by the affected locality through mutual aid and assistance agreements.

Immediate SAR operations should be conducted in accordance with the NSP and the NSS.

The National S&R Response System integrates DOD assets, DHS/USCG Rescue Coordination Centers (RCCs), and Rescue Sub-Centers (RSCs), supporting SAR operations conducted in accordance with the NSP.

Animal search and rescue services provided by animal control agencies and humane organizations will be integrated with human search and rescue operations as required.

CONCEPT OF OPERATIONS

General

Activation is dependent upon the nature and magnitude of the event, the suddenness of onset, and the existence of SAR resources in the area. If those resources (including Federal, State, tribal, and/or local resources) are or may become overwhelmed and there is a need for a coordinated Federal response, these actions will occur:

- DHS/FEMA will initiate the National US&R Response System for incidents likely to result in collapsed structures.
- DHS/USCG will initiate Federal waterborne SAR response activities for incidents likely to result in waterborne or maritime distress.

Emergency Support Function #9 – Search and Rescue Annex

- DOI/NPS will initiate Federal SAR response activities for incidents likely to result in a distress situation in inland/wilderness areas.
- DOD/USAF/AFRCC will initiate Federal SAR response activities for incidents that result in aeronautical distress.

ORGANIZATION

For incidents where DHS/FEMA is the primary agency, ESF #9 will follow the National US&R Response System, which consists of US&R task forces, ISTs, and technical specialists as defined in the Urban Search and Rescue Operations System Description.

For incidents where DHS/USCG is the primary agency, ESF #9 will follow the SAR response structure as outlined in the NSP, NSS, and the U.S. Coast Guard Addendum to the NSS. Additionally, DHS/USCG shall coordinate ESF #9 response from an agency-designated command center (Area/District/Sector) or the nearest RCC, RSC, or Joint Rescue Coordination Center (JRCC) to the affected area.

For incidents where DOI/NPS is the primary agency, ESF #9 will follow the SAR response structure as outlined in the NSP and NSS and other relevant DOI/NPS SAR procedures and SAR manuals. DOI/NPS shall coordinate ESF #9 response from one of its regional offices.

For incidents where DOD/USAF/AFRCC is the primary agency, ESF #9 will follow the SAR response structure as outlined in the NSP, NSS, and the Air Force Rescue Coordination Center Operations Instructions. DOD/USAF/AFRCC shall coordinate initial ESF #9 actions from its Rescue Coordination Center. If significant DOD resources are required and/or a Joint Task Force (JTF) is activated, the AFRCC will coordinate DOD response with the JTF.

RESPONSIBILITIES

ESF Coordinator: DHS/FEMA

Primary Agency: DHS/FEMA

DHS/FEMA serves as the primary agency for ESF #9 during structural collapse SAR operations in incidents requiring a coordinated Federal response. DHS/FEMA 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 *NRF*. DHS/FEMA reimburses for authorized deployments to Stafford Act declaration sites. DHS/FEMA does not have the authority or funding to reimburse such activities absent a Stafford declaration. Non-Stafford deployments are reimbursed by the Federal department or agency requesting US&R assistance in accordance with provisions contained in the Financial Management Support Annex.

For incidents in which it is the primary agency, DHS/FEMA:

- Serves as headquarters-level ESF #9 coordinator during structural collapse SAR operations.
- Establishes, maintains, and manages the National US&R Response System in incidents requiring a coordinated Federal response involving structural collapse. This includes preparedness activities such as training, equipment purchase, and evaluation of operational readiness.

Emergency Support Function #9 – Search and Rescue Annex

- Dispatches one or more ISTs 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.

Primary Agency: DHS/USCG

DHS/USCG serves as the primary agency for ESF #9 during waterborne or maritime SAR operations in incidents requiring a coordinated Federal response. DHS/USCG is the recognized SAR Coordinator for the U.S. maritime SAR region.

For incidents in which it is the primary agency, DHS/USCG:

- Serves as headquarters-level ESF #9 coordinator during waterborne or maritime SAR operations.
- Provides incident reports, assessments, and situation reports.
- Facilitates resolution of any conflicting demands for waterborne or maritime distress response resources and ensures coordination between DHS/USCG and other Federal, State, tribal, and local emergency response activities, as appropriate.
- Coordinates the provisioning of additional support assets if required in response to waterborne or maritime incidents requiring a coordinated Federal response.

Primary Agency: DOI/NPS

DOI/NPS serves as the primary agency for ESF #9 during inland, backcountry, remote area SAR operations in incidents requiring a coordinated Federal response.

For incidents in which it is the primary agency, DOI/NPS:

- Serves as headquarters-level ESF #9 coordinator during inland, backcountry, remote area SAR operations when State, tribal, and local SAR resources have been exhausted.
- Provides incident reports, assessments, and situation reports.
- Facilitates resolution of any conflicting demands for land SAR response resources and ensures coordination between Federal, State, tribal, and local emergency response activities, as appropriate.

Primary Agency: DOD/USAF/AFRCC

DOD/USAF/AFRCC serves as the primary agency for ESF #9 during SAR operations for aviation-related incidents requiring a coordinated Federal response both in open and wilderness areas and in the vicinity of airports and urban areas requiring the coordinated deployment of rescue personnel and equipment. U.S. SAR coordinators are as follows:

Emergency Support Function #9 – Search and Rescue Annex

- DOD/USAF/AFRCC is the SAR coordinator for the U.S. aeronautical Search and Rescue Region (SRR) corresponding to the continental United States other than Alaska.
- DOD/U.S. Pacific Command is the SAR coordinator for the U.S. aeronautical SRR corresponding to Alaska, Hawaii, and the U.S. possessions and territories in the Pacific.

DOD maintains active, National Guard, and reserve components, facilities, and other resources that are used to support their own operations across the continental United States, Alaska, and Hawaii.

For incidents in which it is the primary agency, DOD/USAF/AFRCC:

- Serves as headquarters-level ESF #9 coordinator during aeronautical SAR operations.
- Provides incident reports, assessments, and situation reports.
- Provides SAR Command and Control experts to augment a JTF Joint Personnel Recovery Center in support of incidents requiring a coordinated Federal response.
- Facilitates resolution of any conflicting demands for aeronautical distress response resources and ensures coordination between DHS/USCG and other Federal, State, tribal, and local emergency response activities, as appropriate.

SUPPORT AGENCIES

Agency	Functions
Department of Agriculture	Forest Service <ul style="list-style-type: none">• 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.• If available, 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 <ul style="list-style-type: none">• Acquires and disseminates weather data, forecasts, and emergency information.• Provides weather information essential for efficient SAR.• Predicts pollutant movement and dispersion over time (marine and atmospheric).• Assesses areas of greatest hazard following a marine or atmospheric release.• Provides satellite services for detecting and locating persons in potential or actual distress in the wilderness, maritime, and aeronautical environments.

Emergency Support Function #9 – Search and Rescue Annex

Agency	Functions
<p>Department of Defense</p>	<p>National Geospatial-Intelligence Agency (NGA)</p> <ul style="list-style-type: none"> • Coordinates and manages the timely tasking, acquisition, analysis, and delivery of satellite imagery or imagery-derived products as directed by the primary agency. These activities and sources may involve non-DOD/NGA facilities or resources. • Provides expert analysis of imagery to determine damage levels and other elements of essential information as needed. Additionally, DOD/NGA as requested will provide technical expertise/analysis from other imagery sources if such expertise resides within DOD/NGA. • Provides mobile geospatial intelligence to support SAR field teams or other DHS/FEMA field teams as directed by the primary agency. This support includes technical experts (specifically, imagery analysts and geospatial analysts), and robust communications that can assist in more focused/directed searches and eliminate duplicate search efforts. • Provides imagery-derived and geospatial intelligence analysis in preparation for potential disasters or emergencies. • Coordinates for the release and dissemination of DOD/NGA products and/or data in accordance with applicable security classifications, licensing, copyright agreements, and limited distribution restrictions. <p>U.S. Army Corps of Engineers (USACE)</p> <ul style="list-style-type: none"> • Provides preincident training for DHS/FEMA task force/IST Structures Specialists, as well as for DOD/USACE Structures Specialists. • At the request of DHS, deploys trained Structures Specialists and Technical Search Specialist teams to supplement the US&R task forces and ISTs. • Assists the IST 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.
<p>Department of Health and Human Services</p>	<p>National Disaster Medical System (NDMS)</p> <ul style="list-style-type: none"> • Provides operational support to US&R task force medical teams and IST 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 NDMS 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.
<p>Department of Homeland Security</p>	<p>Customs and Border Protection</p> <ul style="list-style-type: none"> • Maintains Border Patrol Search, Trauma, and Rescue teams, which are highly specialized units capable of responding to emergency SAR situations anywhere in the United States. • Maintains air and marine assets to support SAR transportation operations.
<p>Department of Justice</p>	<ul style="list-style-type: none"> • Provides assistance with the development and maintenance of tort liability claims coverage for US&R task force and IST personnel engaged in training, mobilization, deployment, and field operations. • Provides Federal Tort Claims Act guidance and claims resolution services in support of SAR training activities and field deployments.

Emergency Support Function #9 – Search and Rescue Annex

Agency	Functions
<p>Department of Labor</p>	<ul style="list-style-type: none"> • The Department of Labor Employment Standards Administration, through its Federal Employees' Compensation Program, provides workers compensation guidance, claims resolution, and coverage for US&R task force and IST personnel while they are engaged in training, mobilization, deployment, and field operations. • The Occupational Safety and Health Administration implements procedures contained in the Worker Safety and Health Support Annex to provide onsite technical assistance, including the evaluation of SAR team exposure to hazardous substances and the dangers of structural collapse. • The Mine Safety and Health Administration assists with SAR and can provide mine rescue teams, mobile command centers, seismic location systems, TV probe systems, gas sampling analysis, and robot explorers.
<p>National Aeronautics and Space Administration</p>	<ul style="list-style-type: none"> • Provides personnel in appropriate technical disciplines, such as its Disaster Assistance and Rescue Team, to support US&R task forces and ISTs. • Provides and maintains training sites for use of US&R task forces and IST 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 SAR technologies. • Provides temporary use of facilities for mobilization centers and staging areas for SAR assets.
<p>U.S. Agency for International Development</p>	<p>Provides assistance with the identification of available international SAR teams and their integration into National US&R Response System operations as requested.</p>

ESF Coordinator:

Environmental Protection Agency

Primary Agencies:

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 when activated.

Scope

ESF #10 provides for a coordinated Federal response to actual or potential oil and hazardous materials incidents. Response to oil and hazardous materials incidents is generally carried out in accordance with the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), 40 CFR Part 300. For purposes of this annex, “hazardous materials” is a general term intended to mean hazardous substances, pollutants, and contaminants as defined in the NCP. Hazardous materials include chemical, biological, and radiological substances, whether accidentally or intentionally released.

The scope of ESF #10 includes the appropriate actions to prepare for, respond to, and recover from a threat to public health, welfare, or the environment caused by actual or potential oil and hazardous materials incidents. Appropriate general actions can include, but are not limited to: actions to prevent, minimize, or mitigate a release; efforts to detect and assess the extent of contamination (including sampling and analysis and environmental monitoring); actions to stabilize the release and prevent the spread of contamination; analysis of options for environmental cleanup and waste disposition; implementation of environmental cleanup; and storage, treatment, and disposal of oil and hazardous materials. Examples of specific actions may include: sampling a drinking water supply to determine if there has been intentional contamination; 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 mitigate its effects; decontaminating buildings and structures; using drainage controls, fences, warning signs, or other security or site-control precautions; removing highly contaminated soils from drainage areas; removing drums, barrels, tanks, or other bulk containers that contain oil or hazardous materials; and other measures as deemed necessary.

Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

In addition, ESF #10 may be used under appropriate authorities to respond to actual or threatened releases of materials not typically responded to under the NCP but that 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, monitoring of debris disposal, water quality monitoring and protection, air quality sampling and monitoring, and protection of natural resources.

ESF #10 is applicable to all Federal departments and agencies with responsibilities and assets to support State, tribal, and local response to actual or potential oil or hazardous materials incidents.

Policies

The NCP is an operational supplement to the *National Response Framework (NRF)*. It provides more detailed information regarding the roles and responsibilities, organizational structures, and procedures described in ESF #10.

The NCP is authorized by the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) and the Federal Water Pollution Control Act (FWPCA) as amended by section 311 of the Clean Water Act and the Oil Pollution Act of 1990 (OPA 90).

As described in the *NRF* core document, some Federal responses do not require coordination by the Department of Homeland Security (DHS) and are undertaken by other Federal departments and agencies consistent with their authorities. Federal responses to oil and hazardous materials incidents under the authorities of CERCLA and the FWPCA that do not warrant DHS coordination are conducted under the NCP. The Environmental Protection Agency (EPA) or DHS/U.S. Coast Guard (USCG) may also request DHS to activate other *NRF* elements for such incidents, if needed, while still retaining overall leadership for the Federal response.

ESF #10 may be activated by DHS for incidents requiring a more robust coordinated Federal response, such as:

- A major disaster or emergency under the Stafford Act;
- A Federal-to-Federal support request (e.g., a Federal agency, such as the Department of Health and Human Services or Department of Agriculture (USDA), requests support from ESF #10 and provides funding for the response through the mechanisms described in the Financial Management Support Annex); or
- An actual or potential oil discharge or hazardous materials release to which EPA and/or DHS/USCG respond under CERCLA and/or FWPCA authorities and funding, for which DHS determines it should lead the Federal response.

During a Stafford Act incident, Stafford Act funding will be used to address oil and hazardous materials incidents that are not at pre-existing sites under CERCLA or FWPCA, for which Federal assistance is requested.

When ESF #10 is activated, the NCP typically serves as the basis for actions taken in support of the *NRF*. NCP structures and response mechanisms, discussed further below, remain in place when ESF #10 is activated, but coordinate with *NRF* mechanisms as described in the Concept of Operations section. During Stafford Act responses, some procedures in the NCP may be streamlined or may not apply. 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 *NRF* 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.

The NCP describes the National Response System (NRS), which 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 Center, National Response Team (NRT), Regional Response Teams (RRTs), Federal On-Scene Coordinators (OSCs), Regional and 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 National Response Center provides notifications of such reports to the National Operations Center (NOC) to promote situational awareness.

The NRT is the national-level organization for coordinating Federal interagency activities under the NCP. The NRT is comprised of national representatives of the primary and support agencies for ESF #10. The NRT carries out national preparedness and response planning for oil and hazardous materials incidents and works in coordination with the ESF Leaders Group regarding ESF #10 preparedness with other *NRF* elements. On a day-to-day basis, EPA serves as Chair and DHS/USCG as Vice Chair of the NRT. For an incident-specific NRT activation, the NRT Chair would be the agency providing the Federal OSC. The NRT provides support, assistance, and advice to the Federal OSC and RRT as requested. (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 and Area Contingency Plans. In general, EPA is the lead for incidents in the inland zone and DHS/USCG is the lead for incidents in the coastal zone.)

Thirteen RRTs coordinate NCP interagency activities at the Federal regional level. The RRTs are comprised of regional representatives of the primary and support agencies for ESF #10 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 Federal OSC. The RRTs are coordinating bodies. As needed during a response, RRTs convene to address interagency response issues and provide assistance and advice to the Federal OSC(s), including resource acquisition support as requested.

At the tactical, on-scene Incident Command Post (ICP) level, the Federal OSC carries out his/her responsibilities under the NCP to coordinate, integrate, and manage overall oil and hazardous materials response efforts in accordance with existing delegations of authority. 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. DOE and DOD are generally responsible for hazardous substance emergencies involving their facilities, vessels, materials, and weapons, including transportation-related incidents. Under 40 CFR 300.120, for those hazardous substance emergencies for which DOE or DOD provides the OSC, the OSC is responsible for taking all response actions (both onsite and offsite). Other Federal agencies provide OSCs for hazardous substance removal actions that are not emergencies.

Federal OSCs have independent authority under the NCP to respond to an oil or hazardous materials incident. Some oil and hazardous materials incident responses (including assessments), therefore, may be initiated under the NCP and CERCLA and/or OPA 90 funding, then transition to ESF #10 and Stafford Act funding or funding from another Federal agency under the *NRF* Federal-to-Federal support provisions when ESF #10 is activated under those authorities.

The NCP provides that EPA or DHS/USCG may classify an oil discharge as a Spill of National Significance (SONS). (See 40 CFR 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). Under the *NRF*, EPA and DHS/USCG maintain authority for classifying a discharge as a SONS for purposes of the NCP. DHS may or may not decide that it should coordinate the Federal response to a SONS. If not, EPA or DHS/USCG lead the Federal response in accordance with the NCP. For a SONS for which DHS coordinates the overall Federal response, ESF #10 is activated and the EPA senior Agency official or DHS/USCG National Incident Commander may also assume a role within the Joint Field Office (JFO) Unified Coordination Group.

Primary Agency Determination: EPA or DHS/USCG serves as the primary agency for ESF #10 actions, depending upon whether the incident affects the inland or coastal zone (as defined in Regional and Area Contingency Plans). 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. Where multiple EPA regions are involved, if there is a need for EPA to identify a lead region for the ESF #10 response, EPA Headquarters will designate a lead in consultation with the affected regions.

Relationship to Terrorism Incident Law Enforcement and Investigation Annex: For a terrorist incident involving oil or hazardous materials (such as a weapons of mass destruction (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 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 Federal agency with jurisdiction (EPA or DHS/USCG) assumes primary Federal responsibility for the Federal criminal investigation in accordance with its authorities and applicable laws and regulations. Where necessary, EPA or DHS/USCG assigns an official as the Senior Federal Law Enforcement Official in the JFO.

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. 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

In conjunction with the affected State(s), 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, tribal, 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. This includes documentation to support financial transfers between primary and support agencies that are necessary to conduct ESF #10 activities.

ORGANIZATION

Headquarters-Level Response Support Structure

For incidents where EPA is a 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 Incident Management and Preparedness, DHS/USCG, serves as the lead for ESF #10.

The primary agency represents ESF #10 and provides ESF #10 representatives, as needed, to the headquarters components of the *NRFC*, including the following:

- Domestic Readiness Group (DRG)
- National Response Coordination Center (NRCC)
- National Operations Center (NOC)

The primary agency may request support for these functions from the other ESF #10 partner agencies as appropriate. The primary agency provides administrative support to ESF #10 as appropriate.

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 #10 support agencies have representatives available immediately by telephone on a 24-hour basis.

The primary agency may establish management objectives for ESF #10, consistent with the broader management objectives from the NRCC.

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 Incident Management and Preparedness.

While incident situation reports generally flow to the NOC from the JFO, the primary agency EOC also keeps the NOC apprised of incident management efforts.

Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

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 Incident Management Planning Team (IMPT). 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 coordination between the NRT and DRG and/or IMPT, depending on the needs of the incident. The NRT may be called upon to provide subject-matter expertise in oil/hazardous materials responses to the DRG and/or IMPT. The NRT may also be called upon to provide input to the Homeland Security Council or other White House entities through the DRG.

Regional-Level Response Support 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 the primary agency. For incidents affecting both the inland and coastal zone, EPA is the regional lead and DHS/USCG is the deputy. The regional lead may be transferred from one agency to the other during a response if circumstances dictate. (Note: Although the term “regional” is generally used for purposes of this annex, EPA has regional offices and DHS/USCG has district offices.)

The regional-level ESF #10 is composed of regional or other representatives of those Federal agencies listed in the “Responsibilities” section of this annex. The primary agency represents ESF #10 and provides ESF #10 representatives, as needed, to the regional and on-scene components of the *NRF*, including the following:

- Regional Response Coordination Center (RRCC)
- Joint Field Office (JFO)
- Joint Information Center (JIC)
- Incident Command Post (ICP)

The primary agency may request support for these functions from the other ESF #10 partner agencies as appropriate.

At the JFO level, ESF #10 typically provides a representative(s) to coordinate ESF #10 mission assignments and provide information to the JFO on ESF #10 on-scene activities. In addition, for a chemical, biological, or radiological WMD incident, ESF #10 may also provide, as needed, a Technical Specialist(s) to provide scientific and technical expertise and to coordinate scientific and technical issues with other responding agencies and with other ESF #10 headquarters, regional, and on-scene response elements. For incidents in which ESF #10 plays a major role, the primary agency may also provide a senior official to participate in the JFO Unified Coordination Group.

The regional lead for ESF #10, in coordination with the OSC, consults the RRT for support, 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 joins or establishes 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.

During 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, DHS/USCG may establish an Area Command structure, known as a National Incident Command (NIC). If DHS activates a JFO for a SONS in support of the NIC, it coordinates its activities with the JFO, and the JFO would likely collocate with the NIC.

The regional lead for ESF #10 ensures ESF #10 response activities are fully coordinated with the Federal Bureau of Investigation (FBI) Joint Operations Center (JOC), when established for terrorist events, and provides ESF #10 representatives to the JOC as needed.

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, tribal, and local response activities to make the best use of response resources and to avoid gaps or overlaps in response actions.

The Federal OSC generally joins an ICP already established by local authorities or establishes an ICP at the site in accordance with the local Area or Regional Contingency Plan, and conducts activities from that ICP under a Unified Command. The agency providing the OSC provides additional representatives to the ICP as appropriate. The OSC, however, maintains the NCP authority to direct oil and hazardous materials response efforts and coordinate all other efforts at the scene of a discharge or release, in accordance with existing delegations of authority.

All OSCs involved in implementing ESF #10 actions maintain close coordination with the regional ESF #10 lead to ensure the response is consistent with national and ESF #10 priorities.

Public communications generally are coordinated through ESF #15 – External Affairs in consultation with the JFO and the JIC. 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. At the headquarters level, 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 headquarters EOC is ready to support Federal response activities and to coordinate with the NOC.
- Establish communications with the affected regional ESF #10 elements.
- Coordinate with other national-level ESFs, as appropriate.

At 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.

Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

- Ensure that the primary agency regional EOC is ready to support Federal response activities and to coordinate with the primary agency headquarters EOC and/or ESF #10 at the NRCC as needed.
- Deploy representatives to response teams.
- Establish communications with the RRCC and/or State EOC (according to regional plans) to obtain initial damage estimates.
- Identify initial resource requirements for all OSCs (both EPA and DHS/USCG) when appropriate.
- As appropriate, coordinate with ESF #10 elements in nonimpacted regions/districts to obtain personnel, equipment, and other backup support.
- 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 (e.g., trajectory and analysis); 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 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. Headquarters ESF #10 actions may include communicating management objectives to regional ESF #10 elements. The regional ESF #10 actions may include:

- Receiving damage information from reconnaissance teams, other ESFs, and Federal, State, tribal, and local agencies.
- Identifying ESF support needs and establishing response priorities in coordination with Federal, State, tribal, and local agencies.
- Validating priorities and identifying the resources required to meet the needs.
- Working with State, tribal, and local governments, other Federal agencies, and the private sector to maximize use of available regional assets and identify resources required from outside the region.
- Initiating actions to locate and move resources into the incident area.
- Maintaining close coordination with the JFO to share information and ensure effective response to requests for assistance.
- Continuing to coordinate on-scene response operations at the ICP as described under "Policies" above.

Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

Because of the potential need for ESF #10 to respond to numerous simultaneous events, including terrorism incidents, OSCs, as time permits, coordinate all significant actions with the ESF #10 regional lead. Significant actions are considered those that relate to competition for and commitment of key interagency resources not under the OSC's control, recommendations to State officials as to protective actions, or actions that could impact other regional or national 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

Agency	Functions
Environmental Protection Agency	<p>For incidents for which EPA is the primary agency:</p> <ul style="list-style-type: none">• Maintains close coordination between EPA Headquarters and the affected regional office(s), DHS/USCG (as appropriate), the DRG, the NRCC, other ESFs, and the NRT.• Provides damage reports, assessments, and situation reports to support ESF #5 – Emergency Management.• Facilitates resolution of conflicting demands for hazardous materials response resources and ensures coordination between NRT and DRG/IMPT 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, dispose 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. <p>In general:</p> <ul style="list-style-type: none">• 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, National Decontamination 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, including regarding criminal cases, in support of responders.• Manages the National Counter-Terrorism Evidence Response Team, composed of investigative and scientific personnel to provide investigative, scientific, and forensic technical advice, assistance, and other threat assessment in support of responders.

Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

Agency	Functions
<p>Department of Homeland Security</p>	<p>U.S. Coast Guard</p> <p>For incidents for which DHS/USCG is the primary agency:</p> <ul style="list-style-type: none"> • Maintains close coordination between DHS/USCG Headquarters and the affected Area and District office(s), the EPA (as appropriate), the DRG, 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 DRG/IMPT activities, and RRT and JFO activities, as appropriate. Coordinates (through headquarters) the provision of personnel and logistical 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, dispose 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). <p>In general:</p> <ul style="list-style-type: none"> • 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 the National Strike Force Coordination Center, Public Information Assist Team, and three strike teams located on the Pacific, Atlantic, and Gulf coasts, to provide response capabilities, technical advice, documentation and support assistance, communications, and incident management support for response activities. • 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	Functions
<p>Department of Agriculture</p>	<ul style="list-style-type: none"> • Measures, evaluates, and monitors the impact of the emergency incident on natural resources under USDA's jurisdiction, primarily the national forests. • Assists in developing protective measures and damage assessments. • Provides technical assistance in the disposition of livestock and poultry contaminated with hazardous materials. (ESF #11 – Agriculture and Natural Resources maintains the lead for disposition of disease-contaminated livestock and poultry (e.g., avian flu, naturally occurring anthrax, foot-and-mouth disease).) • If available, provides technical assistance and logistical support. Resources will be assigned commensurate with each unit's level of training and the adequacy and availability of equipment. USDA/Forest Service support is obtained through ESF #4 – Firefighting. Other USDA agency support is obtained through contacting ESF #11.
<p>Department of Commerce</p>	<p>National Oceanic and Atmospheric Administration (NOAA)</p> <ul style="list-style-type: none"> • 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 fate, effects, and transport as a function of 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.
<p>Department of Defense</p>	<p>Provides OSC and directs response actions for releases of hazardous materials from its vessels, facilities, vehicles, munitions, and weapons.</p> <p>Provides Defense Support of Civil Authorities (DSCA) in response to requests for assistance during domestic incidents. With the exception of 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 and Immediate Response Authority are provided in the <i>NRF</i> core document.</p> <p>U.S. Army Corps of Engineers: Provides response and recovery assistance to incidents involving contaminated debris, including chemical, biological, radiological, and nuclear contamination. The scope of actions may include waste sampling, classification, packaging, transportation, treatment, demolition, and disposal.</p> <p>Navy Supervisor of Salvage: In accordance with its statutory authorities, provides technical, operational, and emergency support in the ocean engineering disciplines of marine salvage, pollution abatement, and diving services.</p>

Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

Agency	Functions
<p>Department of Energy</p>	<ul style="list-style-type: none"> • 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. • DOE radiological support provided to local, State, and other Federal agencies is provided primarily by the DOE/National Nuclear Security Administration (NNSA). DOE actions to respond to releases from its own facilities or materials may be provided by DOE/NNSA or another DOE component.
<p>Department of Health and Human Services</p>	<p>Centers for Disease Control and Prevention/Agency for Toxic Substances and Disease Registry</p> <ul style="list-style-type: none"> • 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 clinical testing. • Develops, maintains, and provides information on the health effects of toxic substances. <p>Food and Drug Administration: Works in cooperation with EPA and USDA to ensure the proper disposal of contaminated food or animal feed.</p>
<p>Department of Homeland Security</p>	<p>Customs and Border Protection (CBP): Where hazardous materials are transported by persons, cargo, mail, or conveyances arriving from outside the United States, 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.</p> <p>Federal Emergency Management Agency: Provides coordination support during ESF activations, as well as recovery and mitigation assistance during federally declared disasters or emergencies.</p> <p>Office of Infrastructure Protection</p> <ul style="list-style-type: none"> • 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. • 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. • Chemical Security Compliance Division inspects high-risk chemical facilities at regular intervals, and may inspect a facility at any time, with 24 hours notice, based on new information or security concerns. <p>Science and Technology Directorate</p> <ul style="list-style-type: none"> • Provides coordination of Federal science and technology resources. • Through the IMAAC, provides predictions of hazards associated with atmospheric releases for use in emergency response when activated for incidents requiring a coordinated Federal response.

Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

Agency	Functions
<p>Department of the Interior</p>	<ul style="list-style-type: none"> • 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 habitats, 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. • Provides information from response research. • For spills involving Outer Continental Shelf facilities, assists in source identification, oversees spill abatement, and approves resumption of operations.
<p>Department of Justice</p>	<p>Provides expert advice on complex legal issues, particularly regarding potential criminal cases.</p> <p>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. Generally acting through the FBI, the Attorney General, in cooperation with other Federal departments and agencies engaged in activities to protect 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.</p>
<p>Department of Labor (DOL)</p>	<p>Mine Safety and Health Administration: Provides mobile laboratory equipment and technical expertise for gas sampling and analysis.</p> <p>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 and under ESF #10 through a request by the primary agency.</p>
<p>Department of State</p>	<p>Facilitates an integrated response between nations when a discharge or release crosses or threatens to cross international boundaries or involves foreign flag vessels.</p>
<p>Department of Transportation</p>	<ul style="list-style-type: none"> • Provides expertise on all modes of transporting oil and hazardous materials, including information on the requirements for packaging, handling, and transporting regulated hazardous materials. • Issues Special Permits to facilitate movement of hazardous materials, hazardous waste, and hazardous debris in support of response and recovery efforts.
<p>General Services Administration</p>	<p>Provides resource support for ESF #10 requirements as requested to meet the needs of the affected population.</p>

Emergency Support Function #10 – Oil and Hazardous Materials Response Annex

Agency	Functions
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; or provides support to DHS as the coordinating agency for incidents requiring a coordinated Federal response, 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.

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 Labor
Department of State
Department of Transportation
Environmental Protection Agency
General Services Administration
National Archives and Records
Administration
U.S. Postal Service
Advisory Council on Historic Preservation
American Red Cross
Heritage Emergency National Task Force

INTRODUCTION

Purpose

Emergency Support Function (ESF) #11 – Agriculture and Natural Resources supports State, tribal, and local authorities and other Federal agency efforts to provide nutrition assistance; control and eradicate, as appropriate, any outbreak of a highly contagious or economically devastating animal/zoonotic (i.e., transmitted between animals and people) disease, or any outbreak of an economically devastating plant pest or disease; ensure the safety and security of the commercial food supply; protect natural and cultural resources and historic properties (NCH) resources; and provide for the safety and well-being of household pets during an emergency response or evacuation situation. ESF #11 is activated by the Secretary of Homeland Security for incidents requiring a coordinated Federal response and the availability of support for one or more of these roles/functions.

Scope

ESF #11 includes five primary functions:

- **Providing nutrition assistance:** Includes working with State agencies to determine nutrition assistance needs, obtain appropriate food supplies, arrange for delivery of the supplies, and authorize the Disaster Food Stamp Program. These efforts are coordinated by the Department of Agriculture (USDA), Food and Nutrition Service (FNS).
- **Responding to animal and plant diseases and pests:** Includes implementing an integrated Federal, State, tribal, and local response to an outbreak of a highly contagious or economically devastating animal/zoonotic disease, or an outbreak of a harmful or economically significant plant pest or disease. ESF #11 ensures, in coordination with ESF #8 – Public Health and Medical Services, that animal/veterinary issues in natural disasters are supported. These efforts are coordinated by USDA’s Animal and Plant Health Inspection Service (APHIS).

Emergency Support Function #11 – Agriculture and Natural Resources Annex

- **Ensuring the safety and security of the commercial food supply:** Includes the execution of routine food safety inspections and other services to ensure the safety of food products that enter commerce. This 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. These efforts are coordinated by USDA’s Food Safety and Inspection Service (FSIS).
- **Protecting NCH resources:** Includes appropriate response actions to preserve, conserve, rehabilitate, recover, and restore NCH resources. This includes providing postevent baseline assessments of damages and providing technical assistance and resources for assessing impacts of response and recovery activities to NCH resources. These efforts are coordinated by the Department of the Interior (DOI).
- **Providing for the safety and well-being of household pets:** Supports the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) together with ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services; ESF #8; ESF #9 – Search and Rescue; and ESF #14 – Long-Term Community Recovery to ensure an integrated response that provides for the safety and well-being of household pets. The ESF #11 effort is coordinated by USDA/APHIS.

Policies

<p>General</p>	<ul style="list-style-type: none"> • ESF #11 is activated by DHS/FEMA upon notification of a potential or actual incident that requires a coordinated Federal response and support to help ensure one or more of the following: the availability and delivery of food products; food safety; appropriate response to an animal or plant disease or pest; the protection of natural and cultural resources and historic properties; and/or the safety and well-being of household pets. • Actions initiated under ESF #11 are coordinated and conducted cooperatively with State, tribal, and local incident management officials and with private entities, in coordination with the Joint Field Office (JFO) Unified Coordination Group, the Regional Response Coordination Center (RRCC), and the 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 ESF #11 agency for the incident.
<p>Nutrition Assistance Policies</p>	<p>USDA/FNS</p> <ul style="list-style-type: none"> • Food supplies secured and delivered under ESF #11 are suitable either for household distribution or for congregate meal service as appropriate for the incident. • 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 agencies responsible for ESF #6 that are 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.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

<p>Animal and Plant Disease and Pest Response Policies</p>	<p>USDA/APHIS</p> <ul style="list-style-type: none"> • Animal and plant disease and pest responses are conducted in collaboration and cooperation with State authorities and private industries to ensure continued human nutrition and animal, plant, and environmental security, and to support the American economy and trade. • 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. • In connection with an emergency in which a pest or disease of livestock threatens any segment of agricultural production in the United States, the Secretary of Agriculture (with concurrence from the Office of Management and Budget) may transfer from other appropriations or funds available to the agencies or corporations of USDA such funds as the Secretary determines are necessary for the arrest, control, eradication, or prevention of the spread of the pest or disease of livestock and for related expenses including indemnity for producers. • In the event of a plant health emergency, the Secretary may declare an extraordinary emergency and may also elect to provide compensation for economic losses incurred as a result of actions taken under the declaration of extraordinary emergency. • Under a declaration of extraordinary emergency, the Secretary of Agriculture may use Federal authorities to take action within a State if the affected State is unable to take appropriate action to control and eradicate the disease or pest. • Actions taken during an animal or plant emergency are guided by and coordinated with State, tribal, and local emergency preparedness and response officials, homeland security officials, and existing USDA internal policies and procedures. In responding to an emergency that requires a coordinated response through the <i>National Response Framework</i>, APHIS coordinates with agencies affiliated with appropriate ESFs and other annexes, including the coordinating agency for the Worker Safety and Health Support Annex, to ensure appropriate measures are in place to protect the health and safety of all workers, including volunteers.
<p>Commercial Food Supply Safety and Security Policies</p>	<p>USDA/FSIS</p> <p>Actions are guided by and coordinated with State, tribal, and local emergency preparedness and response officials, homeland security officials, and existing USDA internal policies and procedures.</p>
<p>NCH Resources Protection Policies</p>	<p>DOI</p> <ul style="list-style-type: none"> • DOI is the primary agency for the NCH component of ESF #11. • Actions initiated under ESF #11 to protect, preserve, conserve, rehabilitate, recover, and restore NCH resources are guided by the existing internal policies and procedures of the agencies providing support for the incident. • The organizations providing support for each incident coordinate 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. • Each support agency is responsible for managing its respective assets and resources after receiving direction from the primary agency.

<p>Household Pets Response Policies</p>	<p>USDA/APHIS</p> <ul style="list-style-type: none"> • Animal evacuation and sheltering should be conducted in conjunction with human evacuation and sheltering efforts. Animals should be sheltered near their owners to the extent possible. Owners should be expected to provide food, water, husbandry, and exercise for their pets during the time they are in emergency shelters. • Businesses where animals are integral to operations (e.g., pet shops and veterinary hospitals) should be encouraged to have contingency plans in place for those animals in the event of a disaster or emergency.
--	--

CONCEPT OF OPERATIONS

General

USDA, as the coordinator for ESF #11, organizes the ESF staff and support agencies based upon the five core functional areas described in the succeeding paragraphs and 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 requiring a coordinated Federal response.

ESF #11 (USDA/FNS) identifies, secures, and arranges for the transportation of food and/or the provision of food stamp benefits to affected areas and supports DHS/FEMA Mass Care in providing food for shelters and other mass feeding sites.

ESF #11 (USDA/APHIS) provides for an integrated Federal, State, tribal, and local response to an outbreak of a highly contagious or economically devastating animal/zoonotic disease, or an outbreak of a harmful or economically significant plant pest or disease deemed of Federal regulatory significance.

ESF #11 (USDA/FSIS) ensures the safety and security of the Nation’s commercial supply of food (e.g., meat, poultry, and egg products) for incidents requiring a coordinated Federal response, and mitigates the effect of the incident(s) on all affected parts of the U.S. population and environment.

ESF #11, through 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, preservation, conservation, rehabilitation, recovery, and restoration of NCH resources through all phases of an incident requiring a coordinated Federal response.

ESF #11 (USDA/APHIS) supports DHS/FEMA together with ESF #6, ESF #8, ESF #9, and ESF #14 to ensure an integrated response that provides for the safety and well-being of household pets during natural disasters and other emergency events resulting in mass displacement of civilian populations.

Table 1. ESF #11 Functional Categories and Responsibilities

Functional Category	ESF Primary Agency	ESF Responsibilities
Nutrition Assistance	USDA/FNS	<ul style="list-style-type: none"> • Determines nutritional assistance needs. • Obtains appropriate food supplies. • Arranges transportation for food supplies. • Authorizes Disaster Food Stamp Program.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Functional Category	ESF Primary Agency	ESF Responsibilities
Animal and Plant Disease and Pest Response	USDA/APHIS	<ul style="list-style-type: none"> • Implements an integrated national-level response to an outbreak of an economically devastating or highly contagious animal/zoonotic disease or an outbreak of a harmful or economically significant plant pest or disease. • Coordinates veterinary and wildlife services in affected areas. • Coordinates with ESF #8 on animal/veterinary issues in disease situations and in other situations that develop during emergencies and natural disasters. <p>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. Activities are conducted within agency capabilities.</p>
Commercial Food Supply Safety and Security	USDA/FSIS	<ul style="list-style-type: none"> • Performs inspection and verification of meat, poultry, and egg products in affected areas to ensure safe and wholesome products enter commerce. • Conducts foodborne disease surveillance. • Coordinates recall and tracing of adulterated products. • Coordinates disposal of contaminated food products. • Provides inspectors and laboratory services to affected areas.
NCH Resources Protection	DOI	<ul style="list-style-type: none"> • Coordinates NCH resources identification and vulnerability assessments. • Facilitates development and application of protection measures and strategies. • Assists in emergency compliance with relevant Federal environmental laws during emergency response activities, such as emergency permits/consultation for natural resources use or consumption. • Manages, monitors, and assists in or conducts response and recovery actions to minimize damage to NCH resources. • Coordinates with ESFs #3 – Public Works and Engineering and #10 – Oil and Hazardous Materials Response on the removal of debris affecting NCH resources. • Coordinates 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. • Shares best practices and assists in development of programmatic approaches to address and expedite NCH-related requirements for all Federal actions/initiatives taken to respond to or recover from an incident requiring a coordinated Federal response. • Provides assistance and expertise in addressing impacts to properties of traditional religious and cultural importance. • Provides up-to-date geospatial data related to impacted NCH resources, and develops and provides standard operating procedures for collecting NCH digital data, conducting GIS analyses, and disseminating geospatial products related to NCH resources, such as maps. • Provides Incident Management Teams to assist in NCH resource response and recovery actions.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Functional Category	ESF Primary Agency	ESF Responsibilities
Safety and Well-Being of Household Pets	USDA/APHIS	<ul style="list-style-type: none">• Supports DHS/FEMA together with ESF #6, ESF #8, ESF #9, and ESF #14 to ensure an integrated response that provides for the safety and well-being of household pets during natural disasters and other emergency events resulting in mass displacement of civilian populations.• Provides technical support and subject-matter expertise regarding the safety and well-being of household pets.• Conducts critical needs assessments for household pets.• Expedites requests for resources to assist in evacuating and sheltering household pets.

ORGANIZATION

Headquarters-Level Response Structure

The headquarters ESF operates under the direction of the USDA coordinator. When the assistance needed involves NCH resources protection, DOI provides 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 the FNS Disaster Task Force.

For animal and plant disease and pest response, APHIS assumes primary responsibility.

For incidents involving the well-being of household pets, APHIS leads ESF #11's efforts as part of a multi-ESF approach and in coordination with Federal agencies, State agencies, and nongovernmental organizations.

For an incident involving the safety and security of the commercial food supply, FSIS assumes primary responsibility.

For an incident involving NCH resources protection, the DOI Office of Environmental Policy and Compliance assumes 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

At the regional level, 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 Unified Coordination Group. ESF #11 will have staff on duty at the JFO on a 24-hour basis, as needed, for the duration of the emergency response period. When ESF #11 assistance may involve only NCH resources protection, DOI provides this regional function until the NCH coordinator for the incident is determined.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

For nutrition assistance, the FNS Regional Disaster Coordinator is the point of contact and represents ESF #11 in its dealings with the Unified Coordination Group.

For incidents involving animal and plant disease and pest response, and the safety and well-being of household pets, the appropriate APHIS ESF #11 regional coordinator coordinates overall local and regional response operations and ensures appropriate resources are provided to support the RRCC and JFO.

For an incident involving the safety and security of the commercial food supply, the FSIS 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 Unified Coordination Group in the affected area.

For assistance in the protection of NCH resources, the DOI Regional Environmental Officer is the initial point of contact within the RRCC and represents ESF #11 in dealing with the Federal Coordinating Officer or Federal Resource Coordinator.

ACTIONS

Initial Actions

The ESF #11 coordinator provides information to the Domestic Readiness Group (DRG) 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.

Functional Category	Initial Actions
Nutrition Assistance	<ul style="list-style-type: none">• Determines the critical needs of the affected population in terms of numbers of people, their location, and usable food preparation facilities for congregate feeding.• Identifies and locates geographically available food resources, transportation, equipment, storage, and distribution facilities.• 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.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Functional Category	Initial Actions
Animal and Plant Disease and Pest Response	<ul style="list-style-type: none"> • 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 or pest release is reported, animal or plant health authorities immediately notify USDA's Office of Inspector General (OIG), which in turn contacts the National Operations Center. As the situation warrants, the USDA OIG notifies and coordinates with the appropriate law enforcement agencies at the local, tribal, State, and Federal levels. • 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 (DOJ)/Federal Bureau of Investigation (FBI). The USDA OIG, other appropriate Federal law enforcement agencies, and the DOJ/FBI conduct a joint criminal investigation. • Within agency capabilities, APHIS provides appropriate services to include inspection, quarantine enforcement, 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. • APHIS, under the Plant Protection Act and the Animal Health Protection Act, enforces interstate quarantines and coordinates with the States to ensure the establishment of appropriate intrastate quarantines.
Commercial Food Supply Safety and Security	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Determines the critical needs and resources available to preserve, conserve, rehabilitate, recover, and restore NCH resources, in consultation with Federal, State, tribal, local, and private entities, and the Heritage Emergency National Task Force. Based on this determination, DOI, USDA, and Department of Commerce/National Oceanic and Atmospheric Administration consult to determine which agency will provide staff for the incident. • Coordinates provision of necessary assistance within the affected area.
Safety and Well-Being of Household Pets	<ul style="list-style-type: none"> • Conducts situation assessments to determine the critical needs of household pets. • Supports DHS/FEMA by identifying and managing available resources to support the evacuation and shelter of household pets.

Ongoing Actions

Functional Category	Ongoing Actions
Nutrition Assistance	<ul style="list-style-type: none"> • Expedites requests, if any, for emergency issuance of food stamp benefits once access to commercial food channels is restored. • Establishes logistical links with long-term congregate meal services. • Assesses need for and effects replacement of food products transferred from existing FNS nutrition assistance program inventories.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Functional Category	Ongoing Actions
Animal and Plant Disease and Pest Response	<ul style="list-style-type: none"> • Provides information and recommendations to the DRG for incidents involving an outbreak of a highly contagious animal/zoonotic disease or an outbreak of a harmful or economically significant plant pest or disease, either of which could require quarantine actions or impact intrastate/interstate commerce. • Coordinates assignment of 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.
Commercial Food Supply Safety and Security	<ul style="list-style-type: none"> • Inspects and verifies food safety aspects of 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 measures such as product recall, seizure, and detention and/or closures of regulated establishments.
NCH Resources Protection	<ul style="list-style-type: none"> • Provides scientific/technical advice, information, and assistance to help prevent or minimize injury to NCH resources. • Provides scientific/technical advice, information, and assistance for long-term recovery, restoration, preservation, protection, conservation, stabilization, or rehabilitation of NCH resources. • Utilizes the national network of information and expertise on cultural and historic resources represented by the Heritage Emergency National Task Force. • Utilizes the national network of resources represented by the National Archives and Records Administration's partnership with the Council of State Archivists on issues relating to government records and historical documents. • Establishes logistical and communications links with organizations involved in long-term NCH resources protection, preservation, conservation, rehabilitation, recovery, stabilization, and restoration. • Addresses long-term community recovery activities carried out under ESF #14 that involve NCH issues.
Safety and Well-Being of Household Pets	<ul style="list-style-type: none"> • Expedites requests for emergency assistance. • Supplies technical assistance and subject-matter expertise to provide for the safety and well-being of household pets.

RESPONSIBILITIES

Coordinating Agency: Department of Agriculture

Agency	Functions
<p>Nutrition Assistance</p> <p>Primary Agency: Department of Agriculture/Food and Nutrition Service</p>	<ul style="list-style-type: none"> • 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, tribal, and local officials to determine the nutrition needs of the population in the affected areas. • 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.
<p>Animal and Plant Disease and Pest Response, and Safety and Well-Being of Household Pets</p> <p>Primary Agency: Department of Agriculture/Animal and Plant Health Inspection Service</p>	<p>Animal Diseases and Pests – APHIS, Veterinary Services</p> <ul style="list-style-type: none"> • Detects animal disease anomalies and pests, 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 timely and efficient response. • Coordinates tasks with other ESFs, Veterinary Medical Assistance Teams (VMATs), existing State veterinary emergency response teams, and voluntary animal care organizations to respond. • Coordinates with ESF #8 on zoonotic disease surveillance activities. • Coordinates with ESF #8 in the case of a natural disaster in which animal/veterinary issues arise, to ensure support for such issues.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Agency	Functions
<p>Animal and Plant Disease and Pest Response, and Safety and Well-Being of Household Pets</p> <p>Primary Agency: Department of Agriculture/Animal and Plant Health Inspection Service (Continued)</p>	<p>Plant Disease or Pests – APHIS, Plant Protection and Quarantine</p> <ul style="list-style-type: none"> • In the event of an outbreak of an economically devastating plant pest or disease, the grower and/or the State land-grant university diagnostic laboratory or State Department of Agriculture diagnostic laboratory notifies the State Plant Regulatory Official and the Federal State Plant Health Director. 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 as a plant pest of significant economic consequence, the appropriate Plant Protection and Quarantine Regional Director and the Assistant Deputy Administrator for Emergency and Domestic Programs notify the State Plant Regulatory Official and the State Plant Health Director in the State of origin. The Plant Protection and Quarantine program then notifies the National Plant Board of the confirmation, and all trading partners are informed. <p>Safety and Well-Being of Household Pets – APHIS, Animal Care</p> <ul style="list-style-type: none"> • Supports a multi-ESF response together with ESF #6, ESF #8, ESF #9, and ESF #14 to provide for the safety and well-being of household pets. • Provides technical expertise regarding the safety and well-being of household pets. • Coordinates with ESF #6 on mass evacuation and sheltering of household pets. • Coordinates with ESF #8 on medical care for household pets. • Coordinates with FEMA on transportation for household pets. • Coordinates with ESF #9 on search and rescue operations for household pets. • Coordinates with ESF #14 to ensure continued assistance is provided for household pets during long-term community recovery.
<p>Animal and Plant Disease and Pest Response</p> <p>Department of the Interior/U.S. Geological Survey</p>	<p>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.</p>
<p>Commercial Food Supply Safety and Security</p> <p>Primary Agency: Department of Agriculture/Food Safety and Inspection Service</p>	<ul style="list-style-type: none"> • 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, tribal, 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, tribal, and local authorities to establish food control zones to protect the public health.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Agency	Functions
<p>NCH Resources Protection</p> <p>Primary Agency: Department of the Interior</p>	<ul style="list-style-type: none"> • Provides scientific/technical advice, information, and other assistance to help prevent or minimize injury to and to restore or stabilize NCH resources. Areas of concern 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 Incident Management Teams in DOI Bureaus, such as the National Park Service Museum Emergency Response Team, which has the capability to respond to events affecting all cultural resources and historic properties. • Provides technical assistance in contracting, contract management, 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 and requirements for important fish and wildlife habitats and populations.
<p>NCH Resources Protection</p> <p>Department of Agriculture</p>	<ul style="list-style-type: none"> • Provides technical advice, information, and other assistance to help prevent or minimize injury to and to restore or stabilize NCH resources. Areas of concern 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.
<p>NCH Resources Protection</p> <p>Department of Commerce/National Oceanic and Atmospheric Administration</p>	<ul style="list-style-type: none"> • 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, endangered species, 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. • Implements the activities determined appropriate to restore fisheries and any other natural resources or prevent a failure in the future in accordance with the Magnuson-Stevens Act (Section 312, 16 U.S.C. 1801, et seq.).

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Agency	Functions
<p>NCH Resources Protection National Archives and Records Administration</p>	<ul style="list-style-type: none"> • Provides preservation, scientific/technical, and records and archival management advice and information to help secure and prevent or minimize loss of NCH resources pertaining to documentary and archival records and historic documents. • Provides preservation, scientific/technical, and records and archival management advice and information for stabilization, security, logistics, and contracting for recovery services of damaged NCH resources pertaining to documentary and archival records and historic documents.
<p>NCH Resources Protection Advisory Council on Historic Preservation</p>	<ul style="list-style-type: none"> • Provides assistance to the full range of involved Federal agencies in emergency compliance procedures pursuant to Section 106 of the National Historic Preservation Act (NHPA) during immediate emergency response and recovery activities affecting historic resources. • Coordinates with the Heritage Emergency National Task Force and Federal, State, tribal, local, and private-sector entities to identify priority disaster-specific policy initiatives such as emergency appropriations, programmatic agreements, or program alternatives to address specific disaster conditions. • Provides technical advice and guidance on procedures and protocols for preservation of historic resources, and identifies and carries out procedures to communicate such technical guidance for use by stakeholders and participants in consultation pursuant to Section 106 of NHPA.
<p>NCH Resources Protection Heritage Emergency National Task Force</p>	<p>The Task Force is a voluntary partnership of about 40 national service organizations and Federal agencies created to protect cultural heritage from the damaging effects of natural disasters and other emergencies. It:</p> <ul style="list-style-type: none"> • Helps cultural institutions and sites prepare for emergencies and obtain needed resources during disasters. • Encourages the incorporation of cultural and historic assets into disaster planning and mitigation efforts at all levels of government. • Facilitates a more effective and coordinated response for cultural resources to all kinds of emergencies, including catastrophic events. • Assists the public in recovering treasured heirlooms damaged by disasters.
<p>Department of Defense</p>	<ul style="list-style-type: none"> • Assesses the availability of Department of Defense (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 onsite 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. <p>U.S. Army Corps of Engineers: 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.</p>

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Agency	Functions
Department of Energy	National Nuclear Security Administration: In the initial phase of a nuclear or radiological emergency, leads the multiagency Federal Radiological Monitoring and Assessment Center (FRMAC).
Department of Health and Human Services	<ul style="list-style-type: none"> • Determines which foods are fit for human consumption and identifies potential problems associated with 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. • Provides veterinary public health and clinical subject-matter expertise support through the U.S. Public Health Service Commissioned Corps veterinary teams and epidemiologists to address environmental public health, toxicology, bite/scratch injuries from animals, and zoonotic disease hazards; conduct veterinary/animal emergency needs assessments; respond to occupational safety and health issues associated with animal response; and help implement rabies quarantines, etc. • Assists 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.
Department of Homeland Security	<ul style="list-style-type: none"> • 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 Office of 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.

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Agency	Functions
<p>Department of Homeland Security (Continued)</p>	<p>FEMA</p> <ul style="list-style-type: none"> • Provides a granting mechanism to fund preparedness efforts on the local level to ensure that an infrastructure exists to meet the timely challenges of evacuation and rescue, both before and during an event. • Contracts for transportation for household pets and service animals in advance of emergency events. • Purchases and pre-positions shelter materials in advance of emergency events. • Funds State and local preparedness activities for household pets and service animals. • Coordinates the environmental and historic preservation compliance requirements for all response, recovery, and mitigation activities funded through the Stafford Act, including mission assignments. Advises the Federal Coordinating Officer on issues related to environmental and historic preservation compliance. • Provides policy advice and guidance on the laws, regulations, policies, procedures, emergency consultation, and emergency permits requirements related to environmental and historic preservation compliance for response, recovery, and mitigation activities funded through the Stafford Act, including mission assignments. • Provides assistance on issues relating to historic properties damaged by disasters. • Cosponsors the Heritage Emergency National Task Force and uses it as a communication and information-sharing vehicle to benefit ESF #11 activities.
<p>Department of Labor</p>	<p>Occupational Safety and Health Administration</p> <p>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.</p>
<p>Department of State</p>	<p>Facilitates an integrated response between nations when animal and/or plant disease outbreaks represent transborder threats.</p>
<p>Environmental Protection Agency</p>	<ul style="list-style-type: none"> • 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, the Department of Health and Human Services, and the private sector to identify suitable and available antimicrobial and other pesticides to be used to treat and decontaminate crops, environmental surfaces, and 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 pursuant to existing EPA statutory authorities. • Provides technical assistance in determining when water is suitable for human consumption.
<p>General Services Administration</p>	<p>Provides resource support for ESF #11 requirements as requested to meet the needs of the affected population(s) and area(s).</p>

Emergency Support Function #11 – Agriculture and Natural Resources Annex

Agency	Functions
American Red Cross	<ul style="list-style-type: none">• 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 with other voluntary organizations in the distribution of food.
Department of Justice; Department of Transportation; U.S. Postal Service; Department of Homeland Security/ Customs and Border Protection	All have control over movement of people, conveyances, and/or things. In the event of a plant or animal disease, these entities can help enforce a quarantine zone through inspections and movement controls.

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 facilitate the restoration of damaged energy systems and components when activated by the Secretary of Homeland Security for incidents requiring a coordinated Federal response. 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 and restoration and recovery 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. Additionally, ESF #12 provides information concerning the energy restoration process such as projected schedules, percent completion of restoration, and geographic information on the restoration. ESF #12 facilitates the restoration of energy systems through legal authorities and waivers. ESF #12 also provides technical expertise to the utilities, conducts field assessments, and assists government and private-sector stakeholders to overcome challenges in restoring the energy system.

The term “energy” includes producing, refining, transporting, generating, transmitting, conserving, building, distributing, maintaining, and controlling energy systems and system components. All energy systems are considered critical infrastructure.

Policies

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.
- 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.
- Performs the Federal coordination role for supporting the energy requirements associated with National Special Security Events.

Emergency Support Function #12 – Energy Annex

- Is the primary Federal point of contact with the energy industry for information sharing and requests for assistance from private- and public-sector owners and operators.
- Maintains lists of energy-centric critical assets and infrastructures, and continuously monitors those resources to identify and mitigate vulnerabilities to energy facilities.
- Establishes policies and procedures regarding preparedness for 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, coal, and other forms of energy and fuels that impact or threaten to impact large populations in the United States.

Restoration of normal operations at energy facilities is the responsibility of the facility owners.

For those parts of the Nation's energy infrastructure owned and/or controlled by DOE, DOE undertakes all preparedness, response, recovery, and mitigation activities.

CONCEPT OF OPERATIONS

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 projected damage to energy supply and distribution systems and requirements for system design and operations, and on procedures for preparedness, restoration, recovery, and mitigation.
- Advise Federal, State, tribal, and local authorities on priorities for energy restoration, assistance, and supply.
- Assist industry, State, tribal, and local authorities with requests for emergency response actions as required to meet the Nation's energy demands.
- Assist Federal departments and agencies by locating fuel for transportation, communications, emergency operations, and national defense.
- Provide guidance on the conservation and efficient use of energy to Federal, State, tribal, and local governments and to the public.
- Provide assistance to Federal, State, tribal, and local authorities utilizing Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)-established communications systems.

ORGANIZATION

Headquarters

ESF #12 is coordinated through Headquarters DOE. ESF #12 is activated when DHS/FEMA notifies the 24-hour Headquarters DOE Emergency Operations Center.

When activated by DHS/FEMA, ESF #12 provides representatives to the DHS National Operations Center, Domestic Readiness Group, and National Response Coordination Center (NRCC).

Regional-Level ESF #12 Support

ESF #12 assigns regional coordinators to each of the 10 DHS/FEMA regions. These coordinators attend meetings, participate in exercises, and develop expertise on regional issues and infrastructure.

ESF #12 participates in Regional Interagency Steering Committee preparedness and coordination activities.

When activated by DHS/FEMA, ESF #12 representatives deploy to the Regional Response Coordination Center (RRCC). The ESF #12 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 #12 Team Leader. ESF #12 provides incident-related reports and information to ESF #5 – Emergency Management.

Field-Level ESF #12 Support

When activated by DHS/FEMA, ESF #12 representatives deploy as members of incident management teams.

When activated by DHS/FEMA, ESF #12 representatives can also deploy as members of the Rapid Needs Assessment Team.

When activated by DHS/FEMA, ESF #12 personnel deploy to the JFO.

State, Tribal, and Local

State, tribal, and local governments have primary responsibility for prioritizing the restoration of energy facilities. State, tribal, and local governments are fully and consistently integrated into ESF #12 operations. When activated, ESF #12 personnel may deploy to State emergency operations centers.

Private Sector

ESF #12 coordinates information and requests for assistance with the following private-sector entities: the electricity and the oil and natural gas sector coordinating councils, the Electric Reliability Organization, and various associations that represent portions of the energy sector.

ACTIONS

Preincident

In cooperation with the Energy Sector, ESF #12 develops and implements methodologies and standards for physical, operational, and cyber security for the energy industry.

ESF #12 conducts energy emergency exercises with the energy industry, Federal partners, States, and tribal and local governments to prepare for energy and other emergencies.

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.

Emergency Support Function #12 – Energy Annex

DOE assists the States in the preparation of State Energy Assurance Plans to improve the reliability and resiliency of the Nation's energy systems.

ESF #12 works with the DHS/FEMA regions, the private sector, States, and tribes to develop procedures and products that improve situational awareness to effectively respond to a disruption of the energy sector.

DOE monitors the energy infrastructure and shares information with Federal, State, tribal, local, and industry officials.

In anticipation of a disruption to the energy sector, DOE analyzes and models the potential impacts to the electric power, oil, natural gas, and coal infrastructures; analyzes the market impacts to the economy; and determines the effect the disruption has on other critical infrastructure and key resources (CIKR).

Incident

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.

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, provides analysis of the extent and duration of energy shortfalls, and identifies requirements to repair energy systems.

In coordination with DHS and State, tribal, and local governments, DOE prioritizes plans and actions for the restoration of energy during response and recovery operations.

ESF #12 coordinates with other ESFs to provide timely and accurate energy information, recommends options to mitigate impacts, and coordinates repair and restoration of energy systems.

ESF #12 facilitates the restoration of energy systems through legal authorities and waivers.

DOE provides subject-matter experts to the private sector to assist in the restoration efforts. This support includes assessments of energy systems, latest technological developments in advanced energy systems, and best practices from past disruptions.

ESF #12 coordinates preliminary damage assessments in the energy sector to determine the extent of the damage to the infrastructure and the effects of the damage on the regional and national energy system.

Within the JFO, ESF #12 serves as the primary source for reporting of CIKR damage and operating status for the energy systems within the impacted area. The Infrastructure Liaison, if assigned, proactively coordinates with ESF #12 on matters relating to security, protection, and/or restoration that involve sector-specific, cross-sector, or cascading effects impacting ESF #12. (See the CIKR Support Annex for further details.)

Postincident

ESF #12 participates in postincident hazard mitigation studies to reduce the adverse effects of future disasters.

ESF #12 assists DHS/FEMA in determining the validity of disaster-related expenses for which the energy industry is requesting reimbursement based upon the Stafford Act.

DOE leads and participates in various best practices and lessons learned forums to ensure future disruptions are addressed in the most efficient manner possible.

In coordination with the Pipeline and Hazardous Materials Safety Administration, ESF #12 ensures the safety and reliability of the Nation's natural gas and hazardous material pipelines.

RESPONSIBILITIES

Primary Agency: DOE

- Serves as the focal point for issues and policy decisions relating to energy response and restoration efforts.
- Assesses energy system damage and monitors repair work.
- Collects, assesses, and provides information on energy supply, demand, and market impacts; 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.
- Is the Sector-Specific Agency for the energy sector under Homeland Security Presidential Directive 7, "Critical Infrastructure Identification, Prioritization, and Protection."

SUPPORT AGENCIES

Agency	Functions
<p>Department of Agriculture</p>	<p>Rural Development (RD)</p> <ul style="list-style-type: none"> • Provides technical support and access to both damage assessments and restoration efforts for electric power generation, transmission, and distribution in Rural Development Utilities Program-financed systems. • Gathers and communicates information, as appropriate, from Rural Development Utilities Program-financed systems to assess impacts and needs. • Provides information (location, type, owners, and/or management service) on available USDA-financed, habitable housing units in its inventory that are not under lease or under agreement of sale for response or emergency personnel and their organizations’ representatives to contact for housing during response activities.
	<p>Multifamily Housing: Identifies owners of available apartments in federally funded multifamily housing to provide shelter to emergency response personnel in the affected area.</p>
<p>Department of Commerce</p>	<p>National Oceanic and Atmospheric Administration (NOAA)</p> <ul style="list-style-type: none"> • Provides current and forecast weather information and dispersion model forecasts through its National Centers for Environmental Prediction and its local weather forecast offices and river forecast centers. • Provides public dissemination of critical event information over the NOAA All Hazards Weather Radio system, NOAA Weather Wire Service, and Emergency Managers Information Network.
<p>Department of Defense</p>	<p>U.S. Army Corps of Engineers: Coordinates Emergency Power team missions with power-system restoration activities to establish priorities for emergency generator installation.</p>
<p>Department of Homeland Security</p>	<p>Office of Infrastructure Protection</p> <ul style="list-style-type: none"> • Provides management of the National Infrastructure Protection Plan. • Provides overall coordination of the Nation’s CIKR mission area. • Manages the National Infrastructure Coordinating Center, the National Asset Data Base, the National Infrastructure Simulation and Analysis Center, and the Homeland Infrastructure Threat Reporting and Analysis Center (in coordination with DHS/Office of Information and Analysis). • Manages a nationwide organization of Protective Security Advisors. • Trains and deploys Infrastructure Liaisons and Advisors to support incident management activities. (See the CIKR Support Annex for further detail.) • 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 DOE and the private sector to conduct vulnerability assessments on energy infrastructure associated with terrorism, and coordinates the implementation of protective measures. • Through the Infrastructure Liaison, provides situational awareness and prioritized recommendations concerning the recovery and restoration of the associated CIKR sectors supported by this ESF.

Emergency Support Function #12 – Energy Annex

Agency	Functions
<p>Department of Homeland Security (Continued)</p>	<p>National Communications System</p> <ul style="list-style-type: none"> • Through 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). <p>Science and Technology Directorate: Provides coordination of Federal science and technology resources..</p>
<p>Department of the Interior</p>	<p>Bureau of Land Management</p> <ul style="list-style-type: none"> • Provides information on energy production and supply on 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. <p>Bureau of Reclamation</p> <ul style="list-style-type: none"> • 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. <p>Minerals Management Service</p> <ul style="list-style-type: none"> • 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 effected. • 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.
<p>Department of Labor</p>	<p>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.</p>
<p>Department of State</p>	<ul style="list-style-type: none"> • 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.

Emergency Support Function #12 – Energy Annex

Agency	Functions
<p>Department of Transportation (DOT)</p>	<p>ESF #1: DOT provides transportation infrastructure situational awareness and planning information to Federal, State, tribal, and local planners and response organizations.</p> <p>Pipeline and Hazardous Materials Safety Administration (PHMSA): PHMSA's Office of Pipeline Safety (OPS) is the Federal safety authority for the Nation's natural gas and hazardous liquid pipelines and liquefied natural gas facilities. OPS:</p> <ul style="list-style-type: none"> • Ensures the safe, reliable, and environmentally sound operation of the Nation's pipeline transportation system. • Responds to requests for waivers of restrictions to meet emergency energy delivery requirements. • In coordination with DOE's Office of Electricity Delivery and Energy Reliability, coordinates activities and shares information needed to ensure that the sectors of the energy infrastructure subject to each agency's jurisdiction or oversight can efficiently and effectively coordinate and integrate energy assurance activities. <p>PHMSA's Office of Hazardous Materials Safety assists State, tribal, and local authorities with requests for special permits and approvals relating to the movement of hazardous materials in support of the Nation's energy demands.</p> <p>Maritime Administration (MARAD): Acts as the center for information on the location, capacity, and availability of U.S.-flag vessels suitable for the movement of energy supplies, including petroleum products and liquefied natural gas. Pursuant to a memorandum of agreement, coordinates with DOE and DHS/Customs and Border Protection on whether national defense considerations warrant waiver of the U.S. Cabotage law for the movement of energy supplies.</p>
<p>Environmental Protection Agency (EPA)</p>	<ul style="list-style-type: none"> • 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. • Assists in identifying critical water and wastewater systems requiring priority power restoration.
<p>Nuclear Regulatory Commission</p>	<ul style="list-style-type: none"> • Regulates the Nation's civilian use of nuclear fuels and materials to include commercial nuclear power plants. • Provides information and technical assessment regarding nuclear powerplants.
<p>Tennessee Valley Authority</p>	<ul style="list-style-type: none"> • 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.

ESF Coordinator:

Department of Justice

Primary Agency:

Department of Justice

Support Agencies:

All Federal departments and agencies possessing a public safety and security capability

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 requiring a coordinated Federal response.

Scope

ESF #13 provides a mechanism for coordinating and providing Federal-to-Federal support; Federal support to State, tribal, and local authorities; and/or support to other ESFs, consisting of law enforcement, public safety, and security capabilities and resources during potential or actual incidents requiring a coordinated Federal response.

ESF #13 capabilities support incident management requirements including, but not limited to, force and critical infrastructure protection, security planning and technical assistance, technology support, and general law enforcement assistance in both preincident and postincident situations. ESF #13 is activated in situations requiring extensive public safety and security and where State, tribal, and local government resources are overwhelmed or are inadequate, or for Federal-to-Federal support or in preincident or postincident situations that require protective solutions or capabilities unique to the Federal Government.

Policies

Primary responsibility for public safety lies with State, tribal, local, private-sector, and certain Federal authorities. Private-sector authorities have primary responsibility for security. These entities, therefore, are typically the first line of response for public safety and security, respectively. ESF #13 is established to provide support to both of these areas.

In most incident situations, local jurisdictions have primary authority and responsibility for law enforcement activities, utilizing the Incident Command System (ICS) on scene. In larger scale incidents, additional resources should first be obtained through the activation of mutual aid and assistance 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 (1) members of the State National Guard that the Governor calls into State active duty, or (2) those called to active duty pursuant to Title 32 United States Code (U.S.C.) if authorized by State law to perform law enforcement, security, and/or public safety functions, and if approved by the Secretary of Defense.

Through ESF #13, Federal resources supplement State, tribal, local, or other Federal agency resources when requested or required, as appropriate, and are integrated into the incident command structure using *National Incident Management System (NIMS)* principles and protocols.

ESF #13 facilitates coordination of public safety and security among Federal, State, tribal, and local agencies, as well as among other ESFs, to ensure that communication and coordination processes are consistent with stated incident management missions and objectives.

When activated, ESF #13 coordinates the implementation of Federal authorities (to include mission assignments) and resources 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.

In the event that Federal, State, and local police forces (including the National Guard operating under State control) are insufficient to adequately respond to a civil disturbance or other serious law enforcement emergency, the Governor may request, through the Attorney General, Federal military assistance under Title 10 U.S.C. Chapter 15.

Under 10 U.S.C. Chapter 15, the President may federalize and deploy all or part of any State's National Guard. The President may also use the military to enforce Federal law or to protect constitutional rights. Pursuant to law, the President will ultimately determine whether to use the Armed Forces to respond to a domestic law enforcement emergency. Procedures for coordinating Department of Defense (DOD) and Department of Justice (DOJ) responses to law enforcement emergencies are set forth in DOD's civil disturbance contingency plans.

Requests for Federal law enforcement assistance under the Emergency Federal Law Enforcement Assistance Act will be coordinated with the Attorney General, or his/her designee, prior to actual deployment.

This annex does not usurp or override the policies or mutual aid and assistance agreements of any Federal, State, tribal, or local jurisdiction, government, or agency. Federal agencies retain all mission-specific responsibilities provided to them by statute, regulation, policy, or custom.

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
- The National Strategy for Maritime Transportation Security
- Area Maritime Security Plans
- Vessel and Facility Security Plans

Relationship to the Terrorism Incident Law Enforcement and Investigation Annex: ESF #13 activities should not be confused with the activities described in the Terrorism Incident Law Enforcement and Investigation Annex of the *National Response Framework (NRF)* or other criminal investigative law enforcement activities.

During terrorist incidents, ESF #13 coordinates and contributes support to DOJ/Federal Bureau of Investigation (FBI) operations, if requested.

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 preincident as well as postincident situations.

When ESF #13 is activated, DOJ, with assistance from supporting departments and agencies, assesses and responds to requests for Federal public safety and security resources to include law enforcement resources and planning or technical assistance from affected State, tribal, local, or Federal agencies, or other ESFs.

ESF #13 may provide personnel to staff the National Operations Center (NOC), the National Response Coordination Center (NRCC), the Regional Response Coordination Center (RRCC), the Incident Command Post, the Joint Field Office (JFO), the Joint Information Center (JIC), and the operation centers established as described in the Terrorism Incident Law Enforcement and Investigation Annex.

ESF #13 manages support by coordinating Federal resources related to public safety and security to preserve life, protect property (including critical infrastructure), and mobilize Federal security resources and technologies and other assistance to support response operations.

ESF #13 coordinates with Federal, State, tribal, and local officials to determine public safety and security support requirements and to jointly determine resource priorities.

ESF #13 maintains communication with supporting agencies to determine capabilities, assess the availability of resources, and track resources that have been deployed as a result of approved and funded mission assignments.

ACTIONS

Headquarters

When ESF #13 is activated, DOJ deploys on-call representative(s) to the NRCC.

DOJ assesses the need for ESF #13 resources and coordinates response assistance and support in close cooperation with regional and field ESF #13 elements.

DOJ 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 Domestic Readiness Group (DRG), national/regional response teams, or other entities, as may be established in the future.

Regional and Field Levels

Depending on the situation, an ESF #13 representative may participate in early assessment efforts.

When ESF #13 is activated, DOJ's on-call regional representative(s) deploys to the RRCC and coordinates mission assignments and Federal public safety and security support until the JFO is established, at which time ESF #13 efforts operate from the JFO.

ESF #13 supports the various sections of the RRCC and JFO as required.

ESF #13 activities at the local/regional level will be closely coordinated with any Federal law enforcement agencies conducting core mission responsibilities.

Resolution of resource and mission conflicts involving Federal public safety and security assets engaged in emergency operations is done in accordance with the mechanisms set forth in the *NRF*.

Incident Management Activities

While State, tribal, local, and private-sector authorities have primary responsibility for public safety and security, ESF #13 provides Federal public safety and security assistance to support preparedness, response, and recovery priorities in circumstances where State, tribal, and local resources are overwhelmed or inadequate, or where Federal-to-Federal support is needed or a unique Federal capability is required. This may include, but is not limited to, the following activities, when appropriate:

- **Preincident Coordination:** Supporting incident management planning activities and preincident actions required to assist in the mitigation of threats and hazards. This includes developing operational and tactical public safety and security plans, conducting technical security and/or vulnerability assessments, and deploying 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.).
- **Specialized Public Safety and Security Assessment:** Identifying the need for ESF #13 support and analyzing potential factors (e.g., mapping, modeling, and forecasting for crowd size, impact of weather, and other conditions) that may affect resource allocations and requisite actions affecting public safety and security.
- **General Law Enforcement Assistance:** Providing basic law enforcement assistance to Federal, State, tribal, and local agencies during incidents that require a coordinated Federal response. Such assistance may include conducting routine patrol functions and making arrests as circumstances may require. The ESF #13 Standard Operating Procedures describe those situations where deputization by another Federal law enforcement agency or by a State or local law enforcement agency may be necessary, and the process for such deputization.
- **Badging and Credentialing:** Assisting State, tribal, and local authorities 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, tribal, 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. ESF #13 responsibilities should not be confused with site-security responsibilities of the Office of Security of the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA), which is

responsible for providing security for DHS/FEMA facilities, to include a JFO. DHS/FEMA may request ESF #13 assistance if DHS/FEMA resources are overwhelmed.

- **Traffic and Crowd Control:** Providing emergency protective services to address public safety and security requirements.
- **Force Protection:** Providing for the protection of emergency responders and other workers operating in a high-threat environment, and for the operational security of emergency response operations wherever they may occur.
- **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 Coordinator/Primary Agency

DOJ is responsible for the following:

- Serves as the headquarters and regional-level ESF #13 coordinator and primary agency, represents the ESF #13 agencies on the ESF Leaders Group and the Regional Interagency Steering Committee, and coordinates preparedness activities with ESF #13 supporting agencies.
- Provides expertise on public safety and security issues to the DRG, when requested.
- Manages ESF #13 preparedness activities and conducts evaluation of operational readiness, including a roster and description of public safety and security activities.
- Maintains close coordination during operations between the affected regional office(s), the NRCC, other ESFs, local Joint Terrorism Task Forces, and the National Joint Terrorism Task Force, as required.
- Ensures that all activities performed under the purview of ESF #13 are related to the mission of ESF #13. If any potential for conflict exists, it is DOJ's responsibility to resolve these issues prior to accepting the mission assignment.
- Facilitates resolution of any conflicting demands for public safety and security resources, expertise, and other assistance. Coordinates backup support from other geographical regions to the affected area.
- Processes mission assignments, tracks resource allocation and use, and facilitates reimbursement to assisting departments and agencies via emergency management funding mechanisms and authorities, if appropriate.
- Obtains initial situation assessment from field units and determines appropriate management response to anticipated or current requests for assistance.
- Obtains and distributes incident contact information to supporting agency coordinators for emergency responders.

Emergency Support Function #13 – Public Safety and Security Annex

- Assesses requests before committing resources, and ensures responding agencies are provided with information on known hazards, mission requirements, appropriate vaccinations, credentials, and personal protective equipment to operate in the environment to which they are assigned.

Agency	Functions
<p>Department of Justice</p>	<p>Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF): May provide the following: special agents, special agent certified explosives specialists, special agent certified fire investigators, special agent explosives detection and accelerant detection canine handler teams, medics, crisis negotiators, intelligence officers, explosives enforcement officers, industry operations investigators, fire research engineers, forensic chemists, forensic auditors, and support personnel in many specialty areas. Other specialized capabilities include Special Response Teams that conduct high-risk enforcement operations; National Response Teams (NRTs) that assist Federal, State, tribal, and local investigators at the scene of significant explosives and fire incidents; a fleet of NRT trucks that allow the NRT to be fully equipped for the forensic examination of explosives and fire scenes; and Mobile Laboratories and Command & Control vehicles. ATF will deploy the necessary and available resources to provide the appropriate response to an ESF #13 activation.</p>
	<p>Drug Enforcement Administration (DEA): May provide available manpower and resources at the discretion of the DEA Continuity of Operations Plan Coordinator and in compliance with DOJ mandates.</p>
	<p>Federal Bureau of Investigation: May provide specialized resources and capabilities, consistent with Federal laws, regulations, and mission priorities.</p>
	<p>Office of Justice Programs (OJP): Through its Bureau of Justice Assistance, Office for Victims of Crime, and National Institute of Justice, OJP is uniquely situated to assist State, tribal, and local justice entities with the continuity of operations of justice systems affected by incidents requiring a coordinated Federal response, and to ensure that available resources are applied quickly and effectively to support local response. OJP:</p> <ul style="list-style-type: none"> Can provide direct support to State, tribal, and local law enforcement in the form of direct or leveraged emergency funding support, specialized technical equipment loans, emergency support services for crime victims, emergency technical assistance on local law enforcement policy and practice (e.g., coordinating citizen volunteer efforts, investigation management, ensuring community voluntary compliance with response strategies), as well as technical services related to information sharing and technology applications. Offers services critical to State, tribal, and local efforts in maintaining the rule of law and the continuity of operations of local justice systems.

Emergency Support Function #13 – Public Safety and Security Annex

Agency	Functions
Department of Justice (Continued)	<p>U.S. Marshals Service (USMS): May provide the following: Deputy U.S. Marshals, support personnel, tactical medics, medics, explosive detection canine handler teams, judicial security specialists, critical incident (peer support) response teams, and technical operations support. The USMS:</p> <ul style="list-style-type: none">• Possesses the Special Operations Group that conducts high-risk missions.• Maintains Incident Management Teams that are self-contained and able to rapidly respond to an incident.• Operates a Mobile Command Center that is available for deployment in support of assigned missions.• Through the Technical Operations Group, maintains a group of specialty vehicles and equipment to support assigned duties.• Is responsible for personal protection of Federal jurists, court officers, witnesses, and other threatened persons where criminal intimidation impedes the functioning of the judicial process.• Sustains the custody of Federal prisoners from the time of their arrest, or when they are remanded to a Marshal, until the prisoner is committed by order of the court, otherwise released by court order, or returned to the custody of the U.S. Parole Commission or the Bureau of Prisons.

Support Agencies

Each support agency maintains its authority and is responsible, when appropriate and according to resource availability, for providing personnel, equipment, facilities, technical assistance, and other support as required. In addition, support agencies may be requested to:

- Provide personnel to staff the NOC, NRCC, RRCC, Incident Command Post, JFO, JIC, and operational centers provided for in the Terrorism Incident Law Enforcement and Investigation Annex, as circumstances may require. Supporting agencies may be required to staff other interagency entities or facilities that may be established in the future.
- Provide periodic reports, as requested, regarding agency assets and response capabilities.
- Provide technical subject-matter expertise, data, and staff support for operations, as may be requested by the primary agency.

Emergency Support Function #13 – Public Safety and Security Annex

Agency	Functions
<p>Department of Agriculture (USDA)</p>	<p>Forest Service, Law Enforcement and Investigations: May provide trained public safety, law enforcement, investigations, and security resources for areas under USDA/Forest Service jurisdiction or to other locations and operations if appropriate authority is provided by the requesting jurisdiction or USMS. The Forest Service has law enforcement officers and special agents with firearms and arrest authority. Primary capabilities and assets include, but are not limited to:</p> <ul style="list-style-type: none"> • Personnel with experience at all levels and many functions of ICS/NIMS operations and local law enforcement. • Investigations support including specialized work such as wildland fire cause and origin, cultural resource looting, and natural resource damage. • Rural and backcountry operations, and surveillance and reconnaissance equipment and techniques. • Cold weather/snow operations. • High clearance/remote area law enforcement vehicles including 4x4s, snowmobiles, and all-terrain vehicles (ATVs). • K9 teams (patrol, tracking, and drug detection). • Horse-mounted and stock packing operations. • Rural area protest management and protestor device extrication. • Drug enforcement and border interdiction. • Tactical helicopter operations (rappel, fixed-line personnel transport, cargo sling operations, and air operations management). • Boat operations. • Incident operations/facility security.
<p>Department of Commerce</p>	<p>National Oceanic and Atmospheric Administration (NOAA):</p> <ul style="list-style-type: none"> • Provides overall support regarding weather services during disasters and airborne plume prediction. • Provides law enforcement and security capabilities, nautical and aeronautical charting, surveys, tidal and geodetic services, and georeferenced coastal imagery. • Provides support through the Satellite Vessel Surveillance System, tracking infrastructure, and public dissemination of critical pre-event and post-event information over the NOAA All Hazards Weather Radio (NWR) system, the NOAA Weather Wire Service, and the Emergency Managers Weather Information Network (EMWIN) of the National Weather Service. • Provides environmental information and dispersion model forecasts through its National Centers for Environmental Prediction and its local weather forecast offices and river forecast centers. • Provides public dissemination of critical pre-event and post-event information over the NWR system, NOAA Weather Wire Service, and EMWIN. • Provides airborne pollution dispersion prediction products/services.
<p>Department of Defense</p>	<p>U.S. Army Corps of Engineers: Provides physical and electronic security systems assistance and expertise.</p>
<p>Department of Energy (DOE)</p>	<p>National Nuclear Security Administration (NNSA)</p> <ul style="list-style-type: none"> • Ensures that capabilities are in place to provide an appropriate response to a DOE/NNSA facility emergency and to nuclear or radiological emergencies within the United States or abroad. This includes support to the Domestic Emergency Support Team, DOJ/FBI, DHS, Nuclear Regulatory Commission, Environmental Protection Agency (EPA), Attorney General, Department of State, and others to provide technical advice on radiological issues for the protection of the public and the environment. • Provides security support at DOE/ NNSA facilities. May require appropriate assistance when responding to a location other than a DOE/NNSA facility.

Agency	Functions
<p>Department of Homeland Security</p>	<p>Office of Infrastructure Protection</p> <ul style="list-style-type: none"> • Conducts vulnerability assessments, performs risk analyses, and coordinates protective measures in conjunction with the private sector and Federal, State, tribal, and local agencies. • Coordinates with private-sector entities in protecting critical infrastructure and telecommunications systems.
	<p>Office of Intelligence and Analysis</p> <ul style="list-style-type: none"> • Uses information and intelligence from multiple sources to identify and assess current and future threats to the United States. • Provides the full spectrum of information support necessary for the benefit of the Federal, State, tribal, and local levels throughout the United States and U.S. territories and possessions, to secure the homeland, defend the citizenry, and protect critical infrastructure. • Executes its mission within the functional areas of Collection & Requirements; Threat Analysis; Production Management; Border, Chemical, Biological, Radiological, Nuclear and Explosive (B-CBRNE) Threat; Homeland Environment Threat Analysis (HETA); Information Management; and Intelligence Plans and Integration.
	<p>Science and Technology Directorate (S&T): Provides rapid science and technology subject-matter expertise to response units, interagency partners, and State, tribal, and local entities.</p>
	<p>Transportation Security Administration (TSA): Having the primary responsibility for security in all modes of transportation, transportation infrastructure, and the people and goods in transit, DHS/TSA provides transportation security screening, inspection, vulnerability assessments, and law enforcement services throughout the transportation enterprise. The focus of effort for DHS/TSA support is normally in the aviation domain of the transportation sector, but similar support may be provided to other transportation modes as requested and approved by appropriate Federal authority.</p>
	<p>Office of Law Enforcement/Federal Air Marshal Service</p> <ul style="list-style-type: none"> • Provides law enforcement personnel and activities. • Coordinates deployment of explosives-detection canines along with State or local agency handlers. • Deploys explosives specialists for technical, forensic, and intelligence support activities, including postblast investigation support where explosives expertise is required. <p>Office of Security Operations: Through Federal Security Directors around the Nation, provides transportation security personnel and activities (e.g., screening and inspection).</p>

Emergency Support Function #13 – Public Safety and Security Annex

Agency	Functions
<p>Department of Homeland Security (Continued)</p>	<p>U.S. Coast Guard (USCG)</p> <ul style="list-style-type: none"> • Has primary responsibility for maritime homeland security and safety. DHS/USCG 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). • 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, tribal, local, and private-sector organizations. The MSSTs are a rapid-response force capable of nationwide deployment to meet emerging threats. MSST capabilities include: <ul style="list-style-type: none"> • Maritime interdiction and law enforcement. • Anti-terrorism/force protection. • Weapons of mass destruction detection. • Explosives detection. • Commercial port protection/anti-sabotage. • Underwater detection. • Canine handling teams.
	<p>U.S. Customs and Border Protection: May provide:</p> <ul style="list-style-type: none"> • Uniformed law enforcement officers; canine teams for detection of humans, cadavers, drugs, and explosives; horse-mounted units; and tracking teams. • Rapid-Response Special Operations Units capable of short-notice nationwide deployment to include Border Patrol Tactical Unit (BORTAC), Border Patrol Search, Trauma, and Rescue (BORSTAR) Teams, law enforcement Search and Rescue personnel, regional Special Response Teams (SRTs), Search and Recovery divers, and law enforcement medical personnel. • Assets including fixed-wing and rotary-wing aircraft, command and control aircraft, command and control vehicles, mobile communications repeaters, marine vessels, detainee transport vehicles, and special purpose vehicles (e.g., 4X4s, ATVs, sand rails, snowmobiles). • Imaging equipment, such as full truck/container-size x-ray and gamma-ray systems, radiation detection equipment, radioactive isotope identification equipment, jump-team response capabilities and expert reach-back for resolution of radiation detection incidents or suspected chemical or biological response situations, and 24/7 analysis and targeting capability on persons and cargo.
	<p>U.S. Immigration and Customs Enforcement: May provide:</p> <ul style="list-style-type: none"> • Law enforcement officers to include: special agents, police officers, inspectors, immigration enforcement agents, and technical enforcement officers. • Various response vehicles to include command and control, marked patrol, secure buses, transportation vans, and special purpose vehicles. • Special teams to include special response teams and hazmat teams.
	<p>U.S. Secret Service: May provide specialized resources and capabilities, consistent with Federal laws and regulations, when appropriate and according to resource availability.</p>

Emergency Support Function #13 – Public Safety and Security Annex

Agency	Functions
<p>Department of the Interior (DOI)</p>	<p>Bureau of Indian Affairs, Bureau of Land Management, Bureau of Reclamation, Fish and Wildlife Service, and National Park Service: May provide uniformed law enforcement officers and special agents under DOI jurisdiction or to other locations, if appropriate authority is provided by the requesting jurisdiction and/or the USMS. Primary DOI law enforcement capabilities and assets include:</p> <ul style="list-style-type: none"> • Special event teams/civil disturbance units to handle large-scale demonstrations, special events, crowd control, and tactical law enforcement operations. • Uniformed law enforcement officers for community policing, force protection, traffic control, and site security. • Special agents for investigative operations and support. • Ability to perform rural and remote area law enforcement operations including open water, mountain, and desert environments and winter conditions. • High-clearance/remote-area law enforcement vehicles including 4x4s, snowmobiles, and ATVs. • Horse-mounted units (rural and urban), tracking teams, and K-9 units (patrol, tracking, and drug detection). • Limited aviation assets including fixed-wing and rotary wing aircraft. • Limited small-craft marine assets. • Limited mobile communications and command posts. <p>Note: Vehicles, boats, aviation assets, and mobile command posts may have limited availability due to their limited number and to their diverse and often remote locations across the country. There may be extended response times to an incident. Utilization of these assets may require logistical support for their transportation to an incident.</p>
<p>Department of the Treasury</p>	<p>May provide law enforcement officers, investigations, and security resources for areas under U.S. Treasury jurisdiction or to other locations if appropriate authority is provided by the requesting jurisdiction and, if necessary and appropriate, by the U.S. Marshals Service.</p> <p>The U.S. Mint and Bureau of Engraving and Printing Police primary capabilities include, but are not limited to: personnel with experience at all levels and many functions of ICS/NIMS operations, convoy escort and protection, crowd/traffic control, Critical Incident Response Teams, and High-Value Asset Protection Teams. The U.S. Mint Police Division has established teams to support ESF #13.</p>
<p>Department of Veterans Affairs (VA)</p>	<p>Provides staff to protect VA hospitals/homes during an emergency.</p>
<p>Environmental Protection Agency</p>	<p>Through the Office of Criminal Enforcement, Forensics, and Training, which incorporates the Homeland Security Division (HSD), the National Counter-Terrorism Evidence Response Team/Counter-Terrorism Response Team, the Criminal Investigation Division (CID), and the National Enforcement Investigation Center (NEIC), EPA provides assistance as follows:</p> <ul style="list-style-type: none"> • HSD: Law enforcement arm of EPA that provides counter-terrorism support to EPA programs and other Federal law enforcement using specialized training. • 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.

Emergency Support Function #13 – Public Safety and Security Annex

Agency	Functions
National Aeronautics and Space Administration (NASA)	As available, may utilize NASA assets and capabilities, such as geospatial modeling and decision support systems, aircraft with sensors, unmanned aerial vehicles, and a search and rescue team. 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	May deploy protective and investigative units during an emergency.
U.S. Postal Service	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.
Inspectors General (IG) Offices	The President’s Council on Integrity and Efficiency (PCIE) and the Executive Council on Integrity and Efficiency (ECIE) represent the Federal IG community, which includes IGs from approximately 60 Federal agencies and entities. In the event of an incident requiring a coordinated Federal response, the PCIE/ECIE may coordinate the response from the IG community. Such coordination may include identifying IG law enforcement officers available to provide public safety and security support, as well as compiling data concerning their skills, geographic location, and other relevant criteria, in order to match requests for support with the most appropriate available IG resources.
Private Sector	<p>Plays a key role in protecting critical infrastructure and telecommunications systems, and partnering with the Government on security-related technologies and research and development. These entities are coordinated through DHS/Office of Infrastructure Protection during response.</p> <p>National Center for Missing and Exploited Children (NCMEC): NCMEC’s mission is to help prevent child abduction and sexual exploitation and help locate missing children. NCMEC serves as a clearinghouse of information about missing and exploited children, provides assistance to law enforcement agencies, and coordinates child protection efforts with the private sector, nonprofit service providers, and State clearinghouses.</p>

This list is not all-inclusive. The ESF #13 primary agency recognizes that there are other departments and agencies that may be called upon to provide public safety and security assistance. The ESF #13 primary agency reserves the right to call upon agencies and departments not listed in this annex, should the need arise.

ESF Coordinator:

Department of Homeland Security/Federal
Emergency Management Agency

Primary Agencies:

Department of Agriculture
Department of Homeland Security
Department of Housing and Urban
Development
Small Business Administration

Support Agencies:

Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of the Interior
Department of Labor
Department of Transportation
Department of the Treasury
Environmental Protection Agency
Corporation for National and Community
Service
Delta Regional Authority
American Red Cross
National Voluntary Organizations Active in
Disaster

INTRODUCTION

Purpose

Emergency Support Function (ESF) #14 – Long-Term Community Recovery provides a mechanism for coordinating Federal support to State, tribal, regional, and local governments, nongovernmental organizations (NGOs), and the private sector to enable community recovery from the long-term consequences of extraordinary disasters. ESF #14 accomplishes this by identifying and facilitating availability and use of sources of recovery funding, and providing technical assistance (such as impact analyses) for community recovery and recovery planning support.

Scope

ESF #14 may be activated for incidents that require a coordinated Federal response to address significant long-term impacts (e.g., impacts on housing, government operations, agriculture, businesses, employment, community infrastructure, the environment, human health, and social services) to foster sustainable recovery.

ESF #14 support will vary depending on the magnitude and type of incident.

Policies

ESF #14 recognizes the primacy of affected State, tribal, and local governments and the private sector in defining and addressing risk reduction and long-term community recovery priorities, and in leading the community recovery planning process. ESF #14 long-term community recovery and recovery planning efforts will be coordinated with State/tribal/local-level stakeholders.

Federal agencies continue to provide recovery assistance under independent authorities to State, tribal, and local governments, the private sector, and individuals, while coordinating assessments of need for additional assistance and identification and resolution of issues through ESF #14.

ESF #14 excludes economic policymaking. 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 incident and long-term recovery period, and on the availability of Federal resources. ESF #14 is not a funding entity but facilitates the identification, coordination, and use of resources to support long-term recovery.

Long-term community recovery efforts build resilience focusing on disaster resistance through permanent restoration of infrastructure, housing, agricultural industry, natural resources, community well-being, and the local economy, with attention to mitigation of future impacts of a similar nature.

The lead agency in the field is designated based on the type of disaster.

CONCEPT OF OPERATIONS

Assessment

ESF #14 provides the coordination mechanisms for the Federal Government to support the State, tribal, and local governments' assessment of the long-term recovery needs in the impacted areas and exchange assessment information among Federal departments and agencies.

Coordination

ESF #14 provides the coordination mechanisms for the Federal Government to:

- Convene interagency recovery expertise to provide strategic guidance to long-term recovery efforts.
- Identify and address long-term recovery issues, including those that fall between existing mandates of agencies.
- Avoid duplication of assistance, coordinate program application processes and planning requirements to streamline assistance processes, and identify and coordinate resolution of policy and program issues.
- Identify programs and activities across the public, private, and nonprofit sectors that similarly support long-term recovery and promote coordination between them.
- Identify appropriate Federal programs and agencies to support implementation of comprehensive long-term community planning and identify gaps in available resources.
- Identify appropriate Federal programs and agencies to support and facilitate continuity of long-term recovery activities.

Technical Support

ESF #14 provides a coordination mechanism for the Federal Government to:

- Work with State, tribal, and local governments; NGOs; and private-sector organizations to support long-term recovery planning for highly impacted communities.

- Link recovery planning to sound risk reduction practices to encourage a more viable recovery.
- Strategically apply subject-matter expertise to help communities recover from disasters.

ORGANIZATION

Headquarters: The Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) serves as the national ESF #14 coordinator among primary and support agencies. ESF #14 provides representatives to the National Response Coordination Center as requested. Primary agencies are responsible for coordinating ESF #14 planning and recovery activities and strengthening the capabilities of ESF #14.

Regional and Field Operations: The ESF #14 coordinator and primary agencies meet to determine the need to activate ESF #14 elements when the incident is likely to require significant Federal long-term community recovery assistance. Support agencies also have the right to approach the ESF #14 coordinator to request ESF #14 activation. ESF #14 typically organizes within the Operations Section of the Joint Field Office, but may support other Sections as required. Agency representation depends on the nature and severity of the incident.

ACTIONS

Preincident Planning and Coordination

Primary and support agencies meet regularly at the national and regional levels to ensure procedures and program/contact information are up to date, to discuss lessons identified from incidents and exercises, and to explore ways to leverage resources by creative use of Federal assistance.

ESF #14:

- Develops coordination mechanisms and requirements for postincident assessments, plans, and activities that can be scaled to incidents of varying types and magnitudes.
- Conducts impact evaluation of prior ESF #14 efforts and other studies as needed to improve future operations.
- Coordinates development of national long-term recovery strategies and plans in coordination with other relevant Federal departments and agencies that have independent authorities and responsibilities for addressing key issues regarding catastrophic incidents. These may include accessible housing (incident and permanent), large displacements of individuals including those with special needs, contaminated debris management, decontamination and environmental restoration, restoration of public facilities and infrastructure, and restoration of the agricultural sector.
- Develops plans, procedures, and guidance delineating appropriate agency participation and available resources, taking into account the differing technical needs and statutory responsibilities.

Immediately Prior to Incident (when notice is available—e.g., hurricane, flood)

ESF #14:

- Provides early identification of projects that can be quickly implemented, especially those relating to critical facilities based on existing State, tribal, and local plans.
- Collaborates with the State(s) and other ESFs regarding managing the response in a way that facilitates long-term recovery.

Postevent Planning and Operations

ESF #14:

- Gathers information from Federal departments and agencies and State, tribal, and local governments to assess the impacts and needs.
- Convenes interagency meetings to develop an incident-specific Federal action plan delineating specific agency participation to support specific community recovery and mitigation activities and to avoid duplication of assistance to recipients.
- Facilitates sharing of information among agencies and ESFs and coordinates early resolution of issues and the timely delivery of Federal assistance.
- Coordinates identification of appropriate Federal programs to support implementation of long-term community recovery plans 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.
- May provide technical assistance such as impact analyses, economic revitalization, and recovery planning support.
- Coordinates with ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services, ESF #8 – Public Health and Medical Services, and the State(s) to identify long-term recovery needs of special needs populations and incorporate these into recovery strategies.
- Coordinates with ESF #3 - Public Works and Engineering, ESF #10 - Oil and Hazardous Materials Response, and the State(s) to identify long-term environmental restoration issues.
- Coordinates with animal welfare and agricultural stakeholders and service providers in long-term community recovery efforts.
- 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.
- Facilitates recovery decisionmaking across ESFs and increases awareness of communities' existing development and hazard mitigation plans.

RESPONSIBILITIES

ESF Coordinator: DHS/FEMA

- Convenes meetings preincident and postincident to implement ESF #14.
- Ensures appropriate participation from primary and support agencies during the response and long-term recovery efforts.
- Coordinates drafting and publication of ESF #14 operational plans and procedures.
- Represents ESF #14 at interagency operational planning meetings.

Primary Agencies

- Identify areas of collaboration with support agencies and coordinate the integrated delivery of interagency assistance, issue resolution, and planning efforts.
- Lead planning efforts for areas of agency expertise and lead postincident assistance efforts for areas of department/agency expertise.

Agency	Functions
Department of Agriculture	Provides emergency loans and grants for the agricultural sector; economic and technical assistance for recovery of rural community facilities, businesses, utilities, and housing; technical assistance for agricultural market recovery, community planning, and community development; and resource conservation assistance.
Department of Homeland Security	<p>FEMA: Provides technical assistance in community, tribal, and State planning; recovery and mitigation grant and insurance programs; outreach, public education, and community involvement in recovery planning; building science expertise; and natural hazard vulnerability/risk assessment expertise.</p> <p>Office for Civil Rights and Civil Liberties: Provides expertise in issues related to special needs populations to ensure that they are an integral part of the recovery process.</p> <p>Office of Infrastructure Protection: Provides technical expertise in protective measures for critical infrastructure.</p> <p>Office of the Private Sector: Provides expertise in private-sector capabilities and services; provides coordination with private-sector organizations.</p> <p>Transportation Security Administration: Coordinates security of the Nation's transportation system in times of national emergency.</p>
Department of Housing and Urban Development	Provides building technology technical assistance, and assistance for housing, community redevelopment and economic recovery, public services, infrastructure, mortgage financing, and public housing repair and reconstruction.
Small Business Administration	<ul style="list-style-type: none"> • Provides 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. • Provides loan assistance to small businesses to address adverse economic impact due to the incident.

SUPPORT AGENCIES

ESF #14 support agencies participate in planning and technical assistance efforts for areas of agency expertise.

Agency	Functions
Department of Commerce	Economic and Statistics Administration: Performs economic impact assessment.
	Economic Development Administration: Provides economic recovery and growth assistance, technical assistance in community planning, and economic assessment expertise.
	National Institute of Standards and Technology: Provides building science expertise.
	National Oceanic and Atmospheric Administration: Provides natural hazard vulnerability analysis, provides assistance on coastal zone management and building community resilience, supplies geospatial technology (e.g., Geographic Information System, or GIS) assistance and coastal inundation information, performs ecosystem and damage assessments, and provides technical assistance in recovering fisheries, restoring habitat, and rebuilding coastal communities.
Department of Defense	U.S. Army Corps of Engineers <ul style="list-style-type: none"> • 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 permanent and accessible housing, debris management, and the restoration of public facilities and infrastructure.
Department of Energy	<ul style="list-style-type: none"> • 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. • Provides technical support for energy efficiency and sustainability practices and technology (National Renewable Energy Lab).
	National Nuclear Security Administration: Provides technical advice in radioactive debris management.
Department of Health and Human Services (HHS)	Provides support for long-term recovery including, but not limited to: <ul style="list-style-type: none"> • Collaboration with State, tribal, and local officials on prioritizing restoration of the public health and private medical and healthcare service delivery infrastructures to accelerate overall community recovery. • Technical consultation and expertise on necessary services to meet the long-term physical and behavioral health needs of affected populations, as well as encouraging short- and long-term public financing to meet these needs. • Coordination of linking HHS benefit programs with affected populations. • Technical assistance in the form of impact analyses and recovery planning support of public health and private medical and other healthcare service delivery infrastructure, where appropriate. • Coordination of all potential HHS sources of recovery funding.
Department of the Interior	<ul style="list-style-type: none"> • Provides technical assistance in community planning, and natural and cultural resources and historic properties expertise and assistance; community liaison for federally owned lands and facilities; and natural-hazards vulnerability analysis expertise. • Coordinates with ESF #11 – Agriculture and Natural Resources regarding long-term recovery of natural and cultural resources and historic properties.

Emergency Support Function #14 – Long-Term Community Recovery Annex

Agency	Functions
Department of Labor	<ul style="list-style-type: none"> • 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.
Department of the Treasury	Ensures economic and financial resilience and vitality, including reliability of public and private payments systems and financial flows, and removal of impediments to economic activity.
Environmental Protection Agency	<ul style="list-style-type: none"> • Provides technical assistance in contaminated debris management, environmental remediation, and watershed protection, planning, management, and restoration. • Provides technical assistance in developing appropriate drinking water and wastewater infrastructure projects and in identifying financial assistance options. • Provides technical assistance on using environmentally sound and sustainable approaches in rebuilding businesses and communities.
Corporation for National and Community Service	<ul style="list-style-type: none"> • Provides trained National Service Participants (including AmeriCorps members, Learn and Serve America volunteers, and Retired and Senior Volunteer Program volunteers) as human resource support for long-term community recovery to include: • Support for development and operation of long-term recovery committees and to help meet individual (especially for special needs residents) and community unmet needs as they are identified. • Support for reestablishment and renewal of the community-level private voluntary sector (civic, nonprofit, and voluntary organizations). • Canvassing, information distribution, and registration support. • Case management assistance.
Delta Regional Authority	<ul style="list-style-type: none"> • Serves as regional planner and provider of technical assistance through the local development districts overlaying its footprint. • Facilitates and coordinates Federal investment in the Delta Regional Authority region. • Reduces fragmentation and duplication. • Can provide local/State matching funds.
American Red Cross	Provides long-term individual and family services, case management, assistance with unmet needs, and health and human services both directly and through other agencies.
National Voluntary Organizations Active in Disaster	<p>National Voluntary Organizations Active in Disaster (National VOAD) is the forum where member organizations share knowledge and resources throughout the disaster cycle, including recovery for individuals and families as well as the community.</p> <ul style="list-style-type: none"> • Provide canvassing, needs assessment, and information distribution support to local, tribal, State, and Federal operations. • Provide assistance with locating housing resources and short-term lodging assistance, as well as assistance for repairing and rebuilding homes. • Provide assistance with unmet needs related to obtaining/completing permanent housing. • Provide debris clearance in concert with homeowners and local government. • Develop, train, and operate community long-term recovery committees to help meet individual and community needs as identified. • Provide long-term individual and family services, case management, assistance with unmet needs for individuals and families, and health and human services. • Provide financial assistance to affected individuals and families for unmet needs.

This page intentionally left blank.

ESF Coordinator:

Department of Homeland Security

Support Agencies:

All

Primary Agency:

Department of Homeland Security/Federal
Emergency Management Agency

INTRODUCTION

Purpose

Emergency Support Function (ESF) #15 – External Affairs ensures that sufficient Federal assets are deployed to the field during incidents requiring a coordinated Federal response to provide accurate, coordinated, timely, and accessible information to affected audiences, including governments, media, the private sector, and the local populace, including the special needs population. ESF #15 provides the resource support and mechanisms to implement the *National Response Framework (NRF)* Incident Communications Emergency Policy and Procedures (ICEPP) described in the Public Affairs Support Annex. Additional information about External Affairs can be found in the ESF #15 Standard Operating Procedure (SOP), located on the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) website.

The procedures outlined in this annex are consistent with the *NRF*, which establishes policy; the *National Incident Management System (NIMS)*, which addresses standardization; and the ESF #15 SOP, which outlines the guidance, protocols, and implementing tactics of the Joint Information System.

Scope

ESF #15 coordinates Federal actions to provide the required external affairs support to Federal, State, tribal, and local 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 incident communications and external affairs support or whose external affairs assets may be employed during incidents requiring a coordinated Federal response.

The provisions of this annex apply to any incident for which the DHS Assistant Secretary for Public Affairs decides to activate the annex, in response to an event where significant interagency coordination is required.

ESF #15 integrates Public Affairs, Congressional Affairs, Intergovernmental Affairs (State, tribal, and local coordination), Community Relations, and the private sector under the coordinating auspices of External Affairs. Another component, the Joint Information Center (JIC), ensures the coordinated release of information under ESF #15. The Planning and Products component of External Affairs develops all external and internal communications strategies and products for the ESF #15 organization. These functions are further described in the Concept of Operations section below and in the ESF #15 SOP.

ESF #15 provides the resources and structure for the implementation of the ICEPP. Incident communications actions contained in the ICEPP are consistent with the template established in the *NIMS*. Personnel who work under the auspices of External Affairs must be familiar with the provisions of ESF #15 in the event that the ESF is activated.

Policies

Federal planning for external affairs functions recognizes State, tribal, and local 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, tribal, and local governments are unable to perform these responsibilities, the Federal Government may provide vital operational health and safety information to the affected population.

State, tribal, and local external affairs elements are fully integrated into ESF #15.

Since ESF #15 integrates various functional areas, primary and support agencies are strongly encouraged to participate in ESF #15 training and exercises to ensure that their personnel are able to execute their responsibilities and achieve unity of effort when the ESF is activated.

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 necessary for incidents requiring a coordinated Federal response. 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 messages developed in coordination with interagency public affairs officials and the Domestic Readiness Group (DRG). The staff of the DHS Office of Public Affairs (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 Officer: ESF #15 provides the External Affairs Officer to the Unified Coordination Staff during an incident requiring a coordinated Federal response. The External Affairs Officer, or ESF #15 Officer, serves as the primary external affairs advisor to the Federal Coordinating Officer (FCO)/Federal Resource Coordinator (FRC), Unified Coordination Group, and Principal Federal Official (PFO), if designated. ESF #15 may provide the same support to a National Special Security Event.

The External Affairs Officer reports to the ESF #15 Director and the Unified Coordination Group. Specific duties include coordinating and developing the external affairs and communications strategy in support of the Unified Coordination Group and the Incident Action Plan; coordinating the external affairs information flow within the Joint Field Office (JFO) and among other Federal, State, tribal, and local counterparts; and facilitating site visits by governmental officials, foreign dignitaries, and other VIPs. The External Affairs Officer and the ESF #15 staff will work with the Special Needs Advisor to ensure information is accessible to special needs populations. The External Affairs Officer differs from a press secretary, which may be assigned to directly support a PFO, when designated.

Emergency Support Function #15 – External Affairs Annex

Resource	Supports ESF #15 by:
External Affairs	<ul style="list-style-type: none"> • Providing support and advice to the FCO/FRC, the PFO (if appointed), and other members of the Unified Coordination Group. • Conducting communications planning through an Incident Action Plan with incident-specific guidance and objectives.
Public Affairs	<ul style="list-style-type: none"> • Coordinating messages with Federal, State, tribal, and local governments and establishing a Federal JIC. (See the Public Affairs Support Annex for the types of JICs that can be established for incident communications.) • Gathering information on the incident. • Providing incident-related information through the media and other sources in accessible formats and multiple languages to individuals, households, businesses, and industries directly or indirectly affected by the incident. • 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 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.
Community Relations	<ul style="list-style-type: none"> • Conducting the external affairs function in a joint manner between Federal, State, tribal, and local 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, disability, educational, tribal, 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, tribal, 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	<ul style="list-style-type: none"> • 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 on all congressional affairs issues to ensure coordinated efforts.
State and Local Coordination	<ul style="list-style-type: none"> • Promoting Federal interaction with State, tribal, and local governments. • Implementing a system of information-sharing among Federal, State, tribal, and local governments. • Informing State, tribal, and local elected and appointed officials on response efforts, protocols, and recovery programs. • Disseminating information with the assistance of State municipal leagues, county associations, and tribal governments.

Emergency Support Function #15 – External Affairs Annex

Resource	Supports ESF #15 by:
Tribal Affairs	<ul style="list-style-type: none">• Promoting Federal interaction with tribal governments on all aspects of incident management operations and reporting directly to the External Affairs Officer or Unified Coordination Group.• Supporting the Tribal Relations Element when established with incident-specific subject-matter experts from other departments and agencies, if and when required.• When appropriate, establishing a Tribal Relations Information Element within the Tribal Relations 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.
Planning and Products	<ul style="list-style-type: none">• Developing communications Incident Action Plans and messages.• Educating the public in the aftermath of an incident requiring a coordinated Federal response through news advisories, press releases, and prepared materials.
Private Sector	<ul style="list-style-type: none">• Coordinating information across Federal, State, local, and tribal governments to identify needs, convey resources available for business recovery, and facilitate collaborative support for economic recovery.• Disseminating response, recovery, and other important information to the private sector through public outreach and education methods such as media campaigns, workshops, roundtables, and trainings.• Engaging the private sector in information sharing to support situational awareness and public-private partnerships that will enhance response and recovery operations.

ORGANIZATION

The DHS Assistant Secretary for Public Affairs, in coordination with the NRCC, activates and directs ESF #15 procedures. The DHS/ FEMA Office of Public Affairs designates a DHS/FEMA Public Affairs staff member as an ESF #15 representative to staff the NRCC as directed. When ESF #15 is activated, its activities are implemented in coordination with the DHS OPA components of the National Operations Center and DRG. 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.

The National JIC (NJIC) is activated during incidents requiring a coordinated Federal response. The NJIC serves as the Federal incident communications coordination center. The virtual Federal interagency team and National Incident Communications Conference Line are controlled from the NJIC.

External affairs components collocate with the Unified Coordination Staff as designated in the *NRF*. ESF #15 components provide appropriate representatives who are prepared to deploy rapidly to the incident location.

RESPONSIBILITIES

Primary Agency: DHS/FEMA

Resources provided by DHS/FEMA in support of ESF #15 missions include:

- **Emergency Alert System (EAS):** The Federal Communications Commission (FCC) designed the EAS as a tool for the President to quickly send important emergency information to the Nation using radio, television, and cable systems. The EAS may also be used by State, tribal, and local authorities to deliver alerts and warnings. The EAS is required to deliver all EAS messages visually and aurally to be accessible to persons with hearing and vision disabilities. DHS/FEMA is installing a satellite-based distribution network as part of ongoing improvements to the national alert and warning system, providing an alternative path for the President and authorized officials to send emergency messages to the public and to the State emergency operations centers. Using a satellite-based system allows FEMA to reach all State entry point facilities more reliably, especially during conditions where landline communications are disrupted, such as during flooding and earthquakes. While the FCC is tasked with the regulatory authority over the EAS, DHS/FEMA is the EAS executive agent for the White House. As such, DHS/FEMA is responsible for the overall operation of the EAS.
- **Activation and Operation of National-Level EAS:** After a Presidential activation order is issued, DHS/FEMA can access the facilities of broadcast stations and other communications providers across the Nation within several minutes.
- **State and Local Government Use:** The EAS is available for State, tribal, and local use, but such use is voluntary on the part of the EAS participant, and would be preempted by a national activation. State, tribal, and local governments maintain supporting plans to cover EAS operations. DHS/FEMA coordinates EAS management issues with State, tribal, and local authorities.
- **Mobile Emergency Response Support (MERS):** DHS/FEMA MERS provides mobile telecommunications, operational support, life support, and power generation assets for the onsite management of all-hazard activities. MERS provides a deployable broadcast radio capability for multimedia communications, information processing, logistics, and operational support to Federal, State, tribal, and local authorities during incidents requiring a coordinated Federal response. MERS is a valuable recovery resource to update the public and affected population.
- **National Preparedness Network (PREPnet):** PREPnet is a DHS/FEMA television broadcast network capable of reaching large portions of the public in an impacted area with survival and recovery information before, during, and after catastrophic events. PREPnet delivers information via cable television, satellite services, personal digital devices, cell phones, and webcasts to both the public at large and to emergency responders. As a scalable DHS asset, PREPnet capabilities span a spectrum from simple public service announcements on up to 24/7 broadcast of recovery information to victims wherever they may have relocated.
- **Recovery Radio Support:** When commercial broadcast capabilities are impaired in an area, DHS/FEMA works with local broadcasters to set up Recovery Radio support. Recovery Radio provides official response and recovery information to local stations on an hourly basis through a pool feed. 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. The Secretary of Homeland Security can utilize the NWR Network to send target alerts anywhere in the country. In addition, this type of activation also activates DHS/FEMA’s EAS network at the local level. NWR also broadcasts warning and postevent 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	Community Relations Service: The Community Relations Service of the Department of Justice, through a DHS/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.
Other Departments and Agencies	Depending on the nature and scope of the incident, all Federal departments and agencies support the <i>National Response Framework</i> and are responsible for providing appropriate support for ESF #15 as required.
Corporation for National and Community Service	The Corporation for National and Community Service provides teams of trained National Service Participants (including AmeriCorps members, Learn and Serve America volunteers, and Retired and Senior Volunteer Program volunteers) to carry out a wide range of response and recovery support activities emphasizing disadvantaged communities and special needs populations, including: <ul style="list-style-type: none"> • Information distribution, canvassing, and needs assessment. • Shelter and service center support. • Unaffiliated volunteer coordination. • Call center support. • Other appropriate activities identified by ESF #15 coordinators or the DHS/FEMA Voluntary Agency Liaison.
American Red Cross	The American Red Cross is a support agency under the <i>NRF</i> in a number of ESFs, most notably ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services. The Red Cross works with State, tribal, and local authorities to function as a direct provider of disaster relief services including emergency sheltering, feeding, basic first aid support, mental health counseling, and disaster assessment. Under ESF #8 – Public Health and Medical Services, the Red Cross serves to support the Department of Health and Human Services in the provision of blood products.

SUPPORT ANNEXES: INTRODUCTION

The Support Annexes describe how Federal departments and agencies; State, tribal, and local entities; the private sector; volunteer organizations; and nongovernmental organizations (NGOs) 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 Support Annexes may be fully or partially implemented without the Secretary of Homeland Security coordinating Federal operations.

The following section includes a series of annexes describing the roles and responsibilities 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:

- Critical Infrastructure and Key Resources
- Financial Management
- International Coordination
- Private-Sector Coordination
- Public Affairs
- Tribal Relations
- Volunteer and Donations Management
- Worker Safety and Health

Support Annex Roles and Responsibilities

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 to ensure seamless integration of and transitions between preparedness, response, and recovery activities.

Each annex is managed by one or more coordinating agencies and is supported by various cooperating agencies. The responsibilities of coordinating and cooperating agencies are identified below.

Coordinating Agency

Federal agencies designated as coordinating agencies are responsible for implementation of processes detailed in the annexes. Coordinating agencies support the Department of Homeland Security (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.

When the functions of a particular Support Annex are required, 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 operations functions at fixed and field facilities.
- Notifying and subtasking cooperating agencies.
- Managing tasks with cooperating agencies, as well as appropriate State, tribal, or local 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- and long-term support to incident management and recovery operations.
- Conducting preparedness activities such as training and exercises to maintain personnel who can provide appropriate support.

Cooperating Agencies

Cooperating agencies are those entities that have specific expertise and capabilities to assist the coordinating agency in executing incident-related tasks or processes. 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, consistent with their own authority and resources, except as directed otherwise pursuant to sections 402, 403, and 502 of the Stafford Act.
- Participating in planning for short- 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 response and recovery capabilities.

When requested, and upon approval of the Secretary of Defense, the Department of Defense (DOD) provides Defense Support of Civil Authorities during domestic incidents. Accordingly, DOD is considered a cooperating agency for the majority of Support Annexes.

Table 1. Designation of Support Annex Coordinating and Cooperating Agencies

Cr = Coordinating Agency
Co = Cooperating Agency

Agency	Critical Infrastructure and Key Resources	Financial Management	International Coordination	Private-Sector Coordination	Public Affairs	Tribal Relations	Volunteer and Donations Management	Worker Safety and Health
USDA	Co	Co	Co	Co	Co	Co	Co	
DOC	Co	Co	Co	Co	Co			
DOD	Co	Co	Co	Co	Co			
DOD/USACE								Co
ED	Co	Co		Co	Co			
DOE	Co	Co	Co	Co	Co			Co
HHS	Co	Co	Co	Co	Co	Co	Co	Co
DHS	Cr	Co	Co	Cr	Cr	Cr	Co	
DHS/FEMA		Cr					Cr	Co
DHS/USCG								Co
HUD		Co		Co	Co			
DOI	Co	Co		Co	Co	Co		
DOJ	Co	Co	Co	Co	Co			
DOL	Co	Co		Co	Co			Cr
DOS	Co	Co	Cr	Co	Co		Co	
DOT	Co	Co	Co	Co	Co		Co	
TREAS	Co	Co		Co	Co			
VA	Co	Co		Co	Co			
EPA	Co	Co		Co	Co			Co
FCC		Co		Co	Co			
GSA		Co		Co	Co		Co	
NASA		Co		Co	Co			
NRC	Co	Co		Co	Co			
OPM		Co		Co	Co			
SBA		Co		Co	Co			
SSA		Co		Co	Co			
TVA		Co		Co	Co			
USAID		Co	Co	Co	Co		Co	
USPS	Co	Co		Co	Co			

Cr = Coordinating Agency
 Co = Cooperating Agency

Agency	Critical Infrastructure and Key Resources	Financial Management	International Coordination	Private-Sector Coordination	Public Affairs	Tribal Relations	Volunteer and Donations Management	Worker Safety and Health
ARC			Co					
FERC	Co							
IC	Co							
ISAC	Co							
OSTP	Co							
PCIS	Co							
SLTTGCC	Co							
USA Freedom Corps							Co	
CNCS							Co	
NVOAD							Co	

Coordinating Agency:

Department of Homeland Security

Cooperating Agencies/Organizations:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
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 Energy Regulatory Commission
Intelligence Community
Nuclear Regulatory Commission
Office of Science and Technology Policy
U.S. Postal Service
Information Sharing and Analysis Center
Council
Partnership for Critical Infrastructure
Security
State, Local, Tribal, and Territorial
Government Coordinating Council

INTRODUCTION

Purpose

This annex describes policies, roles and responsibilities, and the concept of operations for assessing, prioritizing, protecting, and restoring critical infrastructure and key resources (CIKR) of the United States and its territories and possessions during actual or potential domestic incidents. The annex details processes to ensure coordination and integration of CIKR-related activities among a wide array of public and private incident managers and CIKR security partners within immediate incident areas as well as at the regional and national levels. Specifically, this annex does the following:

- Describes roles and responsibilities for CIKR preparedness, protection, response, recovery, restoration, and continuity of operations relative to *National Response Framework (NRF)* coordinating structures and *National Incident Management System (NIMS)* guiding principles.
- Establishes a concept of operations for incident-related CIKR preparedness, protection, response, recovery, and restoration.¹
- Outlines incident-related actions (including preresponse and postresponse) to expedite information sharing and analysis of actual or potential impacts to CIKR and facilitate requests for assistance and information from public- and private-sector partners.

¹ Restoration is an element of recovery and, within the context of this annex, is defined as returning CIKR services and site performance capabilities.

Scope

This annex addresses integration of the CIKR protection² and restoration mission as a vital component of the Nation's unified approach to domestic incident management, which also may include CIKR-related international considerations.

Critical infrastructure includes those assets, systems, networks, and functions—physical or virtual—so vital to the United States that their incapacitation or destruction would have a debilitating impact on security, national economic security, public health or safety, or any combination of those matters. Key resources are publicly or privately controlled resources essential to minimal operation of the economy and the government.³

CIKR is organized into 17 sectors that together provide essential functions and services supporting various aspects of the U.S. Government, economy, and society. (See Table A-1 for a full list of sectors and designated Sector-Specific Agencies (SSAs).)

Processes outlined herein apply to Federal departments and agencies during incidents with potential or actual CIKR impacts—and may apply to, or involve, incident managers and security partners⁴ at other levels of government and the private sector, including CIKR owners and operators.

CIKR-related processes described in this annex utilize the unified risk-based approach for "steady-state" protection detailed in the *National Infrastructure Protection Plan (NIPP)*. CIKR requirements generated by the threat or incident at hand are coordinated through *NRF* and *NIMS* organizational structures. This applies to activities in the local incident area, as well as response and recovery activities outside the incident area, regionally, or nationally.

Policies

Policies for CIKR protection and preparedness are established through the following authorities: Homeland Security Act of 2002; Homeland Security Presidential Directive (HSPD) 7, "Critical Infrastructure Identification, Prioritization, and Protection"; the National Strategy for the Physical Protection of Critical Infrastructure and Key Assets; the National Strategy for Securing Cyberspace; and other relevant statutes, Executive orders, and Presidential directives.

HSPD-7 charges the Secretary of Homeland Security with responsibility for coordinating the overall national effort to enhance the protection of the CIKR of the United States. The directive also designates SSAs with responsibility for coordinating planning-, preparedness-, and protection-related activities within each of the 17 CIKR sectors. This approach provides the structure needed to address the unique characteristics and operating models of each of the sectors.

² *National Infrastructure Protection Plan (NIPP)*, 2006, Glossary, pg. 104, defines the term *protection* as "actions to mitigate the overall risk to CIKR assets, systems, networks, or their interconnecting links resulting from exposure, injury, destruction, incapacitation, or exploitation. In the context of the *NIPP*, protection includes actions to deter the threat, mitigate vulnerabilities, or minimize consequences associated with a terrorist attack or other incident. Protection can include a wide range of activities, such as hardening facilities, building resiliency and redundancy, incorporating hazard resistance into initial facility design, initiating active or passive countermeasures, installing security systems, promoting workforce surety, and implementing cyber security measures, among various others."

³ *NIPP*, 2006, Glossary of Key Terms, is the source for the definitions of critical infrastructure and key resources. These definitions are derived from the provisions of the Homeland Security Act of 2002 and HSPD-7.

⁴ As defined in the *NIPP*, security partners include Federal, State, regional, tribal, local, or international government organizations; private-sector owners and operators and representative organizations; academic and professional entities; and not-for-profit and private volunteer organizations. Regional security partnerships include a variety of public-private sector initiatives that cross jurisdictional and/or sector boundaries.

Further information on a variety of statutes, strategies, and directives that are applicable to CIKR protection and restoration are included in Appendix 2A of the *NIPP*.

This annex does not alter or supersede existing:

- Statutory responsibilities for CIKR protection, incident management, emergency management, or other related functions under the law.
- Regulatory, contractual, or other legal relationships between Federal agencies and the private sector.
- International agreements, treaties, or other agreements for incident management or between the U.S. Government and other countries.

The following sections provide an overview of the general authorities that guide CIKR-related activities in the context of the *NRF*. This includes the *NIPP*, developed as the implementing structure for steady-state CIKR protection; the Robert T. Stafford Disaster Relief and Emergency Assistance Act; and the Defense Production Act.

National Infrastructure Protection Plan (NIPP)

The *NIPP* and its associated CIKR Sector-Specific Plans (SSPs) work in conjunction with the *NRF* and its supporting annexes to provide a foundation for CIKR preparedness, protection, response, and recovery efforts in an all-hazards context.

In fact, day-to-day public-private coordination structures, information-sharing networks, and risk management frameworks used to implement *NIPP* steady-state CIKR protection efforts continue to function and enable coordination and support for CIKR protection and restoration for incident-management activities under the *NRF*.

The *NIPP* establishes the overall risk-based construct that defines the unified approach to protecting the Nation's CIKR in an all-hazards context, and specifies procedures and activities to reduce risk to the Nation's CIKR on a day-to-day basis, including:

- The risk management framework used to implement *NIPP* steady-state CIKR protection efforts and provide the CIKR protection and restoration dimension for incident management activities under the *NRF*.
- The sector partnership model that encourages the use of Sector Coordinating Councils (SCCs), Government Coordinating Councils (GCCs), and cross-sector coordinating councils to create an integrated national framework for CIKR preparedness, protection, and restoration across sectors.
- The networked approach to CIKR information sharing that provides for multidirectional CIKR-related exchanges of actionable intelligence, alerts, warnings, and other information between and among various *NIPP* partners including: SSAs; State, tribal, and local entities; the Intelligence Community; law enforcement; Emergency Support Functions (ESFs); other Federal agencies and departments; and CIKR owners, operators, and sector-based information-sharing mechanisms.⁵

⁵ CIKR sectors rely on information-sharing mechanisms such as Information Sharing and Analysis Centers (ISACs), which provide operational and tactical capabilities for information sharing and, in some cases, support for incident response activities. Originally recommended by Presidential Decision Directive 63 in 1998, ISACs are sector-specific entities that advance physical and cyber CIKR protection efforts by establishing and maintaining frameworks for operational interaction between and among members and external security partners.

Complementing the *NIPP*, supporting SSPs provide the specific mechanisms required for full implementation of the *NIPP* risk management framework within each CIKR sector and are developed by designated SSAs in close collaboration with sector security partners, ESFs, and other Federal agencies and departments.

The Value Proposition

Prevention, response, restoration, and recovery efforts are most efficient and effective when there is full participation of government and industry partners. The “value proposition” set forth in the *NIPP* articulates the mutual benefits to government and private sector for engaging in preparedness and response activities. In accordance with these principles, the Federal Government:

- Provides owners and operators timely, accurate, and actionable all-hazards information.
- Ensures owners and operators are engaged at senior executive and operational levels primarily through their respective SCCs and GCCs.
- Articulates benefits of a risk-based, cross-sector approach to preparedness, resilience, and protection.
- Works with owners and operators to clearly establish priorities for prevention, protection, and recovery.
- Provides specialized technical expertise for CIKR-related preparedness, protection, and recovery.
- Coordinates with international allies and owners and operators on CIKR priorities, risk assessments, mitigation, and restoration and recovery activities.

General Process for Requesting Federal Assistance

CIKR-related preparedness, protection, response, and recovery activities operate within a framework of mutual aid and assistance. Incident-related requirements can be addressed through direct actions by owners and operators or with government assistance provided by Federal, State,⁶ tribal, or local authorities in certain specific circumstances.

Robert T. Stafford Disaster Relief and Emergency Assistance Act.⁷ Disaster assistance programs generally offer support for incident-related repair, replacement, or emergency protective services needed for infrastructure owned and operated by government entities.

Stafford Act principles permit consideration of private-sector requests for assistance, but the application of these legal principles does not guarantee that needs or requests from private-sector entities will be met in all cases. A private-sector CIKR owner or operator may receive direct or indirect assistance from Federal Government sources when the need:

- Exceeds capabilities of the private sector and relevant State, tribal, and local governments;
- Relates to immediate threat to life and property;

⁶ Consistent with the definition of “State” in the Homeland Security Act of 2002, all references to States within the CIKR Support Annex are applicable to territories and include by reference 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 (Homeland Security Act of 2002).

⁷ Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390, April 2007; § 5170b. ESSENTIAL ASSISTANCE (Sec. 403).

Critical Infrastructure and Key Resources Support Annex

- Is critical to disaster response or community safety; and
- Relates to essential Federal recovery measures.

The process for coordinating requests for assistance and information from private-sector CIKR owners and operators is described in the Concept of Operations section of this annex.

The Defense Production Act (DPA) provides specific authority to expedite supply and strengthen production capabilities for CIKR protection and restoration activities.⁸ These authorities include use of the following:

- Priority ratings in the Defense Priorities and Allocations System on contracts and orders for industrial resources.⁹
- Financial incentives to expedite deliveries and expand supplies of materials and services.
- Agreements by the private sector to share information to coordinate management of critical supplies.
- Private-sector experts in government emergency preparedness, response, and recovery activities.

The Department of Homeland Security (DHS)/Federal Emergency Management Agency coordinates DPA authorities related to incident management before and during an incident, including: providing priority ratings on contracts and orders for industrial resources in cooperation with the Department of Commerce or relevant SSAs; developing guidance and procedures; coordinating DPA plans and programs; and providing technical assistance for all appropriate Federal agencies under the *NRF* and *NIPP*.

CONCEPT OF OPERATIONS

The concept of operations describes specific organizational approaches, processes, coordinating structures, and incident-related actions required for the protection and restoration of CIKR assets, systems, networks, or functions within the impacted area and outside the impacted area at the local, regional, and national levels. The processes described herein are detailed further in standard operating procedures, field guides, and other related guidance developed collaboratively by DHS and the cooperating agencies to this annex.

The concept of operations uses the organizational structures and information-sharing mechanisms that are established in the *NIPP* for identifying, prioritizing, protecting, and restoring the Nation's CIKR and describes protocols to integrate these steady-state organizational elements with *NRF* incident management organizational structures and activities.

Specifically, the concept of operations focuses on processes and actions for CIKR-related:

- Situational awareness.

⁸ The Defense Production Act of 1950 (codified as amended by the Defense Production Act Reauthorization of 2003) is the primary authority to ensure the timely availability of resources for national defense and civil emergency preparedness and response. 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.

⁹ The Defense Priorities and Allocations System regulation found in 15 CFR Part 700 implements the priorities and allocations authority of the DPA, ensures the timely availability of industrial resources for approved programs, and provides an operating system to support rapid industrial response to a national emergency.

- Impact assessments and analysis.
- Information sharing.
- Requests for assistance or information from private-sector CIKR owners and operators.

General

Addressing CIKR-related prevention, protection, preparedness, response, and recovery requires cooperation and collaboration between and among CIKR entities. A primary objective of this collaborative effort between the private-sector owners and operators; State, tribal, and local governments; nongovernmental organizations; and the Federal Government is to ensure that resources are applied where they offer the most benefit for mitigating risk, deterring threats, and minimizing the consequences of incidents.

DHS is responsible for leading, integrating, and coordinating the overall national effort to enhance CIKR protection, including developing and implementing comprehensive, multitiered risk management programs and methodologies; developing cross-sector and cross-jurisdictional protection guidance and protocols; and recommending risk management and performance criteria and metrics within and across sectors. The DHS responsibilities for CIKR support that are most applicable during incident response include:

- Identifying, prioritizing, and coordinating Federal action in support of the protection of nationally critical assets, systems, and networks, with a particular focus on CIKR that could be exploited to cause catastrophic health effects or mass casualties comparable to those produced by a weapon of mass destruction.
- Establishing and maintaining a comprehensive, multitiered, dynamic information-sharing network designed to provide timely and actionable threat information, assessments, and warnings to public- and private-sector security partners. This responsibility includes protecting sensitive information voluntarily provided by the private sector and facilitating the development of sector-specific and cross-sector information-sharing and analysis systems, mechanisms, and processes.
- Coordinating, facilitating, and supporting comprehensive risk assessment programs for high-risk CIKR, identifying protection priorities across sectors and jurisdictions, and integrating CIKR protective programs with the all-hazards approach to domestic incident management described in HSPD-5.
- Identifying and implementing plans and processes for threat-based increases in protective measures that align to all-hazards warnings, specific threat vectors as appropriate, and each level of the Homeland Security Advisory System (HSAS).
- Conducting modeling and simulations to analyze sector, cross-sector, and regional dependencies and interdependencies, to include cyber-related issues, and sharing the results with security partners, as appropriate.
- Integrating national efforts for the protection and recovery of CIKR, including analysis, warning, information sharing, vulnerability reduction, and mitigation activities and programs.
- Documenting and sharing lessons learned from exercises, actual incidents, and predisaster mitigation efforts and applying those lessons, where applicable, to CIKR protection efforts.

- Working with the Department of State, SSAs, and other security partners to ensure that U.S. CIKR protection efforts are fully coordinated with international partners.

Federal departments and agencies provide support consistent with their CIKR-related statutory or regulatory responsibilities or with their designated functions as SSAs, ESF primary or supporting agencies, or coordinating or cooperating agencies for other related *NRF* Support or Incident Annexes.¹⁰

SSAs focus on overarching CIKR protection, risk management, and information sharing by working collaboratively with SCCs, GCCs, relevant Federal departments and agencies, State, local, and tribal governments, ESFs, CIKR owners and operators, sector-based information-sharing mechanisms, and other private-sector entities.

SSAs coordinate CIKR efforts within their sectors to deter threats, mitigate vulnerabilities, and minimize consequences of manmade and natural incidents. SSPs specify each sector's approach to the risk management and information-sharing components of incident management.

In cooperation with the DHS Office of Infrastructure Protection (OIP), SSAs collaborate with private-sector security partners to encourage:

- Supporting comprehensive risk assessment and management programs for high-risk CIKR.
- Sharing real-time incident notification as well as CIKR protection practices and processes.
- Developing information-sharing and analysis mechanisms to include consideration of physical and cyber threats.
- Promoting security-related information sharing among public and private entities.

In the context of incident management, SSAs coordinate with their counterparts designated within various *NRF* and ESF, Incident, or other Support Annex functions, as appropriate.

ESFs are activated to provide support for evolving CIKR-related incident management requirements by:

- Providing authorities, resources, program implementation, and support required for infrastructure-related response, recovery, and restoration within the impacted area.
- Serving as key points of coordination to address CIKR issues and concerns relating to the impacted area.
- Coordinating and collaborating with DHS; SSAs; owners and operators; State, tribal, and local entities; ESFs; and others as required to address CIKR concerns that fall within the scope of their ESF or other *National Response Framework*-related responsibilities.

State, tribal, and local government entities establish security partnerships, facilitate information sharing, and enable planning and preparedness for CIKR protection within their jurisdictions. State governments are responsible for:

- Developing and implementing statewide or regional CIKR protection programs integrated into homeland security and incident management programs.

¹⁰ Further discussion of specific Federal department and agency support for the CIKR support activities is in the Roles and Responsibilities section of this annex.

- Serving as crucial coordination hubs, bringing together prevention, preparedness, protection, response, and recovery authorities, capacities, and resources among local jurisdictions, across sectors, and across regional entities.
- Acting as conduits for requests for Federal assistance when the threat or incident situation exceeds the capabilities of public- and private-sector security partners in their jurisdictions.
- Coordinating with the State, Local, Tribal, and Territorial Government Coordinating Council (SLTTGCC) to ensure full integration with national- and regional-level CIKR prevention, protection, response, and restoration efforts.

Tribal governments are responsible for public health, welfare, safety, CIKR protection, and continuity of essential services within their jurisdictions.

Local governments usually are responsible for emergency services and first-level responses to CIKR incidents. In some sectors, local governments own and operate CIKR such as water, wastewater, and storm water systems and electric utilities, and are responsible for initial prevention, response, recovery, and emergency services provision.

Private-sector CIKR owners and operators are responsible at the corporate and individual facility levels for risk and incident management planning, security, and preparedness investments. Other activities that form part of business and continuity of operations planning activities include:

- Developing and revising business continuity and emergency management plans to address direct effects of incidents and critical dependencies and interdependencies at sector, enterprise, and facility levels.
- Building increased resiliency, backup capabilities, and redundancy into business processes and systems.
- Maintaining coordination with incident management, information-sharing, and CIKR protection programs.
- Reporting CIKR status using established mechanisms for inclusion in the national common operating picture (COP).
- Developing and coordinating CIKR protective and emergency-response actions, plans, and programs.
- Guarding against insider threats.
- Providing technical expertise to DHS, SSAs, ESFs, and other Federal, State, tribal, and local entities.
- Identifying CIKR and prioritizing related protection and restoration activities.

ORGANIZATION

National Level

National organizational structures described in the *NRF* and *NIPP* provide formal and informal mechanisms for public- and private-sector coordination, situational awareness, impact assessments, and information sharing in regard to CIKR-related concerns on a sector-by-sector and/or a cross-sector basis.

This coordination allows for broader engagement in one or more affected sectors. It also allows sectors to plan for and quickly react to far-reaching effects from an incident (or multiple incidents) and to alert individual owners and operators of the need to take specific actions to minimize impacts.

CIKR support at the national level involves active participation and coordination across a variety of activities to include the exchange of liaisons, implementation of reporting and information-sharing protocols, and/or physical representation, as required, at the following:

- **National Operations Center (NOC).** Representatives are assigned to various components of the NOC to provide CIKR subject-matter expertise and facilitate coordination, risk assessment, protective measure implementation, and information sharing. These representatives work with SSAs and ESF counterparts to ensure that coordinated CIKR-related communications, planning, and responses occur. (The *NRF* core document provides further discussion of NOC components and functions.)
- **National Response Coordination Center (NRCC).** DHS/OIP assigns a liaison to the NRCC to provide CIKR protection and incident management subject-matter expertise and direct connectivity to the National Infrastructure Coordinating Center, DHS/OIP risk assessment entities, SSA and ESF primary and supporting agencies, and Infrastructure Liaisons deployed to support Joint Field Office functions.
- **National Infrastructure Coordinating Center (NICC).** The NICC is a 24/7 watch coordination center providing integrated CIKR-related situational awareness and national-level coordination for SCCs, SSAs, owners and operators, and relevant regulatory authorities. The NICC collects sector and cross-sector status information and produces consolidated CIKR reports for incorporation into the Federal interagency COP that is produced by the NOC. During incident response, the NICC works closely with the NRCC to enable overall Federal CIKR response coordination and emergency management program implementation.
- **Department of Justice (DOJ)/Federal Bureau of Investigation (FBI) Strategic Information and Operations Center (SIOC).** DHS/OIP designates representatives, as required, to serve as liaisons to the DOJ/FBI SIOC, which 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 CIKR representatives provide situational awareness, assessment, information-sharing support, and reach-back relating to CIKR status, risk, consequences, and national-level sector and cross-sector priorities.
- **National Coordinating Center for Telecommunications (NCC).** The NCC is a joint government-industry sector forum that provides a mechanism for jointly responding to National Security and Emergency Preparedness (NS/EP) and other communications incidents. The NCC is the operational component of the National Communications System (NCS) and the lead Federal office for communications incident management. (Further details on the NCC and NCS are included in the ESF #2 – Communications Annex.)

- **United States Computer Emergency Readiness Team (US-CERT).** US-CERT is a 24/7 single point of contact for cyberspace analysis, warning, information sharing, incident response, and recovery for security partners. The partnership between DHS and public and private sectors is designed to enable protection of cyber infrastructure and to coordinate the prevention of and response to cyber attacks across the Nation. (Further information on US-CERT incident-related activities is included in the Cyber Incident Annex.)
- **Other Federal Department and Agency Emergency Operations Centers (EOCs).** DHS/OIP designates liaisons, as required, to various Federal EOCs depending on the nature of the threat or incident.

The CIKR support actions described in this annex are applicable to incident management activities required for natural disasters, industrial accidents, and the full spectrum of terrorist events. The CIKR support activities are flexible and adaptable to align to the specific requirements of the incident and function in conjunction with processes as described in the *NRF* and the various Incident Annexes: Biological, Catastrophic, Cyber, Food and Agriculture, Mass Evacuation, Nuclear/Radiological, and Terrorism Incident Law Enforcement and Investigation.

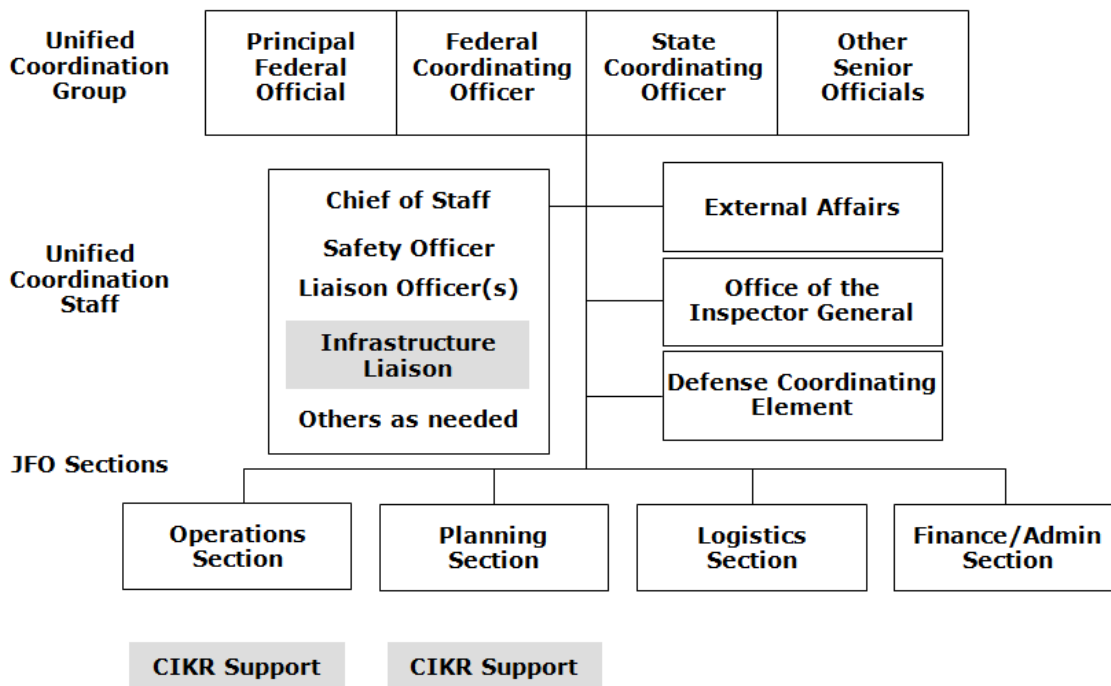
Field Level

The Joint Field Office (JFO), when established, provides the focal point for field-level incident-related CIKR identification, assessment, prioritization, protection, and restoration activities.

CIKR support is also provided, as required, to other incident facilities that are established to support prevention, preparedness, response, and recovery activities. These facilities include, but are not limited to: State, tribal, local, or county EOCs; Incident Command Posts; Area and Unified Commands; and interim operating facilities.

The following section describes the integration of the Infrastructure Liaison functions to support the various JFO sections or field facilities, as well as day-to-day risk management expertise provided by DHS/OIP. (See Figure 1.)

Figure 1. JFO Organization



The Infrastructure Liaison is designated by DHS/OIP and advises the Principal Federal Official (PFO) (if appointed) and the Unified Coordination Group with regard to national- and regional-level and cross-sector CIKR incident-related issues.

The Infrastructure Liaison function is task organized and task dependent on the needs of the incident and the requirements of the PFO, the Unified Coordination Group, and the Incident Management Team.

The Infrastructure Liaison, in collaboration with SSAs and all activated ESFs, provides prioritized recommendations regarding CIKR concerns to the Unified Coordination Group and the PFO (if appointed). The prioritized CIKR recommendations are developed using a collaborative process involving the cooperating agencies to this annex as well as CIKR owners and operators; State, tribal, and local entities; and others as appropriate. The prioritized recommendations are used by the Unified Coordination Group to support incident-related decisionmaking processes and the efficient application of limited resources within the affected area.

The Infrastructure Liaison provides knowledge and expertise regarding unique CIKR considerations, including:

- Impacts to nationally and regionally critical CIKR within the incident area.
- Cross-sector impacts within the incident area.
- Cascading effects that can result in consequences beyond the immediate incident area.
- Interdependencies that require actions beyond those needed for infrastructure restoration within the incident area.

Critical Infrastructure and Key Resources Support Annex

- Potential gaps or overlapping responsibilities among Federal departments and agencies that may function as SSAs, ESF primary or supporting agencies, or statutory or regulatory authorities.¹¹

Infrastructure Liaison responsibilities include the following:

- Advising the Unified Coordination Group and the PFO, if appointed, on CIKR issues with national or regional implications or that involve multiple CIKR sectors.
- Acting as the coordination point for CIKR sectors, including private-sector owners and operators that are not otherwise represented in the JFO.
- Serving as the senior advocate in the Unified Coordination Staff for CIKR issues not otherwise raised through the Unified Coordination Group.
- Advising the Unified Coordination Group regarding the prioritization of CIKR protection and restoration issues.
- Providing additional coordination and liaison capabilities to the CIKR sectors for the Unified Coordination Group in addition to the coordination and liaison functions provided by the various ESFs.
- Working with the JFO Section Chiefs and Branch Directors to coordinate between and among CIKR sectors and ESFs.
- Ensuring that information obtained from the NICC and CIKR sectors is integrated into the overall COP for the incident.
- Ensuring sensitive CIKR-related information is handled and safeguarded in accordance with the Protected Critical Infrastructure Information (PCII)¹² Program, Chemical-terrorism Vulnerability Information (CVI),¹³ or other appropriate guidelines.

The Infrastructure Liaison assigns personnel as requested by the Unified Coordination Group to facilitate cross-sector and sector-related coordination and integration among ESFs, SSAs, appropriate Federal agencies and departments, and other entities with CIKR-related responsibilities.

¹¹ See Responsibilities section for discussion of SSA and ESF functions and a matrix of Federal department and agency functions.

¹² The PCII Program, which operates under the authority of the Critical Infrastructure Information (CII) Act of 2002, provides a means for sharing private-sector information with the government while providing assurances that the information will be exempt from public disclosure and will be properly safeguarded. This program defines the requirements for submitting critical infrastructure information as well as the requirements that government entities must meet for accessing and safeguarding PCII.

¹³ DHS identifies information that constitutes Chemical-terrorism Vulnerability Information (CVI) to include the following documents when submitted as part of the 6 CFR 27 regulatory compliance process: Security Vulnerability Assessments (SVAs); Site Security Plans (SSPs); documents relating to the Department's review and approval of SVAs and SSPs, including Letters of Authorization, Letters of Approval, and responses to them; written notices; and other documents developed to comply with the interim final regulations; Alternative Security Programs; documents related to inspections and audits; records required to be created and maintained by regulated facilities; sensitive portions of orders, notices, or letters; information developed pursuant to the Top-Screen process; and other information designated as CVI by the Secretary.

Critical Infrastructure and Key Resources Support Annex

DHS/OIP, in coordination with SSAs, provides training and designates Infrastructure Liaisons and other CIKR support from a group that includes DHS/OIP Headquarters and/or field-level staff such as DHS/OIP Protective Security Advisors (PSAs)¹⁴ and individuals with CIKR expertise from other Federal departments and agencies, including SSAs and ESFs, as appropriate.

Infrastructure Liaison functions are task oriented depending on the scope, magnitude, and complexity of the CIKR-related requirements. These functions include, but are not limited to:

- Assisting with onsite assessments of the status of potentially affected or impacted CIKR.
- Deploying to other locations, such as State or local EOCs or the JFO, to provide CIKR subject-matter expertise.
- Providing assessments of local CIKR status to the JFO based on direct observation and coordination with ESFs and CIKR owners and operators.
- Providing CIKR-protection expertise in support of ESF #13 – Public Safety and Security efforts within an impacted area.
- Coordinating with SSAs, ESFs, and appropriate Federal agencies and departments on damage and security assessments to promote communication of assessment results and minimize duplication of effort.

CIKR Support for Incident Management Actions

The CIKR support function is structured to apply the *NIPP* risk management framework to produce prioritized recommendations for CIKR protection and restoration in the context of incident management. DHS, cooperating agencies, and other government and private-sector security partners continuously conduct situational awareness, assessments, analyses, and information-sharing activities and facilitate requests for information and assistance through steady-state activities to better prepare for response, recovery, and restoration actions during an incident.

Key elements of these “steady-state” CIKR support missions include:

Situational Awareness

- Monitoring information flow and threats to become aware of an incident or potential incident.
- Reviewing CIKR data and data inventories.
- Identifying opportunities for mitigation.
- Identifying appropriate response posture for CIKR elements and resources.

¹⁴ PSAs are DHS locally based critical infrastructure and vulnerability assessment specialists assigned to local communities throughout the country. PSAs serve as CIKR liaisons between Federal agencies; State, tribal, and local governments; and the private sector. They contribute to *NIPP*- and *NRF*-related requirements by identifying, assessing, and monitoring CIKR and coordinating protective activities within their respective geographic areas during steady-state operations as well as during incidents.

Assessments and Analyses

- Leveraging institutional knowledge and sector-partner relationships to collect data and assess CIKR needs and vulnerabilities.
- Collaborating in preparation for more indepth assessments and analyses during an incident.
- Reviewing plans to assess projected impacts on CIKR within a potential incident area.
- Developing projected consequences locally, regionally, and nationally by applying the *NIPP* risk management framework to the National Planning Scenarios.

The National Infrastructure Simulation and Analysis Center (NISAC) provides advanced modeling and simulation capabilities for the analysis of CIKR vulnerabilities and interdependencies and the cascading effects of infrastructure loss, damage, or destruction over time based on the National Planning Scenarios.

Information Sharing

- Participating in multidirectional information flow between government and private-sector security partners.
- Developing and providing a comprehensive COP of threats and hazards to CIKR.
- Providing security partners with a robust communications network, including a common set of communications, coordination, and information-sharing capabilities.
- Providing a means for State, tribal, local, and private-sector security partners to be integrated, as appropriate, into the intelligence cycle.

Requests for Information/Assistance

- Facilitating real-time transmission of requests and status.
- Maintaining a comprehensive log and retrievable database of all requests.

During daily operations (non-incident related), the NICC disseminates a range of all-hazards products and CIKR protection information to security partners. Information dissemination includes the following:

- Threat-related and other all-hazards information products to government and private-sector CIKR security partners, as appropriate.
- Reports from the private sector on suspicious activity or potential threats to the Nation's CIKR.
- Requests for information and requests for assistance.

Preresponse/Initial Actions

Transition from steady-state to preresponse incident-related activities begins with warning of a potential incident or the notification of an incident.

CIKR Information, Assessment, and Analytical Products

Examples of DHS information, assessment, and analytical products include:

- **Incident Reports:** Evaluate information received initially through news media, Internet, CIKR owners and operators, and other sources.
- **Spot Reports:** Provide current situation status and operational snapshot assessment of operational CIKR effects from emerging incidents.
- **Threat Warnings:** Fuse all source information to provide analysis of emergent threats on a timely basis.
- **Terrorist Target Selection Matrix:** Identifies sectors prone to different terrorist attack modalities.
- **Attack-Specific Threat Scenarios:** Provide planning and exercise phases for possible attacks with inputs from corporate- or facility-level security officers.
- **Sector-Specific Threat Assessment:** Provides specific and general terrorist threat information for each sector, as well as relevant background information, such as terrorist objectives and motives as they apply to that sector.

Notification and Reporting

DHS, in coordination with the SSAs, is responsible for coordinating CIKR incident notification and information sharing among Federal agencies; State, tribal, and local entities; and CIKR owners and operators. DHS uses established systems, such as the Homeland Security Information Network (HSIN), COP, Critical Infrastructure Warning Network, and other sector-based information-sharing mechanisms, to create CIKR situational awareness in support of incident operations.

Upon notification from the NOC of a potential or actual incident, the NICC coordinates with the SSAs, CIKR sectors (GCCs and SCCs), ESFs, industry partners, and other established information-sharing mechanisms to communicate pertinent information.

Based on the nature and scope of the potential or actual incident, DHS/OIP alerts and, if required, deploys Infrastructure Liaisons or additional CIKR support to various NOC elements, the DOJ/FBI SIOC, other Federal EOCs, or field facilities to ensure full integration of CIKR considerations and to provide situational awareness, assessments, information sharing, and prioritized recommendations.

In support of NOC reporting requirements, the NICC serves as the overall Federal focal point for CIKR incident and status reporting from SSAs, ESFs, CIKR owners and operators, and other appropriate Federal and/or State departments and agencies. The NICC coordinates these inputs with the NRCC and JFO. The following actions occur when reporting starts:

- The NICC alerts SSAs that the reporting process has begun via the Infrastructure Protection Executive Notification Service.
- SSAs coordinate with SCCs, GCCs, ESFs, and established information-sharing and analysis mechanisms in their sector to initiate status reporting and impact assessments. (These can include various sector-identified information-sharing mechanisms such as Information Sharing and Analysis Centers (ISACs) or Information Sharing and Analysis Organizations

(ISAOs).)

- The NICC verifies reported information and compiles the CIKR Situation Report, which is included in the NOC COP and posted to the HSIN.
- Cooperating agencies are responsible for notifying DHS when they receive threat- or incident-related information from within their sectors. The NICC documents these reports, compiles additional details surrounding the suspicious activity or potential threat, and disseminates reports to the CIKR sectors, the NOC, the NRCC, the DHS Homeland Infrastructure Threat and Risk Analysis Center (HITRAC), and DOJ/FBI.

CIKR-related threat analysis is a collaborative function between the DHS Office of Intelligence and Analysis (OI&A) and OIP through the DHS HITRAC, which conducts integrated terrorism threat and risk analysis for all CIKR sectors.

DHS/OI&A works with the intelligence and law enforcement communities to assess national security threats.¹⁵ HITRAC brings together both intelligence and infrastructure specialists to provide an understanding of CIKR sector- and national-level risk. This collaborative function is carried out with:

- Input from private-sector liaison personnel, and on-call subject-matter experts who provide industry-specific expertise.
- Input from the intelligence and law enforcement communities.
- Coordination with existing entities such as NCC, US-CERT, GCCs, SCCs, SSAs, ESFs, and/or other sector-identified information-sharing and analysis organizations such as ISACs.

On the basis of HITRAC analysis, DHS produces information that supports the response to emergent threats or immediate incidents, as well as strategic planning activities focused on enhancing the protection of CIKR over the long term.

CIKR risk assessment and analysis is a collaborative effort between DHS, cooperating agencies to this annex, and other security partners to perform the following:

- Examine existing plans and infrastructure characteristics to assess projected or actual impacts on CIKR in potential incident areas or on CIKR that have been designated as high risk.
- Determine critical failure points within or across CIKR sectors, regional or national cascading effects, and other significant issues that could affect CIKR assets inside and outside the immediate incident area.

The risk assessment and analysis process uses empirical data collection, database development and assessment, modeling, and simulation to inform decisionmaking.

These assessments and analyses support CIKR protection and mitigation actions prior to an incident and timely response actions during an incident. Results of assessments and analyses are provided to the NICC, SSAs, ESFs, emergency managers, CIKR owners and operators, and appropriate Federal and State departments and agencies.

¹⁵ See the Terrorism Incident Law Enforcement and Investigation Annex in the *NRIF* for a complete discussion on threat investigation-related actions.

DHS assessments, excluding PCII information, are shared across the sectors through electronic dissemination, posting to HSIN portals, and direct outreach by DHS/OIP sector specialists and DHS/HITRAC analysts. These efforts provide the private sector with timely, actionable information to enhance situational awareness and enable security planning activities

The *NIPP* details protective programs and initiatives that provide the basis for CIKR risk assessment activities during incident management. The following are representative of these key processes:¹⁶

- **National Asset Database (NADB):** Comprehensive catalog of the Nation's assets, systems, and networks and the primary Federal repository for CIKR information.
- **Buffer Zone Protection Program:** Grant program to provide resources to State, tribal, and local law enforcement and other security professionals to enhance security of priority CIKR facilities.
- **Site Assistance Visits:** Facility-level security assessments to facilitate vulnerability identification and mitigation discussions.

The NISAC provides advanced modeling and simulation capabilities for the analysis of CIKR vulnerabilities and interdependencies and the cascading effects of infrastructure loss, damage, or destruction over time.

During emerging or actual incidents, the NISAC produces assessments that:

- Integrate current situation data with preestablished infrastructure modeling, simulation, and analysis.
- Project consequences of an incident, preincident or postincident.
- Inform response and recovery activities after an incident has occurred.

Additional CIKR support preremponse actions include:

- Testing and exercising information-sharing and communication processes and systems with CIKR protection security partners.
- Developing and testing continuity of business plans, including identification and preparation of alternate sites and backup locations, as appropriate.
- Recommending and implementing elevated protective measures to align the CIKR protective posture with all-hazards warnings, specific threat indications, and different levels of the HSAS.
- Preparing the Infrastructure Liaison and CIKR support to deploy to the JFO.

RESPONSE ACTIONS

CIKR situational awareness and reporting are essential to providing a consolidated COP during an incident. The NICC provides coordinated CIKR status and infrastructure-related information supporting the COP by serving as the national collection, reporting, and distribution point for CIKR-related information.

¹⁶ See Appendix 3B in the *NIPP* for a complete listing and description of each.

The NICC provides a focus on CIKR-related impacts both within the incident area and across the Nation as a whole. It provides mechanisms to integrate and cross-reference CIKR-related information from various official sources to minimize duplicative reporting and information collection.

In support of incident response, the NICC performs the following:

- Hosts a daily teleconference to provide owners and operators and SSAs, ESFs, other Federal departments and agencies, and State, local, and tribal governments with a collated CIKR status and facilitates cross-sector discussions.
- Provides tailored situation assessments for the CIKR section of the DHS Situation Report.
- Facilitates assessment sessions between SSAs; State, local, and tribal governmental entities; and DHS Sector Specialists.
- Reconciles CIKR information and reporting with the NRCC.
- Consolidates SSA reports for integration into overall national-level reporting, including the COP.
- Provides security partners with Web-enabled access to a variety of incident-related information.

SSAs, ESFs, and other Federal departments and agencies maintain situational awareness of their area of responsibility and factor information from official field-level sources into their overall sector-level reporting.

Established protocols for SSA CIKR reporting include producing field-level reports (as applicable) and analyzing the national-, regional-, and sector-level CIKR implications. All information is coordinated with appropriate entities. These products are created for, but not limited to, the following categories of information:

- Current status/damage assessments
- Restoration activities
- Key issues and concerns

CIKR incident reporting cycles are synchronized with the overarching reporting requirements established by the NOC and NRCC at the national level and by the JFO or multiple JFOs, as required, at the field level.

Field-level reporting on damage assessments and status of restoration efforts within the affected area is generally through the ESF structure, using established reporting protocols at the JFO and the NOC/NRCC. These field-level reports are the basis for CIKR-related damage assessments and response and recovery activities.

CIKR Incident-Related Assessments. When an incident occurs, assessments of sector-specific and cross-sector impacts are coordinated by DHS/OIP in collaboration with SSAs, GCCs, SCCs, ESFs, other appropriate agencies, and security partners. The assessments are supported by the integration of multiple data sets, to inform decisionmakers at all levels as they develop action recommendations.

DHS/OIP uses the *NIPP* risk management framework to analyze the implications that CIKR affected by the incident may have on a regional or national basis. These include assessments to determine:

- Risk (consequence, vulnerability, and threat).
- Interdependencies.¹⁷
- Cascading or secondary effects on critical systems or infrastructure.
- Impact analyses inside and outside the affected area.

At the national level, the NISAC may conduct updates to existing assessments or perform new assessments to provide the most current situation data to decisionmakers.

NISAC products are made available to the NOC Planning Element, the Unified Coordination Group through the Infrastructure Liaison, and, as appropriate, other incident management and security partners involved in response activities.

Information included in the NADB is used to facilitate CIKR identification within the impacted area and across the Nation that may be directly or indirectly affected by the cascading effects of the incident.

Regional-level assessments during response activities help inform leadership as to the best possible prioritization for CIKR recovery and restoration.

Damage assessments are conducted by various teams that survey and assess impacts to CIKR. The teams include, but are not limited to, the following:

- Joint preliminary damage assessment teams (provide estimate of damages eligible for Federal assistance under the Stafford Act).
- Engineering teams (assess impacts to specific CIKR).
- Building process engineering teams (analyze structural vulnerability and potential mitigation recommendations).
- Environmental impact assessment teams.

The Infrastructure Liaison may provide CIKR expertise and analyses to these teams as required.

The Infrastructure Liaison, in consultation with SSAs, ESF representatives, and others, as well as DHS/OIP representatives positioned within the various NOC components, develops and provides priorities recommendations for CIKR-related actions to the Unified Coordination Group. These recommendations are based on ongoing access to national-level risk assessment and evaluation tools used to provide sector-by-sector and cross-sector evaluations of risk to and effects on CIKR within and outside the incident area. These assessments are used to analyze CIKR protection and restoration needs, support the efficient prioritization of efforts to meet these needs, and monitor the execution of support to CIKR owners and operators.

Requests for assistance from CIKR entities for incident-related requirements can be addressed through direct actions by owners and operators or with government assistance provided by

¹⁷ Interdependency as defined in the *NIPP* is the multi- or bi-directional reliance of an asset, system, network, or collection thereof, within or across sectors, on input, interaction, or other requirement from other sources in order to function properly.

Federal, State, tribal, or local authorities in certain specific circumstances. These requests must be directed to the appropriate Federal, State, tribal, and/or local decisionmakers with authority to consider and adjudicate requirements in the context of competing priorities.

At the State, tribal, or local level, requests for assistance from CIKR owners and operators typically will be acted upon by State or local primacy or regulatory agencies and/or within multiagency coordination centers in the affected area, such as the State or local EOC. CIKR owners and operators of public or quasi-public infrastructure in the affected area are required to follow the established application process for Stafford Act assistance.

At the Federal level, requests may be addressed through existing authorities of Federal departments or agencies or through application of the Stafford Act. The JFO, when activated, is the Federal focal point at the field level for considering, adjudicating, and acting upon requests for assistance. In cases where a JFO has not been established, the NRCC provides the national-level forum for decisions and actions relating to the Federal assistance or resource support.

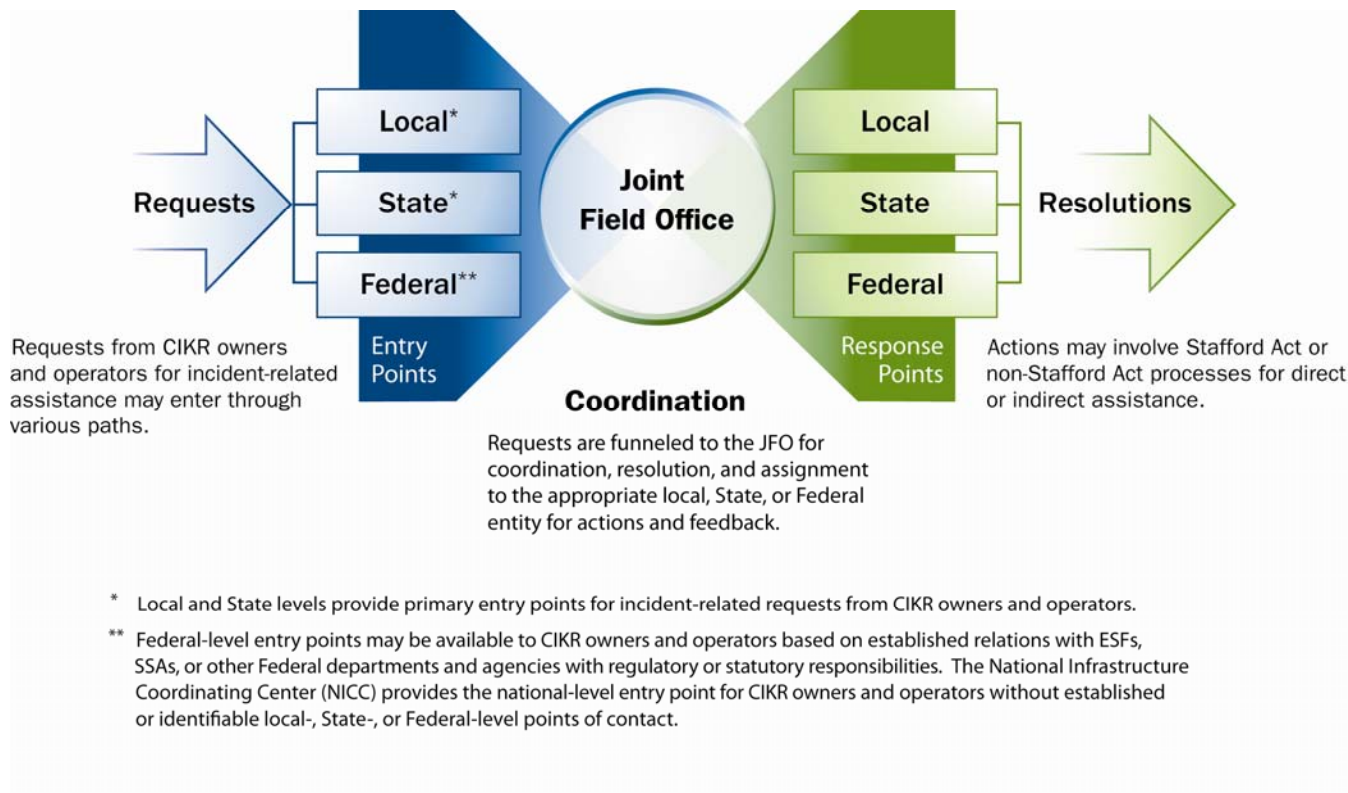
The Federal Coordinating Officer or Federal Resource Coordinator at the JFO (or the Operations Section Chief at the NRCC before establishment of a JFO) determines whether a request submitted by the State on behalf of a CIKR owner or operator or by a Federal department or agency through ESF #5 – Emergency Management is valid and supportable.

When the request involves application of Stafford Act authorities, the determination is based on consideration of a number of factors that include, but are not limited to, the following questions:

- Is assistance essential to public health and safety?
- Is a specific authority, such as the Stafford Act or DPA, needed for the request?
- Does the JFO have the capability to provide resources through Stafford Act authorities or to facilitate non-Stafford Act coordination to meet the requirement?
- Does the request align with current response, recovery, and restoration priorities established by the Unified Coordination Group or through the NRCC if the JFO is not established?
- Is the Federal Government the most appropriate level to provide resources to meet the requirement? If so, what ESF is the most appropriate to coordinate the request?
- What is the reimbursement mechanism for ESF or other Federal department or agency support?
- Which other officials are participating in the Unified Coordination Group or at the national level and are able to commit agency authorities or resources that would be needed to support the request?
- Does the request align with the current incident-management priorities?
- Does the requester have the capability to provide resources on its own?
- Are there alternative means and timing available to provide the requested assistance?
- What are the benefits or costs of providing assistance to a local community's resources, capabilities, and/or economy and meeting critical regional or national CIKR needs?

- What are the benefits or costs to a community or region of redirecting the requested resources or capabilities from other requirements?

Figure 2. Requests for Assistance From CIKR Owners and Operators



CIKR-related requests for incident-related assistance may come in through various paths at the local, State, regional, or national level. (See Figure 2.) Requests for assistance or information from CIKR owners and operators may relate to a variety of incident-related needs such as requirements for security, impact area access, fuel, or accommodations for crews needed to perform critical repair work.

Regardless of the entry point, requests are coordinated, tracked, and channeled to the appropriate authorities and CIKR subject-matter experts from the appropriate cooperating agencies for resolution and determination of the best course of action.

Generally, State, tribal, and local authorities and/or SSAs, ESF primary or supporting agencies, or other Federal Government entities, including those with regulatory responsibilities, provide primary entry points for these requests.

Entry points and processing paths, depicted in Figure 2 above, are as follows:

- Local, State, and tribal officials, in most cases, determine the appropriate level at which to consider and/or coordinate support to ensure the most effective response to requests for assistance from private-sector CIKR owners and operators. Local authorities may elect to fill valid requests using local resources. If local resources are not available, they may utilize mutual aid and assistance agreements to access additional resources.

- If all local resources are depleted, including those that can be acquired through mutual aid and assistance agreements, then local officials may forward the request to the State for action. The State may also elect to fill valid requests using its assets or request support from another State using the Emergency Management Assistance Compact or other preestablished memorandums of understanding. If assistance is not available at the State level, officials may forward the request to the JFO (or Regional Response Coordination Center (RRCC) or NRCC if the JFO is not established) to determine whether the request is eligible for Federal assistance.
- In CIKR sectors where there is no primary State or local point of contact, representatives of the various ESF, SSA, and/or Federal regulatory authorities positioned within the NRCC, RRCCs, and/or the JFO serve as points of contact. In these sectors, owners and operators communicate requests through the established relationship with the Federal department or agency that has primary responsibility for a specific functional area. The SSA and/or ESF may address a CIKR-related request it deems to be valid using its own authorities or resources, if applicable, or may forward the request to the NRCC or the JFO through ESF #5 for further consideration.

The NICC provides an alternate avenue for CIKR owners and operators to communicate needs for assistance, and is the most appropriate path in situations in which CIKR owners and operators do not have either mechanisms for coordination at the local or State levels or established linkages to ESFs, SSAs, or other Federal entities that can help communicate and facilitate the requests. The NICC is the appropriate point of entry in the following circumstances:

- Before JFO establishment.
- National-level, nongeographic-specific incidents that do not require JFO establishment (such as response to a terrorist threat or a biological, agricultural, or other widespread incident).
- Specific CIKR asset, system, network, or function of national significance based on scope or potential impact or criticality to national security or economic vitality.

Requests submitted to the NICC are routed, as appropriate, through the NRCC or the Unified Coordination Group, and the Infrastructure Liaison for coordination with the appropriate ESF, SSA, and other coordinating and cooperating agencies.

The NICC maintains an automated log of all requests for assistance or information it has processed. This log is shared with the Infrastructure Liaison at the JFO and DHS/OIP to maintain ongoing situational awareness, avoid duplication of effort, and enable coordination of actions relevant to the request.

Prior to full activation of the JFO, the NICC works closely with the NRCC to coordinate requests for assistance from CIKR owners and operators.

Activation and Deployment. DHS/OIP, in coordination with the NRCC and the JFO, designates and deploys staff to support Infrastructure Liaison activities at the national and field levels. These deployed field elements maintain close coordination with national elements at the NOC, NRCC, and NICC.

The Infrastructure Liaison(s) support prevention, preparedness, response, and recovery in the following manner:

- Facilitating CIKR situational awareness, assessment, and information sharing by providing liaison with the DOJ/FBI SIOC and other Federal EOCs, initial operating facilities, or other incident management facilities established consistent with the specific threat or incident.
- Facilitating the CIKR information-sharing process through coordination with JFO sections, ESF and sector representatives, CIKR owners and operators, and other security partners at the field level.
- Providing information on CIKR risk, damage, and service disruption within the impact area. This information is coordinated with national elements outside the affected area including identification of CIKR that may pose a higher level of concern as a result of the incident.
- Facilitating development of courses of action relating to CIKR restoration to provide continuity of essential goods and services.
- Providing a point of contact for CIKR sectors that do not have direct alignment with a specific ESF (such as postal and shipping, commercial facilities, and national monuments and icons).
- Participating, as requested, in preliminary damage assessments, rapid needs assessment, Federal Incident Response Support Teams, and others.
- Coordinating with ongoing damage and security assessments to eliminate duplication of effort and promote sharing of assessment results.
- Providing situational awareness in regard to CIKR assets and cross-sector concerns to the JFO, in coordination with the NRCC and DHS/OIP.
- Participating in JFO senior leadership and activities required for the operational planning cycle and development of the Incident Action Plan.
- Monitoring execution of support to CIKR entities as required by the Incident Action Plan.
- Following processes to ensure the proper handling and safeguarding of sensitive CIKR-related information in accordance with PCII, CVI, or other appropriate guidelines.
- Assessing CIKR protection and restoration needs to support efficient prioritization of efforts to meet requirements.
- Directing activities of DHS/OIP field staff in geographic branches (as designated by the JFO) based on priorities established by the Infrastructure Liaison.
- Resolving information discrepancies relating to status of CIKR restoration and protection activities in various sections of the JFO.
- Participating in JFO "hotwashes" to identify CIKR-related issues.¹⁸
- Maintaining automated linkage to the NICC.
- Tracking and coordinating with ESFs and SSAs on private-sector requests for assistance and requests for information when required to provide cross-sector facilitation.

¹⁸ Interagency meetings called "hotwashes" are convened to identify critical issues, lessons learned, and best practices associated with incident management activities. Hotwashes typically are conducted at major transition points over the course of incident-related operations, and include Federal, State, tribal, local, and other participation as appropriate.

- Coordinating with ESFs, SSAs, and appropriate Federal agencies to identify and aggregate CIKR-related concerns and security requirements.

The Infrastructure Liaison develops CIKR protection and restoration priority recommendations in coordination with JFO Section Chiefs or Branch Directors and representatives of ESF primary and supporting agencies. Infrastructure Liaison coordination activities with ESF representatives include:

- Developing coordinated inputs for the Incident Action Plan.
- Coordinating with activated ESFs on recovery, restoration, and security requirements, specifically to include coordinating with:
 - ESF #1 for transportation infrastructure.
 - ESF #2 on the status of communications infrastructure operations.
 - ESF #3 on infrastructure risk and vulnerability assessments.
 - ESF #8 on status and impacts on the public health and medical community.
 - ESF #10 on CIKR facility or structure decontamination for incidents where they have been contaminated by hazardous materials.
 - ESF #11 on agricultural, natural and cultural resources, and historic properties issues.
 - ESF #12 on impact assessments for the energy infrastructure.
 - ESF #13 on efforts to analyze protection requirements and/or enhance security and protection measures for CIKR within and outside the affected area.
 - ESF #14 on long-term community recovery, including impacts on commercial and banking and finance entities.

(Further discussion of specific ESF responsibilities is included in the respective ESF Annexes to the *NRF*.)

Incident-Related Communication, Including Emergency Public Information. The DHS Office of Public Affairs (PA), at the national level, works in conjunction with DHS/OIP and the DHS Assistant Secretary for the Private Sector to provide timely public information to the CIKR sectors and their security partners (through conference call, e-mail, or both) during national-level incidents that require a coordinated Federal response.

The CIKR incident communications system is modeled after processes outlined in the *NRF* Public Affairs Support Annex to ensure coordination with Federal, State, tribal, and local entities.

DHS/PA communication actions include the following:

- Providing the overarching coordination lead for incident communications to the public during an incident requiring a coordinated Federal response.
- Maintaining a standing conference line for use by CIKR incident communications coordinators.
- Coordinating and disseminating line access information in coordination with DHS/OIP.
- Maintaining a contact list, including e-mail information, of CIKR incident communications coordinators.
- Coordinating with SSAs to share public information and messages for SCCs and GCCs.

DHS/PA works in coordination with ESFs and SSAs to identify organizations and/or individuals (e.g., SCCs, sector-identified information-sharing mechanisms such as ISACs, major trade associations and other private-sector organizations as appropriate, and State, tribal, and local regulatory entities) to act as focal points for incident communications with the private sector. These organizations and individuals are selected based on their ability to disseminate information to and coordinate with a broad array of other organizations and individuals.

Representatives serve as the primary reception and transmission points for incident communications products from DHS/PA, ESFs, and SSAs, and they retain responsibility for dissemination to counterpart communicators to ensure information is distributed widely.

POSTRESPONSE ACTIONS

As an incident is brought to closure, incident-related activities transition back from response to steady state. Concurrently, the after-action report is prepared.

Demobilization. CIKR-related liaison, coordination, and information-sharing activities continue in support of JFO functions as required and continue at a level consistent with ongoing efforts.

Infrastructure Liaison actions include the following:

- Participating in JFO “hotwashes” to identify critical CIKR-related issues.
- Evaluating CIKR support staffing requirements and making recommendations for redeployment of staff members to the Unified Coordination Group.
- Preparing plans for deactivation and transfer of responsibilities to DHS/OIP, the NICC, or other elements, as appropriate.
- Coordinating with the JFO Planning Section on CIKR-related long-term recovery efforts.
- Providing input to the local or regional demobilization strategy.
- Informing onsite leadership or a designated representative of the overall DHS/OIP demobilization strategy.

Non-DHS/OIP deployed response elements execute their respective organizational demobilization plans.

The NICC maintains the reporting and information-sharing processes in coordination with the NOC, NRCC, and JFO requirements. As requirements diminish, the NICC notifies cooperating agencies of reporting requirement changes and other incident-related activities throughout the incident closure process.

After-action reports are developed following an incident to detail operational successes, problems, and key issues affecting management of the incident. After-action reports include appropriate feedback from all Federal, State, tribal, local, nongovernmental, and private-sector partners participating in the incident.

Procedures to complete after-action reports include:

- DHS/OIP organizing and managing a template to capture CIKR data.

Critical Infrastructure and Key Resources Support Annex

- CIKR security partners collecting/collating and submitting relevant after-action data¹⁹ throughout the incident life cycle.
- CIKR security partners participating in after-action evaluation sessions at the national and the regional levels.

DHS/OIP coordinates review meetings after the conclusion of the incident and publication of after-action reports to ensure that lessons learned concerning CIKR issues throughout the incident are accurately captured and integrated into plans, assessments, and procedures across all agencies.

The NICC ensures that after-action information is posted to the network and is available to security partners as appropriate.

RESPONSIBILITIES

Coordinating Agency: DHS

DHS, as the department charged with overarching responsibility for coordination of CIKR identification, protection, and prioritization, is the coordinating agency for the CIKR Support Annex. In this context, DHS, in collaboration with SSAs, is responsible for the following:

- Developing plans, processes, guidance, and partnerships and facilitating coordinated CIKR protection with the private sector at the strategic, operational, and tactical levels both during steady-state, day-to-day operations and during incident response.
- Sharing and protecting information on sensitive CIKR-related matters such as threats, warnings, response activities, and operational status—before, during, and after an incident.
- Identifying, training, designating, and deploying personnel to support the Infrastructure Liaison role and staff members in the JFO and its area of operations.
- Informing and educating private-sector owners and operators; State, tribal, and local governments; and other security partners on *NRF* and *NIPP* content, and encouraging and facilitating the development and coordination of equivalent planning for CIKR protection both for steady-state operations and during an incident.
- Coordinating and conducting national and regional incident management exercises, training events, and working meetings with the private sector and State, local, tribal, and select foreign governments.
- Developing methodology to track requests for information from or assistance to CIKR facilities to help ensure that responding departments and agencies are aware of requests from or visits made to CIKR facilities.
- Developing, implementing, and operating information-sharing and communication strategies, processes, and systems with CIKR security partners.

Cooperating Departments, Agencies, and Organizations

This section discusses responsibilities of all cooperating agencies/organizations, including those that are specific to SSAs, ESFs, other departments and agencies, and CIKR owners and

¹⁹ Data relevant for after-action reports can originate from written reports, meeting notes, interviews, briefings, observations, communications, and other recordings.

Critical Infrastructure and Key Resources Support Annex

operators. In addition to the cooperating agencies designated in this section, departments and agencies with primary responsibility for each of the ESFs are responsible for developing and maintaining working relations with associated private-sector counterparts and for exercising ESF mechanisms to enable the recovery of CIKR. Cooperating agencies for this annex may concurrently have responsibilities as ESF primary or supporting agencies, or as coordinating or cooperating agencies for other *NRF* Support or Incident Annexes.

In accordance with the *NRF*, the range of responsibilities for cooperating agencies/organizations includes the following:

- Working in collaboration with CIKR private-sector security partners, owners, and operators.
- Conducting operations relating to CIKR identification, prioritization, and protection using their own or Stafford Act authorities, subject-matter experts, capabilities, or resources.
- Participating in planning for short-term and long-term CIKR-related incident management, response, recovery, and restoration functions and for the development of supporting operational plans, standard operating procedures, checklists, or other job aids.
- Providing available personnel, equipment, or other resource support, as appropriate.
- Participating in training and exercises aimed at continuous improvement of CIKR-related prevention, response, and recovery capabilities.
- Using established Incident Command System, EOC, NOC, and/or JFO information-sharing protocols to notify other agencies that may have overlapping responsibilities for a CIKR asset, system, or network of 1) intended actions concerning requests for information from or assistance to a CIKR facility, or 2) field visits to such facilities.
- Nominating to DHS for review and evaluation new technologies or procedures that have the potential to improve performance within or across CIKR protection functional areas.

Sector-Specific Agencies

In the context of this annex, SSAs are responsible for the following incident-related actions:

- Identifying, prioritizing, and coordinating Federal action in support of the protection of nationally critical assets, systems, and networks, with a particular focus on CIKR that could be exploited to cause catastrophic health effects or mass casualties.
- Collaborating with State and private-sector security partners to facilitate real-time incident notification, as well as CIKR protection expertise and risk assessment methods in the sector.
- Establishing coordination mechanisms for CIKR protection during response and recovery.
- Participating in planning and implementation of recovery measures, as required, in coordination with processes established in the *NRF* for related ESF Annexes and other Incident and Support Annexes.
- Providing comprehensive risk assessment and management programs, as appropriate and consistent with the unique sector landscape, that can be used for identifying protection priorities for incident-related situations.

Critical Infrastructure and Key Resources Support Annex

- Working with all security partners to develop plans and processes for threat-based increases in protective measures that align the CIKR protective posture to all-hazards warnings, specific threat indications, and the different levels of the HSAS.

Emergency Support Functions

In the context of this annex, ESF primary and supporting departments and agencies are responsible for developing and maintaining working relationships with associated State, local, tribal, and private-sector counterparts and exercising their ESF mechanisms to enable the recovery of CIKR. This includes, but is not limited to, the following:

- Establishing and implementing processes to ensure full integration of CIKR-related activities relevant to the specific ESF and including these processes in the respective ESF Annex to the *NRF*.
- Coordinating with CIKR owners and operators, as appropriate.
- Coordinating with the DHS/OIP representative at the NOC and with the JFO Infrastructure Liaison.
- Providing CIKR-related damage assessments and operating status in the affected area using established JFO and NOC reporting procedures.
- Responding to or coordinating CIKR-related requests for assistance as relevant to the specific ESF.

COOPERATING AGENCIES/ORGANIZATIONS

Agency	Functions
Department of Agriculture (USDA)	<ul style="list-style-type: none">• Serves as the SSA for the Agriculture and Food Sector.• Advises and assists in assessing impacts to meat, poultry, and egg products.
Department of Commerce	<ul style="list-style-type: none">• Works with DHS and private-sector, research, academic, and government organizations to improve cyber system technology and promote other CIKR protection efforts, including use of authority under the DPA to ensure timely availability of industrial products, materials, and services to meet homeland security requirements and address economic security issues.• Supports the Emergency Alert System through the National Oceanic and Atmospheric Administration (NOAA)/National Weather Service and provides public dissemination of critical preevent and postevent information over the all-hazards NOAA Weather Radio system, the NOAA Weather Wire Service, and the Emergency Managers Weather Information Network.
Department of Defense (DOD)	Serves as the SSA for the Defense Industrial Base Sector, when requested, and, upon approval of the Secretary of Defense, provides Defense Support of Civil Authorities (DSCA) during domestic incidents. Accordingly, DOD is considered a cooperating agency under this annex.
Department of Education	<ul style="list-style-type: none">• Serves as the Subsector-Specific Agency for education facilities, providing guidance and information to the education community regarding emergency management for education facilities, both public and private.• As a Subsector within the Government Facilities Sector (GFS), works with the GFS to help ensure the Education Subsector gets appropriate attention in steady-state protection efforts, as well as in the incident management environment.

Critical Infrastructure and Key Resources Support Annex

Agency	Functions
Department of Energy	<ul style="list-style-type: none"> Serves as the SSA for the Energy Sector. Maintains the United States continuous and reliable energy supplies through preventive measures as well as supporting restorative actions.
Department of Health and Human Services (HHS)	<ul style="list-style-type: none"> Serves as the SSA for the Public Health and Healthcare Sector. Through the Food and Drug Administration, serves as the SSA for food other than the meat, poultry, and egg products portion of the Food and Agriculture Sector. Is the primary agency for ESF #8 – Public Health and Medical Services coordinating resources for public health and medical services and serves as a support agency to ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services.
Department of the Interior (DOI)	<ul style="list-style-type: none"> Serves as the SSA for the National Monuments and Icons Sector. Advises and assists in assessing impacts to natural resources, habitats, wildlife, subsistence uses, public lands, Indian tribal lands, and cultural resources and historic properties.
Department of Justice	Reduces terrorist threats and investigates and prosecutes actual or attempted attacks on, sabotage of, or disruptions to CIKR in collaboration with DHS.
Department of Labor	Through the Occupational Safety and Health Administration, provides worker safety advice, assistance, and policy support for CIKR-related activities.
Department of State	<ul style="list-style-type: none"> Works with foreign governments and international organizations to strengthen U.S. CIKR protection efforts. When requested, provides liaison to USACE in the event of incidents having potential international implications. In accordance with the International Coordination Support Annex, coordinates international offers of public works and engineering assistance and support.
Department of Transportation (DOT)	<ul style="list-style-type: none"> Collaborates with DHS on matters of transportation security and transportation infrastructure protection, and is additionally responsible for operating the National Airspace System. Collaborates with DHS to regulate transportation of hazardous materials (all modes), including pipelines.
Department of the Treasury	<ul style="list-style-type: none"> Serves as the SSA for the Banking and Finance Sector and collaborates with other vital CIKR sectors to foster information sharing regarding cross-sector vulnerabilities and protective measures within the sector. Assesses incident impact to the Banking and Finance Sector. Provides expertise on the overall economic impact to CIKR. Serves as the Primary Economic Advisor to the President.
Department of Veterans Affairs	<ul style="list-style-type: none"> Contributes extensive expertise to both the Government Facilities and Public Health and Healthcare Sectors through active participation in its respective GCC. Serves as a supporting agency for a number of ESFs, providing coordination with the medical system as well as direct resources and support for incident management efforts.
Environmental Protection Agency (EPA)	Serves as the SSA for the Drinking Water and Water Treatment Systems Sector.

Critical Infrastructure and Key Resources Support Annex

Agency	Function
Federal Energy Regulatory Commission	<ul style="list-style-type: none"> Regulates interstate transmission of electricity, natural gas, and oil. As an independent agency, reviews proposals to build liquefied natural gas terminals and interstate natural gas pipelines and licenses hydropower projects. Through the Office of Dam Safety, regulates approximately 2,100 dams that generate electricity.
The Intelligence Community	<ul style="list-style-type: none"> Provides vital service to identify and assess threats that may impact the Nation's CIKR. With DOD and other appropriate Federal departments, such as DOI and DOT, collaborates with DHS on development and implementation of geospatial programs to map, image, analyze, and sort CIKR data. Serves as a source of intelligence information necessary for CIKR protection. DHS works with Federal departments and agencies to identify and help protect those positioning, navigation, and timing services that are critical enablers for CIKR sectors. Collaborates with DHS and other agencies, such as EPA, that manage data addressed by Geographic Information Systems.
Nuclear Regulatory Commission (NRC)	<ul style="list-style-type: none"> Ensures the protection of the health and safety of the public or the common defense and security involving the use of NRC-licensed radioactive materials in commercial nuclear reactors for electric power generation and nonpower nuclear reactors for research, testing, and training; medical, industrial, and academic uses of radioactive materials, and facilities that fabricate nuclear fuel; and transportation, storage, and disposal of nuclear materials and waste. Closely coordinates its actions with its licensees, DHS, other Federal agencies, and State and local government officials during radiological incidents by providing advice, guidance, and support as needed. Performs independent assessments of incidents and potential offsite consequences and, as appropriate, provides recommendations concerning any protective measures.
Office of Science and Technology Policy	Coordinates with DHS to further interagency research and development related to CIKR protection.
U.S. Postal Service (USPS)	<ul style="list-style-type: none"> Serves as a member of the Postal and Shipping Sector Coordinating Council; . Works in cooperation and collaboration with the DHS Transportation Security Administration, the SSA for the Postal and Shipping Sector. Collects and reports on damage and disruption to USPS facilities and operations as information becomes available.
Information Sharing and Analysis Center Council	<ul style="list-style-type: none"> Supports sector-specific information and/or intelligence requirements for incidents, threats, and vulnerabilities. Provides secure capabilities for members to exchange and share information on cyber, physical, or other threats. Establishes and maintains operational-level dialogue with appropriate governmental agencies, identifying and disseminating knowledge and effective practices.
Partnership for Critical Infrastructure Security (PCIS)	Coordinates cross-sector initiatives to support CIKR protection. The PCIS membership is comprised of one or more members and their alternates from each of the CIKR SCCs.
State, Local, Tribal, and Territorial Government Coordinating Council	Coordinates and communicates among State, local, tribal, and territorial homeland security communities to ensure that they are fully integrated in national CIKR protection planning and implementation. The SLTTGCC membership is comprised of senior representatives from State, local, tribal, and territorial agencies including homeland security advisors, decisionmakers, and CIKR stakeholders.

APPENDIX A: SECTOR-SPECIFIC AGENCIES FOR CRITICAL INFRASTRUCTURE AND KEY RESOURCES

The following list includes those Federal departments and agencies identified in HSPD-7 as responsible for CIKR protection activities in specified CIKR sectors.

Table A-1. Sector-Specific Agencies for Critical Infrastructure and Key Resources

Sector-Specific Agency	Critical Infrastructure and Key Resources Sector
Department of Agriculture ²⁰	Agriculture and Food
Department of Health and Human Services ²¹	
Department of Defense ²²	Defense Industrial Base
Department of Energy ²³	Energy
Department of Health and Human Services	Public Health and Healthcare
Department of the Interior	National Monuments and Icons
Department of the Treasury	Banking and Finance
Environmental Protection Agency	Drinking Water and Water Treatment Systems ²⁴
Department of Homeland Security	Chemical Commercial Facilities Dams Emergency Services Nuclear Reactors, Materials, and Waste Information Technology Communications Postal and Shipping Transportation Systems ²⁶ Government Facilities
<i>Office of Infrastructure Protection</i>	
<i>Office of Cyber Security and Communications</i>	
<i>Transportation Security Administration</i>	
<i>Transportation Security Administration/U.S. Coast Guard</i> ²⁵	
<i>Immigration and Customs Enforcement/Federal Protective Service</i>	

²⁰ USDA is responsible for agriculture and food (meat, poultry, and egg products).

²¹ HHS is responsible for food other than meat, poultry, and egg products.

²² Nothing in this plan impairs or otherwise affects the authority of the Secretary of Defense, 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.

²³ The Energy Sector includes the production, refining, storage, and distribution of oil, gas, and electric power, except for commercial nuclear power facilities.

²⁴ Drinking Water and Water Treatment Systems includes drinking water supply, treatment, and distribution; and wastewater collection, treatment, and disposal.

²⁵ DHS/U.S. Coast Guard is the SSA for the maritime transportation mode.

²⁶ As stated in HSPD-7, DOT and DHS will collaborate on all matters relating to transportation security and transportation infrastructure protection.

APPENDIX B: RELATIONSHIP OF EMERGENCY SUPPORT FUNCTIONS TO CIKR SECTORS

This table shows how the 15 Emergency Support Functions map to the 17 CIKR sectors.

Table B-1. Relationship of Emergency Support Functions to CIKR Sectors

Emergency Support Function	Related CIKR Sectors
<p>ESF Primary Agencies: Coordinate Resources Support and Program Implementation for Response, Recovery, Restoration, and Mitigation programs directly related to incident management functions.</p>	<p>Sector-Specific Agencies (SSAs) Coordinate efforts to protect the Nation’s CIKR from terrorist attacks and for helping to strengthen preparedness, timely response, and rapid recovery in the event of an attack, natural disaster, or other emergency.</p>
<p>ESF #1 – Transportation Primary Agency: Department of Transportation</p>	<ul style="list-style-type: none"> • Transportation Systems SSA: DHS/Transportation Security Administration • Postal and Shipping SSA: DHS/Transportation Security Administration • Emergency Services SSA: DHS/Infrastructure Protection
<p>ESF #2 – Communications Primary Agencies: DHS/Cybersecurity and Communications/National Communications System DHS/Federal Emergency Management Agency</p>	<ul style="list-style-type: none"> • Information Technology SSA: DHS/Cybersecurity and Communications • Communications SSA: DHS/Cybersecurity and Communications/ National Communications System • Emergency Services SSA: DHS/Infrastructure Protection
<p>ESF #3 – Public Works and Engineering Primary Agencies: DHS/Federal Emergency Management Agency DOD/U.S. Army Corps of Engineers</p>	<ul style="list-style-type: none"> • Drinking Water and Water Treatment Systems SSA: Environmental Protection Agency • Dams SSA: DHS/Infrastructure Protection • Energy SSA: Department of Energy • Emergency Services SSA: DHS/Infrastructure Protection • Government Facilities SSA: DHS/Immigration and Customs Enforcement/ Federal Protective Service • National Monuments and Icons SSA: Department of the Interior
<p>ESF #4 – Firefighting Primary Agency: USDA/Forest Service</p>	<ul style="list-style-type: none"> • Emergency Services SSA: DHS/Infrastructure Protection • Government Facilities SSA: DHS/Immigration and Customs Enforcement/ Federal Protective Service
<p>ESF #5 – Emergency Management Primary Agency: DHS/Federal Emergency Management Agency</p>	<ul style="list-style-type: none"> • Emergency Services SSA: DHS/Infrastructure Protection • Government Facilities SSA: DHS/Immigration and Customs Enforcement/ Federal Protective Service

Critical Infrastructure and Key Resources Support Annex

Emergency Support Function	Related CIKR Sectors
<p>ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services</p> <p>Primary Agency: DHS/Federal Emergency Management Agency</p>	<ul style="list-style-type: none"> • Emergency Services SSA: DHS/Infrastructure Protection • Public Health and Healthcare SSA: Department of Health and Human Services
<p>ESF #7 – Logistics Management and Resource Support</p> <p>Primary Agencies: General Services Administration DHS/Federal Emergency Management Agency</p>	<p>All</p>
<p>ESF #8 – Public Health and Medical Services</p> <p>Primary Agency: Department of Health and Human Services</p>	<ul style="list-style-type: none"> • Emergency Services SSA: DHS/Infrastructure Protection • Public Health and Healthcare SSA: Department of Health and Human Services
<p>ESF #9 – Search and Rescue</p> <p>Primary Agencies: DHS/Federal Emergency Management Agency DHS/U.S. Coast Guard DOI/National Park Service DOD/U.S. Air Force</p>	<ul style="list-style-type: none"> • Emergency Services SSA: DHS/Infrastructure Protection
<p>ESF #10 – Oil and Hazardous Materials Response</p> <p>Primary Agencies: Environmental Protection Agency DHS/U.S. Coast Guard</p>	<ul style="list-style-type: none"> • Chemical SSA: DHS/Infrastructure Protection • Nuclear Reactors, Materials, and Waste SSA: DHS/Infrastructure Protection • Emergency Services SSA: DHS/Infrastructure Protection
<p>ESF #11 – Agriculture and Natural Resources</p> <p>Primary Agencies: Department of Agriculture Department of the Interior</p>	<ul style="list-style-type: none"> • Agriculture and Food SSA: Department of Agriculture and Department of Health and Human Services/Food and Drug Administration • National Monuments and Icons SSA: Department of the Interior
<p>ESF #12 – Energy</p> <p>Primary Agency: Department of Energy</p>	<ul style="list-style-type: none"> • Energy SSA: Department of Energy • Nuclear Reactors, Materials, and Waste SSA: DHS/Infrastructure Protection • Dams SSA: DHS/Infrastructure Protection
<p>ESF #13 – Public Safety and Security</p> <p>Primary Agency: Department of Justice</p>	<ul style="list-style-type: none"> • Emergency Services SSA: DHS/Infrastructure Protection • Postal and Shipping SSA: DHS/Transportation Security Administration • All others as appropriate

Critical Infrastructure and Key Resources Support Annex

Emergency Support Function	Related CIKR Sectors
<p>ESF #14 – Long-Term Community Recovery</p> <p>Primary Agencies: Department of Agriculture DHS/Federal Emergency Management Agency Department of Housing and Urban Development Small Business Administration</p>	<ul style="list-style-type: none"> • Banking and Finance SSA: Department of the Treasury • Commercial Facilities SSA: DHS/Infrastructure Protection • Drinking Water and Water Treatment Systems SSA: Environmental Protection Agency
<p>ESF #15 – External Affairs</p> <p>Primary Agency: DHS/Federal Emergency Management Agency</p>	<p>All</p>

Notes:

- When requested, and upon approval of the Secretary of Defense, DOD provides DSCA during domestic incidents. In the context of the *NRF*, DOD is considered a support agency for all ESFs. DOD is the SSA for the Defense Industrial Base sector, which may have links to many of the ESFs.
- As stated in HSPD-7, DOT and DHS will collaborate on all matters relating to transportation security and transportation infrastructure protection.

Critical Infrastructure and Key Resources Support Annex

List of Acronyms

CFR	Code of Federal Regulations	NIMS	National Incident Management System
CIKR	Critical Infrastructure and Key Resources	NIPP	National Infrastructure Protection Plan
CII	Critical Infrastructure Information	NI SAC	National Infrastructure Simulation and Analysis Center
COP	Common Operating Picture	NOAA	National Oceanic and Atmospheric Administration
DHS	Department of Homeland Security	NOC	National Operations Center
DOD	Department of Defense	NRC	Nuclear Regulatory Commission
DOI	Department of the Interior	NRCC	National Response Coordination Center
DOJ	Department of Justice	NRF	National Response Framework
DOT	Department of Transportation	NS/EP	National Security and Emergency Preparedness
DPA	Defense Production Act	OI & A	Office of Intelligence and Analysis
DSCA	Defense Support of Civil Authorities	OIP	Office of Infrastructure Protection
EOC	Emergency Operations Center	PA	Office of Public Affairs
EPA	Environmental Protection Agency	PCII	Protected Critical Infrastructure Information
ESF	Emergency Support Function	PCIS	Partnership for Critical Infrastructure Security
FBI	Federal Bureau of Investigation	PFO	Principal Federal Official
FEMA	Federal Emergency Management Agency	PSA	Protective Security Advisor
GCC	Government Coordinating Council	RRCC	Regional Response Coordination Center
GFS	Government Facilities Sector	SCC	Sector Coordinating Council
HITRAC	Homeland Infrastructure Threat and Risk Analysis Center	SIOC	Strategic Information and Operations Center
HHS	Department of Health and Human Services	SLTTGCC	State, Local, Tribal, and Territorial Government Coordinating Council
HSAS	Homeland Security Advisory System	SSA	Sector-Specific Agency
HSIN	Homeland Security Information Network	SSP	Sector-Specific Plan
HSPD	Homeland Security Presidential Directive	SVA	Security Vulnerability Assessment
ISAC	Information Sharing and Analysis Center	USACE	U.S. Army Corps of Engineers
ISAO	Information Sharing and Analysis Organization	US-CERT	United States Computer Emergency Readiness Team
JFO	Joint Field Office	USDA	Department of Agriculture
NADB	National Asset Database		
NCC	National Coordinating Center for Telecommunications		
NCS	National Communications System		
NICC	National Infrastructure Coordinating Center		

This page intentionally left blank.

Coordinating Agency:

Department of Homeland Security/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 Framework* activities. This includes guidance for all departments and agencies providing assistance for incidents requiring a coordinated Federal response. 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 of Homeland Security's responsibility to coordinate resources under Homeland Security Presidential Directive (HSPD) 5, this annex is applicable to Federal departments and agencies ("Federal agencies") participating and responding under the *National Response Framework* with assistance or relief as coordinated by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in response to incidents requiring a coordinated Federal response.

CONCEPT OF OPERATIONS

General – Stafford Act Declarations

The President may direct any Federal agency pursuant to the authorities in sections 402, 403, and 502 of the Stafford Act.

The Disaster Relief Fund (DRF), appropriated to DHS/FEMA, is available for purposes of the Stafford Act. Reimbursement may be provided from the DRF for activities conducted pursuant to these sections.

The DRF is not available for activities not authorized by the Stafford Act, for activities undertaken under other authorities or agency missions, or for non-Stafford Act incidents requiring a coordinated Federal response.

General – Non-Stafford Act Incidents

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 *National Response Framework*.

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 *National Response Framework* and in accordance with the *National Incident Management System*.

In accordance with HSPD-5, the Secretary of Homeland Security is the principal Federal official for domestic incident management. Federal departments and agencies are expected 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 in the exercise of his or her leadership responsibilities and missions for domestic incident management.

Field Financial Management

Joint Field Office (JFO): Upon issuance of a Presidential disaster or emergency declaration, the DHS/FEMA Chief Financial Officer (CFO) deploys a Comptroller to the established JFO to oversee all financial management activities, acquisitions, and management controls, and to report funding activity. During non-Stafford Act incidents, an agency requesting Federal-to-Federal support may request deployment of a DHS/FEMA Comptroller or may deploy its own. The Comptroller serves as the Finance and Administration Section Chief and is the Senior Financial Advisor to the Federal Coordinating Officer (FCO)/Federal Resource Coordinator (FRC) and the primary liaison to the CFO.

National Response Coordination Center (NRCC): The Comptroller serves as a liaison between the NRCC and the 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/FEMA Regional Administrator and Disaster Recovery Manager (DRM), if applicable, with the necessary expertise and authority essential for effective financial 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/FEMA uses the mission assignment (see Attachment 1) as a work order to direct completion by a Federal agency of a specified task pursuant to a Stafford Act declaration. (See 44 CFR 206.5, and "Additional Mission Assignment Guidance for Stafford Act Declarations" below for more information.)

Non-Stafford Act Incidents: Federal agencies participating in the *National Response Framework* may request and provide Federal-to-Federal support by executing inter/intra-agency reimbursable agreements, in accordance with 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 Requiring Federal Coordination (Non-Stafford Act) for more information.) The Request for Federal-to-Federal Support form (see Attachment 3, Tab 1) may be used as the Reimbursement Agreement form by Federal agencies requesting support.

All Incidents: 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 authority required to carry out their responsibilities under the *National Response Framework*. After approval of the SF-132, and upon approval and/or execution of a mission assignment or reimbursable agreement, agencies have spending authority and can incur and record reimbursable obligations and expenditures against DHS/FEMA's or the requesting agency's obligation. As direct obligations are not incurred, advance funding is not needed.

Agencies will generate receivables and request reimbursement from DHS/FEMA or the requesting agency. Supporting documentation for DHS/FEMA mission assignment reimbursement requests can be found at www.fema.gov/government/business.shtm.

RESPONSIBILITIES

DHS/FEMA (Stafford Act) and Requesting Agency (non-Stafford Act) Chief Financial Officer

The CFO uses Federal financial principles, policies, regulations, and management controls to ensure accountability of funds and provides financial management support to incidents requiring Federal coordination, such as:

- Providing advice on financial policy issues relative to an incident requiring Federal coordination and use of funds.
- 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.
- 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 Section Chief. Financial responsibilities include:

- Supervising the Financial and Administration Section staff at the JFO, NRCC, and RRCC, which includes financial specialists, financial technicians, and contract specialists/contracting officers, including those activated under ESF #7 – Logistics Management and Resource Support.

Financial Management Support Annex

- 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 FCO in a Stafford Act event or to an FRC or Principal Federal Official (PFO) in a non-Stafford Act event.
- 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 FCO/FRC/PFO, as appropriate for the event, and CFO on a regular basis.

Comptrollers work with the JFO program staff to ensure adequate funding is allocated 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.

Additional Mission Assignment Guidance for Stafford Act Declarations

DHS/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 an 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 FEMA Operations Chief, mission-assigned ESF primary agencies may authorize support agencies as necessary to accomplish the required tasks as received on Action Request Forms (ARFs). Subtasking should be considered when the primary Federal agency will be performing the bulk of the actual mission assignment tasking but may need additional resource or technical support from support agencies. Primary agencies should use the ESF Mission Assignment Subtasking Request Form (see Attachment 2) and include on that form written instructions and funding limitations. Support agencies must submit cost breakdowns to the ESF primary agency, which must review and approve documentation before forwarding to DHS/FEMA for reimbursement. Subtasked support agencies must seek reimbursement approval from their primary agency, not DHS/FEMA.

If a primary Federal agency receives an ARF for services that it will not be able to perform or that is outside of its mission area, the ARF should be routed to the appropriate Federal agency for task completion. FEMA will coordinate with the primary agency in determining when it would be appropriate to issue a direct mission assignment to a support agency and in identifying the appropriate scope for the mission assignment. Standard language should be added to the ARF if a support Federal agency will receive a direct mission assignment, stating that "the support Federal agency must coordinate all activities for this mission assignment with the primary Federal agency responsible for work under the ESF functional area." Direct mission-assigned support agencies will seek reimbursement approval from DHS/FEMA, not from the ESF primary agency.

The General Services Administration (GSA) may function as a procurement agent to obtain goods and services for Federal agencies other than DHS/FEMA. In these cases, GSA arrangements are independent of DHS/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/FEMA only after receipt of an invoice.

**Attachment 1
Mission Assignment Form (Stafford Act Declarations)
FEMA Form 90-129**

U.S. DEPARTMENT OF HOMELAND SECURITY EMERGENCY PREPAREDNESS AND RESPONSE DIRECTORATE MISSION ASSIGNMENT (MA)		<i>See reverse side for Paperwork Burden Disclosure Notice</i>	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			<input type="checkbox"/> 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)			<input type="checkbox"/> See Attached
Action To:	<input type="checkbox"/> ESF NO.: <input type="checkbox"/> Other:	DATE/TIME	PRIORITY <input type="checkbox"/> 1 Lifesaving <input type="checkbox"/> 3 High <input type="checkbox"/> 5 Normal <input type="checkbox"/> 2 Life sustaining <input type="checkbox"/> 4 Medium
IV. DESCRIPTION (Assigned Agency Action Officer)			<input type="checkbox"/> See Attached
MISSION STATEMENT:			
<i>(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.)</i>			
ASSIGNED AGENCY	PROJECTED START DATE	PROJECTED END DATE	
<input type="checkbox"/> NEW or <input type="checkbox"/> AMENDMENT TO MA NO.:	TOTAL COST ESTIMATE: \$		
ASSIGNED AGENCY POC NAME	PHONE NO.	FAX NO.	
V. COORDINATION (FEMA Use Only)			
TYPE OF MA:	<input type="checkbox"/> Direct Federal Assistance State Cost Share (0%, 10%, 25%)	<input type="checkbox"/> Technical Assistance State Cost Share (0%)	<input type="checkbox"/> 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: _____	E SF Primary Agency: _____
Subtasked Agency: _____	State _____ Disaster No: _____
Tasking Statement/ Statement of Work	
Project Completion Date: _____	Authorized Funding: _____
<p>Reimbursement Procedure: Upon completion of scope of work, the subtasked Federal agency should submit a SF 1081, or other approved Treasury form to request reimbursement, detailing expenditures and activities to:</p> <p style="margin-left: 40px;">_____ (ESF Primary Agency)</p> <p style="margin-left: 40px;">_____ (Address)</p> <p>The ESF primary agency should:</p> <ol style="list-style-type: none"> (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 to the Disaster Finance Center. The Disaster Finance Center will send payment directly to the subtasked agency <p>FEMA Billing and Reimbursement Guidance can be found at www.fema.gov/government/business.shtm</p>	

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 National Response Framework

Authorizing Official, Subtasked Agency Date Phone #

Authorizing Official, ESF Primary Agency Date Phone #

Following signatures please provide information copy to FEMA MAC and Project Officer.

Attachment 3
Memorandum of Agreement: Mutual Aid for Incidents Requiring Federal Coordination
(Non-Stafford Act)

I. Parties

The parties to this Memorandum of Agreement (Memorandum) are the Federal departments and agencies providing mutual aid for Non-Stafford Act incidents requiring Federal coordination.

II. Authorities

Applicable Federal authorities may include, but are not limited to:

- A. Homeland Security Act of 2002 (6 U.S.C. § 101 et seq.).
- B. Economy Act (31 U.S.C. §1535).
- C. Clean Water Act, as amended (33 U.S.C. § 1321)
- D. Oil Pollution Act of 1990 (33 U.S.C. § 2701 et seq.)
- E. Comprehensive Environmental Response, Compensation, and Liability Act, as amended (42 U.S.C. § 9601 et seq.)
- F. Small Business Act (15 U.S.C. § 631 et seq.)
- G. Public Health Service Act (42 U.S.C. § 201 et seq.)
- H. Reciprocal Fire Protection Act (42 U.S.C. §1856)
- I. Department of Veterans Affairs Emergency Preparedness Act (38 U.S.C. § 1785)
- J. Homeland Security Presidential Directive 5 (HSPD-5).

III. Purpose

The Federal Government's response to incidents requiring Federal coordination 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 Framework (NRF)* 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 requiring Federal coordination, 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 *NRF* when Federal-to-Federal support is requested and provided for an incident 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.

Attachment 3 (Continued)

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 *NRF*.
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 *NRF* 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 *NRF* 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 for a non-Stafford Act event is the 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.

Attachment 3 (Continued)

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 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."

Attachment 3 (Continued)

4. Applying proper financial principles, policies, regulations, and management controls to ensure full accountability for expenditures.
5. 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 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 *NRF*.
- E. Intragovernmental transactions, including advances of funds, under Federal-to-Federal support reimbursable agreements shall comply with the business rules set forth in Treasury Financial Manual, Bulletin No. 2007-03, Intragovernmental Business Rules, dated November 15, 2006.
- 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.

Attachment 3 (Continued)

- 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.

APPROVED BY:

The signatories to this Memorandum of Agreement.

**Attachment 3, Tab 1
Request for Federal-to-Federal Support – Non-Stafford Act**

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:					_____ New Request
(Attach additional sheet for continuation of explanation, if necessary.)					_____ 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:

Attachment 3, Tab 1 (Continued)

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: _____

Attachment 3, Tab 1 (Continued)

Approval of the Chief Procurement Officer if the supplying agency is not subject to the Federal Acquisition Regulation:

Name:

Signature:

Date:

Coordinating Agency:

Department of State

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 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 with an international component.

Scope

The International Coordination Support Annex supplements the *National Response Framework*. The role of the Department of State (DOS) within the *National Response Framework* is to fully support Federal, State, tribal, and local authorities in effective incident management and preparedness planning. A domestic incident will 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

In preparing for, responding to, and recovering from an actual or potential domestic incident, the Secretary of State is responsible for managing 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 cooperation with foreign counterparts, multilateral/international organizations, and the private sector in the United States and abroad.

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 a domestic incident. Similarly, U.S. nationals, including U.S. Government officials and employees, located abroad at the time of an incident may require information, assistance, communications, transportation, or other services.

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. This is particularly important in the cases of Canada and Mexico given shared borders, extensive critical infrastructure links, and cross-border assistance agreements.

DOS and DHS may also be required to assist private industry during a domestic incident by expediting specifically requested equipment, goods, or trained personnel to enter the United States and assist with efforts to restore critical services in a timely manner. Additional 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.

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 assess, disrupt, deter, and prevent 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, and to prevent and respond to any domestic incident 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.

In accordance with Homeland Security Presidential Directive 7 and the *National Infrastructure Protection Plan (NIPP)*, DOS, in conjunction with DHS and the Departments of Justice, Commerce, Defense, and the Treasury and other appropriate agencies, works with foreign countries and international organizations to strengthen the protection of U.S. critical infrastructure and key resources (CIKR).

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 185 Red Cross and Red Crescent Societies around the world. The American Red Cross, in partnership with the Movement, offers international family tracing services with the capacity to locate family members separated by war or disaster. When an incident occurs in the United States, families around the world who are concerned about the welfare of their loved ones can access and search the American Red Cross Safe and Well website on the Internet. The website allows loved ones to search for registered individuals and to view well-being messages posted by individuals who have been affected by a disaster. If a family member has a particular concern about a loved one who has been affected by a disaster in the United States because the individual has a significant health or mental health condition, the family member can initiate a Welfare Information Request for Health or Mental Health Services through their local Red Cross or Red Crescent Society.

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 establish a DOS Task Force when domestic incidents have major international implications. DOS:

- Reviews its Headquarters operational capabilities and its national/international operability and connectivity.
- Immediately communicates with the National Operations Center (NOC) and as required with other U.S. Government agencies, as outlined in the Emergency Support Function (ESF) Annexes.
- Advises U.S. Embassies/Consulates regarding the domestic incident. Provides U.S. missions with instruction on advising other governments, the United Nations (U.N.), and other multilateral organizations.
- Advises U.S. missions 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, tribal, or local incident management architecture, as required.

Domestic DOS Facilities/Personnel

DOS coordinates with other Federal, State, tribal, or local authorities to respond to events at DOS domestic facilities and ensures the safety and security of DOS personnel. The Office of Emergency Management, Bureau of Administration, coordinates response to emergencies impacting DOS domestic facilities and personnel.

Support to Foreign Missions/Foreign Nationals in the United States

DOS:

- Has operational responsibility, shared with Federal, State, tribal, and local authorities, to ensure the protection of foreign missions, the U.N., 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, tribal, and local authorities to enable foreign diplomatic missions to provide information to their citizens in the United States and to render safety/security and other consular 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 crisis response and other activities.
- Advises and consults 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). This is especially critical for countries bordering the United States.

The Information Technology Sector is complex and global in nature. Significant cyber incidents will rarely be constrained by geography or national borders. Close coordination with foreign governments during an incident may be required.

Providing Information to Americans Abroad, Foreign Governments, and the International Community

DOS:

- Advises American citizens and 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 domestic 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.
- Serves as a liaison between foreign governments and U.S. agencies 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 and implements a diplomatic and international public affairs and public diplomacy strategy in coordination with the National Response Coordination Center to communicate information concerning the status of the incident and highlight U.S. and international response and mitigation efforts. Includes providing information to the foreign public about procedures to initiate disaster Welfare Information Requests through local Red Cross Societies as well as through the American Red Cross Safe and Well website for disasters within the United States. Also, develops incident-related public affairs strategies according to the *National Response Framework* 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

The most effective and efficient donation from foreign governments and foreign private entities is a cash donation to a disaster voluntary agency providing assistance to the affected region. If the circumstances are such that foreign governments or organizations are reluctant to make a cash donation to a disaster voluntary agency, DOS may choose to set up a fund under the control and direction of the U.S. Government to receive such donations. Commodity contributions and technical assistance (personnel) will only be accepted by the U.S. Government when an ESF primary agency with appropriate authority specifically requests or approves such assistance for their emergency function. This paradigm will guide DOS and the U.S. Agency for International Development (USAID) in their facilitation of international offers of assistance.

Procedures for conveying information on needs to the international community, requesting foreign assistance, and reviewing offers of foreign assistance are described in the International Assistance System (IAS) Concept of Operations.

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.
- 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. 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 to expedite visa issuance and with DHS to facilitate U.S. entry of foreign experts needed for event response and/or mitigation.

As requested, USAID will provide technical and logistical assistance to DOS and DHS/Federal Emergency Management Agency (FEMA) with the review and facilitation of international offers of assistance, as described in the IAS Concept of Operations.

Attribution Authorities/Responsibilities Under International Law in CBRNE Events

DOS coordinates with intelligence and law enforcement agencies, and other international partners as necessary, 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.

DOS will work with other agencies to explore actions and methods for responding to perpetrators to seek justice for their actions, whether by national or international cooperation in investigations, extraditions, sanctions, law enforcement actions, trials, and/or other opportunities as necessary.

Military-to-Military, Defense-to-Defense

For a domestic response there should be no support falling within the military-to-military category without coordination with DOS.

If the IAS has been activated, offers of assistance from foreign militaries will be handled according to the IAS procedures, including routing of the offers to DOS. If the President has declared a major disaster or emergency, the primary responsibility for accepting assistance for a domestic incident lies with DHS through FEMA.

Any foreign military wishing to provide direct support should offer assistance through DOS, with DOD knowledge, in order for the response to be properly adjudicated and a timely response provided.

Industry-to-Industry, Mutual Aid

The majority of U.S. critical infrastructure is owned and operated by private industry. Depending on the severity of a domestic incident, private industry may not have sufficient equipment, goods, or personnel with technical expertise to respond and restore critical services in a timely manner. Anticipating such circumstances, certain corporations in the telecommunications, power, and other critical industries have already established mutual aid and assistance agreements with foreign corporations, many of them in Canada and Mexico. However, these corporations will need assistance from the U.S. Government, and particularly DOS and DHS, to facilitate the movement of specifically requested equipment, goods, and personnel into the United States. It is anticipated that private industry will have already made arrangements to receive and pay for much of the equipment, goods, and/or personnel and, as a result, will only need assistance from the U.S. Government to expedite their entry into the United States. The IAS Concept of Operations, however, applies only to official (governmental or U.N.) offers of assistance, and therefore does not include provisions for industry-to-industry aid. A coordination mechanism between elements such as DHS/Customs and Border Protection or DHS/Immigration and Customs Enforcement and ESF stakeholders similar to the IAS but covering industry-to-industry aid will need to be developed to facilitate entry and continuing requirements for industry support.

The concept of operations for CIKR situational awareness, assessment, information sharing, and addressing specific requests for information and assistance from CIKR owners and operators is detailed in the CIKR Support Annex.

U.N., North Atlantic Treaty Organization (NATO), and Other Multilateral Organizations

DOS articulates U.S. needs and interests to the U.N., NATO, and other international multilateral organizations. 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.

DOS Coordination With Federal International Affairs Offices

The International Affairs offices in U.S. Federal departments and agencies have existing relationships with foreign ministries and agencies, and would provide support to DOS management of foreign governments' offers of assistance to the United States or requests for assistance from the United States.

INTERNATIONAL COORDINATION ASSOCIATED WITH EMERGENCY SUPPORT FUNCTIONS

ESF	Responsibilities
<p>ESF #1 – Transportation</p>	<p>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:</p> <ul style="list-style-type: none"> • Restrictions on international air travel for a period of time. • Foreign aircraft landing in, flying from, or overflying U.S. territories. • Clearance procedures for visits to U.S. ports by foreign naval and public vessels. <p>When the U.S. Government considers transportation and border restrictions/closures, DOS must provide guidance on overall diplomatic, economic, and security implications.</p>
<p>ESF #2 – Communications</p>	<p>DOS facilitates international preparedness, protection, and mitigation efforts related to communications and information technology infrastructure protection. DOS works closely with DHS, particularly the National Protection and Programs Directorate/Cybersecurity and Communications, and other Federal agencies during communications and cyber-related incident response efforts. In conjunction with ESF #2, DOS:</p> <ul style="list-style-type: none"> • Facilitates communications with foreign governments for response to significant disruptions to communications and information technology systems and related incidents. • Works with the National Cyber Response Coordination Group to effect bilateral and multilateral efforts to respond to a cyber-related event. • Works with the DHS National Coordinating Center (NCC) in coordinating mutual aid support between Industry Canada and U.S. telecommunications industry in accordance with NCC/Industry Canada procedures.
<p>ESF #3 – Public Works and Engineering</p>	<p>For any international public works and related infrastructure support assistance, DOS coordinates, as requested, with appropriate Federal agencies on identification and movement to the United States of needed technical assistance, engineering expertise, and construction management resources.</p>
<p>ESF #4 – Firefighting</p>	<p>For any international firefighting assistance, DOS coordinates, as requested, with appropriate Federal agencies on identification and movement to the United States of assets and resources for firefighting.</p>
<p>ESF #5 – Emergency Management</p>	<p>DOS will protect and secure its personnel and facilities according to internal procedures. DOS will create a task force for managing its responsibilities under the <i>National Response Framework</i>, as required.</p>
<p>ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services</p>	<p>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.</p>

International Coordination Support Annex

ESF	Responsibilities
ESF #7 – Logistics Management and Resource Support	DOS has no primary resource provider function. It will provide personnel as required to support other Federal agencies’ activities that involve international coordination.
ESF #8 – Public Health and Medical Services	<ul style="list-style-type: none"> • There are significant, critical relationships between protection of both domestic and international populations against bioterrorism, accidental pathogen releases, or naturally occurring disease outbreaks. A disease outbreak, regardless of its origin, 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 on issues related to disease surveillance activities, sharing medical countermeasures (drugs and other medical equipment), and coordinating international efforts to curb disease spread. • 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.
ESF #9 – Search and Rescue	As requested, DOS and USAID coordinate requests for international search and rescue assets and resources, through bilateral agreements or the U.N.’s International Search and Rescue Advisory Group (INSARAG) system. The U.S. Government is a member of INSARAG, and is represented in that group by USAID/Office of Foreign Disaster Assistance.
ESF #10 – Oil and Hazardous Materials Response	<ul style="list-style-type: none"> • Provides coordination assistance for the development of international oil and hazardous materials (HAZMAT) contingency plans and other agreements. • Provides coordination assistance and facilitates information sharing among U.S. Federal response entities and foreign governments and international organizations for responses to oil and HAZMAT releases and transportation with cross-border impacts. • Facilitates entry of Federal oil and HAZMAT personnel into other countries. • Coordinates assistance from foreign nations.

International Coordination Support Annex

ESF	Responsibilities
ESF #11 – Agriculture and Natural Resources	<p>DOS:</p> <ul style="list-style-type: none"> • 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. • Acts as conduit for information between domestic and foreign governmental agencies. • Ensures rapid distribution of countermeasures into and out of the United States. • Facilitates international sharing of disease surveillance information. • Facilitates international sharing of laboratory resources or support, particularly for developing countermeasures.
ESF #12 – Energy	<p>DOS and the Department of Energy (DOE) work with the governments of major oil-consuming countries through the International Energy Agency 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 DHS, the HSC, and the NSC, coordinate and issue public statements on the incident.</p>
ESF #13 – Public Safety and Security	<p>DOS provides support to other Federal agencies’ activities that require international coordination of public safety and security.</p>
ESF #14 – Long-Term Community Recovery	<p>DOS works with the international community and all governments on response efforts to ensure that recovery efforts are initiated rapidly, in order to lessen the impact to the national and global economies.</p>
ESF #15 – External Affairs	<p>For domestic incidents with an international component, 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 U.S. citizens and businesses abroad is consistent, timely, and effective.</p>

This page intentionally left blank.

Coordinating Agency:

Department of Homeland Security

Cooperating Agencies:

All

INTRODUCTION

Purpose

This annex describes the policies, responsibilities, and concept of operations for Federal incident management activities involving the private sector during incidents requiring a coordinated Federal response. In this context, the annex further describes the activities necessary to ensure effective coordination and integration with the private sector, both for-profit and not-for-profit, including the Nation's critical infrastructure, key resources, other business and industry components, and not-for-profit organizations (sometimes called nongovernmental organizations (NGOs)), including those serving special needs populations, engaged in response and recovery. The Critical Infrastructure and Key Resources (CIKR) Support Annex focuses on the CIKR efforts of the private sector while this annex focuses on the remaining portion of the private sector.

Scope

This annex applies to all Federal executive agencies operating under the *National Response Framework (NRF)* in incidents requiring a coordinated Federal response that involve the private sector in any of the following ways:

- Impacted organization or infrastructure¹
- Response resource
- Regulated and/or responsible party
- Member of the State emergency management organization

Chapter I of the *NRF* core document describes the private-sector role in incident management activities. This annex addresses 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 CIKR efforts involve a wide array of public and private incident managers and CIKR security partners within immediate incident areas as well as at regional and national levels. The CIKR Support Annex details the roles and relationships between the private sector and the Federal Government for CIKR.

The roles and interfaces of voluntary and other not-for-profit organizations and linkages of potential donors of goods and services to governments and NGOs are detailed in the Volunteer and Donations Management Support Annex and the Emergency Support Function (ESF) #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex.

¹...that falls within the definition of critical infrastructure and key resource (CIKR), as described in Homeland Security Presidential Directive (HSPD) 7, "Critical Infrastructure Identification, Prioritization, and Protection," and as they relate to the *NRF*.

The roles of Sector-Specific Agencies (SSAs), as defined in Homeland Security Presidential Directive (HSPD) 7, are addressed in more detail in the CIKR Support Annex.

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, tribal, and local authorities regarding prevention, preparedness, mitigation, response, and recovery activities. Active public-private sector coordination and cooperation through the emergency management cycle, beginning with planning, is a best practice recommendation common to the *National Incident Management System (NIMS)*, the Standard of the Emergency Management Accreditation Program (EMAP), and for the private sector, the National Fire Prevention Association (NFPA) 1600 Standard for Disaster/Emergency Management and Business Continuity Programs.

Since the release of the 9/11 Commission Final Report and the passage of the Intelligence Reform Act of 2004, DHS has worked with the private sector to articulate the mutual benefits and foster implementation of the NFPA 1600. Pursuant to the 9/11 Commission Act of 2007, DHS will develop and promote a preparedness program for private-sector entities that voluntarily choose to seek certification. DHS also is supporting the development and updating of voluntary preparedness standards. A private-sector firm that complies with their appropriate standards will benefit from its compliance both in its preparedness and its ability to promote public awareness of its compliance.

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.
- Public and market confidence in times of crisis or catastrophe.

The Federal Government encourages extensive two-way and multidirectional sharing between the public and private sectors of operational information and situational awareness relative to potential or actual incidents. 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. A few examples of such information sharing are: (1) Homeland Security Information Network-Critical Sectors (HSIN-CS); (2) TRIPwire program, which provides situational awareness on improvised explosive devices; and (3) National Coordinating Center (NCC) for Telecommunications daily communications.

The Federal Government encourages members of the CIKR 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, tribal, and local 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, operations, 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 Act² 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, tribal, 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 practiced in national-level, DHS-sponsored exercises; it shares such critiques appropriately with private-sector participants.

The Federal Government supports measures that ensure site accessibility for essential services providers responding to disasters or emergencies. Essential services providers, as defined in the Stafford Act as amended by Public Law 109-347, include: "(a) a municipal entity; (b) a nonprofit entity; or (c) a private, for-profit entity" that contributes to efforts to respond to an emergency or major disaster. These entities provide:

- Telecommunications service;
- Electrical power;
- Natural gas;
- Water and sewer services; or
- Any other essential service, as determined by the President.

CONCEPT OF OPERATIONS

General

The operational concept for incident management involving the private sector is the concept specified in the *NRF* and the *NIMS*.

² See the Defense Production Act of 1950, as amended, as referenced in the section on private sector roles and responsibilities in the *NRF* core document.

The concept of operations in this annex covers the specific organizations and actions developed that 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, including individuals with special needs.
- 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 CIKR and other key elements of the economy on a priority basis.

Department of Homeland Security: In the event of a potential or actual incident, 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 CIKR, business, and industry, as well as not-for-profit organizations, 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 security and preparedness activities in national preparedness, prevention, response, and recovery.
 - Promoting educational efforts to prepare for natural disasters or terrorist incidents.
 - Encouraging the identification and sharing of best practices through promoting use of consensus standards and best practices.

DHS/PSO provides representatives to the National Operations Center (NOC) components as required, and to the Joint Field Office (JFO) to enable strategic coordination with the private sector during incidents requiring a coordinated Federal response.

- **Office of Infrastructure Protection (DHS/OIP):** DHS/OIP supports prevention, preparedness, response, and recovery efforts involving CIKR, in accordance with HSPD-7, and other private-sector entities as appropriate, through facilitating and coordinating protection and response planning, procedures, and exercises. DHS/OIP implements the programmatic policy and strategy for information sharing.

DHS/OIP is responsible for the implementation and ongoing management and maintenance of the *National Infrastructure Protection Plan (NIPP)*. The *NIPP*, and its associated CIKR Sector-Specific Plans (SSPs), work in conjunction with the *NRF* and its supporting annexes to provide a foundation for CIKR preparedness, protection, response, and recovery efforts in an all-hazards context.

As noted above, the CIKR Support Annex provides the authoritative and more comprehensive discussion of the policies and concept of operations for assessing, prioritizing, protecting, and restoring CIKR during incidents.

Day-to-day public-private coordination structures, information-sharing networks, and risk management frameworks used to implement *NIPP* steady-state CIKR protection efforts continue to function and provide coordination and support for CIKR protection and restoration for incident management activities under the *NRF*.

The *NIPP* establishes the overall risk-based construct that defines the unified approach to protecting the Nation's CIKR in an all-hazards context, and specifies procedures and activities to reduce risk to the Nation's CIKR on a day-to-day basis, including:

- The sector partnership model that encourages use of Sector Coordinating Councils (SCCs), Government Coordinating Councils (GCCs), and cross-sector coordinating councils to create an integrated national infrastructure protection framework for CIKR protection and restoration across sectors.
- The networked approach to CIKR information sharing that provides for multidirectional CIKR-related exchanges of actionable intelligence, alerts and warnings, best practices, and other matters between and among various nodes including: Federal CIKR Sectors; State, tribal, and local entities; the Intelligence Community; law enforcement; and CIKR owners and operators.

The "value proposition" set forth in the *NIPP* articulates guiding principles for coordination and cooperation between government and the CIKR sector. In accordance with these principles, the Federal Government:

- Provides CIKR owners and operators timely, accurate, and actionable all-hazards information.
- Ensures CIKR owners and operators are engaged at senior executive and operational levels primarily through respective SCCs.
- Articulates benefits of a risk-based, cross-sector approach to preparedness, resilience, and protection.
- Works with CIKR owners and operators to clearly establish priorities for prevention, protection, and recovery.
- Articulates the mutual benefits of all-hazards preparedness to Federal, State, tribal, and local governments as well as to CIKR owners and operators, thereby underscoring the importance of private-sector participation in preparedness, prevention, response, and recovery efforts. (See the CIKR Support Annex for more information on the value proposition for private-sector action.)

Key DHS/OIP functions that support coordination with CIKR private-sector entities for incident management include:

- Facilitating information sharing and situational awareness with security partners.
- Facilitating coordination of a sector partnership model that fosters cooperation and collaboration between government and private-sector owners and operators within each of the 17 CIKR Sectors.
- Facilitating the development, implementation, and exercise of CIKR support as an integrated element of response plans across sectors, and other industry sectors as appropriate.
- Supporting sectors in developing their own sector coordination and information-sharing mechanisms.
- Deploying Infrastructure Liaisons to the NOC components including the National Response Coordination Center (NRCC) and the Interagency Management Planning Team (IMPT) to facilitate coordination with the CIKR sectors at the national level.
- Deploying Infrastructure Liaisons and/or Advisors (Specialists) as requested to the Regional Response Coordination Center (RRCC), JFOs and other field facilities, and State, tribal, or local emergency operations centers, as needed, to provide coordination and liaison functions to the CIKR sectors.

Although the role of the Infrastructure Liaison is comprehensively described in the CIKR Support Annex, high-level responsibilities can be found below.

- Serves as the principal advisor regarding national and regional CIKR, and other relevant businesses and industry.
- Coordinates with private-sector entities, SSAs, and State, tribal, and local governments.
- Acts as liaison between national- and regional-level CIKR, the private sector, and the Unified Coordination Group by conveying information about the Nation's CIKR and private-sector status.
- Facilitates operational-level communication with the private sector during an incident.
- Communicates with the DHS/OIP representative at the IMPT, NRCC, and National Infrastructure Coordinating Center (NICC).

The Infrastructure Liaison focuses on the broad impacts and status of actions relating to affected CIKR, 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.

- **National Infrastructure Coordinating Center (NICC):** The NICC monitors the Nation's CIKR on a 24/7 basis and provides a mechanism and process to share and exchange information with the private sector and the HSPD-7 SSAs.

In incidents requiring a coordinated Federal response, the NICC is a key component in providing situational and operational awareness and the capability to rapidly share information with private-sector entities as required.

Sector-Specific Agencies

SSAs, as designated in HSPD-7, focus on overarching CIKR protection, risk management, and information sharing by working collaboratively with relevant Federal departments and agencies; State, tribal, and local governments; CIKR owners and operators; and other private-sector entities.

In cooperation with DHS/OIP, SSAs collaborate with private-sector security partners to encourage:

- Supporting comprehensive risk assessment/management programs for high-risk CIKR.
- Sharing real-time incident notification, as well as CIKR protection best practices and processes.
- Developing information-sharing and analysis mechanisms to include physical and cyber threats.
- Building security-related information sharing among public and private entities.

Private-Sector Involvement With Incident Management Organizations: Private-sector involvement with incident management organizations is determined by the nature, scope, and magnitude of 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. Assessments of, and contingency plans for, the disruption of a private entity's supply chain and other dependencies are usually included in this planning.

Private-sector owners and operators, in many locations, coordinate plans for security and continuity/contingency programs with State, tribal, and local entities.

In accordance with the *NIPP*, CIKR sectors use established information-sharing arrangements to facilitate coordination necessary to share homeland security information with competitors and governments.

Representative private-sector incident management organizations may be established to assist Federal, State, tribal, or local regional-level or local coordination centers or field offices to facilitate interaction, communication, and coordination with the private sector.

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.

Private-sector organizations, either for-profit or not-for-profit, may be included in the Incident Command Post.

Federal Incident Management Organizations: Private-sector for-profit and not-for profit organizations, as well as State, tribal, local, and NGOs are encouraged to assign liaisons to the JFO to facilitate interaction, communication, and coordination. In some instances, the Unified Coordination Group may include not-for-profit and/or for-profit organization representatives.

Notification and Reporting

Private-sector for-profit and not-for-profit organizations, like Federal, State, tribal, and local governmental organizations, report threats, incidents, and potential incidents to the NOC using existing jurisdictional incident reporting mechanisms and reporting channels. The NOC receives threat and operational information regarding incidents or potential incidents from these organizations and jurisdictions and makes an initial determination to initiate the coordination of Federal incident management activities.

In partnership with the NOC, the DHS/OIP manages the daily analysis of incident-related reports and information. This management includes maintaining communications with private-sector critical infrastructure information-sharing mechanisms.

During national-level incidents that require Federal coordination, the NICC conducts daily teleconferences with the CIKR sector information-sharing mechanisms and SSAs to discuss incident-related activities and sector status.

CIKR Incident-Related Communication: The DHS Office of Public Affairs (DHS/OPA) works in conjunction with DHS/OIP and the DHS Assistant Secretary for the Private Sector providing timely public information to the CIKR sectors and their affiliated entities (through conference call, e-mail, or both) during national-level incidents that require a coordinated Federal response.

The CIKR incident communications system is modeled after processes set forth in the *NRF* Public Affairs Support Annex to ensure coordination with Federal, State, tribal, and local entities.

DHS/OPA communication actions include the following:

- Providing the overarching coordination lead for incident communications to the public, including the special needs population, during an incident requiring a coordinated Federal response.
- Maintaining a standing conference line for use by CIKR incident communications coordinators.
- Coordinating and disseminating line access information in coordination with DHS/OIP.
- Maintaining a contact list, including e-mail information, of CIKR incident communications coordinators.
- Coordinating with SSAs to share public information and messages for SCCs.

DHS/PA works in coordination with ESFs and SSAs to identify organizations and/or individuals (e.g., SCCs, sector-identified information-sharing mechanisms such as Information Sharing and Analysis Centers (ISACs), major trade associations and other private-sector organizations as appropriate, and State, tribal, and local entities) to act as focal points for incident communications with the private sector. These organizations and individuals are selected based on their ability to disseminate information to and coordinate with a broad array of other organizations and individuals.

Representatives serve as the primary reception and transmission points for incident communications products from DHS/PA, ESFs, and SSAs, and they retain responsibility for dissemination to counterpart communicators to ensure information is distributed widely.

ACTIONS RELATED TO OPERATIONS WITH THE PRIVATE SECTOR

Preincident

DHS/PSO facilitates the development and presentation of general educational programs for the private sector that increase awareness and understanding of terrorist threats and prevention and mitigation activities, encourages the sharing of appropriate information and use of best practices that contribute to early warning of potential incidents, and supports private-sector participation in exercises.

DHS/OIP facilitates and encourages the organization of industry sectors to cooperate on information sharing and other prevention and mitigation activities.

DHS/OIP maintains relationships with the CIKR sector to identify requirements for capabilities and support. DHS/OIP develops and implements programs and capabilities that continuously improve the two-way exchange of information with the private sector.

DHS/OIP maintains situational/operational awareness of CIKR 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 CIKR owners and operators. After assessing information on incidents and threats, it disseminates alerts, warnings, and advisories for both government and private-sector entities.

DHS/OIP, in collaboration with SSAs, encourages, facilitates, and coordinates CIKR 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/OIP supports sector-specific and cross-sector exercises and provides representation in exercises led by the private sector and State, tribal, and local governments.

Initial Actions

Actions are initiated at DHS Headquarters, the NOC, the NRCC, the NICC, and RRCCs 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 *NRF* organizational structures.

The DHS/PSO representatives act as a liaison to communicate at a strategic level to private-sector leadership. DHS/PSO facilitates communication with private-sector senior leadership and with the NRCC and NICC to maintain awareness of private-sector issues and needs as a complement to awareness being achieved by DHS/OIP. They also coordinate the incident's economic impact assessment with private-sector senior leaders, internal DHS partners, and other Federal department or agency liaisons as appropriate.

At the NOC Watch, the DHS/OIP representative monitors the operational status of CIKR and facilitates coordination and sharing of situational awareness with and among the CIKR and other industrial sectors as needed.

The NICC coordinates between the owners and operators of CIKR and other private assets, and the appropriate SSAs, to ensure that all are informed regarding activities pertaining to their areas of responsibility. SSAs coordinate with the NICC to ensure that it is informed regarding CIKR vulnerabilities and activities and in support of the DHS common operating picture.

The Infrastructure Liaison at the JFO facilitates coordination between the Unified Coordination Group, and Principal Federal Official, if appointed, with the national-level *NRF* elements and appropriate ESF representatives regarding local/regional matters relating to CIKR and the private sector.

The Infrastructure Liaison provides analysis and recommendations to the Unified Coordination Group regarding restoration of the infrastructure and related allocation and prioritization of limited resources. (See the CIKR Support Annex for further discussion of Infrastructure Liaison roles and responsibilities.)

Emergency Support Functions: At the NRCC, RRCC, and JFO, the ESFs establish contact with private-sector counterpart organizations and/or industry, including representative private-sector organizations created for such incident 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

Private-sector entities are responsible for the repair, restoration, and security of their property, and first seek reimbursement for disaster losses from insurance or other sources.

Federal disaster assistance may be available, 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.

The NICC maintains situational awareness through the recovery of CIKR and acts as a conduit of information to and from sectors through the NICC.

DHS/OIP assists or facilitates infrastructure owners and operators with the restoration of facilities, working under existing authorities, in coordination with private-sector organizations and consortia that are organized for these purposes.

RESPONSIBILITIES

Coordinating Agency: DHS

DHS:

- Develops plans, processes, and relationships, and facilitates coordinated 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 *NRF*, 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, tribal, and local governments.
- Develops, implements, and operates information-sharing and communication strategies, processes, and systems with homeland security stakeholders.

Cooperating 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.).

Private-Sector Entities

Private-sector organizations support the *NRF* either through voluntary actions to help ensure business continuity or by complying with applicable laws and regulations.

To assist in response and recovery from an incident, private-sector organizations:

- Take responsibility for their internal preparedness by:
 - Identifying risks, performing vulnerability assessments.
 - Developing contingency and response plans.
 - Enhancing their overall readiness.
 - Implementing appropriate prevention and protection programs.
 - Coordinating with their suppliers and CIKR customers to identify and manage potential cascading effects of incident-related disruption through contingency planning.
- Accept responsibility to:
 - Share information appropriate within the law with the government.
 - Provide goods and services through contractual arrangements or government purchases, or and where appropriate, mutual aid and assistance agreements with host communities.
 - Act as corporate citizens to donate and facilitate donations by others of goods and services.
 - Certain organizations are required to bear the cost of planning and response to incidents, regardless of cause. When requested by DHS, 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.

This page intentionally left blank.

Coordinating Agency:

Department of Homeland Security

Cooperating Agencies:

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 requiring a coordinated Federal response.

Scope

As part of the Secretary of Homeland Security's responsibility to coordinate incident management under Homeland Security Presidential Directive 5, the *National Response Framework (NRF)* Incident Communications Emergency Policy and Procedures (ICEPP) provides detailed guidance to Federal incident communicators on activities to be initiated in conjunction with incidents requiring a coordinated Federal response. It is applicable to all Federal departments and agencies responding under the *NRF*. It establishes mechanisms to prepare and deliver coordinated and sustained messages regarding incidents requiring a coordinated Federal response, and provides for prompt Federal acknowledgement of an incident and communication of emergency information to the public during incident management operations.

The ICEPP is comprised of two annexes contained in the *NRF*:

- **Public Affairs Support Annex:** Describes the interagency policies and procedures for incident communications with the public.
- **ESF #15 – External Affairs Annex:** Outlines the functions, resources, and capabilities for external affairs.

Additionally, the ESF #15 Standard Operating Procedures (SOP) exist within the parameters established by the *NRF*. The SOP establishes specific procedures and protocols for ESF #15 to support Federal domestic incident management during an incident requiring a coordinated Federal response.

The policies outlined in all of these documents are based on, and flow through, the *NRF*, the *National Incident Management System (NIMS)*, and the ESF #15 SOP, which further outlines the guidance, protocols, and tactics of the Joint Information System (JIS), the Incident Command System (ICS), and Federal external affairs actions. All of these elements are integrated with and supported through the ESF #15 resource management structure.

Policies

The *NIMS* institutes an integrated concept, termed "incident communications," as the approach used to manage communications with the public during incidents requiring a coordinated Federal response. Incident communications incorporates the following processes:

- **Control:** Identification of incident communications, primary and supporting department and agency roles, and authorities for release of information.
- **Coordination:** Specification of interagency coordination and plans, notification, activation, and supporting protocols.

- **Communications:** Development of accessible message content such as incident facts, health risk concerns, preincident and postincident 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, tribal, and local authorities to release information regarding an incident under their jurisdiction, particularly if it involves immediate health and safety issues.

State, tribal, and local authorities retain the primary responsibility for communicating health and safety instructions for their population. Information should be made available in languages other than English and in alternate formats, as necessary.

Integration and teamwork among Federal, State, tribal, and local authorities is essential. State, tribal, and local 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, tribal, and affected private-sector counterparts 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, tribal, and local 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.
- Dissemination of incident information to the public, including special needs populations.

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.
- 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:

- Providing a leadership role during domestic incidents when significant interagency coordination is required.
- Identifying Federal department and interagency participants, and arranging conference calls and other activities necessary for ESF #15 coordination.
- Establishing a strategic communications flow during an incident requiring a coordinated Federal response.
- Designating an ESF #15 team comprised of external affairs officials from various Federal Government departments and agencies.
- 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, tribal, and local authorities.

The organizational approach for public affairs and incident communications with the public relies on the following organizations and positions:

- **Incident Management Planning Team (IMPT):** As a member of the DHS IMPT, a DHS OPA planner writes public affairs annexes for each of the National Planning Scenarios.
- **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 incidents requiring a coordinated Federal response, JICs are established to coordinate Federal, State, tribal, local, 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, tribal, and local 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.
- **Incident JIC:** The incident JIC is the physical location where all public affairs professionals 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 preparedness, response, recovery, and mitigation. The JIC may be established at an on-scene location in coordination with State, tribal, and local 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. However, the most important consideration concerning location will be the proximity to the incident. It would likely be established following multiple hurricanes or other natural disasters. This JIC is also the location military public affairs officers should deploy to if a Joint Task Force is established to support the incident.

- **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. The National Incident Communications Conference Line (NICCL) is a Virtual JIC. Virtual JICs continue as long as the situation warrants and prevents collocation of public affairs assets.
- **Satellite JIC:** The Satellite JIC is a forward-deployed component of an incident JIC. Smaller in scale, a Satellite JIC is established to provide a scalable and flexible capability for timely release of information, as the incident situation evolves. A Satellite JIC may be established to support a specific press event.
- **Area JIC:** Multiple JICs may be used when there are multiple JFOs to support the area command ICS structure. Procedures and processes specified in the *NIMS* and the ICEPP should be employed whenever multiple JICs are operating in support of the same or related incidents and jurisdictions. Coordination between the Area JICs is important to ensure mutual awareness and consistency in messaging and public instructions between all participants.
- **National JIC:** The National JIC is activated when an incident requires a coordinated Federal response. Incidents of great magnitude with high media interest require Federal coordination that is expected to be of a long duration (i.e., weeks or months). The incident would likely affect a large area of the country. A National JIC could be established outside Washington, DC, or any other major metropolitan area following a Federal continuity of operations (COOP) plan.
- **JIC Staffing Components:** JIC organization and staffing components are based on the template established in the ESF #15 SOP.
- **External Affairs Officer:** ESF #15 provides the External Affairs Officer to the JFO Unified Coordination Staff during an incident requiring a coordinated Federal response. The External Affairs Officer, or ESF #15 Officer, serves as the primary external affairs advisor to the Federal Coordinating Officer (FCO)/Federal Resource Coordinator (FRC), JFO Unified Coordination Group, and Principal Federal Official (PFO), if designated.

The External Affairs Officer reports to the ESF #15 Director and the Unified Coordination Group. Specific duties include coordinating and developing the external affairs and communications strategy in support of the Unified Coordination Group and the Incident Action Plan; coordinating the external affairs information flow within the JFO and among other Federal, State, tribal, and local counterparts; and facilitating site visits by governmental officials, foreign dignitaries, and other VIPs. The External Affairs Officer differs from a press secretary, who may be assigned to directly support a PFO, when designated.

Other ESF #15 personnel include:

- **Multistate/Single PFO – ESF #15 External Affairs Officer:** Certain coordinated Federal responses may require a single designated PFO for the incident with multiple FCOs and staffs in affected States. In this case, an ESF #15 Deputy External Affairs Officer for the respective State(s) and supporting FCO(s) will be identified. In order to ensure unity of effort, ESF #15 Deputy External Affairs Officers will coordinate activities with the PFO's ESF #15 External Affairs Officer.
- **Initial ESF #15 External Affairs Officer:** This officer may be assigned in the event of a no-notice incident requiring a coordinated Federal response, pending arrival of the permanently assigned officer.

- **Other External Affairs Staff Personnel:** Include the ESF #15 Deputy and Executive officers, a Press Secretary, a PFO liaison (if a PFO is appointed), and Assistant External Affairs Officers for Congressional Affairs; State, Local, and Tribal Affairs; the Private Sector; Community Relations; and Planning and Products.

The organizational approach for public affairs and incident communications with the public also includes the following coordination systems:

- **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 requiring Federal coordination. DHS Public Affairs provides guidance to Federal interagency public affairs headquarters staffs and affected authorities through the NICCL.
- **State Incident Communications Conference Line (SICCL):** The SICCL is a dedicated Federal-State incident communications conference line also designated by DHS Public Affairs to facilitate the inclusion, transmission, and exchange of incident management information and messaging to all States and territories.
- **Private Sector Incident Communications Conference Line (PICCL):** The PICCL is a standing line for use by the Critical Infrastructure/Key Resources (CIKR) incident communications coordinators. Access information will be coordinated and disseminated by DHS Infrastructure Protection and DHS Public Affairs to provide timely public information to the CIKR sectors during an incident requiring Federal coordination and response.
- **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 National Operations Center (NOC) 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, tribal, and local emergency operations and command centers. The NOC provides support for this task. Department and agency incident communications COOP plans should incorporate relocation and alternate operating location provisions.

Managing Incident Communications

For incidents requiring a coordinated Federal response, Federal public affairs offices must immediately work together across all departments and the ESFs to communicate with the public. The integration and coordination of the public information office associated with each ESF will ensure the Federal Government is communicating a complete message. This section describes incident communications control processes that delineate primary roles, primary agency functional areas, and authority for release of information.

Initial Actions: The NOC 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 Requiring a Coordinated Federal Response:** The NOC Senior Watch Officer notifies the DHS AS/PA and Director of Incident Communications, who in turn direct implementation of the ICEPP and immediate public affairs staffing to respond to the incident.
- **Other Domestic Incidents:** The ICEPP may be implemented by the DHS AS/PA at the discretion of the Secretary of Homeland Security in support of other domestic incidents requiring NOC participation.

The DHS National Joint Information Center (NJIC) will serve as the Federal incident communications coordination center during incidents. The virtual Federal interagency team and NICCL are controlled from the NJIC.

Assignments: For an incident requiring a coordinated Federal response, 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:

- Preparedness
- Protective measures
- Incident management
- Law enforcement
- Medical or behavioral health
- Environmental
- Family assistance and victim issues
- Special needs communications
- Evacuation/sheltering of household pets
- Search and rescue
- Technical or forensic matters
- Recovery assistance
- Federal personnel management

Interagency Public Affairs Directors: Federal interagency public affairs directors and their public affairs offices maintain a close working relationship with the DHS AS/PA and the Director of Incident Communications.

Initial Coordination: Establishing communications with participants is a primary objective during the first minutes of plan activation. A streamlined process ensures that appropriate participants and decisionmakers are linked together (by virtual or other means) to manage incident communications with the public. In coordination with White House communications, the Secretary of Homeland Security makes initial formal statements and public safety recommendations supported by other Cabinet officers and senior officials, as appropriate. DHS Public Affairs establishes communications paths to enable the following:

- **Headquarters Level:** Consultation with White House Communications, DHS senior leadership, the NOC, and the IMPT.
- **Interagency Level:** Consultation with the Federal interagency through the NICCL from the OPA. The conference line is activated and used to communicate with interagency public affairs officials and affected State, tribal, and local counterparts. Federal interagency public affairs 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, tribal, and local 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, tribal, and local 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 operational, 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, consistent, and accessible information to the public. Resources for these activities are provided through ESF #15. This sustained coordination effort includes Federal, State, tribal, local, and nongovernmental entities involved with incident communications with the public. DHS Public Affairs coordinates department and independent agency headquarters-level 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, tribal, and local 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. Information for the public needs to be made available in languages other than English and in alternate formats as necessary through all phases of an incident.

Actions Relating to Incident Management Components

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 and effective transportation and sheltering of household pets.
- Public and media education, including weapons of mass destruction information.
- Preparation and readiness to develop and deploy public service announcements and health advisory information.
- Testing and coordination of emergency broadcast and alerting systems.

Preparedness communications guidance and messaging support is provided through a number of resources, including websites. Some of those sites are: www.ready.gov, www.pandemicflu.gov, www.cdc.gov, and www.redcross.org. Other Federal department and agency websites provide authoritative and scientifically based information on threats, health preparedness, and recovery-phase actions.

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, sustained, and accessible messages according to a well-planned strategy. DHS Public Affairs coordinates the Federal incident communications response.
- Immediate and continuing dissemination of operational, health, or safety instructions, if necessary. This may also include evacuation or decontamination instructions.
- Coordination of initial Federal announcements regarding an incident with State, tribal, and local authorities to ensure that the public is receiving a consistent and accessible message.
- Activation of ESF #15 to support the incident communications effort with appropriate resources.
- Making available preidentified subject-matter experts to the media to provide accurate scientific, medical, and technical response information.
- Designation of an ESF #15 External Affairs Officer to support the PFO, if one is designated.
- Establishment of a JIC near the incident site to support the JFO and PFO, if one is designated.
- 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 through the SICCL.
- Deployment of public affairs resources from other Federal departments and agencies as required by the scope of the incident.
- Development and implementation of a joint sustaining communications plan and effort by Federal, State, tribal, and local authorities that ensures accessible means of outreach to special needs populations.

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 requiring Federal coordination. Key communications phase activities are summarized.

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, tribal, and local 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 accessible public information on response and progress in restoring normalcy. Emphasis is placed on mitigating or reducing social and emotional anxiety and concern.
- Providing accessible public information on disaster assistance and support resources.
- Recognition of the efforts of responders, citizens, and the private sector.

Public Alerting and Mass Communications Systems

The Emergency Alert System (EAS) is a tool for the President to quickly send important emergency information to the Nation using radio, television, and cable systems. The EAS is available for State, tribal, and local use, but such use is voluntary on the part of the EAS participant.

ESF #15 Release Authority: Through authorized spokespersons, the Federal Government will respond to media requests for information, interviews, and imagery. The ESF #15 Officer is authorized to approve press releases, interviews, news briefings, and statements to the media. Significant policy statements and potentially sensitive external materials should be coordinated with the FCO, FRC, or PFO (if appointed) before release. Spokespersons are identified as early in the response process as possible. Spokespersons may include incident management leadership and public affairs professionals. Federal, State, tribal, and local 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.

Media Access: Media may be embedded in Federal Government departments and agencies responding to a domestic incident. Access is based on the adherence to ground rules and policies in the ESF #15 SOP. Media access will not be granted if ongoing law enforcement operations or the prosecution of forthcoming legal action will be jeopardized.

Special Needs Populations

Special needs populations must also be considered by authorities as a community prepares to respond to an incident. Emergency communications, including public information associated with emergencies, must be in accessible formats for persons with disabilities and individuals with limited English proficiency. The types of information important to deliver to special needs populations include the location of shelters and food, availability of transportation, and health care locations and availability.

Animal Evacuation and Sheltering

Authorities must consider the needs of household pets as a community prepares to respond to an incident. Emergency communications, including public information associated with emergencies, must address evacuation, transportation, and sheltering of individuals and their household pets. The types of information important to deliver to these populations include the identification and location of pet-friendly shelters and food; specific State, tribal, and local transportation programs available for household pets; and reunification of pet populations with their human counterparts. Also critical is clear guidance in disaster messaging that differentiates animal-related issues such as decontamination, quarantine, and hazmat incidents.

Medical and Mental Health Support

Federal resources; State, tribal, and local authorities; the American Red Cross; and other agencies and organizations provide mental health assistance and support to the public following an incident requiring Federal coordination. 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.

Non-Federal Incidents

Many incidents do not require the direct involvement of 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 NOC and coordinates Federal public affairs activities for the incident, unless otherwise directed by the Secretary;
- DHS Public Affairs contacts the affected State, tribal, and local counterparts and, through mutual agreement, confirms primary roles and plans; and
- In coordination with participating State, tribal, and local 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.

Catastrophic Planning

In the event of extraordinary levels of mass casualties, damage, or destruction, communications may be challenging. The Catastrophic Incident Annex outlines the resources and capabilities used in support of such an event. Numerous Federal departments and agencies would be involved in communications, especially in the event DHS OPA is not capable of coordinating and communicating.

RESPONSIBILITIES

Coordinating Agency: DHS

DHS, through the AS/PA and OPA:

- Plans, prepares, and executes Federal leadership and ESF #15 resource management during incidents requiring a coordinated Federal response 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 an Operations Director based on the type and nature of the incident.
- Designates an ESF #15 External Affairs Officer to support the incident PFO, if one is designated.
- Coordinates Federal plans and processes for incident communications with the public with State, tribal, and local authorities as necessary.
- Coordinates plans and processes for incident communications with the public with nongovernmental organizations.

- 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 incidents requiring Federal coordination.
- 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.
- Disseminate incident information to the public within their functional areas of responsibility.
- Ensure that departmental and agency plans incorporate the provisions contained in the *NRF* for incident communications with the public.

Responsibilities for ICEPP Administration

Responsibilities for the ongoing management, maintenance, update, and administration of the ICEPP are assigned as follows:

- **Responsibility:** The DHS AS/PA is responsible for preparation, management, and maintenance of the ICEPP.
- **Oversight:** The HSC provides oversight and coordination of policy issues relating to the ICEPP. The HSC and the DHS AS/PA jointly coordinate interagency clearance on the 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 ICEPP.
- **Recurrent Review:** The DHS AS/PA reviews the 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 ICEPP and the ESF #15 SOP are the primary Federal plans for incident communications with the public and are 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 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 dealing with the Public Affairs Support Annex. The DHS AS/PA manages the ICPACC and meets on a quarterly basis or as needed. The ICPACC meeting location rotates throughout the Federal Government to increase awareness and foster public affairs and interagency cohesiveness.

Table 1. Interagency Incident Communications Planning Guide

Incident Time	Incident Activity	Actions
<p>First Hour</p>	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • NOC notified of incident. • Activate ICEPP protocols. • DHS NJIC activated. • Notify interagency of NICCL call. • DHS OPA initiates communications with affected State, tribal, local, or private-sector incident site communications counterparts. • ESF #15 is activated. • State, tribal, 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. • NICCL Interagency call assesses: <ul style="list-style-type: none"> • Control/lead agency. • Coordination/planning. • Communications. • ESF #15 activation and deployments. • Virtual JIC established. • Secretary of Homeland Security and/or other Cabinet and senior officials make first formal statement within an hour of the incident. • SICCL call with nonaffected States and territories. • Web page posted by DHS; links to other interagency websites. • Subject-matter experts identified. • ESF #15 activation order distributed. • ESF #15 External Affairs Officer and other personnel designated.

Incident Time	Incident Activity	Actions
<p>First Day</p>	<ul style="list-style-type: none"> • 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, response, law enforcement, and incident communications with the public • Questions from media on why the incident happened and potential incidents elsewhere in the Nation 	<p>Interagency effort continues to focus on Federal response, protective measures, and reassurance; messaging includes deterrent measures, preparedness, and disaster assistance.</p> <ul style="list-style-type: none"> • Homeland Security Advisory System (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 NOC. • Followup statements and declarations by national leadership <ul style="list-style-type: none"> • Terrorism • Disaster • Emergency declarations • Stafford Act • Followup NICCL calls continue while incident JIC is established to support JFO and incorporate Federal, State, tribal, and local authorities. • Incident JIC will perform functions per the ESF #15 SOP. • 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, tribal, and local authorities. • PFO's ESF #15 External Affairs Officer prepares to deploy, if a PFO is designated. • 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. • DHS initiates contact with the private sector through the PICCL.

Incident Time	Incident Activity	Actions
First Week	<ul style="list-style-type: none"> • Response and recovery continues. • Potential diminishing media coverage • Continuing victim and family coverage • Search and rescue operations • Possible decontamination issues • 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, response, law enforcement, and incident communications with the public 	<ul style="list-style-type: none"> • Interagency effort continues to focus on Federal response, protective measures, and reassurance; messaging includes deterrent measures, preparedness, and disaster assistance. • Daily briefing routine continues in coordination with all Federal, State, tribal, and local authorities. • DHS Public Affairs continues close coordination with NOC. • Incident JIC continues to support JFO; JIC performs standard functions and coordinates with PFO's ESF #15 External Affairs Officer. • 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. • Incident JIC distributes statistical information, graphics, video, and photos as appropriate. • Potential VIP visits to incident.
Recovery	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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. • ESF #15 spokespersons continue to provide briefings with Federal, State, tribal, 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.

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 incidents requiring a coordinated Federal response. 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 Framework* in response to incidents requiring Federal coordination, including tribes recognized by the Federal Government.

Because tribal governments are fully integrated into the *National Response Framework*, this annex addresses only those factors in the relationship between Federal departments and agencies and the federally recognized tribes.

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 incidents requiring Federal coordination.

The United States recognizes Indian tribes as domestic dependent nations under its protection, recognizes the right of Indian tribes to self-government, and supports tribal sovereignty and self-determination.

Federal agencies shall respect Indian tribal self-government and sovereignty, honor tribal treaty and other rights, and strive to meet the responsibilities that arise from the unique legal relationship between the Federal Government and Indian tribal governments.

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.

Tribal Relations Support Annex

Federal departments and agencies involved in potential or actual incidents requiring a coordinated Federal response shall 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.

Federal departments and agencies recognize the unique political and geographical issues of tribes whose aboriginal and contemporary territory is on or near the current international borders of Canada and Mexico.

Federal departments and agencies shall include tribes in all aspects of incidents requiring a coordinated Federal response that affect tribes and incident management operations.

CONCEPT OF OPERATIONS

General

Federal departments and agencies conduct incident management operations involving federally recognized tribal governments in accordance with the *National Response Framework* 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 shall be included in the Unified Coordination Group, as required.

ACTIONS

Through ESF #15, DHS, in consultation with cooperating agencies, coordinates requirements for the Tribal Relations Element at the JFO, when established.

A tribe may appoint a member of the tribe to serve as a tribal liaison in the JFO. As authorized by tribal government, the tribal liaison:

- Is responsible for coordinating tribal resources needed to prevent, protect against, respond to, and recover from incidents of all types. This also includes preparedness and mitigation activities.
- May have powers to amend or suspend certain tribal laws or ordinances associated with response.
- Communicates with the tribal community and helps people, businesses, and organizations cope with the consequences of any type of incident.

Tribal Relations Support Annex

- Negotiates mutual aid and assistance agreements with other tribes or jurisdictions.
- Can request Federal assistance under the Stafford Act through the Governor of the State when it becomes clear that the tribe's capabilities will be insufficient or have been exceeded.
- 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 departments or agencies can work directly with the tribe within existing authorities and resources.

RESPONSIBILITIES

Coordinating Agency: DHS

- Has primary responsibility for implementing consistent tribal relations policies and procedures during potential or actual incidents requiring a coordinated Federal response.
- 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.
- 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

Agency	Functions
<p>Department of Agriculture</p>	<ul style="list-style-type: none"> • Directly supports tribal nations by providing education, training, and support to enable the response to emergency incidents. • Provides expertise and support concerning food safety and security, plant and animal health, and other homeland security issues including border security. • Provides technical assistance and subject-matter expertise for pet evacuation and sheltering activities.
<p>Department of Health and Human Services (HHS)</p>	<p>Indian Health Service</p> <p>In consultation with tribal officials, provides comprehensive public health services and acute (emergency) care directly, through contract health services (nontribal contractor), or through self-determination healthcare 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.</p>
	<p>HHS/Centers for Disease Control and Prevention</p> <ul style="list-style-type: none"> • In consultation with tribal officials, directly participates in the emergency response and provides expertise and epidemiological support in an incident involving a biological agent. • Working with tribal health officials and the Indian Health Service, assesses health impacts and needs in support of tribal efforts.
	<p>HHS/Food and Drug Administration</p> <p>In consultation with tribal officials, directly participates in any emergency response to terrorism that contaminates food or pharmaceutical industry products affecting tribal lands.</p>
<p>Department of the Interior (DOI)</p>	<p>DOI/Bureau of Indian Affairs</p> <ul style="list-style-type: none"> • In consultation with tribal officials, 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 households, and support for all Federal agencies responding to the incident. • Assesses impacts on trust lands, resources, and infrastructure and supports tribal efforts commensurate with trust responsibilities. • In support of ESF #15, provides liaison officers to ensure coordination with tribal governments on all aspects of incident management operations, and works 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, assists in providing an efficient and reliable flow of incident-related information between the tribes and the Federal Government. • Supports DHS for the Tribal Relations Element of the JFO by supplying staff and resources as requested.

Volunteer and Donations Management Support Annex

Coordinating Agency:

Department of Homeland Security/Federal
Emergency Management Agency

Cooperating Agencies:

Department of Agriculture
Department of Health and Human Services
Department of Homeland Security
Department of State
Department of Transportation
Corporation for National and Community
Service
General Services Administration
U.S. Agency for International Development
USA Freedom Corps
National Voluntary Organizations Active in
Disaster

INTRODUCTION

Purpose

The Volunteer and Donations Management Support Annex describes the coordination processes used to support the State in ensuring the most efficient and effective use of unaffiliated volunteers, unaffiliated organizations, and unsolicited donated goods to support all Emergency Support Functions (ESFs) for incidents requiring a Federal response, including offers of unaffiliated volunteer services and unsolicited donations to the Federal Government.

Scope

This annex provides guidance on the Federal role in supporting State governments in the management of masses of unaffiliated volunteers and unsolicited donated goods. (Any reference to volunteer services and donated goods in this annex refers to unaffiliated volunteer services¹ and unsolicited goods, unless otherwise stated.) This guidance applies to all agencies and organizations with direct and indirect volunteer and/or donations responsibilities under the *National Response Framework*.

Policies

The goal of volunteer and donations management is to efficiently and effectively support the affected jurisdictions in close collaboration with the voluntary organizations/agencies, in an effort to manage the overall influx of offers of goods and services to the Federal Government, States, tribes, local governments, voluntary agencies, and other entities before, during, and after an incident.

The Federal Government encourages State, tribal, and local governments to coordinate with voluntary agencies, community and faith-based organizations, volunteer centers, and private-sector entities through local Citizen Corps Councils and local Voluntary Organizations Active in Disaster (VOADs) to participate in preparedness activities including planning, establishing appropriate roles and responsibilities, training, and exercising.

¹ Unaffiliated volunteers, also known as spontaneous volunteers, are individuals who offer to help or self-deploy to assist in emergency situations without fully coordinating their activities. They are considered "unaffiliated" in that they are not part of a disaster relief organization. Although unaffiliated volunteers can be significant resources, because they do not have preestablished relationships with emergency response organizations, verifying their training or credentials and matching them with the appropriate service areas can be difficult.

Private nonprofit and private-sector organizations that can provide a specific disaster-related service to Federal, State, local, and tribal governments are encouraged to establish preincident operational agreements with emergency management agencies. At the Federal level, FEMA will provide preincident support to broker a match with the most appropriate ESF or response element for organizations with disaster services that are not currently affiliated with a specific ESF.

State, tribal, and local governments have primary responsibility, in coordination with VOADs, to develop and implement plans to manage volunteer services and donated goods.

Full use of existing volunteer and donations management resources at the local level is encouraged before seeking assistance of the State or Federal governments.

The Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) coordinates with other Federal agencies, in support of the State, to identify operational requirements for an effective State Volunteer and Donations Management operation.

The Corporation for National and Community Service (CNCS) coordinates with other Federal agencies and voluntary organizations in support of State, tribal, and local government efforts in the coordination and management of unaffiliated volunteers.

The Federal Government will have a system to manage and coordinate offers of unaffiliated volunteer services and unsolicited donated goods from the private sector that are made to the Federal Government, so that any appropriate offer can be effectively integrated into the overall process.

State and local governments are encouraged to establish a structure responsible for receiving, tasking, and employing the full range of goods and services that may be donated during an emergency.

The Federal Government encourages individuals interested in volunteering personal services to directly affiliate with a voluntary organization/agency of their choice or a local volunteer center, and/or to participate through their local Citizen Corps program.

The Federal Government encourages donations from the general public to be made as cash to voluntary, faith-based, and/or community organizations providing services to disaster victims.

Policies and procedures regarding International Donations coordination of government-to-government assistance and assistance from international organizations such as the North Atlantic Treaty Organization (NATO) and the United Nations (U.N.) are addressed in the International Assistance System (IAS) as described in the International Coordination Support Annex, which is managed jointly by the Department of State (DOS), the U.S. Agency for International Development (USAID), and DHS/FEMA.

Donations of blood products are referenced in the ESF #8 – Public Health and Medical Services Annex.

Other Federal agencies may have independent authority to accept gifts and/or services of volunteers that may be exercised independently by those agencies.

The Federal Government will include State and tribal governments, nongovernmental organizations, private-sector representatives, and others as appropriate in training and exercises.

All activities, functions, and services are provided in accordance with existing Federal statutes, rules, and regulations.

Preincident Activities

DHS/FEMA recommends that States and local jurisdictions develop and strengthen a Volunteer and Donations Management ESF/Support Annex in their State and local emergency plans. These plans should detail volunteer and donations management-related outreach and education programs, procedures to activate mutual aid such as the Emergency Management Assistance Compact, communications and facilities management, a Volunteer/Donations Coordination Team, a call center, relevant points of contact, safety and security, and demobilization.

CONCEPT OF OPERATIONS

The Federal Government supports State and tribal government efforts to manage unaffiliated volunteers and unsolicited donated goods. Requests for support under this annex from Federal, State, tribal, and local authorities generally are coordinated through the Regional Response Coordination Center (RRCC) or the Joint Field Office (JFO). Depending on the situation, however, coordination may occur at the National Response Coordination Center (NRCC). DHS/FEMA provides Volunteer and Donations Management staff to the NRCC, RRCC, and JFO in support of the State, as required.

Federal support of volunteer and donations management operations may include:

- Activation of a Volunteer/Donations Coordination Team at DHS/FEMA Headquarters to expedite service provided to donors from large private-sector entities, large civic organizations, and others, and to address large national media-driven collection drives and other complex situations involving donated goods and volunteer services.
- At the request of the State or tribal government, a national donations and volunteer management Web-based application that enables the general public to register their offers of donated goods and services, thus providing the State/tribal Volunteer/Donations Coordination Team a real-time view of offers and the ability to match offers to needs.
- Coordination with appropriate DHS/FEMA Divisions/Offices, the CNCS, National VOAD leadership, the Points of Light & Hands On Network leadership and their Volunteer Centers, State VOAD leadership, and other stakeholders as necessary.
- Facilities management such as multiagency warehouse and volunteer reception center capabilities.
- Communications support such as coordination of a national hotline and/or call center.

The CNCS supports utilization of volunteers who are not part of the preexisting Federal, State, tribal, and/or local emergency management structure.

National VOAD supports the management of unsolicited donations including efforts to maximize the utility of unsolicited donations, public information campaigns, and disposition of unneeded goods.

RESPONSIBILITIES

Headquarters-Level Responsibilities: DHS/FEMA and Cooperating Agencies

Preincident Activities

In coordination with DHS/FEMA regions, the CNCS, National VOAD, Points of Light & Hands On Network and their Volunteer Centers, and private-sector representatives:

- Establish a steering committee to be chaired by FEMA and National VOAD that will manage further development and revision of this annex and other supporting documentation.
- Develop and expand the national network of the following organizations that serve at the State, tribal, and local levels:
 - Citizen Corps Councils
 - CNCS
 - VOADs
 - Points of Light & Hands On Network and their Volunteer Centers
- Support and promote availability and operation of a Web site to facilitate collection and tracking of offers of goods and services to enable effective matching of offers with needs.
- Develop, maintain, and implement a comprehensive volunteer and donations management training program.
- Encourage resource typing and credentialing in support of effective volunteer and donations management in the field. Examples include typing of Volunteer/Donations Coordination Teams and volunteer and donations facilities.
- Support DHS/FEMA regional staff and cooperating agencies in providing technical assistance to the States.
- Convene regular interagency meetings with cooperating agencies and other stakeholders to enhance collaboration and information sharing.
- Establish and maintain contingency plans for an enhanced level of Federal support to affected States in a catastrophic and/or multistate incident.
- Support the activation of the IAS, as needed, to coordinate requests for international assistance and formal offers of assistance from foreign governments and international organizations such as NATO and the U.N. (See the International Coordination Support Annex.)

Response Activities

The affected State, tribal, and local governments, in conjunction with their voluntary organization partners, are responsible for implementing the appropriate plans to ensure the effective management of the flow of volunteers and goods in the affected area. DHS/FEMA provides support through the RRCC or JFO as necessary.

Volunteer and Donations Management Support Annex

In conjunction with the RRCC and/or JFO, DHS/FEMA provides communications support as needed including:

- Rapid communications with key voluntary agency, State, and private-sector coordinators.
- Media relations support.
- Support in the activation of the Web-based volunteer and donations matching software.
- In catastrophic circumstances, the possible activation of a national call center.

The NRCC activates its Volunteer/Donations Desk and/or DHS/FEMA activates a Volunteer/Donations Coordination Team to:

- Address high-level corporate offers, complex media- and/or congressionally driven offers, nationally organized collection drives, and international coordination, as needed.
- Provide technical assistance to other agencies that receive offers of goods and services from the private sector and assist with the processing of those offers.
- Designate a headquarters-level point of contact to coordinate with regional and field offices to determine significant needs for donations or unique goods and services that large organizations may be able to donate. The point of contact provides a headquarters liaison with high-level organizations, arranging to satisfy identified needs.

Regional-Level Responsibilities: DHS/FEMA and Cooperating Agencies

- Coordinates with the State and/or tribal government on their specific needs and requests.
- Designates an RRCC point of contact.
- Designates a point of contact in regional and field offices to obtain information about significant needs for donations or unique goods and services that large organizations may be able to donate, and to provide such information to the headquarters-level point of contact.
- Assists the State Volunteer and Donations Coordinator, as needed, with:
 - Early on-the-ground situation assessment for critical operational requirements and appropriate follow-through (e.g., the need for the establishment of possible ad hoc staging areas for incoming unaffiliated volunteers, and assistance regarding unaffiliated volunteers who have organized large-scale donations distribution centers in the affected area).
 - Setting up a Volunteer/Donations Coordination Center to include a Volunteer/Donations Coordination Team and volunteer and donations hotline.
 - Ensuring the appropriate donations receiving and distribution facilities are established and operating effectively.
 - Coordinating with the Joint Information Center and ESF #15 – External Affairs on public service announcements, press releases, and other media-related support.
 - Coordinating with appropriate DHS/FEMA Divisions/Offices, the CNCS, National VOAD leadership, the Points of Light & Hands On Network and their Volunteer Centers, State VOAD leadership, other Federal agencies, and stakeholders as necessary.
 - Preparing input for situation reports, briefings, and VIP visits, as necessary.
 - Providing support to voluntary groups in documentation of activities.

COOPERATING AGENCIES

Agency	Functions
Department of Agriculture	Inspects and ensures the wholesomeness and safety of donated foreign animal, plant, and food products.
Department of Health and Human Services	Food and Drug Administration: Inspects and ensures the wholesomeness and safety of donated foreign animal, plant, and food products.
Department of Homeland Security	Private Sector Office: Provides support to DHS/FEMA Headquarters Volunteer/Donations Coordination Team efforts in processing private-sector and other high-level offers.
Department of State	In coordination with DHS/FEMA and USAID, operates the IAS to coordinate requests for government-to-government international assistance and manage formal offers of assistance from foreign governments and international organizations. (See the International Coordination Support Annex.)
Department of Transportation	<ul style="list-style-type: none"> • Provides information on transportation routes as necessary. • Provides guidance and support on transportation rules, regulations, and requirements as needed.
Corporation for National and Community Service	<p>Provides support to the States, including trained national service participants (AmeriCorps members, Learn and Serve America volunteers, and Retired and Senior Volunteer Program volunteers) to support State volunteer and donations management operations, as needed, such as:</p> <ul style="list-style-type: none"> • Call center/hotline operations. • Volunteer Reception Center startup. • Donations warehousing operations. • Other support activities identified by the FEMA Volunteer and Donations Coordinator or FEMA Voluntary Agency Liaison.
General Services Administration	Provides equipment, supplies, and facilities as required.
U.S. Agency for International Development	In coordination with DHS/FEMA and DOS, operates the IAS to coordinate requests for government-to-government international assistance and manage formal offers of assistance from foreign governments and international organizations. (See the International Coordination Support Annex.)
National Voluntary Organizations Active in Disaster (National VOAD)	<p>National VOAD members are the primary coordinating nonprofit organizations for the management of unaffiliated volunteers and unsolicited donations. National VOAD:</p> <ul style="list-style-type: none"> • Provides technical assistance, as needed, to National VOAD member organizations and State and local VOADs regarding their unaffiliated volunteer and unsolicited donations management activities. • Supports, as necessary, National VOAD members that have roles in volunteer and donations management to ensure the members' full participation in volunteer and donations management operations. Volunteer and donations operations functions may include: multiagency warehouse management, local distribution centers, volunteer reception centers, call center support, operational guidance on managing unsolicited donations and unaffiliated volunteers, situational assessment, and coordination of matching offers to needs.
USA Freedom Corps	<ul style="list-style-type: none"> • Shares volunteer and donation information via www.volunteer.gov and 1-877-USA-CORP. • Connects individuals with volunteer opportunities.

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 Federal support to Federal, State, tribal, and local response and recovery organizations in assuring response and recovery worker safety and health during incidents requiring a coordinated Federal response.

Scope

This annex provides supplemental assistance to Federal departments and agencies, and State, tribal, and local governments, to support and facilitate the protection of response and recovery worker safety and health during an incident requiring a coordinated Federal response. This annex describes the technical assistance resources, capabilities, and other support to ensure that response and recovery worker safety and health risks are anticipated, recognized, evaluated, communicated, and consistently controlled. This annex addresses the coordination and provision of technical assistance for worker safety and health management activities; it does not address public health and safety.

- This annex describes coordination mechanisms, policies, and processes to provide technical assistance for response and recovery worker safety and health management activities that include anticipation, identification, and mitigation of response and recovery risks and hazards. These mechanisms also include the assessment and analyses of health risks from occupational exposures, to facilitate incident risk management for response and recovery workers.
- This annex is structured to provide technical assistance and support for response and recovery worker safety and health in the changing requirements of domestic incident management to include preparedness, prevention, response, and recovery actions. Activities within the scope of this function include development of health and safety plans; identifying, assessing, and controlling health and safety hazards; conducting response and recovery exposure monitoring; collecting and managing data; providing technical assistance and support for personal protective equipment programs, incident-specific response and recovery worker training, and medical surveillance; providing exposure and risk management information; and providing technical assistance to include industrial hygiene expertise, occupational safety and health expertise, engineering expertise, and occupational medicine expertise.

Policies

- This annex does not replace the responsibilities of private-sector and Federal, State, tribal, and local government employers; rather, it ensures that assistance is available to meet those responsibilities in incidents requiring a coordinated Federal response.
- The Assistant Secretary for Occupational Safety and Health within the Department of Labor (DOL) coordinates this annex's national preparedness, response, and recovery actions.

Worker Safety and Health Support Annex

- This annex may be implemented for incidents requiring a more robust coordinated Federal response. This annex provides Federal support when an incident overwhelms State, tribal, and local government capabilities and/or when other departments or agencies within the Federal Government require assistance.
- This annex includes planning and preparation to ensure the health and safety of response and recovery workers. Further, this annex provides a consistent approach to response and recovery worker protection in preparation for, and during, an incident requiring a coordinated Federal response.
- When implemented, this annex will prioritize safety and health actions in cooperation with Federal departments and agencies, and with State, tribal, and/or local governments and in coordination with the Federal Coordinating Officer (FCO).
- Several Federal and State agencies, including DOL/Occupational Safety and Health Administration (OSHA) and the Environmental Protection Agency (EPA), have oversight authority for response and recovery workers and response operations. While these agencies retain their authorities, they are expected to work cooperatively and proactively with Federal, State, local, and private-sector response and recovery workers to ensure the adequate protection of all response and recovery workers.

CONCEPT OF OPERATIONS

General

This annex coordinates Federal occupational safety and health assets to be provided to Federal, State, tribal, and local response and recovery workers to support the overall response and recovery operations. In conjunction with the affected States, Federal agencies, and tribal and local governments, this annex coordinates the provision of support for overall risk management to ensure actions are taken to protect the health and safety of emergency response and recovery workers.

The annex coordinating agency resolves technical or other disputes involving worker safety and health. In the case of a dispute that cannot be resolved by this support annex, DOL/OSHA will summarize the disputed areas for presentation to the FCO and/or the Assistant Secretary for DOL/OSHA for resolution.

ORGANIZATION

Headquarters Level

At the Federal Headquarters level, this annex operates under the direction and leadership of the Assistant Secretary for Occupational Safety and Health.

This annex's coordinating agency provides staff to support the National Response Coordination Center (NRCC) and the Incident Management Planning Team (IMPT).

Regional and Field Level

DOL/OSHA

The OSHA Regional Administrator is the regional leader for this annex.

Worker Safety and Health Support Annex

The OSHA Regional Administrator provides staff to coordinate the provision of support activities for this annex at the Regional Response Coordination Center (RRCC) and the Joint Field Office (JFO).

Within the JFO, the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) Disaster Safety Officer (DSO) ensures that the FCO receives accurate and timely safety and health information and technical assistance to ensure the safety of the DHS/FEMA staff and personnel in the JFO and other FEMA-managed facilities.

The coordinator for this annex ensures the FCO, the Unified Coordination Group, and the Chief of Staff have consistent, accurate, and timely worker safety and health information for theatre-wide operations, and coordinates the delivery of Federal worker safety and health technical assistance and resources to Federal, State, tribal, and local responders. The coordinator for this annex convenes and chairs the JFO's Interagency Safety and Health Committee. This committee is made up of representatives from the various agencies (including Federal, State, tribal, and local response organizations) within the JFO and coordinates the worker safety and health program among the various agencies.

When activated, both the FEMA DSO and the coordinator for this annex make up the safety function on the JFO Coordination Staff. Further, when implemented, this annex will be represented within the Operations and Planning Sections of the JFO. Additionally, staff of this annex may serve as technical specialists in other JFO elements as required.

DOL/OSHA Area Offices throughout the country will provide situational awareness necessary for the mitigation of response and recovery worker risk reduction prior to and following an incident.

When implemented, this annex will coordinate with Federal, State, tribal, local, and if necessary, private-sector officials to determine potential needs for worker safety and health support. Staff from this annex will participate on emergency response teams as requested.

PRE-INCIDENT COORDINATION

Worker Safety and Health Coordination Committee

The Worker Safety and Health Coordination Committee provides the identification and integration of response and recovery worker safety and health assets needed for emergency planning and preparedness.

The Worker Safety and Health Coordination Committee is comprised of representatives of DOL/OSHA and the cooperating agencies. DOL/OSHA coordinates this group through regular meetings and interagency exercises. It serves as the forum to ensure that the representatives of the occupational safety and health programs from the cooperating agencies understand how worker safety and health will be coordinated during activations, as well as the availability of resources provided by this support annex.

The coordinating agency for this annex will be a member of the Emergency Support Function (ESF) Leaders Group and will report on response and recovery worker safety and health issues.

INITIAL ACTIONS

DOL/OSHA Headquarters

Upon notification of a potential or actual incident:

Worker Safety and Health Support Annex

- The OSHA Assistant Secretary or authorized representative, within 2 hours of notification, alerts the headquarters and regional points of contact for this annex as required, ensuring that all internal DOL/OSHA parties are fully informed of developments;
- DOL/OSHA alerts cooperating agencies, as required;
- The OSHA Assistant Secretary or authorized representative provides support to Federal agencies engaged in the response as requirements are identified; and
- The OSHA Assistant Secretary or authorized representative ensures that representatives of this annex staff the NRCC as required.

DOL/OSHA Region

- The OSHA Regional Administrator (RA) or authorized representative assumes control of operations for this annex in the affected regions.
- The RA deploys a representative to the RRCC.

INCIDENT-RELATED ACTIONS

The coordinating agency for this annex 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. The particular support provided will be dependent upon the scope, complexity, and specific hazards associated with the incident and the needs of the response and recovery organizations. Specific requests for assistance will be coordinated with DHS/FEMA and defined in mission assignments. The following describes general functional support that can be provided under this annex:

Incident Actions

Activities within this annex include but are not limited to those listed below.

Worker Safety and Health Needs Assessment

- Providing occupational safety and health technical advice and support to the JFO Command Staff, the Interagency Safety and Health Committee, and, if appropriate, at incident sites. When implemented, this annex will coordinate with Federal, State, tribal, and local officials to determine potential needs for worker safety and health support. DOL/OSHA will participate on the emergency response teams, as requested.
- Identifying and assessing health and safety hazards and analysis of the incident environment, including response and recovery worker safety monitoring, as necessary.
- Assessing response and recovery worker safety and health resource needs and identifying sources for those assets.
- Providing technical assistance to include industrial hygiene expertise, occupational safety and health expertise, engineering expertise, and occupational medicine.

Health and Safety Plans

- Managing the development and implementation of a site-specific health and safety plan (HASP) and ensuring that plans are coordinated and consistent among multiple sites, as appropriate. The HASP outlines the basic safety and health requirements for workers

involved in response and recovery operations. Elements of the HASP are typically integrated into the Incident Action Plans and other plans used by the response and recovery organizations.

Safety and Health Assessment

- Managing, monitoring, and providing support and assistance in the monitoring of response and recovery worker safety and health hazards. The scope of actions include providing onsite identification, analysis, and mitigation of safety hazards; identification and analysis of the response and recovery worker health hazards by personal exposure monitoring, as needed, including task-specific exposure monitoring for chemical and biological contaminants and physical stressors (e.g., noise, heat, cold, ionizing radiation); and the evaluation of risks from prevalent and emergent hazards.

Personal Protective Equipment

- Managing, monitoring, and/or providing technical advice and support in developing, implementing, and/or monitoring an incident personal protective equipment (PPE) program, including the selection, use, and decontamination of PPE.
- In coordination with ESF #7 – Logistics Management and Resource Support and FEMA Logistics, providing technical assistance and support for response and recovery worker access to required PPE and the supplemental distribution of such PPE on an ad-hoc basis.
- Providing assistance in the implementation of a respiratory protection fit-test program when required.

Data Management

- Providing technical assistance and support in coordinating the collection and management of data such as response and recovery worker exposure data, or OSHA 300 (or equivalent) accident/injury documentation data to identify trends and facilitate data-sharing among response organizations.

Training and Communication

- Coordinating and providing incident-specific response and recovery worker training.
- Communicating worker safety and health information to response and recovery workers, labor unions, employers, contractors, and other organizations, especially those providing skilled support.
- Providing technical assistance and support in the development and distribution of materials for the prevention, awareness, and abatement of safety and health hazards.

Response and Recovery Worker Health and Medical Surveillance

- In coordination with ESF #8 – Public Health and Medical Service, providing technical assistance, advice, and support for medical surveillance and monitoring as required by regulation (e.g., asbestos and lead) and evaluating the need for longer term epidemiological followup and medical monitoring of response and recovery workers.
- Providing technical assistance and advice on identifying appropriate immunizations and prophylaxis for response and recovery workers.

Worker Safety and Health Support Annex

- Providing technical assistance and support for maintenance of psychological resiliency of response and recovery workers.

POST INCIDENT

This annex will facilitate a critique of operations to compile “lessons learned” related to response and recovery worker safety and health issues.

RESPONSIBILITIES

Coordinating Agency: DOL/OSHA

- Provides coordination of technical support for response and recovery worker safety and health.
- Leads the resolution of technical, procedural, and risk assessment conflicts, if necessary through formal recourse to the JFO Coordination Group.
- Is responsible for carrying out the policies identified in this annex.
- Is responsible for the actions of its subtasked agencies involved in meeting the needs of an incident.
- Chairs the Worker Safety and Health Coordination Committee and the JFO Interagency Safety and Health Committee.
- Captures and manages incident exposure and injury/illness data for effective use of resources during and after the incident.
- Subtasks cooperating agencies as deemed necessary to most effectively support the needs of the incident and the objectives of mission assignments.

COOPERATING AGENCIES

Agency	Functions
Department of Defense (DOD)/ U.S. Army Corps of Engineers (USACE)	<ul style="list-style-type: none">• When DOD/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 ESF 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 <i>National Incident Management System</i>.• DOD/USACE provides emergency location SOH support through utilization of its worldwide SOH Functional Planning and Response Teams.

Worker Safety and Health Support Annex

Agency	Functions
<p>Department of Energy (DOE)</p>	<p>Functions pertaining to DOE are identified in ESF #12 – Energy, in ESF #10 – Oil and Hazardous Materials Response, and in other applicable <i>National Response Framework</i> ESFs. DOE maintains the Federal Radiological Monitoring and Assessment Center (FRMAC), the Radiological Assistance Program (RAP), Aerial Measurement Systems (AMS), the Atmospheric Release Advisory Capability (ARAC), and the Radiation Emergency Assistance Center/Training Site (REAC/TS). Each of these DOE elements consists of deployable responder assets to a radiological incident upon request of a local, State, or other Federal agency. These assets may be individually deployed, or under the FRMAC, in conjunction with EPA, or DOE response teams.</p>
<p>Department of Health and Human Services (HHS)</p>	<p>National Institute for Occupational Safety and Health (NIOSH)</p> <ul style="list-style-type: none"> • 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. <p>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.</p> <p>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 Worker Education and Training Program (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:</p> <ul style="list-style-type: none"> • 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.
<p>Department of Homeland Security</p>	<p>U.S. Coast Guard (USCG): Functions performed by DHS/USCG are identified in ESF #10 and other applicable ESFs.</p> <p>DHS/FEMA Office of Occupational Safety and Health: FEMA Safety's oversight extends to the DHS/FEMA employees (including direct contractors, administrative support, etc.), and any employee working at DHS/FEMA-managed facilities (e.g. JFO or a Disaster Recovery Center). The specific roles and responsibilities of FEMA's Office of Occupational Safety and Health are specified in the interagency agreement with DOL/OSHA that establishes standard operating procedures for the activation of DOL/OSHA and the implementation of this annex.</p>

Worker Safety and Health Support Annex

Agency	Functions
Environmental Protection Agency (EPA)	EPA provides health and safety technical advice for the Hazardous Waste Operations and Emergency Response (HAZWOPER) standard for State and local employees engaged in hazardous waste operations (as defined in 20 CFR 1910.120(a)) in States that do not have a State Plan approved under section 18 of the Occupational Safety and Health Act of 1970. EPA can also provide health and safety expertise for oil and hazardous materials response under the National Oil and Hazardous Materials Pollution Contingency Plan (NCP, 40 CFR Part 300) and/or ESF #10. This expertise is provided in the following areas: hazard analysis and assessment of worker exposure, hazard evaluations, development of incident-specific HASPs, and data management.
Other Responding Organizations	Other Federal, State, tribal, and local government agencies, as well as private-sector organizations with response and recovery workers at the incident location, provide technical support and expertise in accordance with their agency's mission and responsibilities, in coordination with DOL/OSHA and 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 response and recovery worker personnel and to the JFO Safety Coordinator/Incident Command Post Safety Officer.

INCIDENT ANNEXES

The Incident Annexes describe the concept of operations to address specific contingency or hazard situations or an element of an incident requiring specialized application of the Framework. The overarching nature of functions described in these annexes frequently involves either support to or cooperation of all Federal departments and agencies involved in incident management efforts to ensure seamless integration of and transitions between preparedness, prevention, response, recovery, and mitigation activities.

Note: At the present time, the Incident Annexes published with the National Response Plan remain in effect. To access those Incident Annexes, go to www.dhs.gov/nrp.

This page intentionally left blank.