



HANDBOOK



No. 11-07

Dec 10



Disaster Response Staff Officer's Handbook

Observations, Insights, and Lessons

Approved for Public Release,
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Foreword

Natural and man-made disasters in the United States cause pain and heartbreak to our fellow citizens. Picking up the pieces of shattered lives and homes is devastating, even to the stoutest among us. While the military cannot repair the emotional damage, it can mitigate the effects of tornados, earthquakes, floods, wildland fires, oil spills, and terrorist attacks.

U.S. military response in the homeland provides overwhelmed first responders with the help they need after a major incident. Our ability to act quickly and effectively in response to fast-moving, deadly situations offers tremendous support to our fellow citizens. Civilian officials also know this assistance is short term; local and state leaders bear the responsibility of restoring their communities and cannot become dependent on the resources of the military. The support offered by the National Guard, followed by active duty units, provides a cushion for civilian leaders.

You, the staff officer, will bear the responsibility of mobilizing a unit—on very short notice—into an area struck by disaster. You will have to work through the reception, staging, onward movement, and integration of your unit into a larger command structure; link into an incident command system with marginal communications in an austere environment; and synchronize your operations with a plethora of nongovernmental and governmental organizations at the local, state, and federal levels. Then you will execute your missions according to the laws of our country while maintaining personnel and equipment accountability. Defense support to civil authorities is complex and impacted by myriad statutes, regulations, and presidential orders.

If it was easy, anyone could do it. This mission is yours. Once it is accomplished the military will exit the incident, leaving the on-scene experts to finish the job.

A handwritten signature in black ink, appearing to read "Tom Murphy".

THOMAS JOSEPH MURPHY
COL, FA

Director, Center for Army Lessons Learned

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Unless otherwise stated, whenever the masculine or feminine gender is used, both are intended.

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Introduction

Federal forces supported state and local authorities during Hurricane Andrew in 1992, Hurricane Katrina in 2005, and in many other natural disasters in the past decade. Navy divers assisted local, state and federal authorities during the Minnesota bridge collapse of 2007. In 2008, U.S. Army North, U.S. Northern Command's joint force land component command, deployed a two-star task force to command and control federal military forces in support of the Federal Emergency Management Agency and the state of Texas during Hurricane Ike. National Guard units routinely deploy to assist their states with wildland fires, floods, earthquakes, tsunamis, tornados, and oil spills, and to prepare for large scale incidents.

Defense support to civil authorities (DSCA) within the United States is not a new mission for the military. Despite this, Center for Army Lessons Learned collection and analysis teams routinely report that tactical units do not understand the constraints placed upon them by the body of statutes, regulations, and presidential orders pertaining to responding to disasters and incidents at home. This is because the primary mission of tactical units is expeditionary warfare, and that has been their focus for the past eight years in Afghanistan, Iraq, the Horn of Africa, and the Philippines.

Military units come to a disaster with a number of strengths: disciplined and trained personnel; a ready fleet of vehicles, surface craft, and aircraft; the capability to operate in austere environments for extended periods of time; a solid logistics tail; reachback capability; long- and short-range communications suites; an in-place command and control system; and a detailed method for planning, executing, and resourcing missions. Add those strengths to an array of specialized units and equipment, and it is easy to see why the Department of Defense can be tasked.

This handbook will serve as a planning guide for staff officers in National Guard units that serve as reaction forces and active duty units that are designated as chemical, biological, radiological, nuclear, or high-yield explosive consequence management response forces, or that are simply ordered to assist under very short notice. Included is information for all components and services and some of the agencies and nongovernmental organizations staff officers will encounter.

DSCA has some basic rules we can sketch out for military involvement in the United States:

- A governor must ask for help. (There are a few exceptions to this rule.)
- We are supporting. We are not in charge.
- We can do just about anything the requesting entity can afford. (We don't come free or cheap.)
- We will leave once the affected region is back on its feet, so local authorities should not become dependent on us.
- There are laws governing military response in the homeland, and we will follow them.

When citizens of the United States are subjected to a natural or man-made incident and local authorities are overwhelmed, it is reassuring to see the arrival of a convoy of trucks or a flight of helicopters full of Soldiers, Sailors, Marines, and Airmen who are ready to help.

Chapter 1

The Language of Disasters and Incidents

Words have meaning and power, and as such, it is important to understand the precise meanings of terms used in conversation and writing. This is especially true when people are dealing with situations that are vague, uncertain, complex, ambiguous, and possibly lethal.

The language of disasters and incidents is different from the military terminology we use day-to-day. When a unit is mobilized to assist with a domestic operation, it is extremely important to understand the language used by first responders and incident commanders. This chapter will introduce you to this language by identifying and explaining key terminology.

Disasters, Hazards, and Incidents

The terms disaster, hazard, and incident reached their current definitions through two sources, one dating from before 9/11 and the other after 9/11. The older terms in the Robert T. Stafford Disaster Relief and Emergency Assistance Act—major disaster, natural disaster, and domestic disaster—are more familiar to laymen, while the newer ones in the National Response Framework (NRF)—incident or catastrophic incident—are elements of the more specialized vocabulary of emergency responders. Both older and newer terms are used, and the staff officer should understand how to use all of them.

Major disaster is defined by Title 42 U.S. Code Section 5122(2) as follows:

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

Emergency is defined by The Stafford Act as follows:

Any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

Incident is defined by Joint Publication 3-28, *Civil Support*, as follows:

An occurrence, caused by either human action or natural phenomena, that requires action to prevent or minimize loss of life or damage to property and/or natural resources.

A disaster has already occurred and caused significant damage, while a hazard, as defined by the NRF, is simply “something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.” The Northridge earthquake was a disaster, while earthquakes in general are hazards. All disasters or hazards fall into two general categories (natural or man-made) and most fall into one of a number of subcategories.

NATURAL DISASTERS OR HAZARDS	
Natural (Geological) Events	
•Avalanche	•Earthquake
•Landslide, rockslide, mudslide	•Subsidence
•Volcanic eruption	
Hydro-Meteorological Events	
•Drought	•Flood
•Hurricane	•Severe storm
•Tornado	•Tropical storm
•Typhoon	•Tsunami or tidal wave
•Winter snow or ice storm	•Wildfire (accidental)
Other Natural Events	
•Wildfires (lightning-caused)	

Table 1-1a. Types of natural disasters and hazards

MAN-MADE DISASTERS OR HAZARDS	
Accidental/Unintentional Events	
•Aircraft crash	•Hazardous materials spill
•Nuclear accident	•Oil spill
•Train derailment	•Wildfire (accidental)
Intentional/Deliberate Events	
Criminal	
•Arson	
Terrorist	
•Biological attack	•Chemical attack
•Explosives attack	•Hijacking
•Nuclear attack	•Radiological attack

Table 1-1b. Types of man-made disasters and hazards

Stafford Act Declarations

The Stafford Act commits federal resources to responding to damaging, life-threatening disasters when state and local efforts cannot handle them. The federal government reacts to formal state requests for assistance in three principal ways, the first two requiring a presidential declaration:

1. Major disaster declaration: In response to a request from the governor of a state, the president makes this declaration, opening the way to a large federal commitment of resources, including the potential deployment of Department of Defense (DOD) personnel and resources. The frequency of major disasters and the costs to the federal government are on the rise because of:

- a. Increasing population density.
- b. Increasing settlement in high-risk areas.
- c. Increasing technological risks. (Hazardous substances are an example.)

Because of these increasing circumstances, one disaster causes additional disasters. For example, an earthquake may rupture gas lines, causing fires and chemical spills.

2. Emergency declaration: At the request of a governor, this presidential declaration authorizes a lesser federal commitment, limited to \$5 million.

3. Fire management assistance declaration: Authorizes the use of federal funds to mitigate, manage, and control fires burning on publicly or privately owned forests or grasslands. At the request of a governor, the regional Federal Emergency Management Agency (FEMA) director makes the declaration, not the president.

Figure 1-1 shows presidential disaster declarations, January 2000 through March 2007.

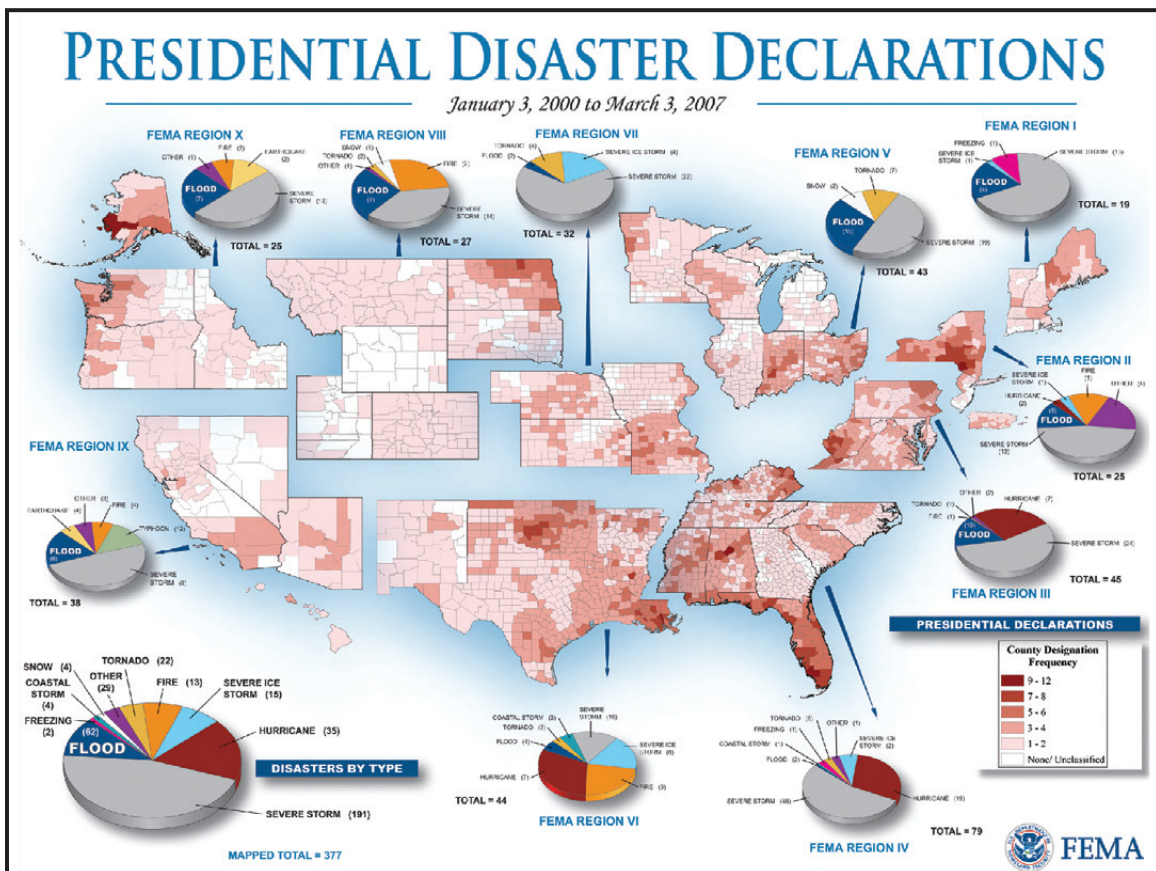


Figure 1-1

FEMA posts basic information about each of the individual declarations of major disasters, emergencies, and fires on its website at <<http://www.fema.gov/hazard/index.shtm>>. Figure 1-2 shows the relationship between the severity of an event and the level of response to the event.

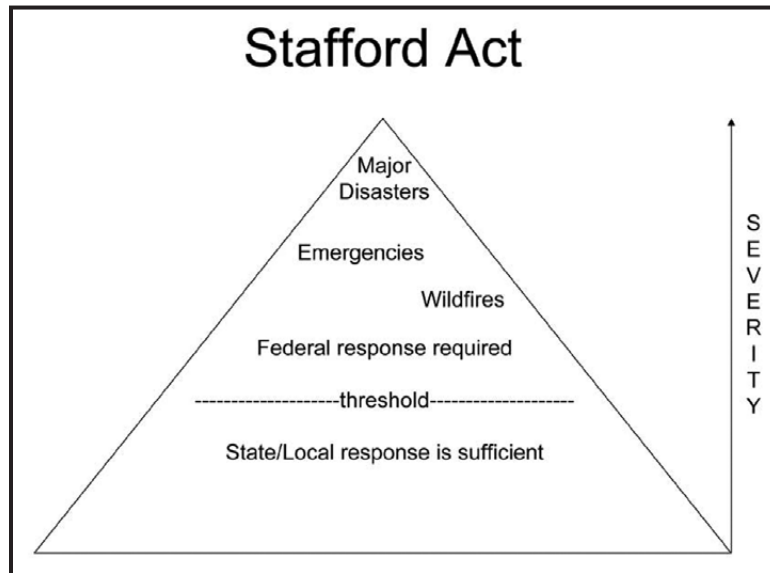


Figure 1-2. Severity of events

Facts about declarations:

- With a few exceptions, states must take the initiative in requesting declarations.
- Each affected state has a separate declaration, even when more than one state is impacted by the same disaster, emergency, or fire.
- FEMA assigns a sequential number to each major disaster or emergency, followed by the initials DR for disaster or EM for emergency.
- A small portion of declared emergencies escalate, requiring a subsequent major disaster declaration (in the case of Hurricane Katrina, for example).

From the Stafford Act to the National Response Framework

The Stafford Act dates from a time when there was little expectation of a terrorist attack. Since 1988 only four terrorist attacks have merited major disaster declarations, but the four were of such magnitude and impact they reshaped the national approach to all disasters.

- February 1993, FEMA-984-DR, New York World Trade Center explosion.
- April 1995, FEMA-1048-DR, Oklahoma City explosion at the federal building.
- September 2001, FEMA-1391-DR, terrorist attack on the World Trade Center.
- September 2001, FEMA-1392-DR, terrorist attack on the Pentagon.

After the World Trade Center explosion and the Oklahoma City Alfred P. Murrah Federal Building bombing in the 1990s, new terminology not found in the Stafford Act began to emerge relating to tools at the disposal of terrorists.

In the new terminology, terrorists employ weapons of mass destruction (WMD) to cause death, destruction, and fear. Destruction encompasses physical wreckage and loss of life to damage to the society, economy, national security, and national well-being. The DOD has used a general definition of WMD: “weapons that are capable of a high order of destruction and/or of being used in such a manner as to destroy large numbers of people.” The DOD also uses the term “chemical, biological, radiological, nuclear or high-yield explosives” (CBRNE or CBRN-E) to encompass the full range of WMD. The NRF uses a precise definition of WMD that is spelled out in U.S. laws. Title 18, U.S. Code, paragraph 2332a defines WMD as:

- Any explosive, incendiary, or poison gas, bomb, grenade, or rocket having a propellant charge of more than four ounces, or missile having an explosive or incendiary charge of more than one-quarter ounce, or mine or similar device.
- Any weapon that is designed or intended to cause death or serious bodily injury during the release, dissemination, or impact of toxic or poisonous chemicals or their precursors.
- Any weapon involving a disease organism.
- Any weapon that is designed to release radiation or radioactivity at a level dangerous to human life.

Incidents in the NRF

The NRF employs a new term, incident, which is intended to be broader and more inclusive than the terms disaster and emergency. An incident is “an occurrence or event, natural or human-caused, that requires an emergency response to protect life or property.”

Facts about incidents:

- They number tens of thousands each year.
- Most are handled solely by local first responders.
- A small portion are of sufficient magnitude to require federal assistance, including events of great magnitude:
 - Catastrophic incidents.
 - Incidents of national significance.

Catastrophic incidents are comparable to presidentially declared major disasters. The terms suggest natural and man-made events that do significant harm and overwhelm the response capabilities of local and state governments. The definition of catastrophic incident differs from that of major disaster only in that it fits more neatly within the framework of the war against terrorism.

Facts about catastrophic incidents

The NRF includes a Catastrophic Incident Annex (NRF-CIA). Only the secretary of Homeland Security or his designee can implement this annex. Incidents covered under the annex are “any natural or man-made incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions.”

Disaster response and incident management

Responses to terrorist WMD attacks differ from responses to natural disasters. First responders need to deal with the effects of WMD, which may be different from effects of natural disasters. At the same time, the responders may have to deal with further terrorist attacks and with bringing the terrorists to justice. Consequence management and crisis management emerged to describe the manner in which to handle the needed responses.

Consequence management and crisis management

The requirements for consequence management and crisis management are combined in the NRF. The DOD definition of consequence management is problematic, given that it encompasses both natural and man-made disasters and does not focus exclusively on terrorist actions. At the same time, the NRF uses the terms “consequences” and “effects” interchangeably when considering the outcomes for both natural disasters and man-made disasters, including those caused by terrorists. If the staff officer encounters the term consequence management, he should ask for a definition.

Incident management

The NRF replaces consequence management and crisis management as separate functions with a single term, incident management. Incident management aims to remove the boundaries between consequence management and crisis management. The goal of incident management is to orchestrate “the prevention of, preparedness for, response to, and recovery from terrorism, major natural disasters, and other major emergencies.” Incident management includes prevention, preparedness, response, and recovery phases.

Disaster response

This handbook will use the term “disaster response” when discussing DOD participation in incident management for a number of reasons:

- Major disaster, which encompasses both natural and man-made catastrophes, including those caused by terrorists using WMD, offers the clearest definition for those instances in which states or other federal agencies will need the help of the DOD.
- So long as the Stafford Act remains the principal source of federal disaster response funding, the alternative terms (incident or catastrophic incident) are of lesser importance. The NRF has not replaced the term major disaster.
- Except for work of the U.S. Army Corps of Engineers, the DOD is involved in the response phase of incident management, not in prevention, preparedness, or recovery.

- Incident management has superseded the terms consequence management and crisis management, which have had a tendency to muddy the waters of clarity through varied usage in the past. Regardless of the term, the DOD does not manage the response; it only executes assigned missions.
- Disaster response or disaster relief linger in the language of the layman, while the term incident management has a narrow usage.

The United States: the Homeland

Hurricane Katrina was a domestic disaster, meaning that it took place within the United States. When the Stafford Act and the NRF use the term “United States,” they mean more than just the 50 states. The United States, which we can also call the homeland, consists of the following, together with contiguous coastal zone and air space:

- The 50 states and the District of Columbia
- Nonstate possessions (regarded as states)
 - Insular areas in the Caribbean:
 - * Puerto Rico
 - * Virgin Islands
 - Insular areas in the Pacific Ocean
 - * American Samoa
 - * Commonwealth of the Northern Mariana Islands
 - * Guam
- Freely associated states (not mentioned in the Stafford Act).
 - Insular areas in the Pacific Ocean
 - * Federated States of Micronesia
 - * Republic of the Marshall Islands

In terms of the NRF and disaster response, the District of Columbia, the nonstate possessions, and the freely associated states are states with the same rights and responsibilities accorded to the 50 states. The state in this broad sense is the basic geographic unit in disaster response. The state’s chief executive, usually the governor, must make the case for and request a federal response to a disaster. Within each state, local chief executive officers (for example, mayors and county commissioners) and tribal chief executive officers must request state and, if necessary, federal disaster assistance through the governor. The local and tribal officers rely on their own law enforcement, firefighting, and other resources to make the first response to an incident. The first responders always take the initial action, whether the incident is a routine, small-scale emergency or a major disaster that will eventually require the presence of the DOD.

Mutual aid

Disasters and emergencies can quickly exhaust or overwhelm the resources of a single jurisdiction, whether at the state or local level. Two primary types of mutual aid, intrastate and interstate, exist.

Throughout the United States, numerous regional assistance compacts exist and governors can apply to them for immediate help if state resources are exhausted. Nationally, the Emergency Management Assistance Compact (EMAC) exists to coordinate the arrival of help so that inappropriate and unlicensed assistance is prevented. EMAC is approved by Congress and administered by the states.

During a disaster, governors have at their disposal a crucial state resource in the National Guard. To deploy the National Guard effectively, governors need to understand the role the Guard plays in their emergency response systems and to recognize other military assets that are available through the DOD. Military assistance can come in several varieties:

- Under state active duty and Title 32 authority, the governor is in command and control of the National Guard, and Posse Comitatus restrictions (such as those that would prohibit the use of military police to maintain law and order) do not apply.
- Under Title 10 authority, the president may federalize and deploy all or part of the state's National Guard, and Posse Comitatus restrictions do apply.
- Federalizing the National Guard may reduce costs for a state, but governors lose control of Guard forces when they are deployed under Title 10.
- Federal funding for some National Guard costs related to homeland defense activities is available if the secretary of Defense determines a National Guard component is necessary and appropriate.
- Several strategies exist to integrate military forces with those of the state, including the "dual status command" in which one commander can lead both National Guard forces deployed under Title 10 and those deployed under Title 32.

Governors' Powers

Governors of states are absolutely responsible for everything that happens (and fails to happen) within the borders of their states during a disaster. Reflecting their leading role in disaster response, governors are granted emergency powers to fulfill their responsibilities in extraordinary circumstances. These powers are established legislatively and vary from state to state. The powers generally include:

- Declaring an emergency.
- Suspending state regulations and statutes.
- Ordering evacuations.
- Commandeering the use of private property.

- Controlling access to the disaster sites.
- Imposing a curfew.
- Rationing supplies such as food, water, and fuel.
- Implementing specific public health response measures.
- Authorizing emergency funds without prior legislative consent.
- Calling upon other states for mutual assistance through EMAC.
- Calling upon the federal government for assistance when state resources are exhausted.
- Mobilizing the National Guard.

References

Field Manual 3-28, *Civil Support Operations* (Final draft version 6.2), Department of the Army, 16 January 2010.

Joint Publication 3-28, *Civil Support*, Department of Defense, 14 September 2007.

Lee, Erin; Logan, Christopher; Mitchell, Jeffrey; and Trella, Joe *A Governor's Guide to Homeland Security*, National Governor's Association Center for Best Practices, January 2007.

National Response Framework, Department of Homeland Security, January 2008.

National Incident Management System, Department of Homeland Security, December 2008.

National Infrastructure Protection Plan, Department of Homeland Security, 2009.

Strategy for Homeland Defense and Civil Support, Department of Defense, June 2005.

Chapter 2

The Legal Framework

This chapter addresses the legal framework for military involvement in domestic disaster response missions, properly known as defense support to civil authorities (DSCA). It will address the federal response structure, the Stafford Act, the Posse Comitatus Act, civil disturbance operations, and specialized chemical, biological, radiological, nuclear, or high-yield explosive (CBRNE) consequence management response force (CCMRF) responders. It will also touch on the difference between Title 10 Soldiers and Title 32 Guardsmen. It will not include counterdrug operations, military support to special events, or other miscellaneous missions, including military assistance to safety and traffic, animal and plant eradication, support to private organizations, etc. It also does not address the U.S. Army Corps of Engineers. For rules on the use of force, law enforcement support, intelligence oversight, and other legal considerations, see Appendix J of this handbook.

In 2002, the Department of Defense (DOD) created the first combatant command, U.S. Northern Command (USNORTHCOM), with direct responsibility for the defense, protection and security of the continental United States, Alaska, and territorial waters including the Gulf of Mexico and the Straits of Florida. In conjunction with U.S. Pacific Command and U.S. Southern Command, DOD now has combatant commands with combined geographic responsibilities that cover all states and territories of the United States. In June 2005, DOD published the *Strategy for Homeland Defense and Civil Support*, setting out the department's vision for transforming homeland defense and support to civil authorities. The deputy secretary of defense directed the creation of three CCMRFs, which are essentially joint task forces, each manned by 4,700 military personnel and highly trained for domestic catastrophic response. In a clear and compelling break with past practice, the first CCMRF was immediately assigned to USNORTHCOM, with an expectation that the remaining two CCMRFs would be similarly assigned in 2010 and 2011.

If these changes are fully implemented, more than 20,000 active duty military personnel will soon have domestic catastrophic response as their mission focus. This military capability—though sensible and even admirable in its operational value—raises important questions of law and public policy.

In *Federalist 8*, Alexander Hamilton presciently noted the danger in relying excessively upon military forces to ensure domestic security. His cautionary words remain relevant today. The preservation of innocent life—and liberty—requires that domestic military missions be subject to very close scrutiny by civilian DOD leadership, Congress, the media, and the courts. To that end, it is essential that military lawyers provide clear and informed guidance on domestic military missions, assessing the express language of applicable law, and the fundamental propriety of any proposed military mission when judged in the larger context of American history.

Although the brutality of the 9/11 attacks initially brought an anti-terrorism focus to DSCA missions, the destruction wrought by Hurricane Katrina in 2005—and the ineffective national response to it—served as a potent reminders that acts of nature can also have a catastrophic impact. Indeed, when DOD officials subsequently planned for DSCA missions in anticipation of a potential pandemic influenza outbreak, we soon realized that many pandemic mission

capabilities could build upon the lessons learned from Hurricane Katrina. Similarly, it quickly became apparent that planning for contingent military missions during a pandemic had great relevance to foreseeable DSCA missions during a terrorist CBRNE event.

While each catastrophic event has unique characteristics, DSCA missions have a remarkable degree of consistency in required training, equipment, force integration, and command. In many ways the magnitude of a catastrophic event—as much as its cause—will define DSCA roles and responsibilities. Lawyers should consider the issue of scale when reviewing legal frameworks of relevant interagency and intergovernmental authorities. If a nuclear device were to be detonated on American soil, must the secretary of defense wait passively for the inevitable Stafford Act declaration? Can he immediately begin deploying tens of thousands of military forces—active, reserve, and National Guard—in a massive consequence management mission? If he can and must act, by what legal authority does he do so? What is his role in relation to local and state responses?

It has now become clear that domestic military missions assigned to DOD require unprecedented levels of interagency and intergovernmental cooperation in both planning and execution. Whether in the realm of warfighting or civil support, DOD's roles and responsibilities can only be understood in a larger context of federal, state, and local integration. As a result, the legal issues are inherently complex, frequently contentious, and often fundamental to the security and civil liberty of our citizens.

Homeland Security Presidential Directive 5

Homeland Security Presidential Directive 5 (HSPD-5), *Management of Domestic Incidents*, established a new means to federal emergency management. It centers on the practical requirement that all levels of government have a single, unified approach to managing domestic incidents. Pursuant to the Homeland Security Act of 2002, HSPD-5 tasked the secretary of homeland security to develop and administer a National Response Framework (NRF) that would integrate federal government domestic prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan. It also tasked the secretary of homeland security to develop and administer a National Incident Management System (NIMS) that would unify federal, state, and local government capabilities to work together to prepare for, respond to, and recover from domestic events regardless of cause, size, or complexity. The intent of the NRF and NIMS is to provide the structure and mechanisms for establishing national-level policy and operational direction regarding federal support to state and local incident managers.

HSPD-5 also reaffirmed the secretary of homeland security's responsibility as the principal federal official for domestic incident management. HSPD-5 tasked the secretary of homeland security with coordinating the federal government's resources in response to or recovery from terrorist attacks, major disasters, or other emergencies. This coordination responsibility exists when any one of the following four conditions applies:

1. A federal department or agency acting under its own authority has requested the assistance of the secretary.
2. The resources of state and local authorities are overwhelmed and federal assistance has been requested by the appropriate state and local authorities.

3. More than one federal department or agency has become substantially involved in responding to the incident.
4. The secretary has been directed to assume responsibility for managing the domestic incident by the president.

HSPD-5 eliminates the previous distinction between crisis management and consequence management, treating the two “as a single, integrated function, rather than as two separate functions.” Under the NRF, the secretary of homeland security remains the lead federal official for the duration of the period involving federal assistance. The attorney general is the lead official for conducting criminal investigations of terrorist acts or terrorist threats.

Homeland Security Presidential Directive 8

Homeland Security Presidential Directive 8 (HSPD-8), *National Preparedness*, complements HSPD-5. The purpose of the directive is to establish:

...policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to state and local governments, and outlining actions to strengthen preparedness capabilities of Federal, state, and local entities.

The directive calls on the secretary of homeland security to work with federal departments and agencies to conduct preparedness activities and training, as well as to develop and maintain a system to collect and analyze best practices. The heads of other federal departments and agencies are also tasked with supporting the national preparedness goal.

Executive Order 12656

Executive Order 12656, *Emergency Preparedness and Response Responsibilities*, assigns national security emergency preparedness responsibilities to federal departments and agencies, delegating to the Department of Homeland Security the primary responsibility for coordinating the efforts of, among other things, federal emergency assistance. This executive order identifies several agencies and departments (including Defense, Energy, and Health and Human Services) that have active, and potentially overlapping, roles regarding nuclear, biological, and chemical (NBC) assessment and response. It also identifies primary and support functions to be performed during any national security emergency of the United States, development of plans for performing these functions, and development of the capability to execute those plans. See Table 2-1.

CENTER FOR ARMY LESSONS LEARNED

Departments	Roles and Responsibilities
Department of Agriculture	Continuation of agricultural production, food processing, storage, and distribution; forest products; fires in rural areas; forestry and agricultural services, including control of diagnosis and control of diseases, pests, or biological, chemical, or radiological agents; livestock and poultry or their products; agricultural commodities and land exposed to or affected by hazardous agents. Support: Assist secretary of defense in formulating and carrying out plans for stockpiling strategic and critical agricultural materials.
Department of Defense	Military response; national mobilization; damage assessment; support to civil and private sector, including law enforcement within authority; respond to all hazards related to nuclear weapons, materials, and devices; through the secretary of the Army, manage and allocate all usable waters within U.S. jurisdiction; stockpile of storage and critical materials. Support: civil and military national mobilization.
Department of Energy (DOE)	Identify, analyze, assess, and mitigate hazards from nuclear weapons, materials, and devices; all emergency response activities pertaining to DOE nuclear facilities. Support: Advise, assist, and assess the radiological impact associated with national security emergencies.
Department of Health and Human Services	Mobilize health industry and resources to provide health, mental health, and medical services; allocate health, mental health, and medical services' resources among civilian and military claimants; reduce or eliminate adverse health and mental health effects produced by hazardous agents (biological, chemical, or radiological); minimize property and environmental damage; emergency human services, e.g., feeding, registration and inquiry, social services, family reunification, mortuary services and interment. Support: agricultural health services.
Department of Homeland Security	Advise National Security Council on issues of national security emergency preparedness, including mobilization preparedness, civil defense, continuity of government, technological disasters, and other issues, as appropriate. Coordinate with the other federal departments and agencies and with state and local government to implement national security emergency preparedness policy. Support: preparing plans and programs, to include plans and capabilities for related to nuclear emergencies; promote programs for federal buildings and installations.
Department of Justice	Interdict and respond to terrorism incidents in the United States; advise the president and departments/ agencies regarding national security emergency powers, plans, and authorities; coordinate federal government domestic law enforcement activities related to national security emergency preparedness; respond to civil disturbances that may result in a national security emergency. Support: the intelligence community in the planning of its counterintelligence and counterterrorism programs.

Department of Transportation	Meet essential transportation needs; provide direction to all modes of civil transportation; control civil transportation resources and systems; coordinate with state and local highway agencies in the management of all publicly owned or other highways, roads, streets, bridges, tunnels; maritime and port control, safety, law enforcement and security. Support: Energy to manage transportation resources involved in the bulk movement of energy materials; federal departments/agencies, state and local governments, and the private sector in developing plans to protect essential resources and facilities.
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Table 2-1. Executive Order 12656 Roles and Responsibilities During a National Security Emergency

Presidential Decision Directive 39

Presidential Decision Directive 39 (PDD-39) details the policy of the United States in combating terrorism and reaffirms the lead agencies for the management of various aspects of the counterterrorism effort. It recognizes that states have primary responsibility in responding to terrorist incidents, including events, and the federal government provides assistance as required.

Defense Against Weapons of Mass Destruction Act

Title 50, chapter 40 of the U.S. Code deals with the federal government’s response to the proliferation of and use or threat to use nuclear, chemical, or biological weapons of mass destruction (WMD), or related materials and technologies. Title 50 U.S. Code, section 2313 directs the secretary of defense to designate an official within the DOD as executive agent to coordinate DOD assistance with federal, state, and local entities. The secretary of defense has appointed the assistant secretary of defense for homeland defense and Americas’ security affairs (ASD [HD&ASA]) as executive agent. The Department of Energy (DOE) is directed to designate an executive agent for its NBC response. The DOD and DOE executive agents are responsible for coordinating assistance with federal, state, and local officials in responding to threats involving NBC weapons.

The Stafford Act

The Robert T. Stafford Disaster Relief and Emergency Assistance Act provides for assistance by the federal government to the states in the event of natural and other disasters and emergencies. The Stafford Act is the primary legal authority for federal emergency and disaster assistance to state and local governments. Congress’ intent in passing the Stafford Act was to provide for an “orderly and continuing means of assistance by the federal government to state and local governments in carrying out their responsibilities to alleviate the suffering and damage which result from such disasters.” The Stafford Act sought, among other things, to broaden the scope of disaster relief programs; encourage the development of comprehensive disaster preparedness and assistance plans, programs, and capabilities of state and local governments; and provide federal assistance programs for both public and private losses sustained in disasters.

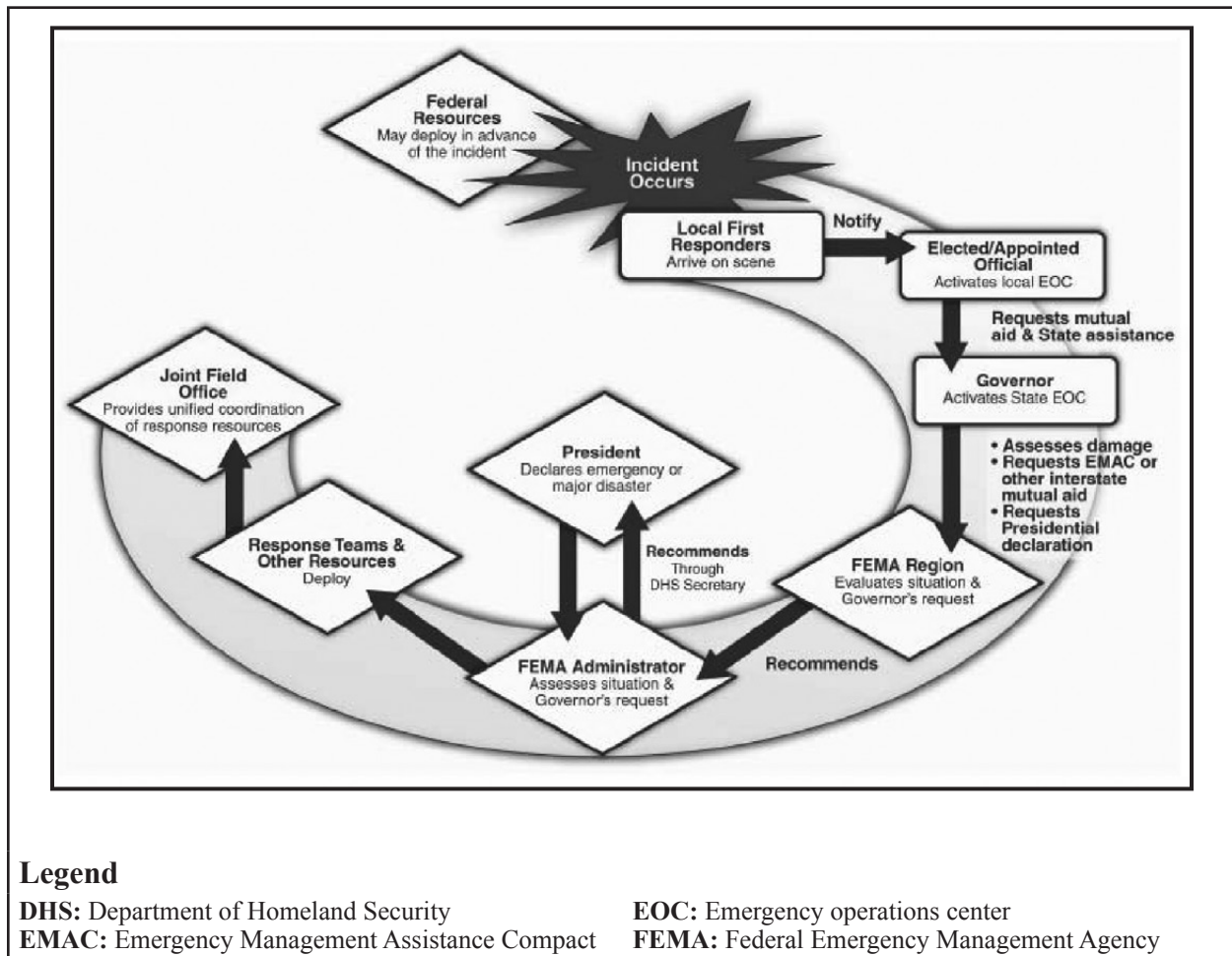


Figure 2-1. Stafford Act support to states

Through the Stafford Act, Congress delegated emergency powers to the president in the event of a major disaster or emergency. Generally, Stafford Act assistance is rendered upon request from a state governor provided certain conditions are met, primarily that the governor certifies that the state lacks the resources and capabilities to manage the consequences of the event. However, section 5170(a) of the Stafford Act was amended in 2006 authorizing the president, in the absence of a state request, to provide federal assistance. The Federal Emergency Management Agency (FEMA) of the Department of Homeland Security operates under the Stafford Act, focusing its efforts on managing the consequences of disasters. FEMA’s actions generally are driven by requests from state and local governments.

To coordinate the relief efforts of all federal agencies in both major disasters and emergencies, the act authorizes the president to appoint a federal coordinating officer (FCO) immediately after declaring a major disaster or emergency. The act also requires the president to request that a governor seeking federal assistance designate a state coordinating officer (SCO) to coordinate state and local disaster assistance efforts with those of the federal government. The FCO may use relief organizations, such as state relief organizations and the American Red Cross, in the distribution of emergency supplies, such as food and medicine, and in reconstruction or

restoration of essential services, such as housing. The FCO may coordinate all relief efforts as long as states, localities, and relief organizations agree. The president is also authorized to form emergency support teams (ESTs) of federal personnel to be deployed to the area of the disaster or emergency. The FCO may activate ESTs, composed of federal program and support personnel, to be deployed into an area affected by a major disaster or emergency. These teams may also be called incident management assistance teams (IMATs). The IMAT is the interagency group that supports the FCO in coordinating the federal disaster assistance.

The Stafford Act also provides immunity from liability for federal agencies and their employees working in a disaster.

Chemical, Biological, Radiological, Nuclear, or High-Yield Explosive Consequence Management Overview and Authorities

A CBRNE incident is any accident or intentional event involving chemical agents, biological agents, radiological sources, nuclear devices, or high-yield explosives, and/or industrial materials that are hazardous by themselves or when mixed with other material, including hazards from industrial pollutants and waste, and will produce a toxic effect in exposed personnel. Any action taken to address the consequences of any inadvertent or deliberate release of a chemical, biological, radiological, or nuclear agent constitutes a CBRNE consequence management (CM) operation. As a general proposition, a catastrophic CBRNE event would quickly exceed the capabilities of local, state, and tribal governments. Consequently, CBRNE CM is normally managed at the federal level, with the DOD in a supporting role.

The principle of unity of effort dictates that a single authority control the efforts of the various responding federal assets; while DOD forces may be fully committed to CBRNE CM, they are not directed by the agency they support. The secretary of defense always retains command of federal (Title 10) military forces providing CBRNE CM. Similarly, state governors, through their adjutants general, control National Guard forces when performing active duty in their state role and when performing active duty under Title 32, U.S. Code.

Requests for DOD capabilities from state governors or other federal agencies are called requests for assistance (RFAs). In most cases, these requests for emergency support are written and are processed through the formal RFA process. The processing of an RFA varies depending upon the size and urgency of the incident, the level of federal involvement, and the originator of the request. For small-scale CBRNE incidents, and during the initial stages of larger incidents, a state's emergency operations center may forward requests to the FEMA region's defense coordinating officer (DCO), who, in turn, forwards the RFA to the ASD (HD&ASA). If the incident exceeds the capabilities of the state and local responders and the president has issued an emergency or disaster declaration at the governor's request, the lead federal agency (LFA) will establish a joint field office (JFO), and an FCO will be designated. Following the establishment of the JFO, the FCO will forward RFAs from civil authorities to the Office of the Executive Secretary of the Department of Defense, which forwards them to the ASD (HD&ASA) and the joint director of military support (JDOMS) for validation and order processing, respectively. Once the secretary of defense approves a request for DOD assistance, JDOMS prepares an order and coordinates with necessary force providers, legal counsel, and the ASD (HD&ASA) to ensure asset priority and concurrence. The order is then issued to the appropriate combatant command for execution of the mission.

Every RFA must undergo a legal review. All requests by civil authorities for DOD military assistance shall be evaluated by DOD approval authorities against the following criteria:

- Legality (compliance with laws).
- Lethality (potential use of lethal force by or against DOD forces).
- Risk (safety of DOD forces).
- Cost (who pays, impact on the DOD budget).
- Appropriateness (whether the requested mission is in the DOD's interest).
- Readiness (impact on the DOD's ability to perform its primary mission).

Military missions require legal authority. DOD's CBRNE CM operations are generally executed under the provisions of the Stafford Act. Occasionally, the legal authority to use DOD forces arises from other sources. For instance, the DOD policy on immediate response addresses the authority delegated to DOD component or military commanders to provide immediate assistance to civil authorities to save lives, prevent human suffering, or mitigate great property damage in the event of imminently serious conditions resulting from any civil emergency or attack. Joint Publication 3-28, *Civil Support*, sanctions immediate response authority for various CBRNE incident related operations, such as search and rescue missions and debris removal. This policy is limited, restrictive, and conditional.

DOD Entities Responsible for Chemical, Biological, Radiological, Nuclear, or High-Yield Explosive Consequence Management Operations

The ASD (HD&ASA) is responsible for DSCA, including CBRNE CM. The JDOMS produces military orders for DSCA, including consequence management operations.

In 2008, USNORTHCOM designated U.S. Army North as the joint force land component command (JFLCC) for domestic CM operations. The JFLCC now has operational control of joint task force civil support (JTF-CS). The JTF-CS is a standing joint task force comprised of active, reserve and National Guard members from the Army, Navy, Air Force, Marines and Coast Guard, as well as civilian personnel, and is commanded by a federalized Army National Guard general officer. The unit's purpose is to save lives, prevent injury, and provide temporary critical life support during a CBRNE incident in the U.S. or its territories and possessions. The JTF-CS is the only active duty military organization dedicated solely to planning and integrating DOD forces for CBRNE CM support to civil authorities in such a situation. In the National Guard, each state has a joint force headquarters that also conducts this type of mission at the state level.

Joint Task Force Civil Support

Joint doctrine divides civil support (CS) operations into three broad categories: domestic emergencies; designated law enforcement support; and other activities based on the CS definition. Although JTF-CS is nominally linked to broader mission areas, the organization's focus is far narrower; JTF-CS' specific mission is CBRNE CM. It is a deployable command and control headquarters for DOD units and personnel executing CM operations in response to CBRNE incidents, and a source of response plans for essential DOD support. The unit's mission

is to plan and integrate DOD support to the designated LFA (usually Department of Homeland Security/FEMA) for domestic CBRNE CM. When directed, JTF-CS will deploy to the incident site and establish command and control of designated DOD forces to provide defense support of civil authorities to save lives, prevent further injury, and provide temporary critical life support. The NRF provides the coordinating framework under which JTF-CS performs its mission.

Chemical, Biological, Radiological, Nuclear, or High-Yield Explosive Consequence Management Response Force

On 1 October 2008, JTF-CS received operational control over various units assigned to the CCMRF. These units possess the military occupational specialties required to staff DOD's initial CBRNE CM entry force. The CCMRF forces are configured into subordinate task forces with specific response missions, such as medical, aviation, and operational support. When called upon to perform a mission, JTF-CS and the CCMRF will quickly deploy to mitigate the effects of a CBRNE incident.

National Guard Weapons of Mass Destruction Civil Support Teams (WMD-CST)

Under the Defense Against Weapons of Mass Destruction Act and other authorizations by Congress, DOD is authorized a total of 55 WMD civil support teams (CSTs). Recognizing that the National Guard is forward deployed for civil support, the secretary of defense determined that the CSTs would be most effective if established in the National Guard. Consequently, each WMD-CST is composed of 22 full-time National Guard Soldiers and Airmen and contains five elements: command, operations, administrative/logistics, medical, and survey. The teams are designed to deploy rapidly to assist local first responders in the event of an intentional or unintentional CBRNE incident.

The mission of the state National Guard WMD-CST is to deploy to an area of operations and:

- Assess a suspected event in support of a local incident commander.
- Advise the local incident commander and civilian responders.
- Facilitate requests for assistance to expedite arrival of additional state and federal assets to help save lives, prevent human suffering, and mitigate great property damage.

WMD-CSTs are to be specially equipped and trained. Special equipment includes the mobile analytical laboratory system for NBC detection and the unified command suite for communications. WMD-CST capabilities are specifically designed to complement civilian responders. Community and state emergency management plans may directly incorporate WMD-CST capabilities.

WMD-CSTs will operate under the command and control of the state governor and the adjutant general. Individual team members serve in a full-time, Title 32 National Guard status. They can support other states under the provisions of state-to-state compacts, the Emergency Management Assistance Compact, and regional support compacts.

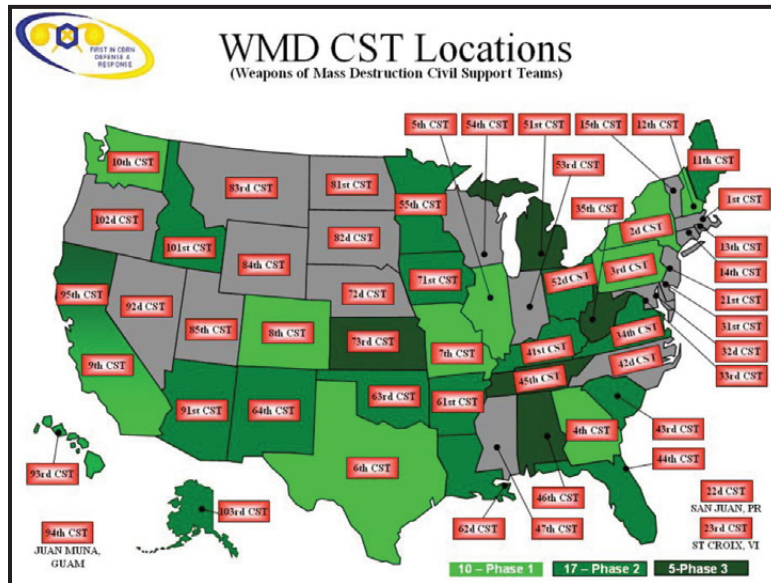


Figure 2-2. WMD-CST locations

The Posse Comitatus Act

The primary statute restricting military support to civilian law enforcement is the Posse Comitatus Act (PCA) 18 U.S. Code, section 1385. The phrase “posse comitatus” is literally translated from Latin as the “power of the county” and is defined in common law to refer to all those over the age of 15 upon whom a sheriff could call for assistance in preventing any type of civil disorder. The PCA states:

Whoever, except in cases and under circumstances expressly authorized by the Constitution or Act of Congress, willfully uses any part of the Army or Air Force as a posse comitatus or otherwise to execute the laws shall be fined under this title or imprisoned not more than two years, or both.

The PCA was enacted in 1878, primarily as a result of the military presence in the South during Reconstruction following the Civil War. The intent of the PCA was to limit direct military involvement with civilian law enforcement, absent Congressional or constitutional authorization, in the enforcement of the laws of the United States. The PCA is a criminal statute and violators are subject to fine and/or imprisonment. The PCA does not, however, prohibit all military involvement in civilian law enforcement. A considerable amount of military participation with civilian law enforcement is permissible, either as indirect support or under one of the numerous PCA exceptions.

In addition to the PCA, 10 U.S. Code, chapter 18, *Military Support for Civilian Law Enforcement Agencies* and Department of Defense Directive (DODD) 5525.5, *DOD Cooperation with Civilian Law Enforcement Officials*, also provide guidance in this area. Both authorities provide additional guidance regarding restrictions the PCA places on the military when supporting civilian law enforcement agencies.

PCA applies to the Army and Air Force, but 10 U.S. Code, section 375 directs the secretary of defense to promulgate regulations that prohibit “direct participation by a member of the Army,

Navy, Air Force, or Marine Corps in a search, seizure, arrest, or other similar activity unless participation in such activity by such member is otherwise authorized by law.” The secretary of defense subsequently prohibited these activities in DODD 5525.5, and, as a result, the restrictions placed on Army and Air Force activities through the PCA now apply to the Navy and Marine Corps. The PCA does not apply to the Coast Guard unless it is operating under the command and control of the DOD.

The PCA also applies to reserve members of the Army, Navy, Air Force, and Marine Corps who are on active duty, active duty for training, or inactive duty training in a Title 10 duty status. Members of the National Guard performing operational support duties, active duty for training, or inactive duty training in a Title 32 duty status are not subject to the PCA. Only members of the National Guard in Title 10 (federal) duty status are subject to the PCA. Members of the National Guard also perform additional duties in a state active duty (SAD) status and are not subject to PCA in that capacity. Civilian employees of the DOD are only subject to the prohibitions of the PCA if they are under the direct command and control of a military officer.

Finally, the PCA does not apply to a member of the Army, Navy, Air Force, or Marine Corps when they are off duty and acting in a private capacity. A service member is not in a private capacity when assistance is rendered to civilian law enforcement officials under the direction or control of DOD authorities.

Title 10 U.S. Code, sections 371–375 outline the restrictions of the PCA as they apply to participation by the military in civilian law enforcement activities. These restrictions are divided into three major categories: (1) use of information, (2) use of military equipment and facilities, and (3) use of military personnel. DODD 5525.5 further divides the restrictions on the use of DOD personnel in civilian law enforcement activities into categories of direct assistance, training, expert advice, operation or maintenance of equipment, and other permissible assistance.

In addition to the above categories, Title 10 of the U.S. Code, sections 376 and 377 provide further limitations on the provision of military support to civilian law enforcement. Title 10 U.S. Code, section 376 provides an overarching restriction in the event “such support will adversely affect the military preparedness of the United States.” The secretary of defense directed the secretaries of the military departments and the directors of the defense agencies to ensure that approval authority for the disposition of equipment to civilian law enforcement agencies is vested in those officials who can properly assess the impact the disposition will have on military preparedness and national security.

For PCA consideration in law enforcement missions, see Appendix J of this handbook.

National Guard Status: State Active Duty, Title 32 or Title 10

National Guard Soldiers can serve in three statuses: SAD, Title 32, or Title 10. A Soldier’s status is the first issue that must be answered, because each status has different rules and restrictions. For example, SAD personnel are prohibited from using DOD intelligence resources and equipment while in a SAD status. National Guard personnel in a SAD status are not authorized to engage in DOD intelligence operations nor are they authorized to access DOD classified systems (SECRET Internet Protocol Router or Joint Worldwide Intelligence Communication System) or equipment (MQ-1 Predator or border sensors) for a SAD mission without authorization from the National Guard Bureau joint intelligence office (J2).

The National Guard may be called up for SAD by state governors or territorial adjutants general to help respond to domestic emergencies and disasters, such as those caused by hurricanes, floods, and earthquakes. The National Guard may also be called up for active duty by the federal government under Title 32 of the U.S. Code to perform training or other duties with or without the consent of the Soldiers. This status is traditionally referred to as Title 32. Finally, the National Guard may be federalized and fall under federal command and control, a status referred to as Title 10.

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Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, 28 Feb 2003.

Homeland Security Presidential Directive 8, *National Preparedness*, 17 Dec 2003.

National Guard Domestic Operations Manual, 20 May 2008, National Guard Bureau Director of Domestic Operations (NGB J3/DO).

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Chapter 3

The National Response Framework and National Incident Management System

This chapter provides information about the National Response Framework (NRF) and the National Incident Management System (NIMS), with a focus on how NIMS provides for multiagency coordination through the joint field office (JFO). It identifies the key roles, authorities, and structures with explanation about how the joint force commander (JFC) integrates into the federal coordinated response. It is important to note that the NRF does not cover all civil support operations. It does not, for instance, cover periodic planned support. Parts of it, however, can be used for other non-Stafford Act incidents.

The NRF and NIMS are companion documents designed to improve the nation's incident management capabilities and overall efficiency. The NRF represents a concerted national effort to prevent terrorist attacks within the United States; reduce America's vulnerability to terrorism, major disasters, and other emergencies; and minimize damage and speed recovery from attacks, major disasters, and other emergencies that occur. The NIMS provides a template for incident management regardless of size, scope, or cause. Use of this template enables federal, state, local, and tribal governments, private sector entities, and nongovernmental organizations (NGOs) to work together effectively and efficiently to prevent, prepare for, respond to, and recover from actual or potential domestic incidents regardless of cause, size, or complexity. Together, the NRF and the NIMS integrate the capabilities and resources of various governmental jurisdictions, incident management and emergency response disciplines, NGOs, and the private sector entities into a cohesive, coordinated, and seamless national framework for domestic incident management.

The JFO is a temporary federal facility established locally to provide a central point for federal, state, local, and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions. The JFO uses the scalable organizational structure of the NIMS in the context of both pre-incident and post-incident management activities. The JFO does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site.

National Response Framework Basics

As required by Homeland Security Presidential Directive 5 (HSPD-5), the NRF establishes a single, comprehensive approach to domestic incident management to prevent, prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. The NRF is an all-hazards plan built on the template of the NIMS. The NIMS provides a consistent doctrinal framework for incident management at all jurisdictional levels regardless of the cause, size, or complexity of the incident.

The NRF, using the NIMS, provides the structure and mechanisms for national-level policy and operational direction for domestic incident management. The NRF can be partially or fully implemented in the context of a threat, anticipation of a significant event, or in response to an incident requiring a coordinated federal response. This includes events with potential national or long-term implications such as a public health emergency or a cyberspace incident. Selective implementation through the activation of one or more of the NRF elements allows maximum

flexibility to meet the unique operational and information-sharing requirements of any situation and enables effective interaction among various federal, state, local, tribal, private-sector, other civilian entities, and NGOs.

The NRF applies to all incidents requiring a coordinated federal response as part of an appropriate combination of federal, state, local, tribal, private-sector, and nongovernmental entities. The NRF is applicable to all federal departments and agencies that have primary jurisdiction for or participate in operations requiring a coordinated federal response. For incidents requiring a coordinated federal response but of lesser severity than an incident of national significance, the NRF includes a comprehensive network of incident annexes and supplemental federal contingency plans that may be implemented by the departments and agencies with established authorities in coordination with the NRF framework.

The NRF is always in effect; however, the implementation of NRF coordination mechanisms is flexible and scalable. Actions range in scope from ongoing situational reporting and analysis, through the implementation of NRF incident annexes and other supplemental federal contingency plans, to full implementation of all relevant NRF coordination mechanisms outlined in the NRF base plan.

Overview of Disaster Response and Incident Management

This overview illustrates actions federal agencies will likely take to assist state and local governments that are overwhelmed by a major disaster or emergency. Figure 3-1 provides a graphic display of a federal response under the Stafford Act.



Figure 3-1. Federal response

The Department of Homeland Security (DHS) National Operations Center (NOC) continually monitors potential major disasters and emergencies. When advance warning is possible, DHS may deploy and may request other federal agencies to deploy liaison officers (LNOs) and personnel to a state emergency operations center (EOC) to assess the emerging situation. A regional response coordination center (RRCC) may be activated, fully or partially. Facilities, such as mobilization centers, may be established to accommodate personnel, equipment, and supplies.

Immediately after an incident, local jurisdictions respond using available resources and notify state response elements. As information emerges, they also assess the situation and the need for state assistance. The state reviews the situation, mobilizes state resources, and informs the DHS/emergency preparedness and response/Federal Emergency Management Agency (FEMA) regional office (Figure 3-2) of actions taken.

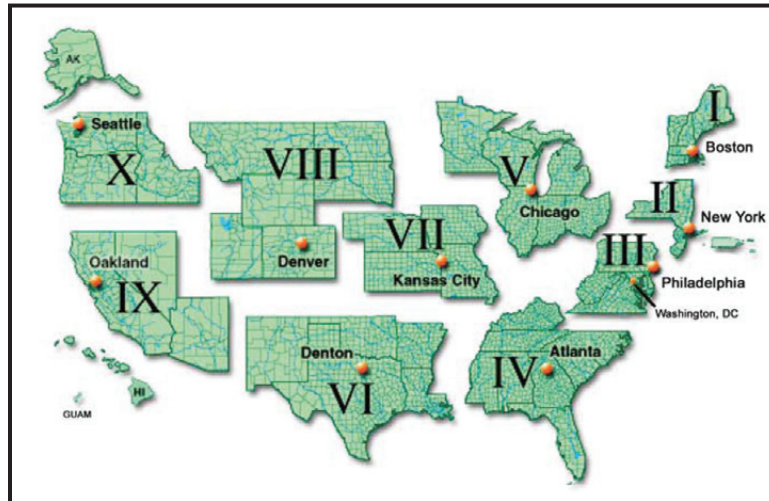


Figure 3-2. Map of FEMA regions

The governor activates the state emergency operations plan, proclaims or declares a “state of emergency,” and requests a state/DHS joint preliminary damage assessment (PDA) to determine if sufficient damage has occurred to justify a request for a presidential declaration of a major disaster or emergency. Based upon the results of the PDA, the governor may request a presidential declaration and define the kind of federal assistance needed. At this point, an initial assessment is also conducted of losses avoided based on previous mitigation efforts.

After the major disaster or emergency declaration, an RRCC, staffed by regional personnel, coordinates initial regional and field activities.

Depending on the scope and impact of the event, the NOC, supported by emergency support function (ESF) representatives and DHS/FEMA support staff, carries out initial activation and mission assignment operations and supports the RRCC.

A federal coordinating officer (FCO), appointed by the secretary of homeland security on behalf of the president, coordinates federal support activities. The FCO works with the state coordinating officer (SCO) to identify requirements. A principal federal official (PFO) also may be designated as the secretary’s representative to coordinate overall federal interagency incident management efforts. When required, a JFO will be established.

ESF primary agencies assess the situation, identify requirements, and help states respond effectively. Federal agencies provide resources under DHS/FEMA mission assignment or their own authority.

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

National Response Framework Roles and Responsibilities

A basic premise of the NRF is that incidents are handled at the lowest possible jurisdictional level. In the vast majority of incidents, state and local resources and interstate mutual aid will provide the first line of emergency response and incident management support. The NRF

provides the framework for federal interaction with state, local, tribal, private sector and nongovernmental entities in the context of domestic incident management to ensure timely and effective federal support.

Just as a lead or primary agency is designated at the federal level, a lead agency is usually designated at the state level.

Typically, states have established state emergency management agencies as executive agents to manage incident response.

- State law enforcement agencies (LEAs) can include investigative bureau personnel and state patrol officers (which in some states are distinctly different from state police officers).
- The National Guard (NG) may be the first military force to respond to support first responders when organic capabilities are exhausted and the incident response is elevated to the state level. In this capacity, the NG will be in state active duty or Title 32 (U.S. Code) status under the governor's command. As an integrated and supporting organization of a state's emergency management response, the NG supports the incident commander in accordance with the incident command system.
- The Emergency Management Assistance Compact (EMAC) is a Congressionally ratified interstate agreement among the 50 states, the District of Columbia, Puerto Rico, and the Virgin Islands and is administered by the National Emergency Management Association to provide assistance from one state to another. Generally, when a state requires assistance beyond its organic resources, it generates an EMAC request for assistance (RFA) that is sent out to the other member states. Under EMAC, the requesting state reimburses the supporting state(s) for all costs associated with the assistance. EMAC support depends entirely on voluntary assistance. There is no provision within the EMAC whereby one state can be compelled to support another state with its organic capabilities and resources. The EMAC provides the framework for states to rapidly assist each other with resources during emergencies, including dispatching NG personnel in state active duty or Title 32 U.S. Code status.

The state governor has the final commitment authority over state capabilities in any disaster response effort short of a federal response. Governors have the unique authority to issue a state emergency declaration, mobilize the state NG, and redirect state resources to emergency response. A governor can request federal assistance from the president when state capabilities prove insufficient. This request brings the resources of the federal government to bear on the disaster and can involve the Department of Defense (DOD).

The private sector's role is to be a key partner in domestic incident management, particularly in the area of critical infrastructure protection and restoration. Private-sector entities are also called upon to contribute necessary items and services to the impacted area. These sources are important to aid in the lifesaving and recovery efforts. DHS and other federal departments and agencies coordinate with the private sector to effectively share information, formulate courses of action, and incorporate available resources to prevent, prepare for, respond to, and recover from incidents of various types. For coordination with the owners and operators of the nation's critical infrastructure, DHS and federal agencies use the mechanisms established under the National Infrastructure Protection Plan, including the critical infrastructure protection advisory

committee. Further, the secretary of homeland security uses private-sector advisory groups with broad representation to provide advice on incident management and emergency response issues impacting their stakeholders. The NRF includes an annex on private-sector coordination.

Federal government roles and responsibilities derive from HSPD-5, which assigns specific responsibilities to DHS and delineates the roles and responsibilities of certain other federal departments.

- The president is the chief executive authority regarding incidents. Under the authority of the Stafford Act, he declares incidents to be disasters or emergencies. He can delegate authority to others to act as executive agents in matters of incident response.
- Pursuant to HSPD-5, the secretary of homeland security is responsible for coordinating federal resources within the U.S. to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. HSPD-5 further designates the secretary of homeland security as the PFA for domestic incident management.
- The attorney general has lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the U.S., or directed at U.S. citizens or institutions abroad. Generally acting through the Federal Bureau of Investigation (FBI), the attorney general, in cooperation with other federal departments and agencies engaged in activities to protect our national security, shall also coordinate the activities of the other members of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the U.S.
- The DOD has significant resources that may be available to support the federal response to terrorist attacks, major disasters or other emergencies. The secretary of defense authorizes defense support to civil authorities (DSCA) operations for domestic incidents as directed by the president or when consistent with military readiness operations and appropriate under the circumstances and the law. The secretary of defense retains command of military forces providing DSCA.
- The Department of State (DOS) has international coordination responsibilities. The secretary of state is responsible for coordinating international prevention, preparedness, response, and recovery activities relating to domestic incidents, and for the protection of U.S. citizens and U.S. interests overseas.

The National Response Framework Concept of Operations

The NRF, as the core plan for national incident management, also establishes national-level coordinating structures, processes, and protocols that will be incorporated into certain existing federal interagency incident- or hazard-specific plans (such as the National Oil and Hazardous Substances Pollution Contingency Plan) that are designed to implement the specific statutory authorities and responsibilities of various departments and agencies in particular contingency scenarios. These plans, which incorporate the coordinating structures and mechanisms of the NRF, provide detailed protocols for responding to incidents of lesser severity normally managed by federal agencies without the need for the secretary of homeland security to manage the federal response.

ESFs are the primary means through which the federal government provides assistance to state, local, and tribal governments or to federal departments and agencies conducting missions of primary federal responsibility. ESFs are an effective mechanism to group capabilities and resources into the functions that are most likely needed during actual or potential incidents where coordinated federal response is required, such as transportation, firefighting, and public health.

ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents by the secretary of homeland security. They may also be activated by the ESF coordinators. The ESF structure provides a modular structure to identify the precise components that can best address the requirements of the incident. For example, a large-scale natural disaster or significant terrorist incident may require the activation of all ESFs. A localized flood or tornado might only require activation of a few ESFs.

The ESF structure provides coordination of federal interagency support of a federal response to an incident. The ESF structure includes mechanisms used to provide federal support to states and federal-to-federal support, both for declared disasters and emergencies under the Stafford Act and for non-Stafford Act incidents. The ESF structure provides mechanisms for interagency coordination during all phases of incident management. Some departments and agencies provide resources for response, support, and program implementation during the early stage of an event, while others are more prominent in the recovery phase. ESFs are activated based on the scope and magnitude of the threat or incident. Each ESF annex identifies the ESF coordinator and the primary and support agencies pertinent to the ESF. Several ESFs incorporate multiple components, with primary agencies designated for each component to ensure seamless integration of and transition between preparedness, prevention, response, recovery, and mitigation activities. ESFs with multiple primary agencies designate an ESF coordinator for the purposes of pre-incident planning and coordination.

Chapter 5 of this handbook covers each ESF in detail, including the scope, purpose, and identification of the ESF coordinator, primary agency, support federal agencies, and DOD responsibilities in each. There are 15 ESFs:

- ESF #1: Transportation.
- ESF #2: Communications.
- ESF #3: Public works and engineering.
- ESF #4: Firefighting.
- ESF #5: Emergency management.
- ESF #6: Mass care, housing, and human services.
- ESF #7: Resources support.
- ESF #8: Public health and medical services.
- ESF #9: Urban search and rescue.
- ESF #10: Oil and hazardous materials response.

- ESF #11: Agriculture and natural resources.
- ESF #12: Energy.
- ESF #13: Public safety and security.
- ESF #14: Long-term community recovery and mitigation.
- ESF #15: External affairs.

Understanding the National Incident Management System

NIMS is:

- A comprehensive, nationwide, systematic approach to incident management.
- A set of preparedness concepts and principles for all hazards.
- Essential principles for a common operating picture and interoperability of communications and information management.
- Standardized resource management procedures for coordination among different jurisdictions or organizations.
- Scalable and applicable for all incidents.

NIMS is not:

- A response plan.
- A communication plan.
- Something that is used only during large incidents.
- Only applicable to certain emergency responders.
- Only the incident command system or an organizational chart.
- A static system.

DOD implements NRF policies and procedures as appropriate and consistent with departmental authorities and responsibilities. According to DOD policy, DOD organizations will adopt and implement procedures consistent with the NIMS and the incident command system (ICS) at all DOD domestic installations. Additionally, all defense coordination offices (DCOs), defense coordinating elements (DCEs), emergency preparedness liaison officers, and DOD incident commanders under the NIMS/ICS structure, and DSCA combined joint task force and joint task force senior staff must be knowledgeable of the NRF prior to participating in domestic operations. The NIMS provides a framework for managing incident response and support activities as depicted in Figure 3-3.

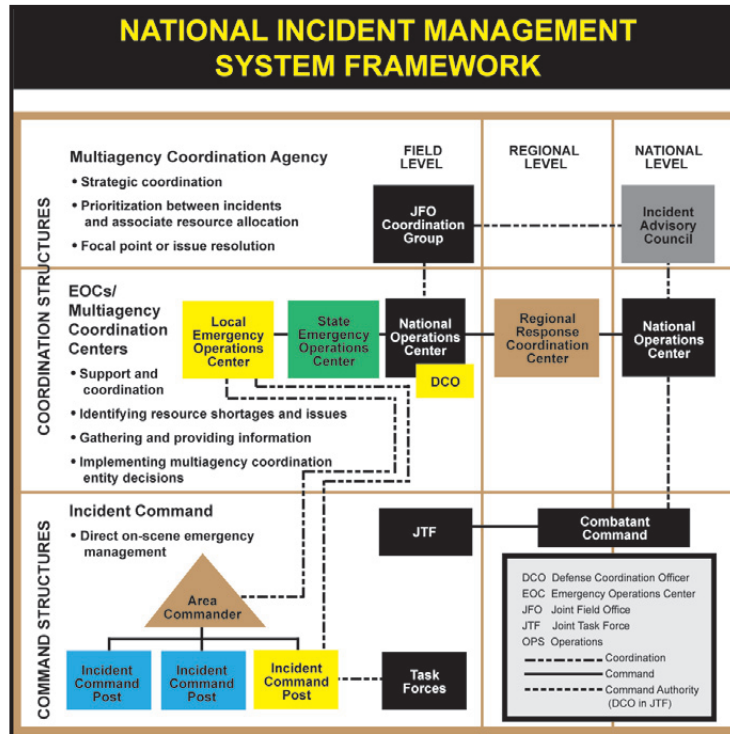


Figure 3-3. NIMS framework

The ICS is a management system designed to enable effective and efficient domestic incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure that is designed to enable effective and efficient domestic incident management. A basic premise of ICS is that it is widely applicable. It is used to organize both near-term and long-term field-level operations for a broad spectrum of emergencies, from small to complex incidents, both natural and man-made. ICS is used by all levels of government—federal, state, local, and tribal—as well as by many private-sector organizations and NGOs. ICS is also applicable across disciplines. It is normally structured to facilitate activities in five major functional areas: command, operations, planning, logistics, and finance and administration.

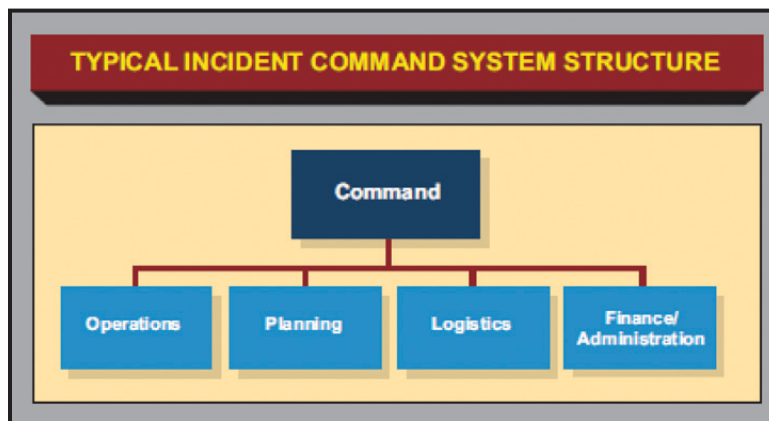


Figure 3-4. Incident command system structure

Unified command is an application of the NIMS/ICS used when there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through designated members of the unified command to establish their incident commanders at a single incident command post (ICP). In the unified command, entities develop a common set of objectives and strategies, which provides the basis for a single incident action plan. The structure for NRF coordination is based on the NIMS construct: an ICS/unified command on-scene supported by an area command (if needed) and multiagency coordination entities. The JFO provides resources in support of the unified command and ICP(s). Acts of biological, chemical, radiological, and nuclear terrorism or other catastrophic events represent particular challenges for the traditional ICS structure. Events that are not site-specific, are geographically dispersed, or evolve over longer periods of time will require extraordinary coordination between federal, state, local, tribal, private-sector, and nongovernmental entities.

National Incident Management System command and coordination

There are four major components of NIMS: command and management, preparedness, resource management, and communications and information management. This section focuses on the three NIMS standard incident command structures making up command and management to identify how they work together as a system to provide the national framework for preparing for, preventing, responding to, and recovering from domestic incidents, regardless of cause, size, or complexity. The NIMS distinguishes between command authority and coordination authority. Command authority is vested in the incident commander, whether a single incident commander or an area commander, and is exercised through the ICS. Coordination authority is vested in coordinating officers such as the FCO and DCO. Each coordinating officer has the authority to make coordinating decisions within his or her jurisdiction, whether federal, state, or local.

The incident command system

The ICS defines the operating characteristics, interactive management components, and structure of incident management and emergency response organizations engaged throughout the life cycle of an incident. Direct tactical and operational responsibility for conducting incident management activities rests with the incident commander. The incident command organizational structure develops in a top-down, modular fashion that is based on the size and complexity of the incident as well as the specifics of the hazard environment created by the incident. The ICS organization has five major functions, which are described in Figure 3-4. These are: command, operations, planning, logistics, and finance and administration. When needed, separate functional elements can be established, each of which may be further subdivided to enhance internal organizational management and external coordination. Responsibility for establishing and expanding the ICS modular organization ultimately rests with the incident commander, who bases his decisions on the requirements of the situation. As incident complexity increases, the organization expands from the top down as functional responsibilities are delegated. Concurrently with structural expansion, the number of management positions expands to adequately address the requirements of the incident. Incident command may be transferred from one commander to a succeeding one.

Multiagency coordination systems

The primary functions of multiagency coordination systems are to support incident management policies and priorities; facilitate logistic support and resource tracking; inform resource allocation decisions using incident management priorities; coordinate incident related information; and coordinate interagency and intergovernmental issues regarding incident

management policies, priorities, and strategies. These define the operating characteristics, interactive management components, and organizational structure of supporting incident management entities engaged at the federal, state, local, tribal, and regional levels through mutual-aid agreements and other assistance arrangements. When incidents cross disciplinary or jurisdictional boundaries, or involve complex incident management scenarios, a multiagency coordination entity, such as an emergency management agency, may be used to facilitate incident management and policy coordination. The situation at hand and the needs of the jurisdictions involved will dictate how these multiagency coordination entities conduct their business, as well as how they are structured. Multi-agency coordination entities typically consist of principals (or their designees) from organizations and agencies with direct incident management responsibility or with significant incident management support or resource responsibilities. These entities are sometimes referred to as crisis action teams, policy committees, incident management groups, executive teams, or other similar terms. As stated earlier, direct tactical and operational responsibility for conducting incident management activities rests with the incident commander. Command authority does not reside in coordinating officers or coordinating entities, although coordinating officers may be designated with command authority. In some instances, EOCs may serve an additional function as a multiagency coordination entity; in others, the preparedness organizations may fulfill this role. Regardless of the term or organizational structure used, these entities typically provide strategic coordination during domestic incidents. If constituted separately, multiagency coordination entities, preparedness organizations, and EOCs must coordinate and communicate with one another to provide uniform and consistent guidance to incident management personnel. The JFO is the multiagency coordination center of primary interest to the combatant commander or the JFC.

Public information systems

These refer to processes, procedures, and systems for communicating timely and accurate information to the public during crises or emergency situations. Under the ICS, the public information officer (PIO) is a key staff member supporting the incident command structure. The PIO represents and advises the incident command on all public information matters relating to the management of the incident. The PIO handles media and public inquiries, emergency public information and warnings, rumor monitoring and responses, media monitoring, and other functions required to coordinate, clear with appropriate authorities, and disseminate accurate and timely information related to the incident, particularly regarding information on public health and safety and protection. The PIO is also responsible for coordinating public information at or near the incident site and serving as the on-scene link to the joint information system (JIS). In a large-scale operation, the on-scene PIO serves as a field PIO with links to the joint information center (JIC), which is typically collocated with the federal, regional, state, local, or tribal EOC tasked with primary incident coordination responsibilities. The JIS provides the mechanism for integrating public information activities among JICs, across jurisdictions, and with private-sector entities and NGOs. During emergencies, the public may receive information from a variety of sources. The JIC provides a location for organizations participating in the management of an incident to work together to ensure that timely, accurate, easy-to-understand, and consistent information is disseminated to the public. JICs include processes for coordinating and clearing public communications. The JIC develops, coordinates, and disseminates unified news releases. News releases are cleared through the JFO coordination group to ensure consistent messages, avoid release of conflicting information, and prevent negative impact on operations. This formal approval process for news releases ensures protection of law enforcement sensitive information or other sensitive but unclassified information. DOD supports the national-level JIC and

contributes to the overall unified message. DOD and other agencies may issue their own news releases related to their policies, procedures, programs, and capabilities; however, these should be coordinated with the JIC.

The Joint Field Office

The JFO is a temporary federal facility established locally to provide a central point for coordinating federal, state, local, and tribal response to the incident. When incidents impact multiple states or localities, multiple JFOs may be established. In these situations, one of the JFOs (typically in the most heavily impacted area) may be identified to serve as the primary JFO and provide strategic leadership and coordination for the overall incident management effort, as designated by the secretary of homeland security. The JFO organizational structure is built upon NIMS but does not impede, supersede, or impact the ICP/ICS command structure. See Figure 3-5 for a typical JFO established for a natural disaster.

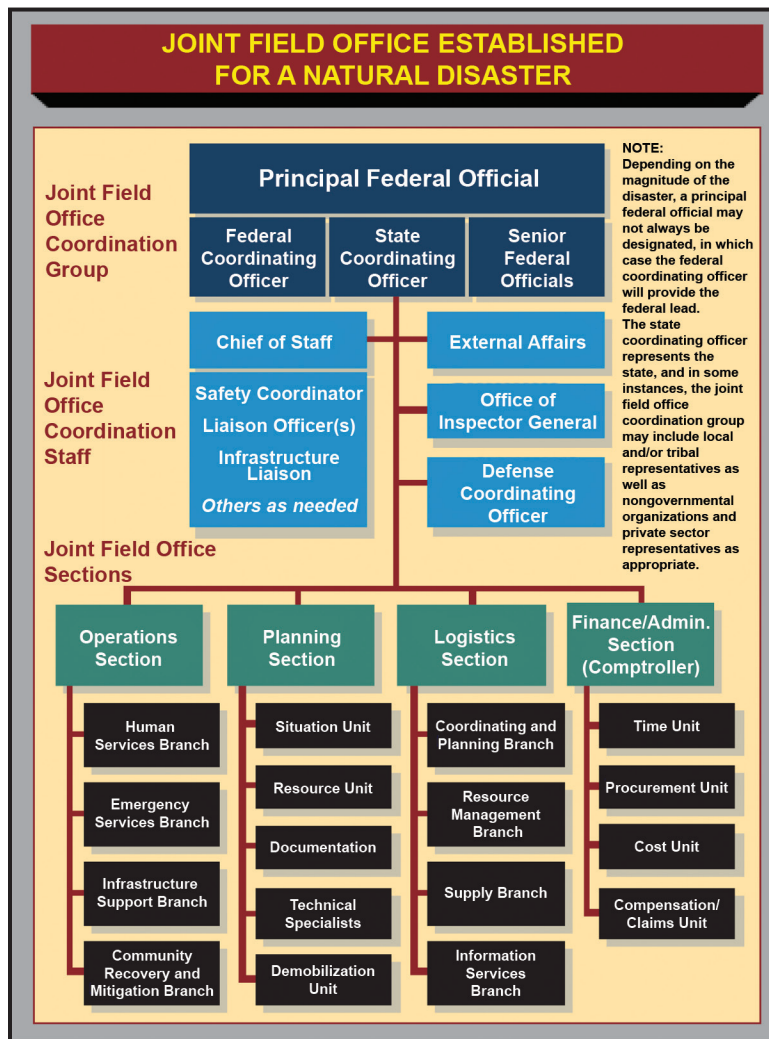


Figure 3-5. JFO

Principal federal official

The PFO is personally designated by the secretary of homeland security to facilitate federal support to the established ICS unified command structure and to coordinate overall federal incident management and assistance activities across the spectrum of prevention, preparedness, response, and recovery. The PFO ensures that incident management efforts are maximized through effective and efficient coordination, and provides a primary point of contact and situational awareness locally for the secretary of homeland security. The secretary of homeland security is not restricted to DHS officials when selecting a PFO. In certain scenarios, a PFO may be designated by the secretary of homeland security to facilitate federal domestic incident planning and coordination at the local level outside the context of a specific threat or incident. A PFO also may be designated in a pre-incident mode for a specific geographic area based on threat and other considerations. In the event of a single incident with national implications or in the case of multiple incidents, a national-level PFO may be designated to coordinate federal response activities. The PFO may delegate duties to a deputy PFO, the FCO, or other designated federal official as appropriate after an event transitions to long-term recovery or cleanup operations.

Federal coordinating officer

The FCO manages and coordinates federal resource support activities related to Stafford Act disasters and emergencies and non-Stafford Act incidents. The FCO assists the unified command and/or the area command. The FCO works closely with the PFO, senior federal law enforcement official (SFLEO), and other senior officials. In situations where a PFO has not been assigned, the FCO provides overall coordination for the federal components of the JFO and works in partnership with the SCO to determine and satisfy state and local assistance requirements. During national or geographically widespread incidents such as a catastrophic hurricane impacting several adjacent states, the secretary of homeland security may, in other than terrorism incidents, choose to combine the roles of the PFO and FCO in a single individual to help ensure synchronized federal coordination. In instances where the FCO has also been assigned the role of the PFO, deputy FCOs may be designated to support the PFO/FCO.

Senior officials

The JFO coordination group may also include officials representing other federal departments or agencies.

The DCO is appointed by the DOD and serves as the DOD's single point of contact at the JFO, with the exception of U.S. Special Operations Command and U.S. Army Corps of Engineers (USACE) assets. RFAs originating at the JFO will be coordinated with and processed through the DCO. The DCO may have a DCE consisting of a staff and military LNOs to support activated ESFs. Specific responsibilities of the DCO include processing requirements for military support, forwarding RFAs to the appropriate military organizations through DOD channels, and assigning military liaisons to activated ESFs. RFAs originating at the JFO will be coordinated and processed through the DCO with the exception of requests for USACE support, NG forces operating under state active duty or Title 32 U.S. Code, or, in some circumstances, DOD forces in support of the FBI.

Proactive Federal Response and Catastrophic Events

The NRF establishes policies, procedures, and mechanisms for a proactive federal response to catastrophic events. A catastrophic event is any natural or man-made incident, including terrorism, which results in extraordinary levels of mass casualties; damage; or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impact over a prolonged period of time; almost immediately exceed resources normally available to state, local, tribal, and private-sector authorities in the impacted area; and significantly interrupt governmental operations and emergency services to such an extent that national security could be threatened. The secretary of homeland security will declare all catastrophic events as incidents of national significance.

The NRF Catastrophic Incident Annex and the NRF Catastrophic Incident Supplement address resource and procedural implications of catastrophic events to ensure the rapid and efficient delivery of resources and assets, including special teams, equipment, and supplies that provide critical lifesaving support and incident containment capabilities. These assets may not be available or are in insufficient quantities in most localities. The secretary of homeland security may choose to activate and deploy assets prior to or immediately following any incident, to include those with catastrophic ramifications. For no-notice or short-notice catastrophic events when there is little or no time to assess the requirements of the state and local authorities, all federal departments and agencies and the American Red Cross (ARC) initiate actions to mobilize and deploy all resources by scenario type as planned for in the NRP Catastrophic Incident Search and Rescue (CIS) addendum.

Training

Detailed training concerning NRF and NIMS is offered in independent study (IS) courses by FEMA's Emergency Management Institute, <<http://training.fema.gov/IS/>>:

- IS-1: Emergency Manager: An Orientation to the Position.
- IS-100.a: Introduction to Incident Command System, I-100.
- IS-130: Exercise Evaluation and Improvement Planning.
- IS-200.a: ICS for Single Resources and Initial Action Incidents.
- IS-208: State Disaster Management.
- IS-230: Principles of Emergency Management.
- IS-235: Emergency Planning.
- IS-288: The Role of Voluntary Agencies in Emergency Management.
- IS-292: Disaster Basics.
- IS-547: Introduction to Continuity of Operations (COOP).
- IS-700.a: National Incident Management System (NIMS)—An Introduction.

- IS-701: NIMS Multi-agency Coordination Systems.
- IS-702: NIMS Public Information Systems.
- IS-703: NIMS Resource Management.
- IS-706: NIMS Intrastate Mutual Aid—An Introduction.
- IS-800.b: National Response Framework—An Introduction.
- IS-860: Introduction to the National Infrastructure Protection Plan.

Other training sources include:

- Center for Domestic Preparedness, <<http://cdp.dhs.gov/>>.
- Emergency Management Institute, <<http://training.fema.gov/EMICourses/>>.
- Louisiana State University, <<http://www.ncbrt.lsu.edu/>>.
- National Incident Management System, <http://www.fema.gov/emergency/nims/nims_training.shtm#3>.
- New Mexico Institute of Mining and Technology, <<http://www.emrtc.nmt.edu/>>.
- State Level, <<http://training.fema.gov/EMIWeb/STCourses/>>.
- Texas A&M University, <<http://teexweb.tamu.edu/>>.
- U.S. Department of Energy, <<http://www.nv.doe.gov/default.htm>>.

References

Joint Publication 3-28, *Civil Support*, Department of Defense, 14 September 2007.

FEMA NIMS Resource Center, www.fema.gov/emergency/nims/NIMSBriefings.shtm.

Chapter 4

The Department of Defense Role in Incident Response

“During a disaster, governors have at their disposal a crucial state resource in the National Guard. These state military forces have equipment and expertise in communications, logistics, search and rescue, law enforcement, and decontamination and can serve as a significant resource during a disaster response. When National Guard forces from disaster-impacted and supporting states are insufficient, federal military assets also are available through the U.S. Department of Defense.”

—*A Governor’s Guide to Homeland Security, 2007*

The use of Department of Defense (DOD) resources in disaster response efforts is always the last resort because the commitment of military resources detracts from national defense and the Constitution and federal legislation limit operations of federal armed forces on domestic soil.

Even so, a federal incident management response to a state’s request for assistance can include DOD resources. DOD support is called defense support to civil authorities (DSCA). All DOD support to disaster response is temporary with the end state being transfer of all emergency functions back to civilian authorities.

In addition to the legislation cited in Chapter 2, DOD directives also govern the use of DOD assets in supporting civil authorities. DOD assistance should be requested through an emergency support function (ESF) coordinator only when other local, state, and federal capabilities have been exhausted or when a military-unique capability is required.

Department of Defense Coordinating Officers and Entities

- Defense coordinating officers (DCOs) are military officers in the grade of O-6 (or the civil service equivalent) who represent the DOD at joint field offices (JFOs). The DCO is the single DOD point of contact at the JFO. The DCO will provide operational control to the designated supported combatant commander or designated joint task force (JTF) commander. DCO contact information appears at the end of this chapter in Table 4-2.
- The DCO assists in planning and coordinating the delivery of all DOD disaster response assets and resources provided to a state through the federal coordinating officer (FCO). Requests for DSCA originating at a JFO are coordinated with and processed through the DCO to the secretary of defense for approval, and then on to the joint directors of military support for transmission to one of the unified combatant commands. DCOs are designated by the Federal Emergency Management Agency (FEMA) regions, and one DCO is assigned to each state disaster. All DCOs and their associated defense coordinating elements (DCEs) undergo periodic, externally evaluated readiness exercises to ensure they are trained and ready.
- The DCE is the DCO’s staff. It consists of staff and military liaison officers responsible for facilitating DOD coordination and support. The DCE processes requirements for military support; forwards mission assignments through DOD channels; tracks expenditures; assists with reception, staging, onward movement, and integration of DOD resources; and assigns military liaisons to activated ESFs.

- Emergency preparedness liaison officers (EPLOs) are reserve component officers in the pay grade of O-6 (Army, Air Force, and Marine colonels and Navy captains) who represent their respective service component at the state emergency operations centers (EOCs) and the JFO. EPLOs serve as military liaisons at the FEMA region level. They identify potential DOD support requirements and function as service representatives and advisers to the DCO as part of the DCE staff.

Joint Entities

- The following unified combatant commands are directed in DSCA efforts by Joint Publication 3-26, Homeland Security, which states that: “The combatant commanders responsible for homeland defense and civil support incorporate plans for civil support by task-organizing their commands to accomplish civil support missions as well as other assigned missions.”
 - U.S. Northern Command (USNORTHCOM), headquartered at Peterson Air Force Base, CO, is responsible for providing resources for domestic disaster relief to the 48 contiguous United States, Alaska, Puerto Rico, and the U.S. Virgin Islands.
 - U.S. Pacific Command (USPACOM), headquartered at Camp H. M. Smith, HI, is responsible for providing resources for Hawaii; American Samoa; the Commonwealth of the Northern Mariana Islands; Guam; and the Freely Associated States of the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.
- Joint Task Force–Civil Support (JTF–CS) is a standing military headquarters without assigned forces that is located at Fort Monroe, VA. JTF–CS studies city and state emergency plans to evaluate the potential needs of cities and determine how best to support a coordinating agency dealing with the consequences of a chemical, biological, radiological, nuclear, or high-yield explosive (CBRNE) attack. JTF–CS plans and integrates DOD support to FEMA for weapons of mass destruction (WMD) events in the continental United States and draws on DOD capabilities including detection, decontamination, medical, and logistical assets. Once the secretary of defense authorizes military support to civil authorities, JTF–CS deploys to the incident site to serve as the command and control headquarters for responding DOD units.
- A JTF is constituted and designated by the secretary of defense and consists of a combatant commander, a sub-unified commander, or an existing joint task force commander.

Army Overview

Army civil support spans both DSCA and National Guard civil support. Army civil support doctrine applies to the regular Army, the Army National Guard, and the Army Reserve. It guides Department of the Army civilians and contractors assigned to support Army elements conducting civil support operations. This doctrine does not apply to Army forces engaged in

counterterrorism operations, nor does it apply to any state defense force that is not part of the National Guard. It also does not cover operations of the Army Corps of Engineers. The Army Corps of Engineers is a direct reporting unit of the Army that exists to provide civil support according to U.S. law and other applicable regulations.

DSCA requires Army forces to provide essential services and work with civilian authorities. However, domestic operational environments are quite different from expeditionary stability operations in terms of law, military chain of command, use of deadly force, and the interagency process.

Military forces called to conduct civil support operations respond under federal status or state status. Title 10 of the U.S. Code is the principal statute covering federal military forces. Federal military forces operate under the command and control of the president, the secretary of defense, and the supported combatant commander. State military forces (those assigned to state active duty under Title 32 of the U.S. Code) operate under the command and control of the governor through a state joint-force headquarters led by the adjutant general of the state. While federal and state forces operate in proximity to one another, they remain under their respective chains of command. Unity of command, as the military defines it, does not apply to the broader structure of American government when state and federal government agencies coordinate efforts. Unity of command applies to federal and state military forces only when the president and the governor formally agree to appoint a dual-status commander. In the absence of unity of command, achieving unity of effort in civil support operations becomes essential.

U.S. Coast Guard forces are unique in that they normally operate under Title 14 of the U.S. Code, serving under the Department of Homeland Security. The Coast Guard may, however, come under the operational control of DOD for some missions. In some homeland security missions the Coast Guard may exercise tactical control of Title 10 forces.

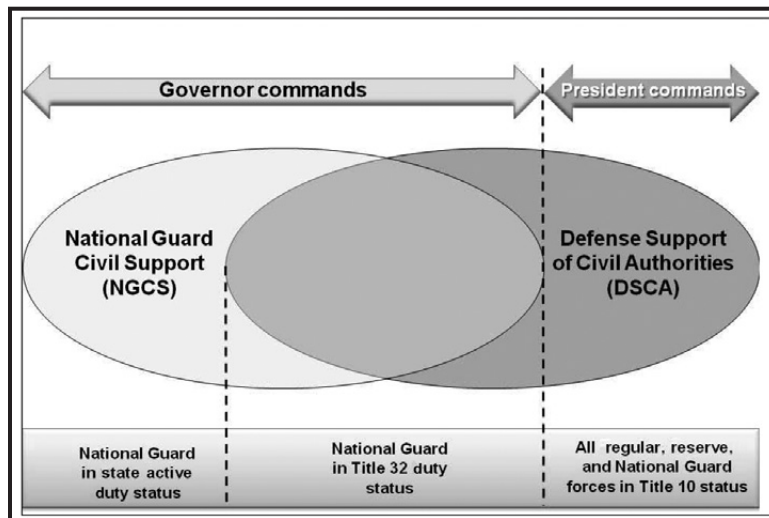


Figure 4-1. Range of Army civil support

Status

National Guard forces in state active duty status

When a governor mobilizes the state National Guard, the forces are in state active duty status and under the command and control of the governor. The state government pays expenses for forces in state active duty status. National Guard members on state active duty conduct all missions according to the needs of the state and within the guidelines of state laws and statutes. National Guardsmen on state active duty are paid by the state and subject to the state military code, not the Uniform Code of Military Justice. National Guard forces in state active duty status can perform civil law enforcement missions in accordance with the laws and statutes of their state. Generally, National Guard forces assist with incident management and homeland security operations within the state.

National Guard forces in Title 32 status

Under certain circumstances, a governor may request that the federal government pay for the costs associated with a state call-up of the National Guard for responding to an emergency. When the secretary of defense approves, National Guard forces change from state active duty status to Title 32 status. (Title 32, U.S. Code, is the principal federal statute covering the National Guard.) Even though the National Guard forces are on Title 32 active duty and funded by the federal government, National Guards members remain under the command of the governor. The distinction between funding lines is important to the respective state and federal treasuries. For Army commanders, the important distinction is that National Guard units in Title 32 status remain under state control and therefore have authority for some missions that, because of Posse Comitatus Act restrictions, regular Army and Army Reserve units do not. Because National Guard forces in Title 32 status remain under the command of the governor and are not subject to restriction of the Posse Comitatus Act, they may conduct law enforcement missions.

The National Guard of one state can assist other states responding to a disaster through formal agreements, such as the Emergency Management Assistance Compact (EMAC). Typically, this occurs in state active duty, and may transition to Title 32 status upon approval by the secretary of defense. When requested by the supported state's governor and authorized by the supporting state's governor under a separate memorandum of agreement, National Guard elements deploy to the supported state. The supporting National Guard operates under the operational control of the supported state's adjutant general. Typically, deployments under an assistance memorandum are limited to a specific period, such as 30 days. Often military and civilian officials refer to all National Guard forces as "Title 32 forces" notwithstanding that some of them may be in a purely state active duty status, without federal funding. Table 4-1 summarizes the types of National Guard duty status.

State and territorial National Guard forces have primary responsibility for providing military support to state and local authorities in emergencies. In most civil support situations, the president will not federalize National Guard forces. National Guard units conduct advance planning with civilian responders. Together, these organizations—civilian and military—establish coordination plans and procedures based on national policy such as the National Incident Management System, the National Response Framework (NRF), and national planning scenarios. Command and control follows the authority under which service members are ordered to duty: State active duty and Title 32 remain under the authority of the respective governor/adjutant general and Title 10 under federal command and control.

	State Active Duty	Title 32	Title 10
Command and control	Governor	Governor	President
Where	Within respective state or territory and according to Emergency Management Assistance Compact or state-to-state memorandum of agreement	Within respective state or territory and according to Emergency Management Assistance Compact or state-to-state memorandum of agreement	Worldwide
Funded by	State	Federal funds administered by the state	Federal
Missions	According to state law; includes riot control, law enforcement, and emergency response	Annual training, drills, and other federal military requirements; disaster and law enforcement missions, based on disaster and emergency declarations by the president	Worldwide training and operations, as assigned by joint commander
Discipline	State military code	State military code	Uniform Code of Military Justice
Conduct law enforcement	Yes (as authorized by the supported governor)	Yes (as authorized by the supported governor)	No, (Strictly limited by Posse Comitatus Act, standing execute orders, and DOD directives)
Pay	Determined by state law	DOD Financial Management Regulation Volume 7A	DOD Financial Management Regulation Volume 7.0
Travel, lodging, and benefits	Determined by state law	Joint Federal Travel Regulations, chapter 10/ public law	Joint Federal Travel Regulations, chapter 10/ public law

Table 4-1. State Active Duty, T-32, and T-10

Federal forces (Title 10 status)

Title 10, U.S. Code, governs all federal military forces. For the Army, these forces include the regular Army, the Army Reserve, and all National Guard units ordered to federal Active Duty in Title 10 status. For the other services, Title 10 forces include all components except the Air National Guard unless it mobilizes for federal service. Title 10 forces are federal assets under the command of the president. Forces in Title 10 status are restricted from conducting law enforcement missions by the Posse Comitatus Act (See Chapter 2).

In a large-scale disaster, the president may direct that federal military forces support federal agencies, but these forces will remain under federal, not state, command. In most cases, there are separate federal and state chains of command assisting numerous organizations on the ground. Unity of effort across jurisdictions and involving multiple organizations requires significant effort in establishing effective communication. Duplication of effort is likely unless Title 32 and Title 10 forces keep each other informed to ensure joint headquarters have an accurate assessment of the situation. The DCO serves as the vital link between the state EOC, state National Guard joint headquarters, federal agencies, and Title 10 military forces.

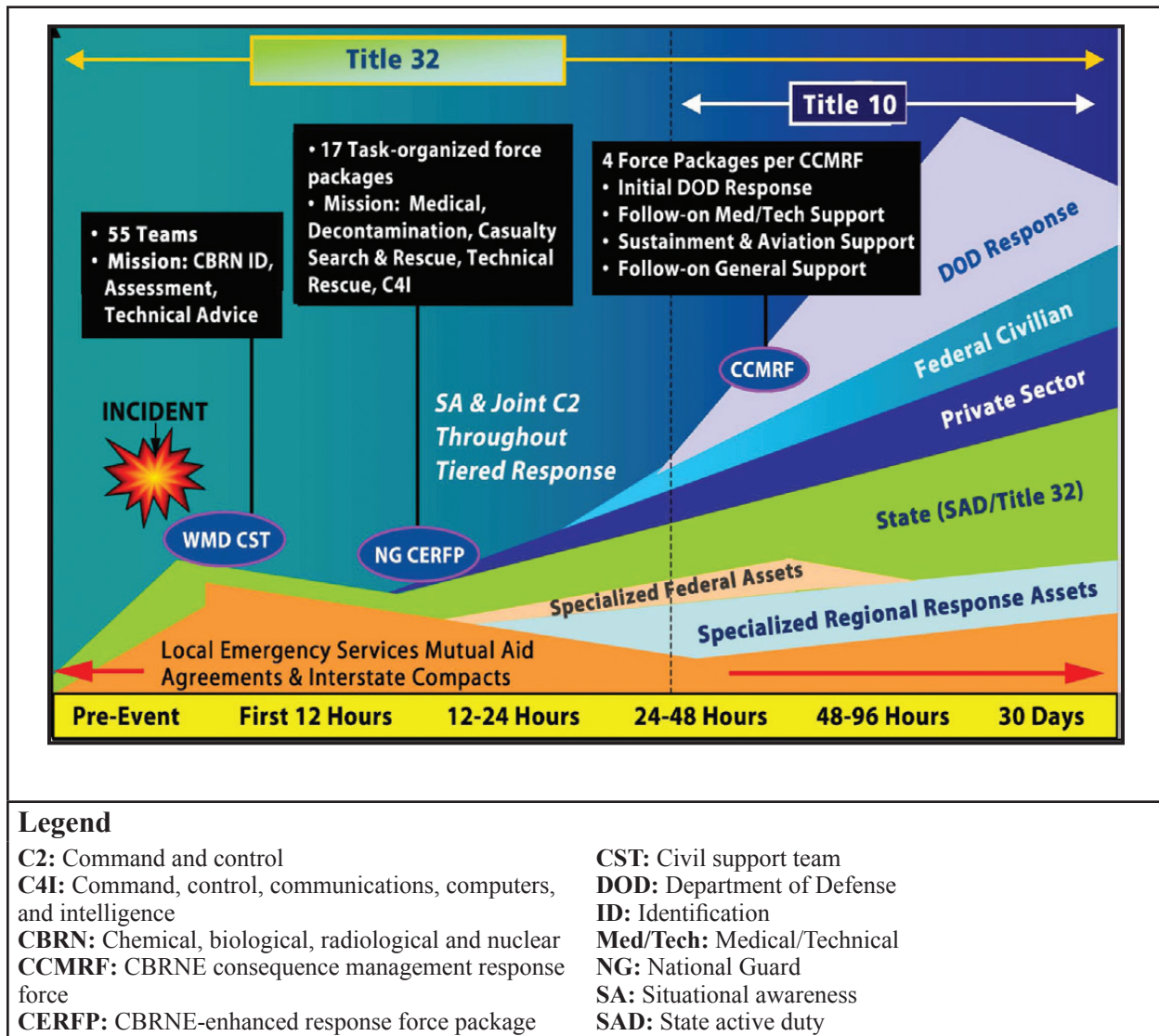


Figure 4-2. Spectrum of response

FM 3-28, *Civil Support Operations* (draft released June 2010) will add two primary tasks to the three tasks specified in FM 3-0, *Operations*, February 2008. There are now five primary civil support tasks:

- Provide support in response to a disaster.
- Support CBRNE consequence management (added task).
- Provide support during a pandemic (added task).
- Support civil law enforcement.
- Provide other support as required.

The expansion to five tasks recognizes the increased emphasis placed on CBRNE response, particularly if terrorist groups employ WMD. The primary purposes of civil support are to save lives, alleviate suffering, and protect property.

Army Support

The U.S. Army is organized into six numbered armies. Fifth U.S. Army, headquartered at Fort Sam Houston, TX, is responsible for command and control of military support to domestic disaster response efforts throughout the entire continental United States. It acts as the Army service component command of USNORTHCOM.

Regular Army divisions can provide two or more combat brigades for a total of 10,000 to 25,000 personnel. The brigades are capable of intratheater movement deployment using air, rail, and vehicular movement. Divisions have advanced command and control capabilities and highly trained commanders and staffs with robust sustainment. Units have CBRNE defensive equipment, can provide their own life support, and can be alerted and prepared for initial deployment within 18 to 24 hours.

Chemical, Biological, Radiological, Nuclear, or High-Yield Explosive Consequence Management Response Force

A CBRNE consequence management response force (CCMRF) is a brigade-level organization of roughly 4,500 personnel. That includes at least three task forces: medical, aviation, and operational. The operational assets include transportation, communications, logistics, public affairs, military information support operations (formerly psychological operations), intelligence, and specialized CBRNE detection and decontamination units.

When a CCMRF is deployed to assist with the results of a CBRNE attack or accident, it will do so in support of the civil authorities as specified in the mission assignment from the FCO at the joint field office. But there are important limitations on how the military should engage this mission.

The CCMRF's primary role in the operation is likely to focus on its specialized competence in biological, chemical, and radiological reconnaissance and decontamination, medical surge, transportation, and communication. The taskings include:

- Logistics and distribution.
- Citizen evacuation.
- Support of displaced population.
- Mortuary operations.
- Clearing major transportation routes.
- Hazard surveying and monitoring.
- Decontamination.

- Search and rescue (extraction).
- Medical transport.
- Medical services.
- Public affairs.

The DCO will work with civilian counterparts in the joint field office—the FCO and state coordinating officer—as well as local liaison officers to determine where and what support is required. The CCMRF unit will not coordinate directly with civil authorities, except when actually doing the work per their mission assignment.

Specialized CCMRF assets

- **CHEM Co (Decon):** chemical company decontamination (Army).
- **CHEM Plt (Recon):** chemical platoon reconnaissance (Army).
- **CHEM Plt (BIDS):** chemical platoon biological integrated detection system (Army).
- **NBC Bio Det TM:** nuclear, biological and chemical biological detection team (Air Force).
- **CBRNE CE:** CBRNE coordination element (Army).
- **HAMMER ACE:** hammer adaptive communications element (Air Force).
- **AFRAT:** Air Force radiological assessment team (Air Force).
- **DTRA CMAT:** Defense Threat Reduction Agency consequence management advisory team (DOD).

A typical aviation task force for the CCMRF will consist of the following:

- Headquarters, aviation brigade.
- Aviation battalion medical lift.
- Aviation battalion medical.
- Aviation intermediate maintenance (AVIM) platoon (maintenance and supply).

The medical task force operates with seven priorities:

- Provide public health support.
- Provide medical augmentation to existing hospitals or other facilities.
- Provide definitive medical care.
- Establish casualty collection points and emergency medical care locations.
- Assist with patient movement.
- Provide medical logistics support.
- Support patient redistribution through the National Disaster Medical System.

A CCMRF is most likely to be deployed under provisions of the Stafford Disaster and Emergency Assistance Act. According to joint doctrine, a Stafford Act incident is one in which state and local authorities declare a state of emergency and request federal assistance. According to the Stafford Act, the federal role in disaster response is to support the “state and local governments in carrying out their responsibilities to alleviate the suffering and damage.” The federal government does not replace state and local authority or responsibility. The federal government is in a supporting role, not one of authority or responsibility, to the state and local agencies.

The CCMRF advances its mission by deploying its particular expertise in CBRNE consequence management and in providing communications, transportation, medical surge, mortuary surge, and other resources helpful in the aftermath of a disaster.

The CCMRF’s implicit mission is to support civil authorities in such a manner that a rapid recovery is enabled and public confidence is maintained or restored. The CCMRF—and every element of the civil support function—is focused on reinforcing the resilience of the American people, both those immediately affected by the incident and those outside the disaster zone.

The CCMRF will, at all times, remain under the control of the military chain of command and under the direction of the secretary of defense and the president. The CCMRF will, however, need to coordinate its activities with a wide range of players. They include state and local officials, owners and managers of private property, religious and civic organizations, and individual citizens.

CCMRF guidelines

- Develop measurable objectives.
- Coordinate with other organizations.

- Plan to hand over tasks.
- Provide essential support to the largest number of people.
- Know all legal restrictions and rules for the use of force.

In the case of a CBRNE event, other organizations with expertise similar to the CCMRF are likely to be engaged. These are important sources of information for the CCMRF and assets with which CCMRF capabilities should be tactically coordinated. These include, but are not limited to:

- Corporate hazardous materials units (chemical plants, refinery operations, and nuclear power stations often have their own response capability).
- Civilian fire service hazardous materials units.
- National Guard WMD civil support teams.

U.S. Army Corps of Engineers

The U.S. Army Corps of Engineers (USACE) is an Army major command assigned mission responsibilities in major construction and other engineering support to the Army and the Air Force, in nationwide water resource management, in engineering research and development, and in real estate services for the Army and DOD. USACE employs approximately 34,600 civilians and has approximately 650 military members assigned. USACE is organized geographically into eight divisions in the United States and 41 subordinate districts throughout the United States, Asia, and Europe. Divisions and districts are defined by watershed boundaries, not by states. In addition, a ninth provisional division with four districts was activated 25 January 2004 to oversee operations in Iraq and Afghanistan.

USACE's mission is to provide quality, responsive engineering services to the nation including:

- Planning, designing, building, and operating water resources and other civil works projects (navigation, flood control, environmental protection, disaster response, etc.).
- Designing and managing the construction of military facilities for the Army and Air Force (military construction).
- Providing design and construction management support for other defense and federal agencies (interagency and international services).

In addition to the long-standing programs noted above, USACE has been called upon with increasing frequency since the 1990s to take part in contingency operations at home and abroad. These contingency operations include natural and man-made disasters as well as military/foreign policy operations in support of the U.S. national interest. Contingency operations at home and abroad became more common during the 1990s, with the frequency, duration, and the scope increasing greatly since the events of September 11, 2001.

USACE and domestic incident response

USACE conducts its emergency response activities under two basic authorities: the Flood Control and Coastal Emergency Act (P.L. 84-99, as amended) and the Stafford Disaster and Emergency Assistance Act (P.L. 93-288, as amended). Under the Stafford Act, USACE supports FEMA in carrying out the NRF, which calls on 26 federal departments and agencies to provide coordinated disaster relief and recovery operations. Under the NRF, the Army has the lead responsibility for public works and engineering missions (ESF #3, Public Works and Engineering).

Primary activities

- Flood control and coastal emergencies (P.L. 84 through 99, as amended). Readiness teams in USACE districts nationwide are trained, equipped, and prepared to participate in flood control activities. Activities include:
 - Disaster preparedness.
 - * Participate in state and local emergency seminars and exercises.
 - * Inspect flood control works constructed or repaired by USACE, and make maintenance recommendations.
 - * Upon request, inspect nonfederal dams and flood control projects.
 - Flood fighting.
 - * Assist in search and rescue operations.
 - * Provide technical assistance and advice.
 - * Conduct emergency repairs to levees and other flood control projects.
 - * Furnish materials such as sandbags, polyethylene sheeting, lumber, pumps, or rocks when USACE is actively participating in a flood fight.
 - Post-flood response.
 - * Clear drainage channels, bridge openings, or structures blocked by event-generated debris.
 - * Clear blockages to critical water supply intakes and sewer outfalls.
 - * Conduct debris removal necessary to reopen vital transportation routes.

- * Temporarily restore critical public services or facilities.
- * Identify hazard mitigation opportunities.
- Rehabilitation.
 - * Repair or restore flood-control structures.
- Repair or restoration of hurricane or shore protection structures damaged or destroyed by wind, wave, or water action not of an ordinary nature.
- Public works and engineering, NRF, (ESF #3). USACE is committed to ensuring that its emergency management teams are well-prepared, well-equipped, and ready to respond instantly. When disaster strikes, response teams can be onsite within hours to provide immediate relief and support. Under the NRF, USACE is designated as the lead agency for public works and engineering. DOD can authorize USACE to provide the following assistance on a temporary basis:
 - Emergency services including supplying potable water, removing debris, conducting urban search and rescue, and providing emergency electrical power and ice.
 - * Technical advice and evaluations including structural analysis.
 - * Construction management and inspection.
 - * Emergency contracting.
 - * Emergency repair of public infrastructure and facilities such as water supply sources.
 - * Real estate support.

Planning and response teams

USACE maintains 44 planning and response teams (PRTs) stationed around the country to facilitate a rapid response to disasters. PRTs include the following:

- Seven ice teams.
- Seven water teams.
- Eight emergency power teams.
- Seven debris removal teams.

- Five temporary housing teams.
- One emergency access team.
- Five temporary roofing teams.
- Four structural safety assessment teams.

Deployable tactical operations system

USACE also manages a deployable tactical operations system (DTOS), which includes a national fleet of rapid response vehicles that are designed to deploy within 18 hours as field offices for the PRTs. The DTOS includes:

- Three deployable tactical operations centers.
- Six rapid response vehicles.
- Two containerized tactical operations centers comprised of laptop computers, global positioning equipment, two high-frequency radios, a satellite telephone, and a digital camera.

Immediate Response Situations

Imminently serious conditions resulting from any civil emergency may require immediate action to save lives, prevent human suffering, or mitigate property damage. When such conditions exist and time does not permit approval from higher headquarters, local military commanders and responsible officials from DOD components and agencies are authorized by DOD directive and pre-approval by the secretary of defense, subject to any supplemental direction that may be provided by their DOD component, to take necessary action to respond to requests of civil authorities consistent with the Posse Comitatus Act (18 U.S. Code, Section 1385). All such necessary action is referred to as “immediate response.”

In addition to direct support for incident response, DOD possesses specialized capabilities employed in support of federal, state, local, and tribal government agencies, including first-responder communities within those agencies. Included among these specialized capabilities are test and evaluation facilities and capabilities; education and exercise expertise; explosive detection; technical escort; medical services; the transfer of applicable technologies, including those developed through DOD science and technology programs; and the expertise of DOD personnel. The DOD homeland defense coordination office established at the Department of Homeland Security headquarters facilitates interdepartmental cooperation and transfer of the specialized capabilities to the emergency responder community.

Federal Emergency Management Agency Regions	
<p>FEMA Region I Headquarters 99 High Street, 6th Floor Boston, MA 02110 (617) 956-7501</p>	<p>FEMA Region VI Headquarters 800 N. Loop 288 Denton, TX 76209 (940) 898-5399</p>
<p>FEMA Region II Headquarters Bldg 2700 Fort Monmouth, NJ 07703 (732) 427-1512</p>	<p>FEMA Region VII Headquarters Bannister Federal Complex Kansas City, MO 64131 (816) 926-7333</p>
<p>FEMA Region III Headquarters 625 Chestnut Street Philadelphia, PA 19106 (215) 931-5765</p>	<p>FEMA Region VIII Headquarters Denver Federal Complex Denver, CO 80225-0267 (303) 235-4770</p>
<p>FEMA Region IV Headquarters 3003 Chamblee-Tucker Rd Atlanta, GA 30341 (678) 530-5823</p>	<p>FEMA Region IX Headquarters Bldg 370, 10th St. Camp Parks, CA 94568 (925) 875-4465</p>
<p>FEMA Region V Headquarters 536 South Clark Street Chicago, IL 60605 (312) 408-5500</p>	<p>FEMA Region X Headquarters 18939 120th Ave NE Bothell, WA 98101 (425) 487-4757</p>

Table 4-2. DCO contact information

Chapter 5

Emergency Support Functions

The emergency support functions (ESFs) provide structure for coordinating federal interagency support in a federal response to an incident. They are mechanisms for grouping functions 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.

A complete discussion of ESFs can be found in the National Response Framework (NRF) ESF annexes.

ESF #1: Transportation

- **Scope:**
 - Aviation/airspace management and control.
 - Transportation safety.
 - Restoration/recovery of transportation infrastructure.
 - Movement restrictions.
 - Damage and impact assessment.
- **Purpose:** Transportation provides support to the Department of Homeland Security (DHS) by assisting federal, state, tribal, and local governmental entities, voluntary organizations, nongovernmental organizations (NGOs), and the private sector in 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 Department of Transportation (DOT) statutory responsibilities, including regulation of transportation, management of the nation's airspace, and ensuring the safety and security of the national transportation system. ESF #1 is not responsible for movement of goods, equipment, animals, or people.
- **ESF coordinator:** DOT.
- **Primary agency:** DOT.
- **Supporting federal agencies:**
 - U.S. Department of Agriculture (USDA).
 - Department of Commerce (DOC).
 - Department of Defense (DOD).

- Department of Energy (DOE).
- DHS.
- Department of the Interior (DOI).
- Department of Justice (DOJ).
- Department of State (DOS).
- General Services Administration (GSA).
- U.S. Postal Service (USPS).
- **DOD responsibilities:** 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 that have been requested and approved 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/Federal Aviation Administration (FAA) air navigation services capabilities as requested by DOT/FAA and ESF #1.

ESF #2: Communications

- **Scope:**
 - Coordination with the telecommunications and information technology industries.
 - Restoration/repair of telecommunications infrastructure.
 - Protection, restoration, and sustainment of national cyber technologies and information technology resources.
 - Oversight of communications within the federal incident management and response structures.
- **Purpose:** Communications support 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. This ESF implements the provisions of the Office of Science and Technology Policy National Plan for Telecommunications Support in Non-Wartime Emergencies. ESF #2 also provides communications support to federal, state, tribal, and local governments. It provides support to first responders when their systems have been impacted, and provides communications and information technology support to the joint field office (JFO) and JFO field teams.
- **ESF coordinator:** DHS/National Communications System.

- **Primary agencies:** DHS/Federal Emergency Management Agency (FEMA).
- **Supporting federal agencies:**
 - USDA.
 - DOC.
 - DOD.
 - DHS.
 - DOI.
 - Federal Communications Commission.
 - GSA.
- **DOD responsibilities:**
 - 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.
 - The secretary of defense and assistant secretary of defense for homeland defense provide civilian oversight and policy direction for the use of DOD assets in defense support to civil authorities (DSCA).
 - The joint director of military support serves as the DOD action agent for DSCA.
 - The defense coordination office/defense coordinating element serves as the DOD interface to FEMA and the federal coordinating officer at JFO and the single point of contact for requesting DOD assistance.

ESF #3: Public Works and Engineering

- **Scope:**
 - Infrastructure protection and emergency repair.
 - Infrastructure restoration.
 - Engineering services and construction management.
 - Emergency contracting support for lifesaving and life-sustaining services.
- **Purpose:** Public works and engineering assists 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 recover from a disaster or an incident requiring a coordinated federal response.

- **ESF coordinator:** DOD/U.S. Army Corps of Engineers (USACE).
- **Primary agencies:** DOD/USACE; DHS/FEMA.
- **Supporting federal agencies:**
 - USDA.
 - DOC.
 - DOD.
 - DOE.
 - Department of Health and Human Services (HHS).
 - DHS.
 - DOI.
 - Department of Labor (DOL).
 - DOS.
 - DOT.
 - Department of Veterans Affairs (VA).
 - Environmental Protection Agency (EPA).
 - GSA.
 - Nuclear Regulatory Commission (NRC).
 - Tennessee Valley Authority (TVA).
 - American Red Cross (ARC).
 - Corporation for National and Community Service.
- **DOD/Navy supervisor of salvage and diving responsibilities:**
 - 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.
- Coordinates salvage and wreck removal operations when requested.

ESF #4: Firefighting

- **Scope:** Coordination of federal firefighting activities. Support to wildland, rural, and urban firefighting operations.
- **Purpose:** Firefighting provides federal support for the detection and suppression of wildland, rural, and urban fires resulting from, or occurring coincidentally with, an incident requiring a coordinated federal response for assistance.
- **ESF coordinator:** USDA/Forest Service.
- **Primary agency:** USDA/Forest Service.
- **Supporting federal agencies:**
 - DOC.
 - DOD.
 - DHS.
 - DOI.
 - DOS.
 - EPA.
- **DOD responsibilities:**
 - 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.
 - USACE: 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.

ESF #5: Emergency Management

- **Scope:**
 - Incident management and response effort coordination.
 - Issuance of mission assignments.
 - Resource and human capital administration.
 - Incident action planning.
 - Financial management.
- **Purpose:** 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, regional response coordination center, and JFO operations.
- **ESF coordinator:** DHS/FEMA.
- **Primary agency:** DHS/FEMA.
- **Supporting federal agencies:**
 - USDA.
 - DOC.
 - DOD.
 - Department of Education.
 - DOE.
 - HHS.
 - DHS.
 - Department of Housing and Urban Development (HUD).
 - DOI.
 - DOJ.
 - DOL.
 - DOS.
 - DOT.

- Department of the Treasury.
- VA.
- EPA.
- Federal Communications Commission.
- GSA.
- National Aeronautics and Space Administration (NASA).
- NRC.
- Office of Personnel Management (OPM).
- Small Business Administration (SBA).
- TVA.
- USPS.
- ARC.
- **DOD responsibilities:** National security; dam security (USACE); and hydrology, stream flows, and water-level data (USACE).

ESF #6: Mass Care, Emergency Assistance, Housing, and Human Services

- **Scope:**
 - Mass care.
 - Emergency assistance.
 - Disaster housing.
 - Human services.
- **Purpose:** ESF #6 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.
- **ESF coordinator:** DHS/FEMA.
- **Primary agency:** DHS/FEMA.

- **Supporting federal agencies:**

- USDA.
- DOD.
- HHS.
- DHS.
- HUD.
- DOI.
- DOJ.
- DOL.
- DOT.
- Department of Treasury.
- VA.
- GSA.
- SBA.
- Social Security Administration.
- USPS.
- ARC.
- Corporation for National and Community Service.
- National Voluntary Organizations Active in Disaster (NVOAD).
- Other voluntary agency and nongovernmental support organizations.

- **DOD/USACE responsibilities:**

- 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.

ESF #7: Logistics Management and Resource Support

- **Scope:**

- Comprehensive, national disaster logistics planning, management and sustainment capability that harnesses the resources of federal logistics partners, key public and private stakeholders, and NGOs to meet the needs of disaster victims and responders.
- Resource support (facility space, office equipment and supplies, contracting services, etc.).

- **Purpose:** ESF #7 assists DHS by:

- DHS/ FEMA logistics provide a comprehensive, national disaster logistics planning, management, and sustainment capability that harnesses the resources of federal logistics partners, key public and private stakeholders, and NGOs to meet the needs of disaster victims and responders.
- The GSA supports federal agencies and state, tribal, and local governments in need of resource support prior to, during, and/or after incidents requiring a coordinated federal response.

- **ESF coordinators:** GSA; DHS/FEMA.

- **Primary agencies:** GSA; DHS/FEMA.

- **Supporting federal agencies:**

- USDA.
- DOC.
- DOD.
- DOE.
- HHS.
- DOI.
- DOL.

- DOT.
- VA.
- NASA.
- OPM.
- **DOD responsibilities:** When requested by FEMA and approved by DOD, DOD provides subsistence, administrative supplies, petroleum products, engineering and construction materials, personal demand items (water and ice), major end items (mobile units), medical materiel, telecommunications management, and transportation management.

ESF #8: Public Health and Medical Services

- **Scope:**
 - Public health.
 - Medical.
 - Mental health services.
 - Mass fatality management.
- **Purpose:** Public health and medical services provide the mechanisms 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 support during the development of a 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 “at-risk” or “special-needs” populations described in the Pandemic and All-Hazards Preparedness Act and in the NRF glossary. Members of at-risk and special-needs populations may have medical and other functional needs before, during, and after an incident.
- Public health and medical services include 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.
- **ESF coordinator:** HHS.
- **Primary agency:** HHS.

- **Supporting federal agencies:**

- USDA.
- DOC.
- DOD.
- DOE.
- DHS.
- DOI.
- DOJ.
- DOL.
- DOS.
- DOT.
- VA.
- EPA.
- U.S. Agency for International Development (USAID).
- GSA.
- USPS.
- ARC.

- **DOD responsibilities:**

- Alerts DOD National Disaster Medical System (NDMS) federal coordinating centers (FCCs) for the Army, Navy, and Air Force and provide 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 personnel with protecting public health through the management of food, water, wastewater, solid waste disposal, vectors, hygiene, and other environmental conditions.
- Provides available veterinary military personnel to assist ESF #8 personnel with the medical treatment of animals.
- Provides available DOD medical supplies for distribution to mass care centers and medical care locations for incident victims. Reimbursement is made to DOD.
- Provides available emergency medical support to assist state, tribal, or local officials within the disaster area and in the surrounding area. 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, mortuary affairs, and temporary internment of the dead.
- 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, laboratory diagnostics, and confirmatory testing in coordination with HHS.

- **USACE:** Through ESF #3, public works and engineering, USACE 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, USACE assists with the temporary interment of the dead.

ESF #9: Search and Rescue

- **Scope:** Lifesaving assistance and search and rescue (SAR) operations (urban, waterborne, inland/wilderness, and aeronautical).
- **Purpose:** 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.
- **ESF coordinator:** DHS/FEMA.
- **Primary agencies:** DHS/FEMA/U.S. Coast Guard (USCG); DOI/National Park Service; DOD/U.S. Air Force (USAF).
- **Supporting federal agencies:**
 - USDA.
 - DOC.
 - DOD.
 - HHS.
 - DHS.
 - DOJ.
 - DOL.
 - NASA.
 - USAID.
- **DOD responsibilities:**
 - DOD/USAF/Air Force rescue coordination center (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:

- * DOD/USAF/AFRCC is the SAR coordinator for the U.S. aeronautical search and rescue region corresponding to the contiguous United States.
 - * DOD/U.S. Pacific Command is the SAR coordinator for the U.S. aeronautical SAR 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 contiguous 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 joint task force 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.
 - **DOD/National Geospatial-Intelligence Agency (NGA):**
 - Coordinates and manages the timely tasking, acquisition, analysis, and delivery of satellite imagery or imagery-derived products as directed by the primary agency. 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 data in accordance with applicable security classifications, licensing, copyright agreements, and limited distribution restrictions.
- **DOD/USACE:**
 - Provides pre-incident training for DHS/FEMA task force/ incident support team (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 urban search and rescue (US&R) task forces and ISTs.
 - Assists IST engineering cells 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.

ESF #10: Oil and Hazardous Materials Response

- **Scope:** Oil and hazardous materials (chemical, biological, radiological, etc.) response and environmental short- and long-term cleanup.
- **Purpose:** 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.
- **ESF coordinator:** EPA.
- **Primary agencies:** EPA; DHS/USC.
- **Supporting federal agencies:**
 - USDA.
 - DOC.
 - DOD.
 - DOE.
 - HHS.
 - DHS.

- DOI.
- DOJ.
- DOL.
- DOS.
- DOT.
- GSA.
- NRC.
- **DOD responsibilities:**
 - Provides on-scene coordinators and directs response actions for releases of hazardous materials from DOD vessels, facilities, vehicles, munitions, and weapons.
 - Provides DSCA in response to requests for assistance during domestic incidents. With the exception of support provided under immediate response authority, DOD resources must obtain the approval of the secretary of defense before responding to requests for assistance. Details regarding DSCA and immediate response authority are provided in the NRF core document.
- **USACE** 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.
- **The Navy supervisor of salvage**, following appropriate statutory authorities, provides technical, operational, and emergency support in the ocean-engineering disciplines of marine salvage, pollution abatement, and diving services.

ESF #11: Agriculture and Natural Resources

- **Scope:**
 - 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.

- **Purpose:** Agriculture and natural resources officials support 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 (transmitted between animals and people) disease, or any outbreak of an economically devastating plant-based pest or disease; ensure the safety and security of the commercial food supply; protect natural and cultural resources and historic properties resources; and provide for the safety and well-being of household pets during an emergency response or evacuation situation.
- **ESF coordinator:** USDA.
- **Primary agencies:** USDA; DOI.
- **Supporting federal agencies:**
 - USDA.
 - DOC.
 - DOD.
 - DOE.
 - HHS.
 - DHS.
 - DOI.
 - DOJ.
 - DOL.
 - DOS.
 - DOT.
 - EPA.
 - GSA.
 - National Archives and Records Administration.
 - USPS.
 - Advisory Council on Historic Preservation.
 - ARC.
 - Heritage Emergency National Task Force.

- **DOD responsibilities:**
 - Assesses the availability of DOD food supplies and storage facilities capable of storing dry, chilled, and frozen food.
 - Assesses the availability of DOD transportation equipment, material handling equipment, and personnel for support. This responsibility is confined to the posts, camps, and stations within or adjacent to the affected area.
 - Assesses the availability of laboratory and diagnostic support, subject-matter expertise, and technical assistance that may be provided.
 - Assists animal emergency-response organizations or others as requested and appropriate. Provides resources including senior Army Veterinary Corps officers to function as defense veterinary liaison officers and defense veterinary support officers (who serve as the 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 the USDA Animal and Plant Health Inspection Service.
- **USACE** provides expertise and resources to assist in the removal and disposal of contaminated and noncontaminated debris, to include animal carcasses and debris affecting natural and cultural resources and historic properties resources.

ESF #12: Energy

- **Scope:**
 - Energy infrastructure assessment, repair, and restoration.
 - Energy industry utilities coordination.
 - Energy forecast.
- **Purpose:** ESF #12, when activated by the secretary of homeland security for incidents requiring coordinated federal responses, is intended to facilitate the restoration of damaged energy systems and components. Under 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.
- **ESF coordinator:** DOE.
- **Primary agencies:** DOE.

- **Supporting federal agencies:**
 - USDA.
 - DOC.
 - DOD.
 - DHS.
 - DOI.
 - DOL.
 - DOS.
 - DOT.
 - EPA.
 - NRC.
 - TVA.
- **DOD/USACE responsibilities:** Coordinates emergency power team missions with power-system restoration activities to establish priorities for emergency generator installation.

ESF #13: Public Safety and Security

- **Scope:**
 - Facility and resource security.
 - Security planning and technical and resource assistance.
 - Public safety and security support.
 - Support to access, traffic, and crowd control.
- **Purpose:** ESF #13 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.
- **ESF coordinator:** DOJ.
- **Primary agency:** DOJ.

- **Supporting federal agencies:** All federal departments and agencies possessing a public safety and security capability.
- **DOD/USACE responsibilities:** Provides physical and electronic security systems assistance and expertise.

ESF #14: Long-Term Community Recovery and Mitigation

- **Scope:**
 - 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.
- **Purpose:** ESF #14 provides a mechanism for coordinating federal support to state, tribal, regional, and local governments; 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.
- **ESF coordinator:** DHS/FEMA.
- **Primary agency:** USDA; DHS; HUD; SBA.
- **Supporting federal agencies:**
 - DOC.
 - DOD.
 - DOE.
 - HHS.
 - DOI.
 - DOL.
 - DOT.
 - Department of the Treasury.
 - EPA.

- Corporation for National and Community Service.
- Delta Regional Authority.
- ARC.
- NVOAD.
- **DOD/USACE responsibilities:** Provides technical assistance in community planning and expertise in civil engineering and natural hazard risk assessment. Supports the development of national strategies and plans related to permanent and accessible housing, debris management, and the restoration of public facilities and infrastructure.

ESF #15: External Affairs

- **Scope:**
 - Emergency public information and protective action guidance.
 - Media and community relations.
 - Congressional and international affairs.
 - Tribal and insular affairs.
- **Purpose:** ESF #15 ensures that federal assets deployed to the field during incidents requiring a coordinated federal response are sufficient to provide accurate, coordinated, timely, and accessible information to affected audiences, including government, media, the private sector, and the local populace, including the special needs population. ESF #15 provides the resource support and mechanisms to implement the NRF incident communications emergency policy and procedures described in the Public Affairs Support Annex. Additional information about external affairs can be found in the ESF #15 standing operating procedure, located on the DHS/FEMA website.
- **ESF coordinator:** DHS.
- **Primary agency:** DHS/FEMA.
- **Supporting federal agencies:** All.
- **DOD responsibilities:** Depending on the nature and scope of the incident, all federal departments and agencies support the NRF and are responsible for providing appropriate support for ESF #15 as required.

Appendix A

Unit Planning Considerations

This appendix is provided as a checklist to assist planners in defense support to civil authorities (DSCA) planning.

Personnel

- Deployment orders (state active duty, Title 32, or Title 10).
- Personnel accountability.
- Soldier readiness processing: Medical records, shot records, insurance documents, powers of attorney, wills, etc.
- Funding. (See below.)
- Mail.
- Pay/finance.
- Medical. (See Appendix B.)
- Dental.
- Mortuary affairs.
- Automation.
- Awards standing operating procedure.

Intelligence

- Intelligence preparation of the battlefield process adapted to domestic support. Adaptation includes modified combined obstacle overlay identifying no-go and slow-go routes.
- Maps.
- Operations security. (See Appendix J.)
- Physical security.
- Arms room.

Operations

- Define the command relationships. To whom do I report upon arrival? For whom do I work?
- Define the support relationships. Whom do I support?
- Military decisionmaking process (MDMP). Specified tasks; implied tasks; limitations; constraints; intent; purpose, methods, end state; course of action. Be imaginative in applying MDMP doctrine to DSCA mission.
- Advance party. Include signal officer and internal logistics planner.
- Battle rhythm.
- Briefings/reports.
- Chain of command/command organization of supported incident command.
- Points of contact for subject matter experts.
- Packing lists.
- Transportation (tactical)/convoy operations.
- Mission-related training/mission rehearsal exercise.
- Weapons qualification.
- After action reviews. (See Appendix M.)
- Risk management. (See Appendix N.)
- Liaison officers.
- Airspace command and control. (See Appendix K.)
- Internet/networking.

Logistics Internal to the Supporting Unit

- Life support: Billeting, mess, rations, water, bath and laundry.
- Transportation (Administration). (See Chapter 2, “Coordinating Military Deployments on Roads and Highways: A Guide for State and Local Agencies,” dated May 2005, published by the U.S. Department of Transportation, Federal Highway Department, accessed at <http://ops.fhwa.dot.gov/opssecurity/dev-mx/> updated 14 April 2009.)

- Petroleum, oil, and lubricants.
- Maintenance and recovery.
- Reception, staging, onward movement, and integration.
- Ammunition transportation and storage.

Communications and Communications Security

- Coordinate with military (Air National Guard [ANG], Army National Guard [ARNG], U.S. Coast Guard [USCG], U.S. Air Force [USAF], U.S. Navy [USN], U.S. Marine Corps [USMC]) and with local, state, regional, and federal agencies.
- Initial communications capabilities should be self-sufficient and interoperable with both first responders and local authorities. Consider wireless capability initially. When primary signal element arrives, phase out wireless network. Replace wireless cards with local area network cards or else all computers will not work.
- Plan for all means of communications: telephone (cellular or land line), radio (in all bandwidths), Nonsecure Internet Protocol Router Network, SECRET Internet Protocol Router Network, video, video-teleconferencing.
- Do not send equipment without operators.
- Do send qualified signal leaders to ensure operators and equipment are being used properly and profitably.
- Be prepared to provide communications equipment (cell phones, radios, base sets, etc.) to first responders. Plan for a lowest common denominator communications to locals (i.e., hand-held radio, computer, etc.).
- Plan for extended logistical support for equipment and personnel as well as unexpected requirements including generator support; maintenance of equipment; fuel requirements of vehicles, systems, and generators; and support for others' equipment (i.e. charging cell phones from your power source, charging satellite phones).
- Know the power requirements for your equipment. Do you need to bring your own power generation?
- Communications (voice, data, video) with various emergency operations centers including military (ANG, ARNG, USCG, USAF, USN, USMC), local, state, regional, or federal.

- Communications structure must be able to grow to meet future needs. What can be established initially and expanded to handle a greater demand? Small deployable packages can be sent ahead of larger deployable command posts to meet immediate requirements.
- Establish reachback capability.
- Conduct a synchronization meeting between ARNG and ANG joint communications officers at least 24 hours prior to movement.
- Realize that geography affects signal performance. A communication system that worked well at one location might not work in another.

Legal and the Rules on Use of Force

See Appendix I.

Funding

In most cases the support provided is on reimbursable basis. The defense coordinating office receives and validates a mission assignment (Federal Emergency Management Agency form 90-129). This form has a mission assignment number that should be listed on the tasking or execution orders. The mission assignment number is listed on the request for reimbursement. The mission is executed using the supporting unit's operational funds. For the military to receive reimbursement, the supporting unit must document the support provided in a memorandum to its higher headquarters.

Keep an accurate record of the mission. Items to note include:

- Record of missions performed.
- Rosters of personnel involved.
- Travel and per diem (military and civil service).
- Temporary personnel wages, travel, and per diem.
- Lodging costs.
- Transportation costs (car and bus rentals, chartered aircraft, fuel).
- Contracting costs.
- Equipment provided or operated (estimated hourly costs for operation).
- Material provided from regular stock (all classes of supply).
- Laundry expenses.
- Official or morale phone calls.

Keep receipts and other supporting documents. Supporting documents include:

- Unit orders.
- Temporary duty (TDY) orders.
- TDY payment vouchers.
- Vehicle dispatch logs including date/time/location of in-transit repairs.
- Fuel card receipts.
- Hand receipts.
- Request for supplies.
- Government credit card receipts.
- Copy of contracts.

Demobilization

The Department of Defense (DOD) responds to disasters to temporarily perform emergency missions that overwhelmed state and local governments cannot handle. As the emergency passes, state and local governments will once again be able to perform those response and recovery missions, and incident commanders will begin demobilizing their commands. Recognize when the unit's work is done. The final decision to conclude the DOD's activities and presence in the area of operations is made by the federal coordinating officer (FCO) and the secretary of defense.

Dangers of staying too long

- State and local governments will frequently expect DOD assistance much longer than it is actually needed.
- State and local governments may become too dependent on DOD assistance, thus impeding long-term recovery.
- If local businesses and contractors can perform the missions and tasks assigned to the DOD, the continued employment of DOD forces and equipment may be unnecessary or illegal and may rouse resentment of local citizens who may feel deprived of employment opportunities.
- The primary role of the DOD is to train, prepare for, and execute combat operations. Even a short absence from a focus on combat operations may degrade a unit's preparedness.

End state and exit strategy tactics, techniques, and procedures

- Be attentive to measures of performance, the conditions that the DOD must meet to declare mission success, and the end state.

- Make clear to state and local governments that the DOD presence will be limited.
- Agree with state and local governments on acceptable end state, usually recognized as when state and local governments can re-establish normal operations.
- Consider using commercial vendors or contractors.
- The DOD must coordinate with Northern Command and obtain the approval of the FCO before terminating disaster response operations.

Appendix B

Casualties

The delivery of public health and medical support falls under emergency support function (ESF) #8 of the National Response Framework (NRF). The Department of Health and Human Services (HHS) serves as the primary agency and ESF coordinator for these functions. ESF # 8, however, is one in which the military is likely to be involved. When required, the joint regional medical planner office (JRMPO) of U.S. Northern Command and the defense coordinating officer (DCO) coordinate these services. The joint task force's (JTF) medical planning staff must be in close contact with JRMPO and the DCO as they develop operational plans. There are, however, several acute situations the JTF will likely encounter before it has the opportunity to coordinate with JRMPO and the DCO. These include mass casualty operations, contaminated casualties, and mental health casualties. JTF planners should also be aware of National Disaster Medical System (NDMS). The NRF deploys the NDMS as part of the HHS, Office of Preparedness and Response, under ESF #8 to support federal agencies in the management and coordination of the federal medical response to major emergencies and federally declared disasters.

Mass Casualty Operations

Disaster situations, whether resulting from natural or man-made incidents, can quickly produce large numbers of casualties across a wide geographic area. Large disasters may overwhelm the existing health care systems and produce either a local or area-wide mass casualty (MASCAL) situation. MASCALs are inherently difficult to control, especially across large areas, and contain several major obstacles to the delivery of health care that the JTF must plan for and overcome. These obstacles include:

- **Inappropriate care distribution.** Often the first casualties to present for care are the least injured, who then consume all available resources, leaving the most injured without access to lifesaving care. To ensure that medical resources are appropriately allocated across the affected area, care delivery must be prioritized at both the local level and area-wide.
- **Unequal distribution of casualties.** Casualties tend to concentrate locally and then present to the nearest health facility. This may overwhelm local facilities, while other facilities in the area are underused. A variation of this pattern is when casualties take themselves to the “preferred” or “better” hospitals, while avoiding all other, closer facilities.
- **Non-emergency medical system responders.** The emergency medical system (EMS) is the usual route of entry into the health care system for casualties. In MASCALs, casualties access the system through non-EMS entry points (for example: private means, police transport, and search and rescue [SAR]). This results in multiple, uncontrolled demands for health care and concentrates the demands at nontypical locations (at the SAR delivery point instead of the hospital, for instance). Also, nonlocal responders arrive to help but are not familiar with the local health system, adding to the overall confusion.

- **Lack of interorganizational planning.** During major disasters, multiple organizations are involved from both within and outside the local area. They may include local, state, and military personnel; public health organizations, nongovernmental organizations, and charitable organizations; and private citizens. The actions of these groups tend to be uncoordinated, with little or no interorganizational communication.
- **Lack of proper needs assessment.** The acute demand for care often results in a rapid deployment of resources to the most critical and closest casualties, without an overall assessment of need. This “ready, fire, aim” approach leads to “wrong help, at the wrong time, to the wrong people” situation. Some areas will receive an overabundance of aid, while others may be completely neglected.

Techniques and Procedures to Overcome Obstacles to Care

- Coordinate all missions through the JRMPO, coordinate with HHS, and coordinate all other medical assets in the area.
- Centralize command and control of all military health assets that enter the area.
- Institute a systematic plan for allocation of medical care at ground zero and across the area.
- Ensure coordinated and controlled delivery of casualties located by SAR into the established triage system.
- Coordinate with law enforcement to maintain crowd and traffic control.
- Communicate with local hospitals to determine capacities and capabilities so that casualty flow from ground zero to higher levels of care can be properly directed.

Triage

The key to managing MASCAL situations is triage. Triage is the process of sorting casualties based on the severity of injuries and assigning priorities of care and evacuation in a situation with limited resources. The goal is to provide the greatest good for the greatest number of casualties. Medical providers at all levels of care must institute a uniformed system to classify casualties and assign treatment priorities.

Triage categories

Triage categories were originally developed for MASCAL management in combat environments. Most military medical personnel are familiar with this system. The same principles apply to the civilian disaster setting with the major differences being primarily terminology and priority assignment. Table B-1 depicts triage categories used in combat and natural disasters.

Triage Category: Combat Setting	Triage Category: Civilian Setting	Category Description
Immediate	Critical	This group includes those who require lifesaving surgery. The surgical procedures in this category should not be time consuming and should concern only those patients with high chances of survival.
Delayed	Urgent	This group includes casualties who are badly in need of time-consuming surgery, but whose general condition permits delay in surgical treatment without unduly endangering life. Sustaining treatment will be required.
Minimal	Minor	These casualties have relatively minor injuries and can effectively care for themselves or helped by nonmedical personnel. Care can be delayed for hours to days.
Expectant	Catastrophic	Casualties in this category have wounds that are so extensive that even if they were the sole casualty and had the benefit of optimal medical resource application, their survival would be unlikely.

Table B-1. Triage categories, combat vs. civilian casualties

Assigning triage categories

Medical personnel must rapidly assess casualties and assign triage categories. A systematic process should be in place to ensure proper identification occurs. A simple algorithm is suggested in Figure B-1 to assist with this process.

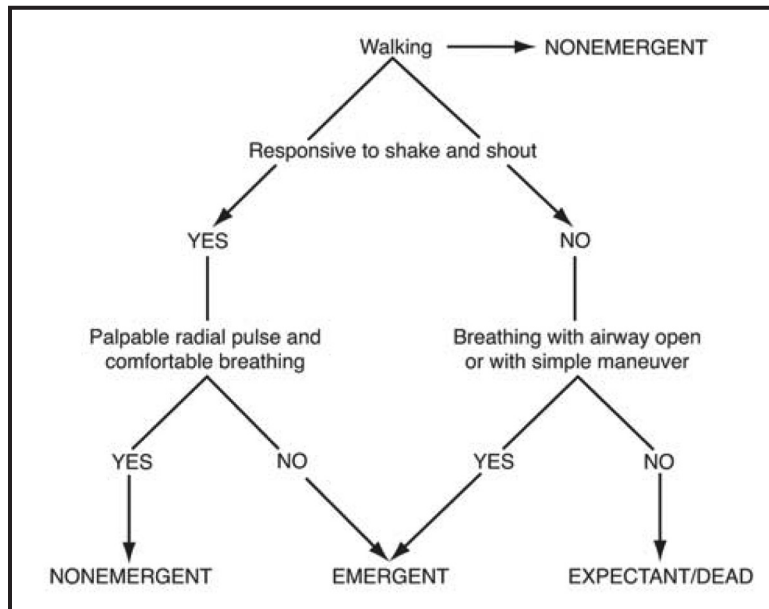


Figure B-1. Assigning triage categories

Treatment priorities

When assigning treatment priorities, the first to receive care are those in most critical need (where there is an expectation that an intervention will prevent loss of life, limb, or eyesight) with minimal expenditure of time, personnel, or other resources.

In the combat setting, triage principles dictate treating casualties in the “expectant” category after all other wounded; thus “expectant” casualties have a high likelihood of dying. Civilian medical personnel, especially in the U.S., view this as an unreasonable approach. It is unlikely that resources would be so constrained such that the seriously wounded should have care delayed for any significant amount of time. It is unreasonable to expect rescuers to “condemn” expectant casualties when not in a tactical combat environment.

Table B-2 outlines treatment priorities for the different triage categories in the combat and civilian settings.

Priority	Combat Casualties	Civilian Casualties
1st	Immediate	Critical
2nd	Delayed	Catastrophic
3rd	Minimal	Urgent
4th	Expectant	Minor

Table B-2. Treatment priorities in a combat versus civilian MASCAL setting

Management and treatment

Every medical unit or facility that responds to a disaster situation requires a MASCAL plan appropriate to their unique operational needs and situation. However, there are several characteristics that are consistent for all MASCAL operations:

- **Triage area:** All casualties should flow through a single triage area. This area should be close to the receiving area (landing zone, ground routes, and decontamination site), have one-way flow, and have clearly marked routes to the treatment areas.
- **Triage officer (TO):** Ideally the TO is a surgeon, but must be a person with clinical experience in evaluating casualties. The TO performs a rapid evaluation of every casualty, assigns them an appropriate category, and directs them to the proper treatment area. The TO is assisted by personnel dedicated to identifying, tagging, and recording triage assignments and disposition.
- **Immediate treatment area:** This area is set up close to and with direct access to the triage area and is composed of the staff and supplies necessary to administer immediate, lifesaving aid.

- **Non-immediate treatment area:** All minor and delayed injuries are directed here. This area is staffed and supplied to treat all non-immediate injuries and to hold casualties awaiting evacuation to a higher level of care (i.e., a hospital).
- **Morgue:** This area must be set aside, climate controlled (if possible), and secured from view and interference.

Techniques and procedures for MASCAL and triage

- Ensure traffic flow is well marked so all casualties enter the triage area at one location.
- No significant treatment should occur in the triage area. Casualties are sent to the appropriate treatment area for interventions.
- An administrative recorder should walk with the TO to properly document all casualties in a log and use an indelible marker on the casualty's forehead to mark his triage category.
- Post an administrative person at the entry of the treatment areas to document and regulate casualty flow.
- Dedicate someone to re-triage casualties as they enter each treatment area.
- Have as many nonmedical augmenters as possible available to assist with casualty transport (litter bearers, for example).
- Shift resources from the triage and emergent area to the nonemergent areas as the casualty flow lessens.
- Ensure proper rest cycles for personnel, especially if operations continue beyond 24 hours.
- Be prepared to divert casualties to another facility as resources are exhausted or overwhelmed.

For further, more detailed information on triage and MASCAL, see:

- *Emergency War Surgery*, 3rd U.S. revision, 2004, at <http://www.bordeninstitute.army.mil/other_pub/ews.html>.
- Auf der Heide, Erik; *Disaster Response: Principles of Preparation and Coordination*; 1989, at <<http://orgmail2.coe-dmha.org/dr/index.htm>>.

Contaminated Casualties

During disaster events, casualties may become contaminated by either a chemical, biological, radiological, nuclear, high-yield explosive (CBRNE) attack or from exposure to hazardous industrial waste (such as sewage or oil spills). In these instances, casualties must be decontaminated before entering any treatment facility; otherwise the treatment facility itself

will become contaminated. First responders will decontaminate and treat the majority of these casualties in the initial hours after the event. However, if recovery operations continue in a contaminated area, there will be an ongoing need to decontaminate and treat casualties.

California, Colorado, Florida, Georgia, Hawaii, Iowa, Illinois, Massachusetts, Minnesota, Missouri, Nebraska, New York, Ohio, Oregon, Pennsylvania, Texas, Virginia, and West Virginia National Guard units have CBRNE-enhanced response force packages (CERFPs) that will be useful in decontaminating civilians. The JTF's medical assets may become involved in these situations.

Casualty decontamination is labor-intensive and requires augmentation personnel and additional or specialized equipment. It slows the process of casualty evaluation and treatment and is physically demanding of medical and rescue personnel. These negative impacts can be minimized with proactive planning.

Responders

Due to the abrupt, immediate nature of a CBRNE event, the initial responders will be local hazardous material (HAZMAT) units and state National Guard units. The National Guard has established weapons of mass destruction (WMD) civil support teams (WMD-CSTs), and CERFP. The WMD-CST mission is to support local and state authorities at domestic CBRNE events, identify agents and assess consequences, and advise local authorities on response measures and requests for military assistance. The primary missions of the CERFPs are casualty decontamination and triage and SAR in contaminated environments. These units will be in place and operational by the time federal military units arrive on the scene of a CBRNE attack.

The specific technical aspects of casualty decontamination exceed the scope of this handbook, but the following general concepts apply to all operations:

- **Establishing the decontamination site:** The casualty decontamination site should be as near to the medical facilities as safety allows, but must not contaminate the facility. When establishing the decontamination site, planners must consider:
 - **Wind direction and speed:** While the patient decontamination site will be established in a “clean” location, the arrival of casualties and the initiation of decontamination procedures will create chemical vapor and liquid hazards. Wind direction and speed must be constantly monitored to ensure that all clean areas are not contaminated. If the wind direction shifts more than 30 degrees, the decontamination site may need to be moved.
 - **Access and movement control:** Access to the site must be controlled; otherwise there is the possibility that “dirty” casualties and equipment will contaminate the “clean” areas. There should be one entry point and controlled and limited areas of intersection between the clean and dirty zones. All personnel and equipment must remain in a “dirty” zone until decontaminated.
 - **Personnel and equipment:** Once personnel and equipment become contaminated, they remain “dirty” until decontaminated. Personnel can and should continue to treat patients and use equipment in the contaminated area

for as long as possible. However, operating in this environment is physically demanding and will require additional personnel and the institution of strict work-rest cycles.

Key elements of casualty decontamination

Management of contaminated casualties is complicated. The casualties must be evaluated, and possibly treated and evacuated, while still contaminated. Management of contaminated casualties may include:

- **Dirty triage:** Casualties must be triaged upon arrival to the treatment facility while still contaminated. The determination made at this point is not only the immediacy of treatment based on injury but whether the casualty needs to be treated before or after decontamination.
- **Dirty treatment:** Some casualties may require immediate treatment before decontamination. A treatment area with supplies and personnel must be established within the dirty area of the decontamination site.
- **Dirty evacuation:** Casualties may need to be evacuated while still contaminated. This may be because the patient is minimally injured and does not need decontamination or treatment at the local treatment facility. This could also be because the patient has been stabilized while contaminated, needs further treatment, and it is a better use of resources to evacuate to another facility for decontamination and further treatment. In these cases, there must be dedicated evacuation lanes and equipment that will remain contaminated until the end of operations.

Techniques and procedures for contaminated casualty care:

- All deploying medical units must prepare to operate in a contaminated environment.
- Medical units should establish contact with WMD-CSTs and CERFPs prior to entering the area. This will allow for a smooth handoff of responsibilities and ongoing support.
- Clean versus contaminated areas should be clearly designated in the area of operations.
- Clean and dirty triage and treatment sites and evacuation lanes must be created.
- Only casualties requiring treatment at the medical facility should be decontaminated at the facility. All others should be evacuated to other decontamination facilities.
- The number of personnel at the treatment site may need to be increased because of increased personnel demands in the “dirty” areas.
- Traffic control points and guards should be pre-positioned to maintain access control to the treatment site.
- Wind direction should be carefully monitored (stakes with streamers can be used to accomplish this), and plans should be in place to shift the decontamination and treatment sites, if necessary.

Mental Health Casualties

Disaster incidents produce strong and unpleasant emotional and physical responses in both victims and rescuers. Leaders must proactively institute preventive measures and apply appropriate psychological first aid when indicated. The symptoms of psychological stress that rescuers and victims may experience include: confusion; fear and anxiety; hopelessness, helplessness, or sleeplessness; anger; grief, guilt, or shock; aggressiveness or mistrustfulness; loss of confidence; physical pain; or overdedication to one's task.

One particularly stressful activity is the handling of human remains. Working around human remains may produce feelings of horror, disgust, anger, or guilt. Many feel very strong emotions when confronted with the remains of children or when the victims remind them of loved ones.

The goal of psychological first aid is to mollify the range of emotions and physical responses experienced by personnel exposed to a disaster. The main tenets of care are to create and sustain an environment of safety, calm, connectedness to others, self-efficacy, and hope.

Techniques and procedures for psychological first aid

- Provide basic needs for food, shelter, and health care.
- Listen to people's stories.
- Keep families together.
- Provide frequent, clear, updated information to victims concerning the disaster itself, the status of relief efforts, and where and how to acquire assistance.
- Help maintain connection with friends and family. Provide responders with regular communication with family members back home.
- Be aware of the stress levels of those around you.
- Provide responders with a rest area for sleep, hygiene, and food that is separate from the public and media.
- Insist on proper sleep, nutrition, and exercise among responders.
- Do not force people to share stories.
- Do not give simple, generalized reassurances (e.g., "everything will be OK.").
- Do not tell people how they should feel, or "why" things happened to them.
- Do not make promises you cannot keep.
- Do not criticize current relief efforts in front of those needing help.

Techniques and procedures for psychological first aid during the handling of human remains

- Remember the greater purpose of your work.
- Wear protective clothing, take frequent breaks, and maintain hygiene, hydration, and rest when not working.
- Talk with others around you and listen as well.
- Humor relieves stress as long as it is not too personal or inappropriate.
- Limit exposure to bodies as much as possible.
- Breathe through your mouth to avoid smells.
- Do not focus on individual victims.
- Get teams together for mutual support and encouragement.
- Provide opportunities for voluntary, formal debriefings.

National Disaster Medical System

The National Disaster Medical System (NDMS) is a federally coordinated system that augments the nation's medical response capability. The overall purpose of the NDMS is to supplement an integrated national medical response capability for assisting state and local authorities in dealing with the medical impacts of major peacetime disasters and to provide support to the military and the Department of Veterans Affairs medical systems in caring for casualties evacuated back to the U.S. from overseas armed conventional conflicts.

The NRF makes use of the NDMS as part of the HHS Office of Preparedness and Response under ESF #8 to support federal agencies in the management and coordination of the federal medical response to major emergencies and federally declared disasters including:

- Natural disasters.
- Major transportation accidents.
- Technological disasters.
- Acts of terrorism including WMD events.

Components of the NDMS

- Medical response to a disaster area in the form of personnel, teams and individuals, supplies, and equipment.
- Patient movement from a disaster site to unaffected areas of the nation.
- Definitive medical care at participating hospitals in unaffected areas.

NDMS is composed of three major teams: disaster medical assistance team (DMAT), disaster mortuary operational response team (DMORT), and national veterinary response team (NVRT).

Disaster medical assistance team

A DMAT is a group of professional and paraprofessional medical personnel (supported by a cadre of logistical and administrative staff) designed to provide medical care during a disaster or other event. NDMS recruits personnel for specific vacancies, plans for training opportunities, and coordinates deployment of the team. To supplement the standard DMATs, highly specialized DMATs are deployed to deal with specific medical conditions such as crushing injuries, burns, and mental health emergencies.

DMATs are designed to be rapid-response elements that supplement local medical care until other federal or contract resources can be mobilized or until the situation is resolved. DMATs deploy to disaster sites with sufficient supplies and equipment to sustain themselves for a period of 72 hours while providing medical care at a fixed or temporary medical care site. The personnel are activated for a period of two weeks.

In MASCAL incidents, DMAT responsibilities may include triaging patients, providing high-quality medical care despite adverse and austere conditions, providing patient reception at staging facilities, and preparing patients for evacuation.

Under the rare circumstance that disaster victims are evacuated to a different locale to receive definitive medical care, DMATs may be activated to support patient reception and disposition to hospitals. DMATs provide community resource available to support local, regional, and state requirements. However, as a national resource they can be federalized.

NDMS/DMAT personnel are required to maintain appropriate certifications and licensures within their disciplines. When personnel are activated as federal employees, licensure and certification are recognized by all states. Additionally, DMAT personnel are paid while serving as part-time federal employees and have the protection of the Federal Tort Claims Act in which the federal government becomes the defendant in the event of a malpractice claim.

Disaster mortuary operational response teams

DMORTs are responsible for:

- Temporary morgue facilities.
- Victim identification.
- Forensic dental pathology.
- Forensic anthropology methods.

- Processing.
- Preparation.
- Disposition of remains.

DMORTs are composed of private citizens, each with a particular field of expertise, who are activated in the event of a disaster. NDMS/DMORT personnel are required to maintain appropriate certifications and licensure within their discipline. When personnel are activated, licensure and certification is recognized by all states, and the personnel are compensated for their duty time by the federal government as a temporary federal employee. During an emergency response, DMORTs work under the guidance of local authorities by providing technical assistance and personnel to identify and process deceased victims.

The DMORTs are directed by the assistant secretary for preparedness and response (ASPR), Office of Preparedness and Emergency Operations (OPEO). Teams are composed of funeral directors, medical examiners, coroners, pathologists, forensic anthropologists, medical records technicians and transcribers, fingerprint specialists, forensic odontologists, dental assistants, X-ray technicians, mental health specialists, computer professionals, administrative support staff, and security and investigative personnel.

The HHS ASPR, in support of the NDMS DMORT program, maintains three disaster portable morgue units (DPMUs). These DPMUs are staged at locations on the East and West coasts for immediate deployment in support of DMORT operations. The DPMU is a depository of equipment and supplies for deployment to a disaster site. It contains a complete morgue with designated workstations for each processing element and prepackaged equipment and supplies.

National veterinary response team

The NRF utilizes the NDMS, a part of the HHS ASPR, OPEO. Under the NRF, NDMS serves as a component of ESF #8. The NVRT is a cadre of individuals within the NDMS system who have professional expertise in areas of veterinary medicine, public health, and research. In addition to supporting the NRF mission requirements of NDMS under ESF #8, operational support may also be rendered by the NVRT to other federal partners such as the U.S. Department of Agriculture (USDA) under ESF #11, Agriculture, and the Federal Emergency Management Agency under ESF #6, Mass Care, in the support of the Pets Evacuation and Transportation Standards Act, or PETS Act. The NVRT provides assistance in identifying the need for veterinary services following major disasters, emergencies, public health or other events requiring federal support and in assessing the extent of disruption to animal and public health infrastructures. The NVRT is a fully supported federal program. These responsibilities include:

- Assessing the veterinary medical needs of the community.
- Medical treatment and stabilization of animals.

- Animal disease surveillance.
- Zoonotic disease surveillance and public health assessments.
- Technical assistance to assure food safety and water quality hazard mitigation.
- Care and support of animals certified as official responders to a disaster or emergency.

NVRT personnel are private citizens who have been approved as intermittent federal employees and activated in the event of a disaster. The personnel are comprised of individuals with diverse expertise and include veterinarians, animal health technicians, pharmacists, epidemiologists, safety officers, logisticians, communications specialists, and other support personnel. These individuals are assigned to designated teams that train in preparation for a response. They are enabled by a regional cache of equipment, supplies and pharmaceuticals. Personnel are required to maintain appropriate and current professional certifications and licensures for their disciplines. As intermittent federal employees, their licensure is recognized by the states requesting assistance. Deployed personnel are compensated for their duty time by the federal government. In an emergency or disaster response, the NVRTs work using the Incident Command System. Teams provide assessments, technical assistance, public health, and veterinary services under the guidance of state and/or local authorities.

Appendix C

Biological Incidents

The lack of U.S. capability to rapidly recognize, respond, and recover from a biological attack is the most significant failure identified in this report card. Deterrence of bioterrorism rests upon the ability of the nation to mitigate the effects of an attack. Unfortunately, there is no national plan to coordinate federal, state, and local efforts following a bioterror attack, and the United States lacks the technical and operational capabilities required for an adequate response. —*Prevention of WMD [Weapons of Mass Destruction] Proliferation and Terrorism Report Card*, Commission on the Prevention of WMD Proliferation and Terrorism, January 26, 2010

Responses to biological incidents (including naturally occurring diseases and terrorist events) start at the local, tribal, and state levels. They include the use of police, emergency medical technicians, firefighters, and National Guard assets such as WMD civil support teams and chemical, biological, radiological, nuclear, or high-yield explosive emergency response force packages. Once the incident has been identified as a pandemic or a terrorist event or has grown beyond the scope of local, tribal, and state response, federal response takes place. Actions at this level can be taken with or without a presidential Stafford Act declaration or a public health emergency declaration by the secretary of health and human services.

Excerpt from the National Response Framework Biological Incident Annex, August 2008

Coordinating Agency	Cooperating Agencies
Department of Health and Human Services	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

Table C-1.

Scope

The objectives of the federal government's response to a biological terrorism event or to a naturally occurring disease outbreak with a known or novel pathogen are to:

- Detect the event through disease surveillance and environmental monitoring.
- Identify and protect the populations at risk.
- Determine the source of the disease.
- Assess the public health, law enforcement, and international implications.
- Control and contain any possible epidemic (including providing guidance to state, tribal, territorial, and local public health authorities).
- Augment and surge public health and medical services.
- Identify the cause and prevent the recurrence of any potential resurgence, additional outbreaks, or further spread of disease.
- Assess the extent of residual biological contamination and conduct response, restoration, and recovery actions as necessary.

The unique attributes of this response require separate planning considerations that are tailored to specific health concerns and effects of the disease (e.g., terrorism versus natural outbreaks, communicable versus noncommunicable diseases, etc.).

Special considerations

Detection of a bioterrorism act against the civilian population may occur in several different ways and involve several different modalities:

- An attack may be surreptitious, in which case the first evidence of dissemination of an agent may be the presentation of disease in humans or animals.
- A terrorist-induced infectious disease outbreak initially may be indistinguishable from a naturally occurring outbreak; moreover, depending upon the particular agent and associated symptoms, several days could pass before public health and medical authorities even suspect that terrorism may be the cause.
- Environmental surveillance systems, such as the BioWatch system, may detect the presence of a biological agent in the environment and trigger directed environmental sampling and intensified clinical surveillance to rule out or confirm an incident.
- Other cooperating departments and agencies may detect acts of bioterrorism or biological incidents through their normal operations and surveillance efforts. Should this occur, notifications should be made according to approved interagency response protocols, consistent with health and law enforcement assessment processes.

Policies

This appendix supports policies and procedures outlined in the National Response Framework (NRF), Emergency Support Function (ESF) #8, Public Health and Medical Services Annex; ESF #10, Oil and Hazardous Materials Response Annex; ESF #11, Agriculture and Natural Resources Annex; ESF #15, External Affairs Annex; the Terrorism Incident Law Enforcement and Investigation Annex; and the International Coordination Support Annex.

Department of Health and Human Services (DHHS) serves as the federal government's primary agency for the public health and medical preparation and planning for and response to a biological terrorism attack or naturally occurring outbreak that results from either a known or novel pathogen, including an emerging infectious disease.

The U.S. Department of Agriculture (USDA) serves as the government's primary agency for outbreaks and/or attacks that may occur in animals used in the commercial production of food and for attacks on food processing/slaughtering facilities under its regulatory purview. In the event of a food or animal event, DHHS may provide additional public health and veterinary epidemiological assistance to USDA. Wildlife events will be placed under the purview of the Department of the Interior (DOI), while those involving marine animals will be managed and monitored by the Department of Commerce.

The secretary of homeland security is the principal federal official for domestic incident management. Pursuant to the Homeland Security Act of 2002, the secretary is responsible for coordinating federal operations within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies, including biological incidents.

State, tribal, territorial, and local governments are primarily responsible for detecting and responding to disease outbreaks and implementing measures to minimize the health, social, and economic consequences.

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. Generally acting through the Federal Bureau of Investigation (FBI), the attorney general, in cooperation with other federal departments and agencies engaged in activities to protect our national security, shall also coordinate the activities of the other members of the law enforcement community to detect, prevent, pre-empt, and disrupt terrorist attacks against the United States. If any agency becomes aware of an overt threat involving biological agents or indications that disease may not be the result of natural causes, the Department of Justice must be notified through the FBI's weapons of mass destruction operations unit (WMDOU).

If the threat is deemed credible by the FBI in coordination with DHHS or USDA, the FBI, in turn, immediately notifies the National Operations Center (NOC) and the National Counterterrorism Center (NCTC). The Laboratory Response Network (LRN) is used to test samples for the presence of biological threat agents.

Once notified of a credible threat or disease outbreak, DHHS convenes a meeting of ESF #8 partners to assess the situation and determine appropriate public health and medical actions. The Department of Homeland Security (DHS) coordinates overall nonmedical support and response actions across all federal departments and agencies.

DHHS will be supported by other federal agencies, as appropriate, during the various states of a biological incident response in the preparation, planning, and/or response processes and will perform the roles described in this annex in coordination with DHS and state partners. If the incident response progresses such that it requires multiagency participation, DHS will serve as the incident coordinator. DHHS will serve as the coordinating agency for public health issues.

If there is potential for environmental contamination, DHHS collaborates with the Environmental Protection Agency (EPA) in developing and implementing sampling strategies and sharing results.

In the event of an outbreak of an agriculturally significant zoonotic disease or human foodborne pathogen, DHHS collaborates with USDA during the preparation, planning, and/or response processes.

Given the dynamic nature of a biological incident, DHHS, in collaboration with other departments and agencies, determines the thresholds for a comprehensive federal government public health and medical response.

Planning assumptions

In a biological incident, federal, state, tribal, territorial, and local officials require a highly coordinated response to public health and medical emergencies.

Disease transmission may occur from direct contact with an infected individual or animal, an environmental reservoir (includes contaminated surface or atmospheric dispersion), an insect vector, or contaminated food and water. Indirect contact transmission may also occur where contaminated inanimate objects (fomites) serve as the vehicle for transmission of the agent.

A biological incident may be distributed across multiple jurisdictions simultaneously. This could require the simultaneous management of multiple “incident sites.”

The introduction of biological agents, both natural and deliberate, is often first detected through clinical or hospital presentation. However, there are other methods of detection, including environmental surveillance technologies such as BioWatch, and medical and syndromic surveillance systems.

Routine fish and wildlife health and disease surveillance, including investigation of wildlife mortality events conducted on public lands and in public laboratories, provides the opportunity for early detection of biological agents and acts of bioterrorism. Animal health surveillance in the agriculture sector provides similar opportunities.

No single entity possesses the authority, expertise, and resources to act unilaterally on the many complex issues that may arise in response to a nonroutine disease outbreak and loss of containment affecting a multijurisdictional area. The national response requires close coordination between numerous agencies at all levels of government and with the private sector.

The federal government supports affected state, tribal, territorial, and local health jurisdictions as requested or required. The response by DHHS and other federal agencies is flexible and adapts as necessary as the outbreak evolves.

The LRN provides analytical support to inform public health assessment of the potential for human illness associated with exposure and the scope of this kind of risk. The LRN also provides for definitive testing of both environmental and clinical samples, as well as limited supporting analysis of food samples that may be implicated as part of epidemiological investigations associated with incident response to cases of human illness. The Food Emergency Response Network (FERN) is a complementary system that integrates the nation's food testing laboratories at the local, state, and federal levels into a network that is able to respond to emergencies involving biological, chemical, or radiological contamination of food.

Response to disease outbreaks suspected of being deliberate in origin requires consideration of special law enforcement and homeland security requirements.

An investigation into intentional biological threats or incidents will likely require the initiation of a joint criminal and epidemiological investigation. The FBI would coordinate criminal investigative activities with appropriate state, local and federal partner agencies, such as DHS, DHHS, and USDA.

Concept of Operations

Biological agent response

The key elements of an effective biological response include (in nonsequential order):

- Rapid detection of the outbreak or introduction of a biological agent into the environment.
- Rapid dissemination of key safety information, appropriate personal protective equipment, and necessary medical precautions.
- Swift agent identification and confirmation.
- Identification of the population at risk (to include animals, marine life, and plants).
- Determination of how the agent is transmitted, including efficiency of transmission.
- Determination of susceptibility to prophylaxis and treatment.
- Definition of public health and medical services, human services, and mental health implications.
- Control and containment of the epidemic when possible, and use of mitigation strategies when containment is not possible (e.g., in the event of an influenza pandemic).
- Identification of the law enforcement implications/assessment of the threat.
- Augmentation and surging of local health and medical resources.
- Protection of the population through appropriate public health and medical actions.

- Dissemination of information to enlist public support and provide risk communication assistance to responsible authorities.
- Assessment of environmental contamination and cleanup/decontamination/proper disposal of bioagents that persist in the environment, and provision of consultation on the safety of drinking water and food products that may be derived from directly or environmentally exposed animals, crops, plants and trees, or marine life.
- Tracking and preventing secondary or additional disease outbreak.
- Administration of countermeasures when appropriate.

Primary federal functions include supporting state, tribal, territorial, and local public health and medical capacities according to the policies and procedures detailed in the NRF and its annexes.

Outbreak Detection

Determination of a disease outbreak

The initial indication of a biological incident may be the recognition by public health and medical authorities that a significantly increased number of people are becoming ill.

One tool to support this process is the National Biosurveillance Integration System (NBIS). NBIS leverages the individual capabilities of multiple surveillance systems by integrating and analyzing domestic and international surveillance and monitoring data collected from human health, animal health, plant health, and food and water monitoring systems. This cross-domain analysis allows for enhanced situational awareness and potentially reduced detection time, thus enabling more rapid and effective biological incident response decision making.

Laboratory confirmation

During the evaluation of a suspected disease outbreak, laboratory samples are distributed to appropriate laboratories. During a suspected terrorist incident, sample information is provided to the FBI for investigative use and to public health and emergency response authorities for epidemiological use and agent characterization to facilitate and ensure timely public health and medical interventions as well as environmental cleanup.

Identification (analysis and confirmation)

The samples collected and the analyses conducted must be sufficient to characterize the causative agent of the outbreak. LRN and FERN laboratories fulfill the federal responsibility for rapid analysis of biological agents. In a suspected terrorist incident, sample collection activities and testing are coordinated with the FBI and with LRN members.

Suspicious substances

Since there is no definitive/reliable field test for biological agents of concern, all potential bioterrorism samples are transported to an LRN laboratory, where expert analysis is conducted

using established federal protocols/reagents. A major component of this process is to establish and maintain the law enforcement chain of custody and arrange for transport.

The following actions occur if a positive result is obtained by an LRN on an environmental sample submitted by the FBI or other designated law enforcement personnel:

- The LRN immediately notifies the local FBI of the positive test result and informs the appropriate public health officials.
- The local FBI field office makes local notifications and contacts the FBI headquarters WMDOU.
- FBI headquarters convenes an initial threat assessment conference call with the local FBI, DHHS, and appropriate federal, state, tribal, territorial, and local response officials to review the results, assess the preliminary information, and arrange for more testing.
- FBI headquarters immediately notifies DHS of the situation.
- Original samples may be sent to DHHS/Centers for Disease Control and Prevention for confirmation of LRN analyses.
- DHHS provides guidance on protective measures such as prophylaxis, treatment, continued facility operation, and use of personal protective equipment.
- DHHS, EPA, and cooperating agencies support the determination of the contaminated area. EPA will assist with decisions regarding whether to shelter in place and will assist in decontamination of facilities and outdoor areas.

Notification

Any disease outbreak suspected or identified by an agency within DHHS or through a federal, state, tribal, territorial, or local public health partner as having public health implications is brought to the immediate attention of DHHS.

Any potentially significant biological agent, disease outbreak, or suspected bioterrorism act affecting or involving animals, plant health, or wildlife should involve notifications to USDA (animals and plant health) and DOI (wildlife).

Following these initial notifications, the procedures detailed in ESF #8 are followed. Instances of disease that raise the “index of suspicion” of terrorist or criminal involvement are reported to FBI headquarters. In these instances, FBI headquarters, in conjunction with DHHS and/or USDA, examines available law enforcement and intelligence information, as well as the technical characteristics and epidemiology of the disease, to determine if there is a possibility of criminal intent. If the FBI, in conjunction with DHHS or USDA, determines that the information represents a potential credible terrorist threat, the FBI communicates the situation immediately to the NCTC and NOC, which notifies the White House, as appropriate. If warranted, the FBI, DHHS, and/or USDA and respective state, tribal, territorial, and/or local health officials will conduct a joint law enforcement and epidemiological investigation to determine the cause of the disease outbreak, the threat to public health and public safety, and the individual(s) responsible.

In the event of an environmental detection of a biological threat agent above established agency-specific thresholds, the responsible agency should contact DHHS, the FBI, and the NOC within two hours of laboratory confirmation. The FBI and DHHS, in conjunction with DHS, will convene an initial threat assessment conference call with appropriate officials to examine the public health risk posed by the detection. Coordination of assessment and response activities will involve officials from the impacted state, tribal, territorial, and local jurisdictions.

Activation

Once notified of a threat or disease outbreak that requires significant federal public health and medical assistance, DHHS requests activation of ESF #8 from the Federal Emergency Management Agency and convenes a meeting of the partner organizations to assess the situation and determine the appropriate actions.

The immediate task is to identify the affected and vulnerable population and the geographic scope of the incident. The initial public health and medical response includes the following:

- Targeted epidemiological investigation (e.g., contact tracing).
- Dissemination of key safety information and necessary medical precautions.
- Surveillance within health care settings for certain clinical signs and symptoms.
- Intensified collection and review of potentially related information (e.g., contacts with nurse call lines, laboratory test orders, school absences, over-the-counter pharmacy sales, unusual increase in sick animals, wildlife deaths, decreased commercial fish yields).
- Organization and potential deployment of federal public health and medical response assets to include personnel, medical and veterinary supplies, and materiel.

If there is suspicion that the outbreak may be deliberate, the FBI may establish a joint operations center, which may be integrated into the joint field office structure, if established, to coordinate investigative and intelligence activities.

Actions

Controlling the epidemic

The following steps are required to contain and control an epidemic affecting large populations:

- DHHS assists public health and medical authorities with surveillance and coordination.
- DHHS assesses the need for increased surveillance in state, tribal, territorial, and local entities not initially involved in the outbreak and notifies the appropriate officials with surveillance recommendations if needed.
- DHS coordinates with DHHS and state, tribal, territorial, and local officials on the messages released to the public to ensure that communications are timely, consistent, accurate, and actionable.

- The public health system is required to initiate appropriate protective and responsive measures for the affected population, including first responders and other workers engaged in incident-related activities. These measures may include mass vaccination or prophylaxis for populations at risk.
- DHHS evaluates the incident with its partner organizations and makes recommendations to the appropriate public health and medical authorities regarding the need for isolation, quarantine, or shelter in place to prevent the spread of disease.

The governor of an affected state or territory implements isolation and/or social-distancing requirements using state/local legal authorities. The tribal leader of a recognized tribe may also order a curfew, isolation, social distancing, and quarantine under tribal legal authorities. In order to prevent the import or interstate spread of disease, DHHS may take appropriate federal actions using the authorities granted by title 42 of the U.S. Code, parts 70 and 71, and U.S. Code 21 part 1240. These measures may include state, tribal, territorial, and local assistance with the implementation and enforcement of isolation and/or quarantine actions if federal authorities are invoked.

The scope of the disease outbreak may require mass isolation or quarantine of affected or potentially affected persons. Depending on the type of event, food, animals, and other agricultural products may need to be quarantined to prevent further spread of disease. In addition, livestock or poultry may need to be vaccinated or depopulated, and the movement of animals and equipment on and off affected premises may be restricted. In this instance DHHS and USDA will work with state, tribal, territorial, and local health and legal authorities to recommend the most feasible, effective, and legally enforceable methods of isolation and quarantine.

Decontamination

For certain types of biological incidents (e.g., anthrax), it may be necessary to assess the extent of contamination and decontaminate victims, responders, animals, equipment, transportation conveyances, buildings, critical infrastructure, and large outdoor areas. Such decontamination and related activities take place consistent with the roles and responsibilities, resources and capabilities, and procedures contained in the ESF #8, ESF #10, ESF #11, and ESF #14, long-term community recovery annexes. (**Note:** Chemicals used for biological decontamination, such as those used for inactivating highly infectious biological agents such as *Bacillus anthracis* spores, must be registered for that purpose by EPA under the Federal Insecticide, Fungicide, and Rodenticide Act. If, during an emergency, a response entity wants to use a chemical that has not been registered for inactivating the specific biological agent(s) of concern, a request for an emergency exemption from registration must be submitted to the EPA.)

Department of Defense Responsibilities

For a list of Department of Defense responsibilities in ESF #8, Public Health and Medical Services; ESF #10, Oil and Hazardous Materials Response; ESF #11, Agriculture and Natural Resources; ESF #15, External Affairs; and ESF #14, Long-Term Community Recovery; see Chapter 5 of this handbook.

Appendix D

Nuclear and Radiological Incidents

Responses to nuclear/radiological incidents (accidental, inadvertent, or deliberate) start at the local, tribal, and state levels. They include the use of police, emergency medical technicians, firefighters, and National Guard assets such as weapons of mass destruction (WMD) civil support teams (WMD CSTs) and chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE) enhanced response force packages (CERFPs). Once identified as a terrorist event or once the incident grows beyond the scope of local, tribal, and state responses, federal response takes place. The level of federal response to a specific incident is based on numerous factors, including the ability of state, tribal, and local officials to respond; the type, amount, and custody of (or authority over) radioactive material involved; the extent of the impact or potential impact on the public and environment; and the size of the affected area.

Excerpt from the National Response Framework Nuclear/Radiological Incident Annex, June 2008.

Coordinating Agencies	Cooperating Agencies
Department of Defense	Department of Agriculture
Department of Energy	Department of Commerce
Department of Homeland Security	Department of Defense
Environmental Protection Agency	Department of Energy
National Aeronautics and Space Administration	Department of Health and Human Services
Nuclear Regulatory Commission	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
	Nuclear Regulatory Commission

Table D-1.

Purpose

The Nuclear/Radiological Incident Annex (NRIA) to the National Response Framework (NRF) describes the policies, situations, concepts of operations, and responsibilities of the federal departments and agencies governing the immediate response and short-term recovery activities for incidents involving release of radioactive materials to address the consequences of the event. The incidents may result from inadvertent or deliberate acts. The NRIA applies to incidents where the nature and scope of the incident requires a federal response to supplement the state, tribal, or local incident response.

The purpose of this annex is to:

- Define the roles and responsibilities of federal agencies in responding to the unique characteristics of different categories of nuclear/radiological incidents.
- Discuss the specific authorities, capabilities, and assets the federal government has for responding to nuclear/radiological incidents that are not otherwise described in the NRF.
- Discuss the integration of the concept of operations with other elements of the NRF, including the unique organization, notification, and activation processes and specialized incident-related actions.
- Provide guidelines for notification, coordination, and leadership of federal activities.

Because there are several categories of potential incidents and impacted entities, this annex identifies different federal agencies as “coordinating agencies” and “cooperating agencies” and associated strategic concepts of operations based on the authorities, responsibilities, and capabilities of those departments or agencies. In addition, this annex describes how other federal departments and agencies support the Department of Homeland Security (DHS) when DHS leads a large-scale multiagency federal response.

Scope

This annex applies to two categories of nuclear and radiological incidents: inadvertent or otherwise accidental releases and releases related to deliberate acts. These incidents may also include potential release of radioactive material that poses an actual or perceived hazard to public health, safety, national security, and/or the environment. The category covering inadvertent releases includes nuclear (commercial or weapons production) facilities; lost radioactive material sources; transportation accidents involving nuclear/radioactive material; domestic nuclear weapons accidents; and foreign accidents involving nuclear or radioactive material that impact the United States or its territories, possessions, or territorial waters. The second category includes, but is not limited to response to the effects of deliberate attacks perpetrated with radiological dispersal devices (RDDs), nuclear weapons, or improvised nuclear devices (INDs).

This annex applies whenever a federal response is undertaken unilaterally pursuant to federal authorities or when an incident exceeds or is anticipated to exceed state, tribal, or local resources. The level of federal response to a specific incident is based on numerous factors, including, the ability of state, tribal, and local officials to respond; the type, amount, and custody of (or authority over) radioactive material involved; the extent of the impact or potential impact on the public and environment; and the size of the affected area.

If any agency or government entity becomes aware of an overt threat or act involving nuclear/radiological material/device or indications the event is not inadvertent or otherwise accidental, the Department of Justice should be notified through the Federal Bureau of Investigation (FBI). 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 our national security, shall also

coordinate the activities of the other members of the law enforcement community to detect, prevent, pre-empt, and disrupt terrorist attacks against the United States. For investigations pertaining to nuclear/radiological incidents, the coordinating agencies and cooperating agencies perform the functions delineated in this annex and provide technical support and assistance to the FBI in the performance of its law enforcement and criminal investigative mission.

Policies

Authorities applicable to this annex include Homeland Security Presidential Directive (HSPD) 5, *Management of Domestic Incidents*, the *National Strategy to Combat Weapons of Mass Destruction*, the Homeland Security Act of 2002, the Post-Katrina Emergency Management Reform Act of 2006, and the *National Strategy for Homeland Security*.

The coordinating agencies may take appropriate independent emergency actions within the limits of their own statutory authority to protect the public, mitigate immediate hazards, and gather information concerning the emergency to avoid delay. Key authorities used by the coordinating agencies to carry out responsibilities are described below.

Comprehensive Environmental Response, Compensation, and Liability Act

The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) gives the federal government the authority to respond to releases or threatened releases of hazardous substances (including radionuclides) that may endanger public health or the environment. CERCLA also gives the federal government the authority to compel responsible parties to respond to releases of hazardous substances. CERCLA is implemented through the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), a regulation found in 40 Code of Federal Regulation (CFR) Part 300. At the on-scene level, this response authority is implemented by federal on-scene coordinators (OSCs). OSCs may assist state and local governments in responding to releases, but also have the authority to direct the response when needed to ensure protection of public health and the environment. Four federal agencies have OSC authority for hazardous substance emergencies: the Environmental Protection Agency (EPA), DHS/U.S. Coast Guard (USCG), the Department of Defense (DOD), and the Department of Energy (DOE).

Atomic Energy Act of 1954 (as amended)

The Atomic Energy Act (AEA) provides DOD and DOE responsibilities for protection of certain nuclear materials, facilities, information, and nuclear weapons under their control. The AEA (42 U.S. Code Sections 2011–2297 [2003]) and the Energy Reorganization Act of 1974 (5 U.S. Code Sections 5313–5316, 42 U.S. Code Sections 5801–5891 [2002]) provide the statutory authority for both DOE and the Nuclear Regulatory Commission (NRC), and the foundation for NRC regulation of the nation’s civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of public health and safety, to promote the common defense and security, and to protect the environment.

Executive Order 12656 of 18 November 1988

This executive order directs the secretary of energy to “manage all emergency planning and response activities pertaining to Department of Energy nuclear facilities.”

Title 50, U.S. Code, War and National Defense

Title 50, U.S. Code Section 797 makes it a crime to willfully violate a regulation or order promulgated by the secretary of defense, or by a military commander designated by secretary of defense, for the protection or security of military equipment or other property or places subject to the jurisdiction, administration, or custody of DOD. As it applies to nuclear/radiological accidents or incidents, this statute provides a military commander the authority to establish a temporary national defense area (NDA) around an accident/incident site to protect nuclear weapons and materials in DOD custody. This statute is executed within the department by DOD Instruction (DODI) 5200.08, *Security of DOD Installations and Resources*. DODI 5200.08 is the natural, legal extension of statutory authority found in 50 U.S. Code Section 797.

Public Health Service Act

The Public Health Service Act (PHSA) directs EPA to support state and local authorities in their preparedness and response activities regarding public health emergencies.

When DHS initiates the response mechanisms of the NRF, existing interagency plans that address nuclear/radiological incident management are incorporated as supporting plans.

For incidents not led by DHS, other federal response plans provide the primary response protocols. In these cases, the federal agency that is coordinating the response may use the procedures outlined in the NRF to coordinate the delivery of federal resources to state, tribal, and local governments, and to coordinate assistance among federal agencies.

Certain federal agencies are authorized to respond directly to specific nuclear/radiological incidents. Nothing in this annex alters or impedes the ability of federal departments and agencies to carry out their specific authorities and perform their responsibilities under law.

Federal response actions will be carried out commensurate with the appropriate health and safety laws and guidelines.

The federal government has established protective action guidance (PAGs) for radiological incidents. Specific PAGs have also been established for RDD/INDs.

Federal coordination centers and agency teams provide their own logistical support consistent with agreed upon interagency execution plans. State, tribal, and local governments are encouraged to coordinate their efforts with the federal effort, but maintain their own logistical support, consistent with applicable authorities and requirements.

The federal response to any nuclear/radiological incident shall be coordinated with the state, tribal, and local government or the federal agencies having jurisdiction over the area affected by the incident. In the case of tribal lands, tribal governments have a special relationship with the U.S. government, and federal, state, and local governments may have limited or no authority on specific tribal reservations. Further guidance is provided in the Tribal Relations Support Annex.

Headquarters planning and preparedness

Under existing regulations, the Federal Radiological Preparedness Coordinating Committee (FRPCC) provides a national forum for the development and coordination of radiological

planning and preparedness policies and procedures. It also provides policy guidance for federal radiological incident management activities in support of state, tribal, and local government radiological emergency planning and preparedness activities. The FRPCC is chaired by DHS/Federal Emergency Management Agency (FEMA).

The FRPCC also coordinates research efforts of its member agencies related to state, tribal, and local government radiological emergency preparedness to ensure minimum duplication and maximum benefits to state and local governments. The FRPCC coordinates planning and validating requirements of each agency, reviewing integration requirements and incorporating agency-specific plans, procedures, and equipment into the response system.

Regional Planning and Preparedness

Coordinating agencies may have regional offices or field structures that provide a forum for information sharing, consultation, and coordination of federal agency regional awareness, prevention, preparedness, response, and recovery activities for radiological incidents. These regional offices may also assist in providing technical assistance to state and local governments and evaluating radiological plans and exercises.

Regional Assistance Committees (RACs) in the DHS/FEMA regions serve as the primary coordinating structures at the federal regional level. RAC membership mirrors that of the FRPCC, and RACs are chaired by a DHS/FEMA regional representative. The RACs provide a forum for information sharing, consultation, and coordination of federal regional awareness, prevention, preparedness, response, and recovery activities.

Situation

A nuclear/radiological incident may result from a deliberate act, an accident, or general mismanagement, and may center on different materials or industrial practices, including:

- Commercial nuclear facilities.
- Federal nuclear weapons facilities.
- Radioactive material sources, industrial uses, or technologically enhanced, naturally occurring radioactive material.
- Transportation incidents involving nuclear/radioactive material.
- Domestic nuclear weapons accidents.
- Foreign incidents involving nuclear or radioactive materials.
- Terrorism involving facilities or nuclear/radiological materials.

The most common nuclear/radiological incidents have to do with the loss, theft, or mismanagement of relatively small radioactive material sources, or technologically enhanced, naturally occurring radioactive material, where some exposure of individuals or dispersal into the environment occurs. These are handled at the local level with occasional federal assistance.

Virtually any facility or industrial practice (including transportation of materials) may be vulnerable to a deliberate act, such as terrorism, or an accident of some sort that could release radioactive material, including a fire. Major fixed facilities, such as federal nuclear weapons facilities, commercial nuclear fuel cycle facilities, and some nonfuel cycle industries (such as radiation source and radiopharmaceutical manufacturers) pose a risk of accidents and could also be breached in a deliberate act, such as terrorism.

Of greatest concern to U.S. security is the potential for a terrorist attack using a nuclear weapon. A nuclear device could originate directly from a nuclear state, be modified from pre-existing weapons components, or be fashioned by terrorists from the basic fissile nuclear materials. Even a small nuclear detonation in an urban area could result in over 100,000 fatalities, massive infrastructure damage, and thousands of square kilometers of contaminated land.

Planning Assumptions

Radiological incidents may not be immediately recognized as such until the radioactive material is detected or the health effects of radiation exposure are manifested in the population and identified by the public health community.

An act of nuclear or radiological terrorism, particularly an act directed against a large population center within the United States can overwhelm the capabilities of many local, tribal, and state governments to respond, and may seriously challenge existing federal response capabilities.

An act or threat of nuclear or radiological terrorism will trigger concurrent activation of the Terrorism Law Enforcement and Investigation Annex.

A nuclear or radiological incident may require concurrent implementation of the NCP to address radiological releases into the environment.

An incident involving the potential release of radioactivity may require implementation of protective measures, such as evacuation and shelter in place. State, tribal, and local governments have primary responsibility for implementing protective measures for the public.

An expeditious federal response is required to mitigate the consequences of a nuclear/radiological incident. The federal government response to nuclear or radiological terrorist threats/incidents includes, but is not limited to, the following assumptions:

- The response to a radiological threat or actual incident requires an integrated federal government response.
- In the case of a nuclear terrorist attack, the plume may be dispersed over a large area over time, requiring response operations to be conducted over a multijurisdictional and/or multistate region.
- A terrorist attack may involve multiple incidents, and each location may require an incident response and a crime scene investigation simultaneously.

Responsibilities

General

Incidents will be managed at the lowest possible level; as incidents change in size, scope, and complexity, the response will adapt to meet requirements described in the NRF. In accordance with HSPD-5, “the Secretary of Homeland Security is the principal Federal official for domestic incident management. The Secretary is responsible for coordinating Federal operations within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. The Secretary shall coordinate the Federal Government’s resources utilized in response to or recovery from terrorist attacks, major disasters, or other emergencies.” Domestic incident management includes preventing, preparing for, responding to, and recovering from terrorist attacks. When exercising this role, the secretary is supported by other coordinating agencies and cooperating agencies. For incidents wherein the secretary is not fulfilling domestic incident management responsibilities, the coordinating agency will be the responsible agency for domestic incident management as defined by their authorities. Such incidents include, but are not limited to, loss of radiography sources, discovery of orphan radiological sources, and incidents/emergencies at nuclear facilities below the classification of general emergency, as defined by the cognizant coordinating agency.

- For this annex, coordinating agencies provide the leadership, expertise, and authorities to implement critical and specific nuclear/radiological aspects of the response, and facilitate nuclear/radiological aspects of the response in accordance with those authorities and capabilities. The coordinating agencies are those federal agencies that own, have custody of, authorize, regulate, or are otherwise assigned responsibility for the nuclear/radioactive material, facility, or activity involved in the incident.
- Cooperating agencies include other federal agencies that provide additional technical and resource support specific to nuclear/radiological incidents to DHS and the coordinating agencies.
- Other federal agencies may also provide support to DHS and the coordinating agency in accordance with the ESF and support annexes.

Agencies

- DOD or DOE for incidents involving nuclear/radiological materials or facilities owned or operated by DOD or DOE.
- DOD or DOE for incidents involving a nuclear weapon, special nuclear material, and/or classified components under DOD or DOE custody.
- National Aeronautics and Space Administration (NASA) for nuclear material under NASA custody.
- The NRC, for incidents involving materials or facilities licensed by the NRC.
- DHS, generally through Customs and Border Protection (CBP), for incidents involving the inadvertent import of radioactive materials as well as any other incidents where radioactive material is detected at borders.

- EPA or DHS/USCG for environmental response/cleanup for incidents not covered above.
- DHS for all deliberate attacks involving nuclear/radiological facilities or materials.

DOD responsibilities

DOD is the coordinating agency for federal actions related to radiological incidents involving: nuclear weapons in DOD custody; DOD facilities, including U.S. nuclear powered ships; or material otherwise under DOD jurisdiction (for example, transportation of material shipped by or for DOD).

Under CERCLA, Executive Order 12580, and the NCP, DOD is responsible for hazardous substance responses to releases on or from DOD facilities or vessels under the jurisdiction, custody, or control of DOD, including transportation related incidents. For responses under these circumstances, DOD provides a federal OSC responsible for taking all CERCLA response actions, which includes on-site and off-site response actions (40 CFR 300.120[c] and 40 CFR 300.175[b] [4]).

For incidents where the incident is on, or where the sole source of the nuclear/radiological release is from any facility or vessel under DOD jurisdiction, custody, or control, DOD is responsible for:

- Mitigating the consequences of an incident.
- Providing notification and appropriate protective action recommendations to state, tribal, and/or local government officials.
- Minimizing the radiological hazard to the public.

For radiological incidents involving a nuclear weapon, special nuclear material, and/or classified components that are in DOD custody, DOD may establish a national defense area. DOD will coordinate with state and local officials to ensure appropriate public health and safety actions are taken outside the NDA. DOD will lead the overall response to safeguard national security information and/or restricted data, or equipment and material. DOD may also include lands normally not under DOD control as part of the established NDA for the duration of the incident.

DOD coordinates the federal response for incidents involving the release of nuclear/radioactive materials from DOD space vehicles or joint space vehicles with significant DOD involvement. A joint venture is an activity in which the U.S. government has provided extensive design/financial input; has provided and maintains ownership of instruments, spacecraft, or the launch vehicle; or is intimately involved in mission operations. A joint venture with a foreign nation is not created by simply selling or supplying material to a foreign country for use in its spacecraft.

In the event that DHS assumes overall management of the federal response under HSPD-5 to an accidental or inadvertent incident involving DOD facilities or materials, DOD will support DHS under the NRF and the National Incident Management System (NIMS), including acting as the coordinating agency for this annex. DOD will manage the response within the boundaries of the DOD facility or NDA.

Specialized Teams

Department of Energy accident response group

The DOE accident response group (ARG) comprises scientists, technical specialists, crisis managers, and equipment ready to respond to the scene of a U.S. nuclear weapon accident to make the weapon safe for shipment.

Department of Energy radiological assistance program team

The DOE radiological assistance program (RAP) teams are located at various DOE operations offices, site offices, and national laboratories. They can be dispatched to a radiological incident from Regional DOE Offices in response to a radiological incident. RAP teams provide first-responder radiological assistance to protect the health and safety of the general public, responders, and the environment and to assist in the detection, identification and analysis, and response to events involving radiological/nuclear material. Deployed RAP teams provide traditional field monitoring, assessment support and a search capability.

Nuclear incident response team

The nuclear incident response team (NIRT) consists of the DOE teams above and the EPA entities that perform support functions (including radiological emergency response functions) and related functions.

Advisory team for environment, food, and health

This team includes representatives from EPA, the Department of Agriculture, the Food and Drug Administration, the Centers for Disease Control and Prevention, and other federal agencies. The advisory team develops coordinated advice and recommendation on environmental, food, health, and animal health matters for the incident command/unified command (IC/UC), DHS, the joint federal office unified coordination group, the coordinating agency, and/or state, tribal, and local governments as appropriate. The advisory team provides federal advice in matters related to the following:

- Environmental assessments (field monitoring) required for developing recommendations with advice from state, tribal, and local governments.
- PAGs and their application to the emergency.
- Protective Action Recommendations.
- Protective actions to prevent or minimize contamination of milk, food, and water, and to prevent or minimize exposure through ingestion.
- Recommendations for minimizing losses of agricultural resources from radiation effects.
- Availability of food, animal feed, and water supply inspection programs to ensure wholesomeness.

- Relocation, re-entry, and other radiation protection measures prior to recovery.
- Recommendations for recovery, return, and cleanup issues.
- Health and safety advice or information for the public and for workers.
- Estimated effects of radioactive releases on human health and the environment.
- Other matters, as requested by the incident command or coordinating agency.

Environmental Protection Agency radiological emergency response team

The EPA radiological emergency response team (RERT) provides resources, including personnel, specialized equipment, technical expertise, and labor services to aid coordinating and cooperating agencies and state, tribal, and local response organizations in protecting the public and the environment from unnecessary exposure to ionizing radiation from radiological incidents. The RERT provides the following:

- Monitoring, sampling, laboratory analyses, and data assessments using field emergency response assets.
- Technical advice and assistance for containment, cleanup, restoration, and recovery following a radiological incident.
- Assistance in the development and implementation of a long-term monitoring plan and long-term recovery plans.
- Coordination with fixed laboratory assets for in-depth analysis and evaluation of large numbers of site-specific emergency response samples.

Recovery

The term “recovery,” as used here, encompasses any action dedicated to the continued protection of the public and resumption of normal activities in the affected area. Recovery planning generally does not take place until the initiating conditions of the incident have stabilized and immediate actions to protect public health, safety, and property are accomplished. Upon request, the federal government assists state, tribal, and local governments with developing and executing recovery plans.

Department of Defense responsibilities

- 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. Under certain critical circumstances, the president or secretary of defense may direct DSCA activities without a specific request. Details regarding DSCA and immediate response are provided in the NRF core document.

- May provide DOD and DOD-funded assets for the response to radiological incidents, to include:
 - WMD CSTs: National Guard teams that assess a suspected WMD attack, advise civilian responders on appropriate actions through on-site testing and expert reachback, and facilitate the arrival of additional state and federal military forces. Each team consists of 22 personnel and is equipped with personal protective equipment for operating in unknown hazardous environments, nuclear, biological, and chemical detectors, sampling/analytical systems, a decontamination system, and communications equipment used to reachback to experts via satellite. These are state assets that can be federalized. There is nominally one CST per state, as well as one each in Guam, Puerto Rico, the Virgin Islands, and the District of Columbia.
 - CERFPs: National Guard elements that provide an immediate response capability to a governor. The CERFPs are capable of searching an incident site (including damaged buildings), rescuing any casualties, decontaminating them, and performing medical triage and initial treatment to stabilize them for transport to a medical facility. This includes extracting anyone trapped in the rubble. The CERFP is composed of four elements staffed by personnel from already established National Guard units. The elements are search and extraction, decontamination, medical, and security. The CERFP command and control team directs the overall activities of the CERFP and coordinates with the state joint task force and the incident commander. There is at least one CERFP in each FEMA region.
 - CBRNE consequence management response forces (CCMRF): Multiservice (active and reserve component military) follow-on assets designed to augment the CSTs and CERFPs, if necessary. Specific CCMRF capabilities include, but are not limited to, robust command and control, technical search and rescue, explosive ordnance disposal, aviation evacuation, specialized medical response teams, and enhanced chemical, biological, and nuclear detection/decontamination.
 - DOD advisory teams: Various teams that may deploy, either independently or as part of the CCMRFs, that provide guidance and advice to the incident commander on potential health hazards, radiation injury treatment, survey data evaluations, population monitoring, etc. These include the consequence management advisory team, U.S. Air Force radiation assessment team, the U.S. Army's radiological advisory medical team, and the Armed Forces Radiobiology Research Institute's medical radiobiological advisory team.

DOD provides immediate assistance under Immediate Response Authority for any civil emergency that may require immediate action to save lives, prevent human suffering, or mitigate great property damage. When such conditions exist and time does not permit prior approval from higher headquarters, local military commanders and responsible officials from DOD components and agencies are authorized by DOD directive, subject to any supplemental direction that may be provided by their DOD component, to take necessary action to respond to requests of civil authorities. All such necessary action is referred to as "immediate response."

Department of Defense/U.S. Army Corps of Engineers Responsibilities

- See the ESF #3, Public Works and Engineering Annex for additional information.
- For RDD/IND incidents, provides response and cleanup support as a cooperating agency.
- Integrates and coordinates with other agencies, as requested, to perform any or all of the following:
 - Radiological survey functions.
 - Gross decontamination.
 - Site characterization.
 - Contaminated water and debris management.
 - Site remediation.

Appendix E

Catastrophic Incidents

Excerpt from the National Response Framework Catastrophic Incident Annex (CIA), November 2008

Coordinating Agency	Cooperating Agencies
Department of Homeland Security/Federal Emergency Management Agency	All federal departments and agencies (and other organizations) with assigned primary or supporting emergency support function responsibilities.

Table E-1.

A catastrophic incident, as defined by the National Response Framework (NRF), is any natural or man-made incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic incident could result in sustained nationwide impacts over a prolonged period of time; almost immediately exceeds resources normally available to state, tribal, local, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened. These factors drive the urgency for coordinated national planning to ensure accelerated federal and/or national assistance.

Recognizing that federal resources are required to augment overwhelmed state, tribal, and local response efforts, the NRF-Catastrophic Incident Annex (CIA) establishes protocols to identify and rapidly deploy key essential resources (e.g., medical teams, search and rescue teams, transportable shelters, medical and equipment caches, etc.) that are expected to be needed to save lives and contain incidents.

Upon the occurrence of a catastrophic incident, or in advance if determined by the secretary of homeland security, the government will deploy federal resources, organized into incident-specific “packages,” in coordination with the affected state and incident command structure.

Where state, tribal, or local governments are unable to establish or maintain an effective incident command structure due to catastrophic conditions, the federal government, at the direction of the secretary of homeland security, may establish a unified command structure, led by the unified coordination group, to save lives, protect property, maintain operation of critical infrastructure/ key resources (CIKR), contain the event, and protect national security. The federal government shall transition to its role of coordinating and supporting the state, tribal, or local governments when they are capable of reestablishing their incident commands.

Policies

A catastrophic incident will likely trigger a presidential major disaster declaration and result in the secretary of homeland security or a designee implementing the NRF-CIA.

All deploying federal resources remain under the control of their respective federal department or agency during mobilization and deployment. Some federal departments and agencies have the authority, under their own statutes, to deploy directly to the incident scene.

Federal resources arriving at a National Logistics Staging Area (NLSA) remain there until requested by state/local incident command authorities, when they are integrated into the response effort.

For no-notice or short-notice catastrophic incidents, federal resources will be mobilized and deployed, unless it can be credibly established that an action listed is not needed at the catastrophic incident venue.

If during a response, it is determined that the incident is catastrophic in nature, any remaining actions not originally initiated from the execution schedule will be initiated.

Situation

The initial response to a catastrophic incident starts on a local level with the local, tribal and/or state responders. However, there may be circumstances that exceed the capabilities of state, local, or tribal authorities in which they are unable to initially establish or maintain a command structure for incident response. In these instances, accelerated federal response may be warranted, and the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) will coordinate response activities until local, tribal, and/or state authorities are capable or have re-established their incident command structure.

Continuity of Operations/Continuity of Government

Following a catastrophic event, segments of state, tribal, and local governments as well as NGOs and the private sector may be severely compromised. The federal government must be prepared to fill potential gaps to ensure continuity of government and public- and private-sector operations.

Incident condition: Normal procedures for certain emergency support functions (ESFs) may be expedited or streamlined to address the magnitude of urgent requirements of the incident. All ESFs must explore economies of scale to maximize utilization and efficiency of limited resources. In the case of a catastrophic incident, the federal government or other national entities will provide expedited assistance in one or more of the following areas:

- **Mass evacuations (ESF #5, Emergency Management):** While primarily a state, tribal, and local responsibility, federal support may be required for large-scale evacuations of large numbers of people, patients in local hospitals, nursing homes, and extended care facilities, those with special needs, household pets, and service animals. Significant transportation and shelter coordination and resources may be required. There is likely to be significant shortage of response and casualty and/or evacuee reception capabilities throughout the impacted area. FEMA will support state(s) in evacuating pets and animals in a declared major disaster. Incident response efforts by state, tribal, and local governments, as well as federal agencies, frequently involve air operations and flights for evacuation (ESF #5), search and rescue (ESF #9), and public safety and security (ESF #13). In all cases, all operations must be coordinated with the Department of Transportation/Federal Aviation Administration, which manages the nation's airspace and air traffic, before, during, and after a catastrophic incident.

- **Mass care, housing, and human services (ESF #6, Mass Care, Emergency Assistance, Housing, and Human Services):** The ability to support the provision of temporary shelter, food, emergency first aid, and other essential life support to people, household pets, and service animals in the affected area may be complicated by contaminated resources or facilities and impact the ability to quickly transport resources into the area.
- **Search and rescue (ESF #9):** Resources and personnel to perform operational and tactical activities (e.g., locating, extricating, and providing onsite medical treatment to victims trapped in collapsed structures) are limited.

Decontamination

- **Victim decontamination (ESF #8, Public Health and Medical Services):** State, local, tribal, and territorial officials retain primary responsibility for victim screening and decontamination operations. ESF #8 can provide technical assistance regarding how they can expand their capability to meet their decontamination requirements.
- **Environmental assessment and decontamination (ESF #10):** Incidents involving a chemical, biological, or radiological weapon of mass destruction (WMD) may create significant environmental contamination, resulting in the immediate need to generate information on environmental contamination levels to support emergency decision making to ensure both public and responder protection.
- **Public health and medical support (ESF #8):** There is a significant need for public health and medical support, including mental health services. In addition, any contamination requirement increases the requirement for technical assistance and resources.
- **Medical equipment and supplies (ESF #8):** Shortages of available supplies of preventive and therapeutic pharmaceuticals and qualified medical personnel to administer available prophylaxis are likely.
- **Casualty transportation (ESF #8):** Federal resources may be required to manage the injured, exposed victims, and deceased if their numbers are extremely high.
- **Public safety and security (ESF #13):** Federal resources may be required to augment state, tribal, and local governments in protecting the public and securing the impacted area. Law enforcement and emergency management officials who normally respond to incidents may be among those affected and unable to perform their duties.
- **Public information (ESF #15, External Affairs):** When state, tribal, and local public communications channels are overwhelmed during a catastrophic incident, the federal government must immediately provide resources to assist in delivering clear and coherent public information guidance and consistent messages to the affected areas.
- **Critical infrastructure Support Annex:** CIKR include the assets, systems, networks, and functions that are vital to the American way of life. A terrorist attack on CIKR or other natural or man-made disaster could significantly disrupt the functioning of government and business alike, and produce cascading effects far beyond the physical location of the incident.

Planning Assumptions

- A catastrophic incident will result in large numbers of casualties and/or displaced persons. Priority is given to human lifesaving operations.
- The nature and scope of a catastrophic incident will overwhelm state, tribal, and local response capabilities and require immediate federal support.
- A detailed and credible common operating picture will not be achievable for 24 to 48 hours (or longer) after the incident. As a result, response activities may have to begin without the benefit of a detailed or complete situation and critical needs assessment.
- The nature and scope of the catastrophic incident will include major natural or man-made hazards including chemical, biological, radiological, nuclear, or high-yield explosive attacks and cyber attacks.
- A catastrophic incident has unique characteristics requiring that response plans and strategies be flexible enough to effectively address emerging needs and requirements.
- A catastrophic incident will occur with little or no warning. Some incidents may be well underway before detection.
- Multiple incidents will occur simultaneously or sequentially in contiguous and/or noncontiguous areas. Some incidents, such as a biological WMD attack, may be dispersed over a large geographic area and lack a defined incident site.
- A catastrophic incident will produce environmental impacts that severely challenge the ability and capacity of governments and communities to achieve a timely recovery.
- Federal resources must be capable of mobilization and deployment before they are requested.
- Large-scale evacuations, organized or self-directed, may occur.
- Existing health care systems in the impacted area are expected to be quickly overwhelmed, requiring evacuation of existing patients. Additionally, those persons with special needs, including residents of nursing homes and extended care facilities, will require special attention during evacuation.
- Large numbers of people will be left temporarily or permanently homeless and may require prolonged temporary housing.
- A large number of household pets and service animals will require appropriate care, sheltering, medical attention, and transportation.
- A catastrophic incident will have significant international dimensions, including impacts on the health and welfare of border community populations, cross-border trade, transit, law enforcement coordination, and others.

DOD Responsibilities

- Search and rescue (with DHS/FEMA, U.S. Coast Guard, and Department of the Interior).
- Patient movement (with the Department of Health and Human Services).

Appendix F

Terrorist Incidents

Some key understanding is required when discussing terrorist incidents in the homeland. According to the *Strategy for Homeland Defense and Civil Support*, June 2005, the Department of Defense (DOD) “does not have the assigned responsibility to stop terrorists from coming across our borders, to stop terrorists from coming through U.S. ports, or to stop terrorists from hijacking aircraft inside or outside the United States. Nor does DOD have the authority to seek out and arrest terrorists in the United States.” These responsibilities belong to the Department of Justice.

Excerpt from the National Response Framework (NRF) Terrorism Incident Law Enforcement And Investigation Annex, December 2004

Coordinating Agency	Cooperating Agencies
Department of Justice/Federal Bureau of Investigation	Department of Defense Department of Energy Department of Health and Human Services Department of Homeland Security Department of State Environmental Protection Agency

Table F-1.

Purpose

The purpose of this annex is to facilitate an effective federal law enforcement and investigative response to all threats or acts of terrorism within the United States, regardless of whether they are deemed credible and/or whether they escalate to an incident of national significance. To accomplish this, the annex establishes a structure for a systematic, coordinated, unified, timely, and effective national law enforcement and investigative response to threats or acts of terrorism within the United States.

Policies

The United States regards terrorism as a potential threat to national security, as well as a violent criminal act, and applies all appropriate means to combat this danger. In doing so, the United States vigorously pursues efforts to deter and pre-empt these crimes and to apprehend and prosecute directly or assist other governments in prosecuting individuals who perpetrate or plan terrorist attacks.

To ensure the policies established in applicable presidential directives are implemented in a coordinated manner, this annex provides overall guidance to federal, state, local, and tribal agencies concerning the federal government’s law enforcement and investigative response to potential or actual terrorist threats or incidents that occur in the United States, particularly those involving weapons of mass destruction (WMD) or chemical, biological, radiological, nuclear, or high-yield explosive (CBRNE) material.

Federal Agencies

The law enforcement and investigative response to a terrorist threat or incident within the United States is a highly coordinated, multiagency state, local, tribal, and federal responsibility. In support of this mission, the following federal agencies have primary responsibility for certain aspects of the overall law enforcement and investigative response:

- DOD
- Department of Energy (DOE)
- Department of Health and Human Services (HHS)
- Department of Homeland Security (DHS)
- Department of Justice/Federal Bureau of Investigation (FBI)
- Environmental Protection Agency (EPA)

According to Homeland Security Presidential Directive 5, “The Attorney General has lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States, or directed at U.S. citizens or institutions abroad, where such acts are within the Federal criminal jurisdiction of the United States, as well as for related intelligence collection activities within the United States, subject to the National Security Act of 1947 and other applicable law, Executive Order 12333, and Attorney General-approved procedures pursuant to that Executive order. Generally acting through the Federal Bureau of Investigation, the Attorney General, in cooperation with other Federal departments and agencies engaged in activities to protect our national security, shall also coordinate the activities of the other members of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the United States. Following a terrorist threat or an actual incident that falls within the criminal jurisdiction of the United States, the full capabilities of the United States shall be dedicated, consistent with U.S. law and with activities of other Federal departments and agencies to protect our national security, to assisting the Attorney General to identify the perpetrators and bring them to justice. The Attorney General and the Secretary shall establish appropriate relationships and mechanisms for cooperation and coordination between their two departments.”

Although not formally designated under this annex, other federal departments and agencies may have authorities, resources, capabilities, or expertise required to support terrorism-related law enforcement and investigation operations. Agencies may be requested to participate in federal planning and response operations and may be requested to designate liaison officers and provide other support as required.

Deployment/Employment Priorities

In addition to the priorities identified in the National Response Framework (NRF), the law enforcement and investigative response to terrorist threats or incidents is based on the following priorities:

- Preserving life or minimizing risk to health, which are the first priorities of operations.
- Preventing a threatened act from being carried out or an existing terrorist act from being expanded or aggravated.
- Locating, accessing, rendering safe, controlling, containing, recovering, or disposing of a WMD that has not yet functioned, and disposing of CBRNE material in coordination with appropriate departments and agencies (e.g., DOD, DOE, EPA).
- Apprehending and successfully prosecuting perpetrators of terrorist threats or incidents.

Planning Assumptions and Considerations

In addition to the planning assumptions and considerations identified in the NRF, the law enforcement and investigative response to terrorist threats or incidents, particularly those involving WMD and CBRNE material, are based on the following assumptions/considerations:

- A terrorist threat or incident may occur at any time of day with little or no warning, may involve single or multiple geographic areas, and may result in mass casualties.
- The suspected or actual involvement of terrorists adds a complicating dimension to incident management.
- The response to a threat or actual incident involves FBI law enforcement and investigative activity as an integrated element.
- In the case of a threat, there may be no incident site, and no external consequences, and, therefore, there may be no need for establishment of incident command system (ICS) elements such as an incident command post (ICP) or a joint field office (JFO).
- An act of terrorism, particularly one directed against a large population center within the United States involving nuclear, radiological, biological, or chemical materials, will have major consequences that can overwhelm the capabilities of local, state, and tribal governments to respond and may seriously challenge existing federal response capabilities.

- In the case of a biological attack, the effect may be temporally and geographically dispersed, with no determined or defined “incident site.” Response operations may be conducted over a multijurisdictional, multistate region.
- A biological attack employing a contagious agent may require quarantine by federal, state, local, and tribal health officials to contain the disease outbreak.
- If appropriate personal protective equipment and capabilities are not available and the area is contaminated with CBRNE or other hazardous materials, it is possible that response actions into a contaminated area may be delayed until the material has dissipated to a level that is safe for emergency response personnel to operate or until appropriate personal protective equipment and capabilities arrive, whichever is sooner.

Situation

The complexity, scope, and potential consequences of a terrorist threat or incident require that there be a rapid and decisive capability to resolve the situation. The resolution to an act of terrorism demands an extraordinary level of coordination of law enforcement, criminal investigation, protective activities, emergency management functions, and technical expertise across all levels of government. The incident may affect a single location or multiple locations, each of which may be an incident scene, a hazardous scene, and/or a crime scene simultaneously.

Command and Control

The FBI is the lead agency for criminal investigations of terrorist acts or terrorist threats and intelligence collection activities within the United States. Investigative and intelligence activities are managed by the FBI from a command post or joint operations center (JOC). The command post or JOC coordinates the necessary federal law enforcement assets required to respond to and resolve the threat or incident with state, local, and tribal law enforcement agencies.

The FBI special agent in charge (SAC) of the local field office establishes a command post to manage the threat based upon a graduated and flexible response. This command post structure generally consists of three functional groups: command, operations, and operations support, and is designed to accommodate participation of other agencies, as appropriate (see Figure F-1).

When the threat or incident exceeds the capabilities and resources of the local FBI field office, the SAC can request additional assistance from regional and national assets to augment existing capabilities. In a terrorist threat or incident that may involve a WMD or CBRNE material, the traditional FBI command post will transition to a JOC.

When, in the determination of the secretary of homeland security, in coordination with the attorney general, the incident becomes an incident of national significance and a JFO is established, the JOC becomes a section of the JFO and the FBI SAC becomes the senior federal law enforcement official in the JFO coordination group. In this situation, the JOC consequence management group is incorporated into the appropriate components of the JFO.

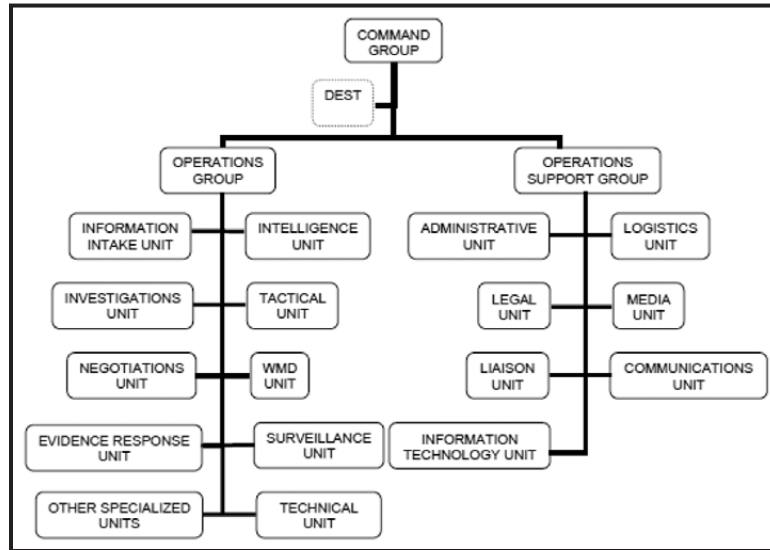


Figure F-1. FBI command post/JOC

The command group of the JOC provides recommendations and advice to the FBI SAC regarding the development and implementation of strategic decisions to resolve the situation. It is responsible for approving the deployment and employment of law enforcement investigative and intelligence resources. The JOC command group includes senior officials with decision-making authority from local, state, and federal agencies, as appropriate, based upon the circumstances of the threat or incident.

Specialized Teams

The domestic emergency support team is a specialized interagency team composed of subject-matter experts from the FBI, the DHS/Emergency Preparedness and Response/Federal Emergency Management Agency (FEMA), DOD, DOE, HHS, and EPA. It provides guidance to the FBI SAC concerning WMD threats and actual incidents.

Operations Group

The operations group handles all investigative, intelligence, and operational functions related to the threat, critical incident, or special event. Each unit within the operations group provides expertise in a specific functional area that is important in the overall resolution of the incident. Local, state, and federal law enforcement specialty units assigned to assist with field operations during the threat, incident, or special event coordinate their activities with the appropriate FBI field operations units through the JOC. Federal government mission-specific units are designated to help the FBI maintain respective chains of command and coordinate activities through representation in the JOC.

Operations Support Group

The operations support group units designated within the JOC are based upon the specific needs of the threat, critical incident, or special event. The personnel who staff these units are subject-matter experts in a number of specialized areas. Operations support group units can include administrative, logistics, legal, media, liaison, communications, and information management. The mission of operations support group units is to support the investigative, intelligence, and operational functions of the JOC. The administrative and logistics units have responsibilities that are similar to the finance and logistics sections in the ICS. However, they are tasked with managing only the activities related to the law enforcement investigative, intelligence, and operational functions; they do not manage the administrative and logistics functions associated with the overall incident.

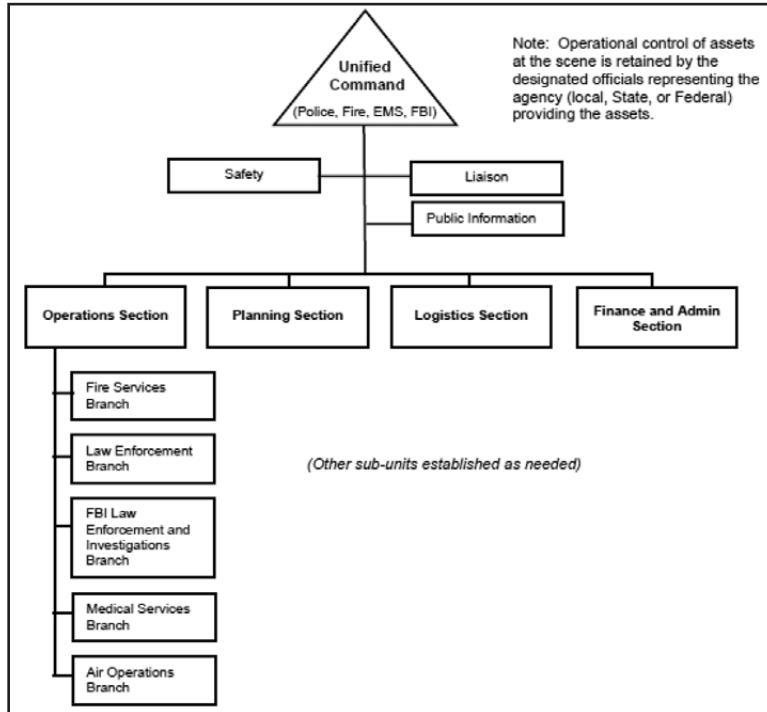
DOD Support

Requests for DOD assistance for law enforcement and criminal investigation during the incident come from the attorney general to the secretary of defense through the DOD executive secretary. Once approved, the order is transmitted either directly to the unit involved or through the chairman of the Joint Chiefs of Staff. The FBI SAC informs the principal federal official (PFO), if one has been designated, when requesting this additional assistance.

Priorities

Prior to an actual WMD or CBRNE incident, law enforcement, intelligence, and investigative activities generally have priority. When an incident results in the use of WMD or CBRNE material, rescue and life-safety activities generally have priority. Activities may overlap or run concurrently during the incident management, and are dependent on the threat and/or the strategies for responding to the incident.

When an incident occurs and an ICP is established on-scene, FBI personnel integrate into the ICP to enhance the ability of the FBI to carry out its mandated mission (see Figure F-2). Three specific positions within an ICP are provided. The first FBI Special Agent (SA) or joint terrorism task force member responding receives an initial briefing from the incident commander or his/her designee and works closely with the incident commander as a member of the unified command. The FBI representative then informs the local field office of the current situation and, if necessary, requests additional assets.



Legend:

EMS: Emergency Medical Services

Figure F-2. On-scene coordination

References

National Response Framework (NRF) Terrorism Incident Law Enforcement And Investigation Annex, December 2004.

Strategy for Homeland Defense and Civil Support, June 2005, DOD.

Appendix G

Mass Evacuation Incidents

Excerpt from the National Response Framework Mass Evacuation Incident Annex, June 2008.

Coordinating Agency	Cooperating Agencies:
Department of Homeland Security/Federal Emergency Management Agency	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 Department of Veterans Affairs General Services Administration American Red Cross National Voluntary Organizations Active in Disaster Corporation for National and Community Service

Table G-1

Purpose

The Mass Evacuation Incident Annex to the National Response Framework (NRF) provides an overview of mass evacuation functions, agency roles and responsibilities, and overall guidelines for the integration of federal, state, tribal, and local support in the evacuation of large numbers of people in incidents requiring a coordinated federal response.

Scope

This annex:

- Establishes the criteria under which federal support to mass evacuations is provided.
- Provides a concept of operations for federal-level mass evacuation support.
- Identifies the agencies/organizations involved in a federally supported mass evacuation.
- Defines the roles and responsibilities of federal entities in planning, preparing for, and conducting mass evacuations in support of state, tribal, and local authorities.
- Identifies guidelines to improve coordination among federal, state, tribal, and local authorities when federal evacuation support is required.

Authorities

- Homeland Security Act of 2002
- Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288)
- Homeland Security Presidential Directive 5, Management of Domestic Incidents
- Post-Katrina Emergency Management Reform Act of 2006
- Pets Evacuation and Transportation Standards Act of 2006
- Americans With Disabilities Act (ADA) of 1990
- Sections 504 and 508 of the Rehabilitation Act of 1973, as amended
- Title VI of the Civil Rights Act of 1964
- Age Discrimination Act of 1975
- Executive Order 13166, Improving Access to Services for Persons With Limited English Proficiency
- Executive Order 13347, Individuals With Disabilities in Emergency Preparedness

Policies

The Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) will primarily augment state, tribal, and local government plans and operations and secondarily be capable of implementing a federally supported evacuation and/or a federalized evacuation when requested or required.

Under the ADA, transportation providers must permit passengers with disabilities to be accompanied by their service animals.

DHS/FEMA recognizes and commits to a government-to-government relationship with American Indian and Alaska Native tribal governments.

Planning assumptions

Federal evacuation measures will be taken:

- When state, tribal, or local governments indicate that their resources may or have become overwhelmed and the governor(s) or tribal official(s) request federal assistance.
- In catastrophic incidents when state and local governments are incapacitated, and the president directs that federal mass evacuation support is required.

State authorities in affected areas, in conjunction with authorities in other states, will decide on the destinations for evacuees and will regulate the flow of transportation assets accordingly.

Federal agencies, working with state, tribal, and local governments, will ensure the governor(s) of state(s) receiving evacuees agree to accept these individuals prior to evacuation.

The incident may cause significant disruption to the area's critical transportation infrastructure, hampering evacuation operations.

State, tribal, and local governments recognize there is substantial need to coordinate with federal support agencies on population movement. Federal agencies will coordinate their actions with state, local, and tribal governments. Federal agencies will support state, tribal, and local governments to ensure the governors of the states receiving evacuees from the affected states agree to accept these individuals prior to evacuation.

State authorities in affected areas, in conjunction with authorities in other states, will decide on the destinations for evacuees and will regulate the flow of transportation assets accordingly.

Federal resource requirements for a precautionary evacuation are based on the expected magnitude of the event and request of the governors of the potentially impacted states. State policies and guidelines governing household pet evacuations are utilized when incorporating household pet issues into evacuations. State, tribal, and local planners are aware that individuals may choose to not evacuate if directed to leave their animals behind.

Residents of the evacuated area will need to return to the area post-event if possible. Plans and methods are necessary to facilitate return of evacuated residents.

Members of the special needs population may require additional support or assistance in certain functional areas.

Key Considerations

- **Lead time required to conduct mass evacuations:** Plans may be activated as much as 72 hours prior to an evacuation. Resources may need to be mobilized as much as 48 hours prior to the start of evacuations to have sufficient capacity in place once the evacuation order is given.
- **Limits in weather forecasting:** The variables in forecasting that track, intensity, and forward speed of tropical weather systems (the most likely and frequent reason for evacuations) make it extremely difficult for decision makers to commit costly resources as much as five days before the onset of tropical storm-force winds. In some cases, storms at this stage are not sufficiently well formed to indicate the need for evacuation.
- **Interdependencies between shelters and transportation:** The transportation solution to a mass evacuation is based on the numbers of people needing evacuation, availability of privately owned transportation, numbers of evacuees with special mobility and medical needs, the time available to conduct operations, and the distance to (and availability of) shelters. It is critical to identify and predesignate general and special needs population shelters as close to the embarkation points as safely possible. The designation and distance to household pet shelters or shelters that will accommodate pets are equally important to the success of an evacuation.

- **Special needs of children:** It is critically important to recognize the special needs of children during mass evacuations. Reunification of children separated from their parents will be an issue during evacuation, and consideration must be given to accomplishing reunification.
- **Special needs populations:** Accommodations must be made for the special needs of the citizens of the affected area; including assistance in communication, mobility, maintaining independence, and medical care.
 - **Service animals:** The ADA defines service animals as any guide dog, signal dog, or other animal trained to provide assistance to an individual with a disability including, but not limited to, guiding individuals with impaired vision, alerting individuals with impaired hearing to intruders or sounds, providing minimal protection or rescue work, pulling a wheelchair, or fetching dropped items. Service animals have access to the same facilities as their humans.
 - **Other animals:** The requirements for transporting and arranging for shelter and care of animals when they need to be relocated from their homes are of significant importance.
 - **Household pets:** Planning for and accommodating household pets as a component of mass evacuations is critical. History demonstrates that many residents will refuse to evacuate or resist rescue if they are forced to leave their household pets behind. Through contracts with bus and air carriers, DHS/FEMA will evacuate service animals accompanied by owners or keepers, consistent with federal laws and within the terms and conditions of relevant transportation contracts. According to Emergency Support Function (ESF) #6, Mass Care, Emergency Assistance, Housing and Human Services will encourage state, tribal, and local entities to plan for the co-location of pet shelters near general populations when possible during federal evacuations to receiving cities and states. ESF #6 personnel will provide coordination of animal owner identification, tracking, reunification, and social support. ESF #6 personnel will also coordinate pet issues, including pet evacuation, care, and sheltering, with appropriate government and nongovernment support agencies. ESF #8, Public Health and Medical Services, will assist in providing emergency veterinary care for sheltered and rescued animals, epidemiological monitoring and reporting of emergency-related animal health issues, and management of bites and injuries to humans. ESF #15, External Affairs, allows for coordination between ESF #15 personnel and state, tribal, and local authorities to ensure that animal evacuations, response instructions, and status updates are communicated appropriately and in a timely manner.

- **Environmental contamination:** Evacuation efforts may be impacted when they are taken in response to a large-scale hazardous materials (HAZMAT) incident. Evacuation decision makers should consult with available HAZMAT officials as appropriate regarding the location of embarkation sites and evacuation routes.
- **Victim decontamination:** State, tribal, and local officials retain primary responsibility for victim screening and decontamination operations when necessary in response to a HAZMAT incident. Federal resources are limited and are coordinated through ESF #8.
- **Events with and without warning:** The concept of operations applies to events for which there are warnings (including hurricanes and flooding) as well as events for which there are no warnings (such as industrial accidents and terrorist attacks).
- **Critical infrastructure:** A mass evacuation could present a range of implications for many of the critical infrastructure and key resources (CIKR) sectors both within the impacted areas and across the nation. The evacuation could directly affect CIKR operations, supply lines, and/or distribution systems. See the NRF CIKR Support Annex for details.

Concept of Operations

Situation

The conduct of evacuation operations is generally a state, tribal, and local responsibility. However, there are circumstances that exceed the capabilities of these jurisdictions to support mass evacuations. When practical and possible, precautionary mass evacuation support is provided before an event to move citizens away from a potential incident when warning is available and after an event when conditions are such that it is unsafe for citizens to remain in the area. In instances where federal support is required, DHS/FEMA will coordinate federal support with the state/tribal government.

General

Federal support to mass evacuation operations will be provided at the state/tribal level and scaled to the incident. Evacuation from a single state may be supported from the state emergency operations center, regional response coordination center (RRCC), or a joint field office. Multistate incidents could be coordinated from an RRCC. Large-scale evacuations resulting from a catastrophic event will require national-level coordination. Regardless of the scale of the incident, coordination among numerous command entities will be required to carry out the major functions of evacuation operations.

Functions

Federal mass evacuation support will require the cooperation of many different ESFs:

- ESF #1 provides transportation technical assistance and analysis for evacuation operations and evacuation route conditions.
- ESF #3 ensures debris removal and clearance of evacuation routes.
- ESF #5 provides situational awareness of and coordination of mass evacuation efforts.
- ESF #6 provides information and coordination in the non-medical mass care aspects required for mass evacuations, including housing and human services.
- ESF #7 provides goods/services to support evacuation efforts and transportation services.
- ESF #8 provides supplemental assistance to state, tribal, and local governments in identifying the public health and medical needs of victims.
- ESF #11 provides information and coordination for the evacuation of household pets.
- ESF #13 provides support of state, tribal, and local public safety and security measures (e.g., crowd control, traffic direction, and control of contra flow lanes used in evacuations).
- ESF #15 ensures that sufficient federal assets are deployed to the field to provide accurate, coordinated, and timely information to affected audiences.

Coordination and Communications

A mass evacuation, by its scope, may result in evacuees crossing jurisdictional lines. When federal evacuation support is required, the existing federal coordinating structures will be used to provide coordination of the operation.

All facilities and related support necessary for operations are sourced through the following ESFs when they are activated and requested to do so.

Transportation

The transportation function is responsible for ensuring the evacuation of all affected populations by providing resources to transport those individuals and households that do not have the means to self-evacuate and ensuring sufficient transportation assets, including accessible transportation assets, are available.

DHS/FEMA maintains contracts capable of providing bus and aviation evacuation support and can contract more. If commercial transportation is not available, additional transportation

assistance may be requested from the Department of Defense (DOD) and other federal departments. When DHS/FEMA requests DOD support, DOD may provide support on an as-available basis when approved by the secretary of defense.

DHS/FEMA is responsible for ensuring that adequate resources are available for evacuation efforts, including but not limited to ensuring fuel and basic vehicle service are available along evacuation routes and vehicle location devices are available for federal evacuation vehicles.

DHS/FEMA, in conjunction with ESF #1, is responsible for coordinating evacuation routes with state, tribal, and local agencies and, in particular, determining the status of transportation infrastructure to be used for evacuation.

ESF #1 will facilitate coordination regarding the impact of outflow of persons and traffic on the entry of response teams and supplies into the affected area.

DHS/FEMA supports mass evacuations through several activities, including processing and coordinating requests for the movement of goods, equipment, and responders through ESF #7.

DHS/U.S. Coast Guard, in cooperation with ESF #1, coordinates planning and executing of evacuations across bodies of water.

Fuels

The fuels function ensures that adequate fuel supplies are available in an evacuation. Considerations include availability of fuel for individuals who are self-evacuating, availability of fuels for government-supplied transportation vehicles, and provision of fuel to emergency response vehicles along evacuation routes. DHS/FEMA coordinates with:

- State, tribal, and local governments and ESF #12 to ensure that adequate supplies of fuels are pre-positioned along evacuation routes.
- ESF #12 and state, tribal, and local governments to ensure that special arrangements are made for fuel staging or deliveries along evacuation routes.
- ESF #12 and ESF #13 to set up and regulate the use of separate refueling sites for the use of emergency responders during an evacuation.

The Department of Energy, ESF #12, or other authorized government entities may initiate various waiver requests or actions by other federal agencies to facilitate evacuation, including:

- Driver-hour waivers from the Department of Transportation (DOT).
- Truck weight-limit waivers from state DOTs.
- Jones Act waivers from the Department of Commerce or DHS.
- Fuel-quality waivers from the Environmental Protection Agency.

Mass Care, Emergency Assistance, Housing, and Human Services

The ESF #6 mission is to provide sheltering/housing, feeding, bulk distribution of essential items, and family reunification support and resources to individuals and households that do not have the personal resources or access to personal resources to meet these needs. In an evacuation, this function must be carefully coordinated with agencies providing evacuation services.

- DHS/FEMA coordinates with state, tribal, and local entities, as well as the support agencies under ESF #6, to ensure adequate shelter and care facilities, including those for individuals with special needs, are available for receiving evacuees.
- ESF #6 will provide support to state, tribal, and local evacuation efforts by facilitating requests for food and shelter supplies, and security in support of mass evacuations.
- ESF #6 will work with state lead agencies for mass care prior to, during, and after an incident to identify potential host states.

DHS/FEMA voluntary agency liaisons (VALs) will coordinate with voluntary agencies affiliated with National Voluntary Organizations Active in Disaster (NVOAD), other nongovernmental organizations (NGOs), and private-sector entities for federally supported evacuation in affected and receiving states.

Public health and medical support

The medical care and special needs requirements of evacuees must be identified and appropriate support provided. This support includes oversight of specialized transportation for evacuees with medical and functional needs, care for evacuees whose needs cannot be accommodated in general population shelters, and monitoring support for individuals at pickup points.

- ESF #8 supports state, tribal, and local health care authorities by providing medical support at staging areas and pickup points to perform triage of citizens prior to evacuation.
- ESF #8 will coordinate medical support with special needs shelters as requested.
- ESF #8 supports state, tribal, and local governments in the evacuation of patients, including those in hospitals, hospices, and nursing homes as well as individuals who are identified at evacuation centers as having medical problems. ESF #8 is responsible for the evacuation of patients who are treated within the National Disaster Medical System (NDMS) en route to, from, or at field facilities.
- ESF #6 will coordinate emergency first aid, and ESF #8 will coordinate emergency medical care with state, tribal, and local agencies at the staging areas and pickup points.
- ESF #8 will support ESF #11 to coordinate with state, tribal, and local governments to provide veterinary emergency first aid and care at evacuation staging areas/pickup points. Additionally, animals will be screened at staging areas/pickup points to confirm health status and to identify potential carriers of zoonotic diseases.

Public safety and security

State and local law enforcement agencies have primary responsibility for public safety and security during a mass evacuation. State, tribal, and local law enforcement agencies will be conducting operations in accordance with their evacuation plans and protocols. However, they could rapidly become overwhelmed and require logistics or operational support from within their states, from other states pursuant to mutual aid and assistance compacts, or from the federal government through ESF #13.

ESF #13 may involve assisting state, tribal, and local governments with the following evacuation-related functions:

- Security assessments of pre-identified transportation facilities.
- Site security at designated evacuation locations.
- Traffic control and/or transportation security duties.
- Screening of evacuees for prohibited weapons.
- Force protection.
- General planning and technical assistance.

In addition, ESF #13 coordinates with state, tribal, and local authorities to ensure security and traffic/crowd control are provided at staging areas/pickup points and evacuation vehicles if requested. It may also provide requested support in such areas as public safety, security assessment, access control, and specialized security resources. On federal property, ESF #13 coordinates with federal agencies to provide security for shelter facilities for evacuees.

Department of Defense Responsibilities

Provide evacuation support for patient movement under the NDMS on an as-requested/as-available basis when approved by the secretary of defense. After activation of NDMS, DOD may assist ESF #8 in the transportation of patients with specific medical needs on a by-request/as-available basis. DOD regulates all patients moved by them under NDMS. As such, DOD utilizes a tracking system under U.S. Northern Command for tracking the subset of patients moved by NDMS. If commercial transportation is not available, (upon approval by the secretary of defense) DOD may also provide additional transportation assistance for general evacuation under ESF #1.

U.S. Army Corps of Engineers Responsibilities

- Provides logistics resources to support the preparation and execution of ESF #3 activities.
- As part of its execution of ESF #3 responsibilities, U.S. Army Corps of Engineers (USACE) may provide assistance with the establishment of field offices when requested by DHS/FEMA.
- Provides support to repair damages to roads, bridges, and other structures along evacuation routes.

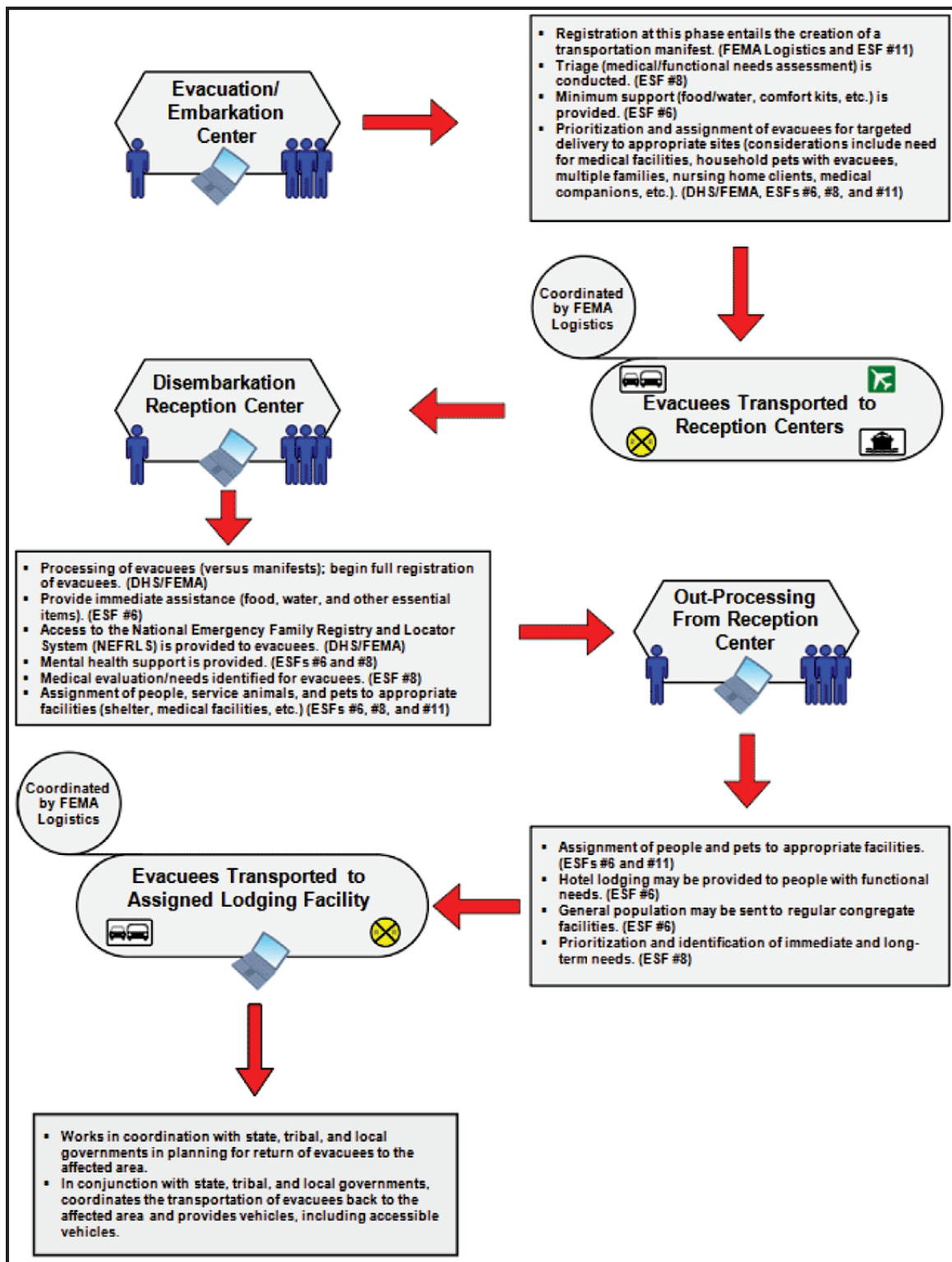


Figure G-1. Mass evacuation process flow

Appendix H

Nongovernmental Organizations

This appendix refers to domestic nongovernmental organizations (NGOs) that will assist within the United States. It does not address international NGOs that assist with stability, security, transition, and reconstruction operations.

Overview

NGOs are often referred to as private voluntary organizations, nonprofits, charities, and humanitarian aid organizations. Each is unique with different objectives, missions, operating procedures, and capacities. Many are religiously oriented, regionally based, technically specialized, or community-based organizations. Most are small, though some are well known with international umbrellas and national chapters.

NGOs respond to natural and man-made disasters and are essential to providing relief. They are founded, developed, and managed by civilians who are highly professional and trained, skilled, and educated in disaster management, public health, logistics, technology, water sanitation, communications, medicine, geology, sociology, and psychology. NGO staffs are from different backgrounds and training, usually with a small professional staff augmented by on-call volunteers.

Some are for-profit; some are not-for-profit. Their funding comes from numerous sources, including government agencies, grants, private contributions, and gifts-in-kind from companies or other organizations.

NGOs and the Military

NGOs and the military should not work against each other in disasters if they want to maximize utility and functionality. Each has a role that is complementary, not contrary, to the other. Communications can be achieved and in some cases, coordination between NGOs and military units can be achieved.

NGOs however, are not required to coordinate with the military and may prefer to remain autonomous for the following reasons:

- Some NGOs maintain large communications capabilities, and may use the same technologies as military units when there is no local infrastructure.
- NGO professionals often have more field experience in domestic disaster relief than the military.
- NGO professional staffs tend to be highly educated with decades of experience applicable to disaster response.

Coordination in a disaster between NGOs and the military should not be equated to command and control. Military command structure is usually very different from the work structures of civilian organizations, and the interface of the two is sometimes challenging. The Center for Lessons Learned recommends identifying a liaison within the NGO community to help manage the interface.

Domestic Disaster Response NGOs

Many NGOs focus only on disaster response. This means they arrive at the earliest possible time during or after an emergency, implement emergency response programs, and leave shortly after the first stages are complete. They focus on being nimble and efficient and operating with very little red tape.

Amateur Radio Emergency Service (www.fcc.gov/pshs/services/amateur.html)

Amateur Radio Emergency Service (ARES) is an organization of amateur radio operators overseen by the American Radio Relay League. ARES amateur radio operators train to provide communications during emergencies. ARES has formal agreements to provide communications for several national nonprofits, Federal Emergency Management Agency (FEMA), and with state and local emergency management organizations.

AmeriCares (www.americare.org)

AmeriCares responds to disasters to help reduce suffering and restore health to communities throughout the country. AmeriCares has reached out to thousands of Americans affected by weather-related emergencies, including Hurricane Katrina, tornadoes in the Midwest, California wildfires, flooding in the Northwest and the mile-wide tornado that destroyed almost all of Greensburg, Kansas. AmeriCares responds in times of disease outbreaks and man-made disasters. On 9/11, AmeriCares sent an emergency medical team to the site of the World Trade Center attacks.

American Red Cross (www.redcross.org)

Since its founding in 1881 by Clara Barton, the American Red Cross (ARC) has been the nation's premier emergency response organization. In addition to providing aid to victims of national disasters, it is part of a worldwide movement that offers neutral humanitarian care to the victims of war.

Catholic Charities USA (<http://www.catholiccharitiesusa.org/NetCommunity/Page.aspx?pid=305>)

The disaster response section of Catholic Charities USA provides assistance to communities by addressing the crisis and recovery needs of local families. Catholic Charities agencies emphasize 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.

Christian Reformed World Relief Committee (www.crwrc.org).

Christian Reformed World Relief Committee (CRWRC) disaster response services volunteers help clear debris, assess needs, and rebuild homes after disasters strike. CRWRC volunteers, known as “the green shirts,” are visible and respected throughout many disaster-affected communities.

Church World Service (www.churchworldservice.org).

In disaster preparedness, response, and recovery in the U.S., Church World Service (CWS) works with and through local faith-based and community organizations. CWS has been instrumental in helping communities along the U.S. Gulf Coast recover following devastating hurricanes, has partnered with local organizations that helped families rebuild following flooding in the Midwest, and has worked with groups that organize and build networks to prepare and plan for disaster before it strikes.

Convoy of Hope (http://www.convoyofhope.org/go/what/disaster_response)

Convoy of Hope is a “first responder” organization in disaster relief. With a fleet of tractor-trailers, a 300,000-square-foot warehouse, a ham radio network, a high-tech mobile command center, and well-planned points of distribution model, Convoy of Hope has become an active and efficient disaster relief organization. It also has a program to educate communities to prepare for and respond to disasters.

Focus Humanitarian Assistance/Aga Khan Development Network (www.akdn.org/focus.asp).

Since 1994, Focus Humanitarian Assistance (FOCUS) has provided a full spectrum of emergency response activities from first response to extended relief and recovery support. When FOCUS responds to a disaster, it is able to call upon a prepositioned pool of volunteers from within the Ismaili Muslim community in the country of the intervention. Harnessing local manpower for packaging, delivering, and distributing humanitarian relief provides integral support to staff on the ground and ensures that those in direct contact with affected communities are soundly equipped with local knowledge of the terrain, culture, and language.

Habitat for Humanity (www.habitat.org)

Habitat’s disaster response focuses on the housing needs that arise from natural disasters and humanitarian emergency conflicts. Habitat offers expertise in technical information, program design and implementation, and disaster response policies, protocols and procedures. Habitat also provides support and informational resources for disaster mitigation and preparedness, helping communities in disaster-prone areas protect themselves against future threats.

Hands On Disaster Response (www.hodr.org)

Hands On Disaster Response (HODR) is a United States-based, volunteer-driven, nonprofit organization with 501(c)3 certified NGO dedicated to timely disaster response and relief. Its mission is to apply volunteer resources to aid survivors on natural disasters. HODR has responded to 14 disasters, including five in the United States.

International Critical Incident Stress Foundation (www.icisf.org)

The mission of the International Critical Incident Stress Foundation, Inc. is to provide leadership, education, training, consultation, and support services in comprehensive crisis intervention and disaster behavioral health services to the emergency response professions, other organizations, and communities worldwide.

International Relief Teams (www.irteams.org)

International Relief Teams (IRT) offers both immediate and long-term relief to disaster victims. IRT's skilled reconstruction teams repair the homes of uninsured, low-income families and elderly residents who have sustained damage from hurricanes and floods in the United States.

Medical Teams International (www.nwmedicalteams.org)

Medical Teams International is a Christian, global health organization whose mission is to empower communities to live full and healthy lives. It works with grassroots organizations, churches, and ministries of health to ensure projects fit seamlessly into local contexts. Medical Teams International volunteers, staff and supporters assist people suffering from disaster, conflict, and poverty in 70 countries. While the work of Medical Teams International focuses primarily on developing countries, it continues to respond to large-scale disasters in the United States.

National Emergency Response Team (<http://nert-usa.org/>)

National Emergency Response Team is committed to the establishment of independent and joint ventures to conceive, develop, and implement disaster response services and educational programs that coordinate publicly available resources during a crisis situation.

National Voluntary Organizations Active in Disaster (www.nvoad.org)

National Voluntary Organizations Active in Disaster (NVOAD) is a forum where organizations share knowledge and resources throughout the disaster cycle—preparation, response, and recovery—to help disaster survivors and their communities. NVOAD is a consortium of approximately 50 national organizations and 55 state and territory equivalents. During major incidents, NVOAD typically sends representatives to the Department of Homeland Security/FEMA National Response Coordination Center to represent the voluntary organizations and assist in response coordination.

Operation USA (www.opusa.org)

Operation USA is an international relief agency that helps communities at home and abroad to overcome the effects of disasters, disease, and endemic poverty by providing privately funded relief, reconstruction, and development aid. Working with grass-roots partners on the ground, Operation USA provides material and financial assistance in the face of a disaster and works to combat the effects of systemic poverty. Operation USA listens to community voices to determine the best ways to assist and stays in the field after many other organizations have left. Operation USA supports long-term projects that promote education and health services, sustainable development, leadership building, income generating activities, and advocacy for vulnerable people worldwide.

Radio Amateur Civil Emergency Service (www.fcc.gov/pshs/services/amateur.html)

Radio Amateur Civil Emergency Service (RACES) provides radio communication for civil defense purposes. It is administered by local, county, and state civil defense organizations and is supported by FEMA as well as the Federal Communications Commission. The rules that apply to RACES are in Section 97.407 of the Commission's Rules. All communications transmitted in RACES must be specifically authorized by the civil defense organization for the area served and only certain types of civil defense communications may be transmitted.

Salvation Army (www.salvationarmyusa.org)

The Salvation Army disaster response programs include spiritual ministry, counseling, identification/registration, mobile feeding, congregate feeding, financial assistance, shelter, donated materials, basic commodities (food, water, health and sanitary needs, baby and child care products, medicines, bedding, etc.), reconstruction, services for volunteers, and advocacy.

Save the Children (www.savethechildren.org)

The mission of Save the Children is to create lasting, positive change in the lives of children in need in the United States and around the world. For domestic disasters, Save the Children's domestic emergencies unit has rapid emergency disaster initiative teams to provide essential programs to several communities in need during and after a disaster.

World Emergency Relief (www.wer-us.org)

World Emergency Relief (WER) offers relief aid for impoverished disaster-struck communities, such as those suffering from earthquakes or hurricanes. WER offers disaster-struck communities three types of aid relief: (1) Emergency relief addresses basic needs in the first month after a disaster. WER's emergency relief is primarily practical aid in the form of gifts-in-kind such as food, clothing and medical supplies; (2) Sustained aid occurs after 45 to 60 days, when supply pipelines are reasonably restored; and (3) Development normalizes and improves communities, which involves sustainability programs.

References

Lynn Lawry and Grey Frandsen, *Guide to Nongovernmental Organizations for the Military*, 2d ed., Center for Disaster and Humanitarian Assistance Medicine (CDHAM), Uniformed Services University of Health Sciences (USUHS), originally written by Grey Frandsen, Fall 2002; edited and rewritten by Dr. Lynn Lawry, Summer 2009. Used by permission of Dr. Lawry.

Joint Publication 3-08, Interagency, *Intergovernmental Organization, and Nongovernmental Organization Coordination during Joint Operations*, Vol. I and II; Joint Staff, 17 March 2006.

Homeland Security Presidential Directive-5, *Management of Domestic Incidents*, the White House, 28 February 2003.

Homeland Security Presidential Directive-21, *Public Health and Medical Preparedness*, the White House, 18 October 2007.

Appendix I

Legal Considerations and Law Enforcement

The content of this appendix was extracted from LTC Patrick A. Barnett, (Ed), *Domestic Operational Law Handbook for Judge Advocates*, Center for Law and Military Operations, 20 July 2009. It was accessed at <<http://www.jagcnet.army.mil/clamo>>.

Posse Comitatus Act Restrictions

Restrictions of the Posse Comitatus Act (PCA) as they apply to participation by the military in civilian law enforcement activities are outlined by Title 10 U.S. Code (U.S.C), Sections 371-375. These restrictions are divided into three major categories: (1) use of information, (2) use of military equipment and facilities, and (3) use of military personnel. Department of Defense Directive (DODD) 5525.5 further divides the restrictions on the use of Department of Defense (DOD) personnel in civilian law enforcement activities into categories of direct assistance, training, expert advice, operation or maintenance of equipment, and other permissible assistance. See Figure I-1, below.

In addition to the above categories, 10 U.S.C. Sections 376 and 377 provide further limitations on the provision of military support to civilian law enforcement. 10 U.S.C. Section 376 provides an overarching restriction in the event “such support will adversely affect the military preparedness of the United States.” The secretary of defense directed the secretaries of the military departments and the directors of the defense agencies to ensure that approval authority for the disposition of equipment to civilian law enforcement agencies is vested in those officials who can properly assess the impact the disposition will have on military preparedness and national security.

Title 10 U.S.C. Section 377 requires civilian law enforcement agencies to reimburse DOD for support provided as required by the Economy Act or other applicable law. Civilian law enforcement agencies do not have to provide reimbursement for support under this statute if the support: (1) is provided in the normal course of military training or operations, or (2) results in a benefit to DOD that is substantially equivalent to that which would otherwise be obtained through military training or operations. Waiver authority for reimbursements not required by law resides with personnel. This authority may be delegated to the secretaries of the military departments and the directors of the defense agencies (or designees) on matters within their approval authority.

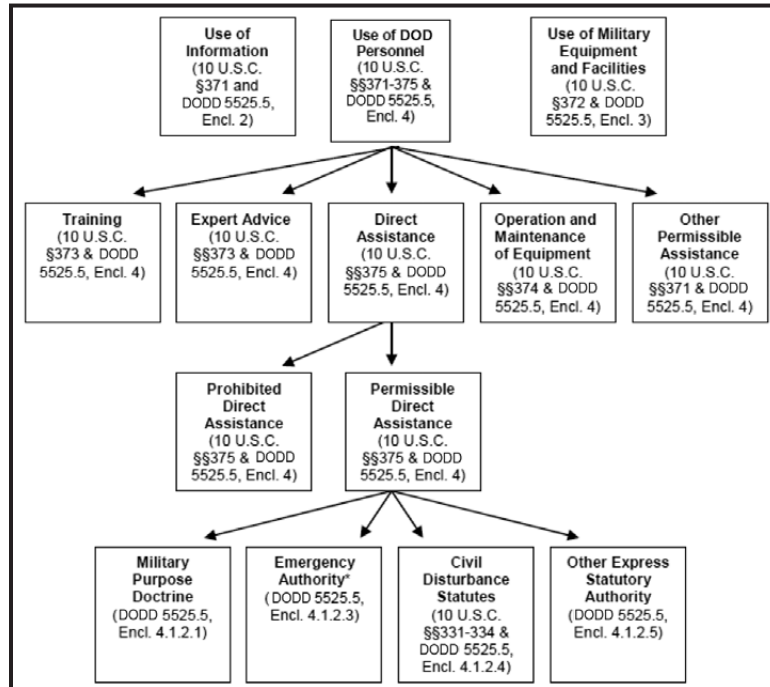


Figure I-1. PCA restrictions from 10 U.S.C. Sections 371-375 and DODD 5525.5

Use of Information Collected During Military Operations

The use of information collected during military operations is codified in Title 10 U.S.C. Section 371 and implemented by the secretary of defense in Enclosure 2 of DODD 5525.5. The sharing of intelligence information has taken on crucial importance after September 11, 2001. The Homeland Security Act of 2002 tasked the Secretary of the Department of Homeland Security with establishing procedures to share information with local, State and Federal entities. The president is to ensure that the procedures apply to “all agencies of the Federal Government.”

Under Title 10 U.S.C. Section 371, the secretary of defense may provide information collected during the normal course of military operations to federal, state, and local law enforcement agencies if the information is relevant to a violation of federal or state law under the jurisdiction of these officials. The secretary of defense shall, to the maximum extent possible, take into account the needs of civilian law enforcement officials when planning and executing military training and operations. Further, Section 371 provides that the secretary of defense shall ensure, to the extent consistent with national security, that intelligence information held by DOD and relevant to drug interdiction and other civilian law enforcement matters is promptly provided to the appropriate civilian law enforcement officials.

Enclosure 2 of DODD 5525.5 implements the above guidance with some additional restrictions. Military departments and defense agencies are generally encouraged to provide law enforcement officials any information collected during the normal course of military operations that may be relevant to a criminal violation. While the secretary of defense shall take into account the needs of civilian law enforcement officials when planning and executing military training and operations in accordance with 10 U.S.C. Section 371 above, the planning or creation of missions or training for the primary purpose of aiding civilian law enforcement officials is prohibited. Law enforcement officials may accompany regularly scheduled training flights as

observers, but point to point transportation and training flights for civilian law enforcement officials are not authorized. Additionally, the handling of all such information must comply with DODD 5240.1, *Activities of DOD Intelligence Components that Affect U.S. Persons*; DODD 5200.27, *Acquisition of Information Concerning Persons and Organizations not Affiliated with the Department of Defense*; and DOD 5240.1-R, *Procedures Governing the Activities of DOD Intelligence Components that Affect United States Persons*.

Use of Military Equipment and Facilities

The loan or lease of military equipment to civilians is a difficult legal area. Each military service has implemented its own regulations in addition to DODD 5525.5. The Army Regulation on point is AR 700-131. 10 U.S.C. Section 372 and Enclosure 3 of DODD 5525.5 address the use of military equipment and facilities by civilian law enforcement authorities. Section 372(a) allows the secretary of defense to make available equipment (including associated supplies and spare parts), base facilities, and research facilities of the DOD to any federal, state, or local civilian law enforcement official for law enforcement purposes. The provision of equipment and facilities must be made in accordance with all other applicable law. Enclosure 3 of the DODD implements this provision and allows military departments and defense agencies to make equipment, base facilities, or research facilities available to federal, state, or local law enforcement authorities if the assistance does not adversely affect national security or military preparedness.

Approval authority under DODD 5525.5 varies based on the type of equipment requested, the reason for the request, and whether the equipment will be loaned or leased. The following is a list of the approval authorities for various types of equipment and facilities:

- Approval authority for military assistance in civil disturbances is governed by DODD 3025.12, *Military Assistance for Civil Disturbances*.
- Approval authority for assistance to the government of the District of Columbia is governed by DODD. 5030.46, *Assistance to the District of Columbia Government in Combating Crime*.
- Approval authority for training, expert advice, and personnel to operate and maintain equipment shall be made in accordance with Enclosure 4 of DODD 5525.5.
- Approval authority for assistance from DOD intelligence components is governed by DODD 5240.1 and DOD 5240.1-R.
- DODD 5525.5 places approval authority for arms, ammunition, combat vehicles, vessels, and aircraft with the secretaries of the military departments and the directors of the defense agencies; however, DODD 3025.15 subsequently reserved approval authority to the secretary of defense.
- Approval authorities for loan or lease of other equipment or facilities are the secretaries of the military departments and the directors of the defense agencies unless the authority has been retained at a higher level. The authority of the secretaries of the military departments and the directors of the defense agencies may be delegated.

Service regulations supply additional guidance. For example, security bonds are often required before the loan or lease of equipment. Approval authorities may vary depending upon the implementing service regulation.

10 U.S.C. Section 372 provides additional guidance for chemical and biological incidents. Under Section 372(b), the secretary of defense may make training facilities, sensors, protective clothing, antidotes and similar items available to federal, state, or local law enforcement or emergency response agencies to prepare for or respond to an emergency involving chemical or biological agents. Before making these materials available, however, the secretary of defense must make a determination that the items are not reasonably available from another source.

Participation of DOD Personnel in Civilian Law Enforcement Activities

The federal courts have enunciated three tests to determine whether the use of military personnel violates the PCA. If any one of these three tests is met, the assistance may be considered a violation of the PCA. The *first* test is whether the actions of military personnel are “active” or “passive.” Only the direct, active use of military personnel to enforce the laws is a violation of the PCA. The *second* test is whether the use of military personnel pervades the activities of civilian law enforcement officials. Under this test, military personnel must fully subsume the role of civilian law enforcement officials. The *third* test is whether the military personnel subjected citizens to the exercise of military power that was regulatory, proscriptive, or compulsory in nature. A power “regulatory in nature” is one which controls or directs. A power “proscriptive in nature” is one that prohibits or condemns. A power “compulsory in nature” is one that exerts some coercive force.

As previously mentioned, in implementing the guidance contained in 10 U.S.C., Chapter 18, DODD 5525.5 divides the PCA restrictions regarding the use of military personnel to assist civilian law enforcement into five categories: (1) direct assistance, (2) training, (3) expert advice, (4) use of DOD personnel to operate or maintain equipment, and (5) other permissible assistance.

DOD personnel involvement in support to civilian law enforcement will often be subject to intense scrutiny, such as occurred following the First Army’s and the 82d Airborne Division’s support in the aftermath of Hurricane Katrina, and prior to that, the standoff between the Branch Davidians and the federal government in Waco, Texas. In advising commanders on the permissible use of military personnel in support of civilian law enforcement activities, JAs must also consider possible legal ramifications of PCA violations. Evidence may be excluded from use at trial and the military may be sued.

Direct Assistance

Prohibited direct assistance

Direct assistance and participation by military personnel in the execution and enforcement of the law is the heart of the prohibition of the PCA. Impermissible direct assistance by military

personnel in civilian law enforcement activities is codified in 10 U.S.C. Section 375 and is implemented as DOD policy by DODD 5525.5. Prohibited direct assistance by military personnel includes:

- Interdiction of a vehicle, vessel, aircraft, or other similar activity.
- A search or seizure.
- An arrest, apprehension, stop and frisk, or similar activity.
- Use of military personnel for surveillance or pursuit of individuals, or as undercover agents, informants, investigators, or interrogators.

Permissible direct assistance

There are several forms of direct assistance by military personnel that are permitted under the PCA. The first type of permitted direct assistance is action taken for the primary purpose of furthering a military or foreign affairs function of the United States. This category is often referred to as the “Military Purpose Doctrine” and covers actions the primary purpose of which is to further a military interest. While civilian agencies can receive an incidental benefit, this section should be construed narrowly and cannot be used as a subterfuge for getting around the PCA. For example, the scheduling of a military exercise for the sole purpose of benefiting a civilian law enforcement agency is contrary to the intent of the military purpose doctrine. Military actions under the military purpose doctrine include:

- Investigations and other actions related to enforcement of the Uniform Code of Military Justice (UCMJ).
- Investigations and other actions that are likely to result in administrative proceedings by DOD, regardless of whether there is a related civil or criminal proceeding.
- Investigations and other actions related to the commander’s inherent authority to maintain law and order on a military installation or facility.
- Protection of classified military information or equipment.
- Protection of DOD personnel, DOD equipment, and official guests of the DOD.
- Such other actions that are undertaken primarily for a military or foreign affairs purpose.

It is important to note that use of military forces in the defense of the U.S. is not support to civilian law enforcement agencies. Rather, it is homeland defense under the president’s authority as commander in chief under Article II of the Constitution. The use of military forces in a national defense role is not subject to the PCA and other restrictions on military participation in law enforcement.

Emergency authority

A second type of direct assistance that may be permitted is action that falls under the “emergency authority” of the United States. These actions are taken pursuant to the inherent authority of the federal government under the Constitution. Actions permitted in accordance with this authority are those necessary to preserve public order and to carry out governmental operations within U.S. territorial limits, or otherwise in accordance with applicable law. In such circumstances, force may be used if necessary.

“Emergency authority” is reserved for *extremely unusual* circumstances. Further, it will only be used under the guidance of DODD 3025.12, *Military Assistance for Civil Disturbances* (MACDIS). DODD 3025.12 states: “Military Forces shall not be used in MACDIS unless specifically authorized by the president, except in the following emergency circumstances:

- “When the use of military forces is necessary to prevent loss of life or wanton destruction of property, or to restore governmental functioning and public order. That “emergency authority” applies when sudden and unexpected civil disturbances (including civil disturbances incident to earthquake, fire, flood, or other such calamity endangering life) occur, if duly constituted local authorities are unable to control the situation and circumstances preclude obtaining prior authorization by the president, or
- “When duly constituted state or local authorities are unable or decline to provide adequate protection for federal property or federal governmental functions, federal action (including the use of military forces) is authorized, as necessary, to protect the federal property or functions.”

Presidential approval is not a prerequisite to the use of military forces in these two limited circumstances. However, DOD officials and military commanders must use all available means to obtain presidential authorization through their appropriate chains of command while applying emergency authority.

Civil disturbance statutes

The third type of permitted direct assistance by military forces to civilian law enforcement is action taken pursuant to DOD responsibilities under the Insurrection Act, 10 U.S.C. Sections 331-334. These statutes contain express exceptions to the PCA and they relate to the use of military forces with respect to insurgency, domestic violence, or conspiracy that hinders the execution of state or federal law in specified circumstances. Actions under this authority are governed by DODD 3025.12. The Insurrection Act permits the president to use the armed forces to enforce the law when:

- There is an insurrection within a state, and the state legislature (or governor if the legislature cannot be convened) requests assistance from the president.
- A rebellion makes it impracticable to enforce the federal law through ordinary judicial proceedings.
- An insurrection or domestic violence opposes or obstructs federal law, or so hinders the enforcement of federal or state laws that residents of that state are deprived of their Constitutional rights and the state is unable or unwilling to protect these rights.

Title 10 U.S.C. Section 334 requires the president to issue a proclamation ordering the insurgents to disperse within a certain time before he can use the military to enforce the laws. The president issued such a proclamation during the Los Angeles riots.

Other statutory authority

There are several statutes, other than the Insurrection Act, that provide statutory authority for the military to assist civilian law enforcement agencies in executing the laws. These statutes permit direct military participation in civilian law enforcement, subject to the limitations within the respective statutes. This section does not contain detailed guidance. Specific statutes and other references must be consulted before determining whether military participation is permissible. These statutes include the following:

- Prohibited transactions involving nuclear material (18 U.S.C. Section 831).
- Emergency situations involving chemical or biological weapons of mass destruction (10 U.S.C. Section 382).
- Assistance in the case of crimes against foreign officials, official guests of the United States, and other internationally protected persons (18 U.S.C. Sections 112, 1116).
- Protection of the president, vice president, and other designated dignitaries (18 U.S.C. Section 1751 and the Presidential Protection Assistance Act of 1976).
- Assistance in the case of crimes against members of Congress (18 U.S.C. Section 351).
- Execution of quarantine and certain health laws (42 U.S.C. Section 97).
- Protection of national parks and certain other federal lands (16 U.S.C. Sections 23, 78, 593).
- Enforcement of the Fishery Conservation and Management Act of 1976 (16 U.S.C. Section 1861[a]).
- Actions taken in support of the neutrality laws (22 U.S.C. Sections 408, 461-462).
- Removal of persons unlawfully present on Indian lands (25 U.S.C. Section 180).
- Execution of certain warrants relating to enforcement of specified civil rights laws (42 U.S.C. Section 1989).
- Support of territorial governors if a civil disorder occurs (48 U.S.C. Sections 1422, 1591).
- Actions in support of certain customs laws (50 U.S.C. Section 220).

Rules for the use of Force for Federal Forces

The Standing Rules for the Use of Force (SRUF) provide the operational guidance and establish fundamental policies and procedures governing actions taken by DOD forces performing civil support missions (e.g., military assistance to civil authorities and military support for civilian law enforcement agencies) and routine service functions (including antiterrorism force protection) within the U.S. and its territories. It also applies to land-based homeland defense missions occurring within the U.S. and its territories. The SRUF also apply to DOD forces, civilians and contractors performing law enforcement and security duties at all DOD installations worldwide, unless otherwise directed by the secretary of defense. The SRUF supersede Chairman of the Joint Chiefs of Staff Instruction 3121.02, *Rules for the Use of Force (RUF) for DOD Personnel Providing Support to Law Enforcement Agencies Conducting Counterdrug Operations in the United States*, the rules for the use of force in the *DOD Civil Disturbance Plan (Garden Plot)*, and the use of force guidance contained in DODD 5210.56, Enclosure 2.

The SRUF apply to Title 10 forces performing missions both for homeland defense and defense support to civil authorities. These rules do not apply to National Guard forces in either state active duty or Title 32 status. JAs should coordinate with their National Guard counterparts when operating in a joint environment to confirm the RUF the National Guard is using.

Service members need to understand the legal, policy and practical limitations for the use of force. The use of force for domestic mission accomplishment is constrained or limited by federal law and the SRUF.

While there are some very significant differences, the development, training, and application of the RUF and the rules of engagement for overseas contingency operations can be similar. The SRUF provide the template for training RUF for domestic operations. Development of hypothetical scenarios will assist in posing the ultimate question of whether or not the service member may use force, up to and/or including deadly force, against someone or something. Often in training scenarios, the solution is not found in the applicable RUF but rather in the rules for when a service member can use force in self-defense and identifying either a hostile act or demonstration of hostile intent. It is imperative to ensure commanders, as well as the service members who execute the commander's plans, understand the potential limits on self-defense when operating as part of a unit. Unit commanders always retain the inherent right and obligation to exercise unit self-defense in response to a hostile act or demonstrated hostile intent. Unless otherwise directed by the unit commander, service members may exercise individual self-defense in response to a hostile act or demonstrated hostile intent. When individuals are assigned and acting as part of a unit, individual self-defense becomes a subset of unit self-defense, and the unit commander may limit individual self-defense by members of the unit.

Use of force practice is one of the few areas in which the legal competence of the JAs can potentially have life or death consequences for service members and civilians. Therefore, it is imperative that JAs understand and apply legal and practical considerations when practicing in this area. This chapter will discuss the role of JAs in use of force, the practical realities involved in use of force incidents that are often not included in legal references, the legal standard for Federal use of force, the existing Army policies on use of force, the potential legal liability involved in use of force, as well as other issues.

Training

Many service members have not been trained on domestic law applicable to the use of force and, as a consequence, do not understand many of the policy requirements imposed by DOD and Department of the Army decisions. Additional key concepts such as hostile act and hostile intent are often misapplied or used interchangeably. As such, it is critical that JAs understand the terminology and are capable of training these concepts in a straightforward manner. In addition, very few service members receive training on the RUF or the legal and policy aspects of the investigations and litigation that may follow a use of force incident. This increases the challenge for JAs preparing units for domestic operations.

The JA must also consider the nature of the threat that our service members might face. Service members have to try to differentiate between aggressors employing various levels of force threats, those who do not present a direct threat but against whom force is authorized, and innocent civilians.

An attacker will generally have the service member at a disadvantage. He will almost always have the initiative and sometimes will have the element of surprise. One of the accepted principles of violent confrontations is that the attacker's "action" will defeat a "reaction" of comparable speed by the service member.

SRUF will normally include the following:

- Force is used only as a last resort.
- Deadly force is to be used only when all lesser means have failed or cannot be reasonably employed, only in limited purposes.
- Deadly force extends to the defense of other non-DOD personnel who are in the vicinity and the use of deadly force is directly related to the assigned mission. This includes the prevention of murder, armed robbery, and aggravated assault.
- Deadly force may be used to protect assets vital to national security, national critical infrastructure, and inherently dangerous property (missiles, rockets, ammunition, etc.).
- Service members may use deadly force when it appears reasonably necessary to prevent the escape of a prisoner, provided there is probable cause to believe that the prisoner committed or attempted to commit a serious offense. Serious offense is defined as one that involves imminent threat of death or serious bodily harm or an offense that would pose an imminent threat of death or serious bodily harm to DOD forces or others in the vicinity.
- Verbal warnings are mandatory for a fleeing criminal but not necessarily for an attacking one.
- The individual right of self defense may be restricted.

Service members, their leaders, and the planners who draft the RUF for domestic operations face potential personal liability for any unlawful use of force by a service member during a domestic operation. This includes federal and state civil and criminal proceedings after an incident. In

addition, such incidents are often accompanied by a variety of investigations that can result in adverse administrative consequences. Service members could be held criminally liable for unconstitutional or illegal use of force before a court-martial, a Federal District Court, and in some cases a state court. Service members and commanders involved in use of force incidents will probably have less legal and practical protection than their counterparts in Federal law enforcement. The case law defining the role of service members using force during homeland security operations is extremely limited.

Rules for the Use of Force for the National Guard

The National Guard is a state government entity, except when called or ordered to federal active duty. The effect of this Constitutionally-derived status is perhaps greatest in the RUF for the National Guard. The policies of the DOD and service regulations governing RUF apply to elements of that Department, but not to the states. As a result, the law that is the basis for National Guard RUF is the criminal law of the state in which a National Guard unit is performing the mission.

Most National Guard operations in support of civil authorities are in support of state civil authorities and are undertaken on a state-funded basis, usually referred to as “state active duty” (SAD). These types of operations include relief from natural disasters, quelling of or providing security during civil disturbances and assistance to civil authorities during other state emergencies, such as strikes at state institutions. An exception would be the 2001/2002 National Guard airport security mission (hereinafter airport security mission). This operation was performed in Title 32 status. As explained in detail in Chapter 2, both SAD and Title 32 statuses are non-federal statuses, to which state law applies. All 54 States and territories secured airports with National Guard personnel and applied its own criminal law. Consequently, over 50 different RUF were used in the airport security mission. Although most RUF addressed similar subjects, the specific implementation of these subjects varied from state to state.

When the National Guard executes Title 32 or SAD mission that utilizes RUF, the subjects appropriate for the RUF are derived from the mission operation plan or operation order (OPLAN/OPORD). The RUF covers core state criminal law subjects such as the right of self defense, including the retreat doctrine, necessary warning, proportionality, and location issues, for instance the defender’s home or work place. The RUF should also address the right to carry and discharge firearms, the authority of National Guard personnel as peace officers (based on state law), and the authority for apprehension, search, and seizure. Whether, and the extent to which, these basic RUF subjects are included in a given OPLAN/OPORD is a mission-dependent decision.

Subjects appropriate in all RUF include:

- Authority to modify the RUF. If adjutants general have delegated that authority to subordinate commanders, then the RUF must clearly state which part(s) of the RUF may be changed, in what manner and by whom. If the RUF contain no delegation of authority, then either the adjutant general or state-level task force commander retain the authority. If authority to change the RUF is wholly denied, including the authority to further restrict the RUF, then that should also be made clear.
- Right of self-defense, even if the Guardsmen are unarmed, based on mission analysis and state law.

- Right to defend others.
- Duty to retreat.
- Use of deadly force to prevent escapes.
- Requirement or limit of warnings prior to employment of deadly force in self-defense.
- Requirement for the use of proportionality.
- Arming orders.
- Special orders (optional):
 - Training.
 - Military bearing and appearance.
 - Immunity.
 - Standards of conduct.
 - Treatment of civilians.
 - Safety.
 - News media.
 - Discussion of mission with others.
 - Handling of suspicious persons, vehicles, and activities.

Additional References

10 U.S.C. Section 331-335, The Insurrection Act.

10 U.S.C. Section 2667, Leases: Non-Excess Property of Military Departments.

18 U.S.C. Section 231, Civil Disorders.

18 U.S.C. Section 1382, Entering Military, Naval, or Coast Guard Property.

18 U.S.C. Section 1385, The Posse Comitatus Act (PCA).

28 U.S.C. Section 1346, 2671-2680 – The Federal Tort Claims Act.

31 U.S.C. Section 1535, Agency Agreements.

Executive Order 12656, Assignment of Emergency Preparedness Responsibilities.

DODD 3025.12, *Military Assistance for Civil Disturbances*, 04 February 1994.

DODD 3025.15, *Military Assistance to Civil Authorities*, 18 January 1997.

DODD 5111.13, *Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs*.

DODD 5525.5, *DOD Cooperation with Civilian Law Enforcement Officials*, 15 January 1986.

Joint Pub 3-28, *Civil Support* (14 September 2007).

Army Regulation 700-131, *Loan and Lease of Army Materiel* (23 August 2004).

National Guard Regulation 500-1/ANGI 10-8101, *National Guard Domestic Operations* (13 June 2008).

FM 3-07, *Stability Operations and Support Operations* (06 October 2008).

FM 3-19.15, *Civil Disturbances* (18 April 2005).

Appendix J

Operations Security

Operations security (OPSEC) in the military is usually approached from the point of view of deploying to or operating within a combat zone. Because of this, many definitions and concepts of OPSEC, when applied to a domestic incident, may seem belligerent or even paranoid. As an open society, the United States demands open access to information, especially when dealing with a serious incident. This has to be balanced against the need to protect our forces as well as citizens.

OPSEC is a subset of information operations (IO). While IO has an offensive piece best suited to combat, there is defensive IO that protects and defends friendly information, command and control systems, and information systems. Effective defensive IO assure friendly commanders an accurate common operational picture based not only on a military perspective, but also on nonmilitary factors that may affect the situation (Field Manual [FM] 3-13, *Information Operations (IO): Doctrine, Tactics, Techniques, and Procedures*).

Joint Publication (JP) 3-13.3, *Operations Security*, describes OPSEC as “a methodology that denies critical information to an adversary. Unlike security programs that seek to protect classified information, OPSEC measures identify, control, and protect generally unclassified evidence that is associated with sensitive operations and activities.” This is critical information.

Critical Information

Critical information is information important to the successful achievement of U.S. objectives and missions, or which may be of use to an adversary of the United States. Critical information consists of specific facts about friendly capabilities, activities, limitations (includes vulnerabilities), and intentions needed by adversaries for them to plan and act effectively so as to degrade friendly mission accomplishment. Critical information is information that is vital to a mission that if an adversary obtains it, correctly analyzes it, and acts upon it will prevent or seriously degrade mission success. Critical information can be classified information or unclassified information. Critical information can also be an action that provides an indicator of value to an adversary and places a friendly activity or operation at risk. The term “critical information” has superseded the term “essential elements of friendly information (EEFI)” according to FM 3-13, EEFI now refers to critical information phrased in the form of a question to protect classified and sensitive information.

Sensitive Information

Sensitive information is information requiring special protection from disclosure that could cause compromise or threat to national security or to an Army organization, activity, family member, Department of the Army civilian or Department of Defense contractor. Sensitive information refers to unclassified information while sensitive compartmented information refers to classified information. Examples that may be deemed sensitive include but are not limited to: personal information; structuring; manning; equipment; readiness; training; funding; sustaining; deploying; stationing; morale; vulnerabilities; capabilities; administration and personnel; planning; communications; intelligence, counterintelligence, and security; logistics; medical; casualties; and acquisition plans.

Operations Security Defined

Army Regulation 530-1, *Operations Security*, defines OPSEC as a process of identifying critical information and subsequently analyzing friendly actions attendant to military operations and other activities to:

- a. Identify those actions that can be observed by adversary intelligence systems.
- b. Determine indicators that hostile intelligence systems might obtain that could be interpreted or pieced together to derive critical information in time to be useful to adversaries.
- c. Select and execute measures that eliminate or reduce to an acceptable level the vulnerabilities of friendly actions to adversary exploitation.

So what threats exist for DOD forces providing defense support to civil authorities within the United States?

Domestic threats: Domestic adversaries are not as readily identifiable because they are part of the local population. They may not have a formal intelligence collection service but they will have the advantage of detailed knowledge of the area and the people where they live and operate. The information domestic adversaries seek and obtain is readily available as open-source and unclassified information.

Criminals: The criminal threat is not as readily identifiable. Criminals will collect open-source and unclassified information that is publicly available; information they can obtain through means such as money or coercion, and information they can obtain from insiders in the unit or organization they target. The supporting criminal investigative unit may be able to assist both in identifying crime-conducive conditions that increase the risk of compromise of critical information and in mitigating or eliminating the criminal threat.

Hackers: A hacker is a highly skilled computer programmer who specializes in computer and network systems security. Some hackers apply their skills for legitimate uses; others have malicious intent motivated by ideology, criminal intent, revenge, thrill-seeking, or bragging rights. Malicious hackers can easily obtain information on computer systems and networks and have the skills to penetrate through sophisticated defenses. Hackers are extremely difficult to identify because they are able to remain hidden and anonymous through the vast expanse of the Internet. For these reasons, critical and sensitive information on publicly accessible Internet websites are easy targets for hackers and must not be posted on unclassified computers and networks.

Insiders: The insider threat consists of personnel who work inside the unit or organization. Insiders constitute the most dangerous threat because they have access to information for which they are cleared and because they can perform critical actions within the organization. Insiders who pose a threat are also very difficult to identify if they have taken steps to keep their collection activities unnoticed. For these reasons, sensitive and critical information should only be shared with personnel who need to know.

Internet: In recent years, the Internet has become a growing source of open-source information for adversaries of the United States. Websites, especially personal websites of individual Soldiers

(including blogs and pages on other social media sites), have the potential of posing significant vulnerability. Other forms of open-source information include public presentations, news releases from units or installations, organizational newsletters (both for official organizations and unofficial organizations, such as alumni or spouse support groups), and direct observation.

Social media: Sites such as Twitter and Facebook can become sources of information dissemination— accurate or inaccurate—to Soldiers, family, and the public faster than the chain of command does. News sources may also pose a threat; with 24-hour news services constantly demanding data, inaccurate, incomplete, and out-of-context stories can run almost instantly.

Terrorists: Terrorist actions range from gaining unauthorized access to command and control systems to physical attacks against commanders and decision makers. Terrorist groups have been identified as using commercial information systems—especially computer bulletin boards—to pass intelligence and technical data across international borders.

Methods of attack (FM 3-13) can include:

- Unauthorized access, either through insiders gaining physical access or through firewalls being penetrated.
- Malicious software (computer viruses, logic bombs, bypass programs, Trojan horses, etc.).
- Electromagnetic deception (manipulative, simulative, and/or imitative electromagnetic deception).
- Electronic attack (jamming, electromagnetic pulse, directed energy attacks).
- Physical destruction.
- Perception management (misinformation, deception, propaganda, etc.).

The Center for Army Lessons Learned has actively collected observation, insights, and lessons learned (OIL) in three major domestic operations: The G-8 Summit in 2004, hurricanes Katrina and Rita in 2005, and Operation Jump Start in 2006. In each of the three operations, credentialing of personnel has been noted as a finding. At the G-8 Summit, the U.S. Secret Service developed a common credentialing process. This process started two months before the event and continued until two days before the president's arrival. All agencies and personnel involved in the event required credentialing by the Secret Service. This process was important as a final check to verify the trustworthiness of personnel and to establish a common basis for trust between agencies.

Problems with this process included:

- The lead time required to get credentials. Personnel added to the task force in the last couple of weeks were less likely to receive the credentials due to the length of time it took the Secret Service to process them. The Secret Service took a minimum of 48 hrs to process credentials with the proper information clearance verification and digital picture.
- Some personnel were disqualified from credentialing and thus from participation because of the results of recent Secret Service checks. In some cases, people had recent

or outstanding arrests or warrants. In other cases, the Secret Service seemingly obtained incorrect information that led to refusal to issue credentials. Georgia Army National Guard (GANG) officials ran independent checks on soldiers who believed they were refused based on false information and in some cases verified that the information the Secret Service had was false. The request for credentials was resubmitted.

- Very limited contact between GANG and Secret Service representatives. Because of the limited contact GANG personnel had with the Secret Service credentials representative, coordination was more difficult as was resolving issues related to credentials refused or missing.

This challenge resurfaced in Operation Jump Start when CBP required clearances from Guard personnel separate from their DOD security clearances. The lesson “take ways” from this experience are:

- Identify and forward the names of Soldiers who will need credentials as early in the process as possible.
- Develop a process allowing Soldiers who were initially disqualified to be re-evaluated and resubmitted. This should include running independent police checks.
- Personnel from out-of-state and from other components should be notified of credentialing requirements early.

Operations Security Planning Considerations (JP 3-13.3)

1. The commander plays the critical role. OPSEC planning guidance must be provided as part of the commander’s IO planning guidance to ensure that OPSEC is considered during the development of friendly courses of action (COAs).

2. OPSEC is an operations function, not a security function. OPSEC planning is performed by the operations planners. The planners are assisted by the organization’s OPSEC officer and appropriate planners from other staff elements. Intelligence support, as early as possible in the planning process, is particularly important in determining the threat to friendly operations and assessing friendly vulnerabilities.

3. Joint task forces (JTFs) should establish a fully functional IO cell. The JTF staff (including the IO cell and OPSEC officer) develops IO plans that are passed to all elements of the JTF.

4. Planning must focus on identifying and protecting critical information. Denying all information about a friendly operation or activity is seldom cost effective or realistic.

5. The ultimate goal of OPSEC is increased mission effectiveness. By preventing an adversary from determining friendly intentions or capabilities, OPSEC reduces losses to friendly units and increases the likelihood of achieving mission success.

6. OPSEC is one of the factors considered during the development and selection of friendly courses of action. COAs will differ in terms of how many OPSEC indicators will be created and how easily those indicators can be managed by OPSEC measures.

Depending upon how important maintaining secrecy is to mission success, OPSEC considerations may be a factor in selecting a COA.

7. OPSEC planning is a continuous process. During all phases of an operation, feedback on the success or failure of OPSEC measures is evaluated based on measures of effectiveness and the OPSEC plan is modified accordingly. Friendly intelligence and counterintelligence organizations, communications security (COMSEC) monitoring, and OPSEC assessments are the primary sources for feedback information and are continuous throughout the OPSEC planning process.

8. The public affairs officer participates in OPSEC planning to provide assessments on the possible negative effects of media coverage and all other public release of information by members of the command and for the coordination of OPSEC measures and public affairs ground rules to minimize those effects. The public affairs office (PAO) ensures that the media pool, media clearances, media releases, and authorization of video transmissions are within established OPSEC measures. The PAO also ensures the command (internal) information program addresses OPSEC and ground rules for the release of information (officially or unofficially) by military members through the internet and other communications mediums subject to public access or monitoring. See JP 3-61, *Public Affairs*, for more details.

OPSEC process

The five-step OPSEC process includes:

- Identification of critical information.
- Analysis of threats.
- Analysis of vulnerabilities.
- Assessment of risk.
- Application of appropriate OPSEC measures.

For detailed explanations of the OPSEC process, see Chapter 3 of FM 3-13.

Physical Security

Physical security consists of protective measures to deny unauthorized personnel access to specific areas, facilities, material, or classified information.

- By denying access, physical security measures can be an OPSEC measure. However, physical security measures can become compromised (for example, personnel routinely and predictably leaving a facility unattended, easily seen sensors, changing military police patrols at set times, reacting predictably to alarms and being careless or lazy in implementing physical security measures).
- OPSEC can support physical security by identifying those actions and information that would be indicators that an adversary could exploit.

Force Protection

Force protection consists of actions taken to prevent or mitigate hostile actions against all DOD personnel (Service members, DOD civilians, DOD contractors, and family members), resources, facilities and critical information. Force protection does not include actions to defeat the adversary or protect against accidents, weather, or disease. OPSEC plays a vital role in the following ways:

- OPSEC can identify indicators of routine actions observable by a terrorist that represent vulnerability both in a tactical environment and in garrison.
- OPSEC can assist in determining measures to negate effective terrorist collection of information needed for planning.
- OPSEC can identify indicators and recommend OPSEC measures to protect possible or existing vulnerabilities in protective measures.
- OPSEC can assist traditional security disciplines in ensuring their protective measures are in the right place at the right time.
- OPSEC develops critical information that identifies what must not be allowed to appear in the public domain to prevent collection by a terrorist.

An example of force protection would be actions taken by JTF Zia during Operation Jump Start in New Mexico. Army National Guard Soldiers deployed to the southwest U.S. border initially were housed in local hotels with no security. Local gangs had been identified as possible adversaries, so the JTF commander instituted force protection requirements that included removing uniforms as soon as returning to the hotel and traveling in groups of at least four Soldiers. Later, a forward operating base was built, and Soldiers were centrally housed with 24-hour security.

Communications Security (AR 530-1)

Measures and controls taken to deny unauthorized persons information derived from telecommunications and ensure the authenticity of such telecommunications. (**Note:** This is different from the joint definition (from JP 6-0) of “The protection resulting from all measures designed to deny unauthorized persons information of value that might be derived from the possession and study of telecommunications, or to mislead unauthorized persons in their interpretation of the results of such possession and study.”)

An example of COMSEC is from the National Guard’s weapons of mass destruction civil support teams (WMD CST). These specialized units arrive on an incident scene with their own robust communications suite, capable of operating on military or civilian first responder communications networks. Per FM 3-11.22, *Weapons of Mass Destruction-Civil Support Team Operations*, December 2007, the commander has the discretion to determine whether or not encryption should be used during WMD-CST response operations. (**Note:** According to AR 25-2, *Information Assurance*, WMD-CSTs are not required to be encrypted when conducting activities with civil agencies.)

Computer security

Measures and controls that ensure confidentiality, integrity, and availability of the information processed and stored by a computer.

References

AR 530-1, *Operations Security (OPSEC)*, 19 April 2007.

FM 3-13, *Information Operations (IO): Doctrine, Tactics, Techniques, and Procedures*, 28 November 2003.

FM 3-11.22, *Weapons of Mass Destruction-Civil Support Team Operations*, December 2007.

JP 3-13, *Information Operations*, 13 February 2006.

JP 3-13.3, *Operations Security*, 29 June 2006.

JP 3-57, *Civil-Military Operations*, 8 July 2008.

Appendix K

Airspace Command and Control

Airspace command and control (AC2) as defined in Training and Doctrine Command Pamphlet (Pam) 525-7-3 replaces Army airspace command and control (A2C2), which was primarily a planning and integration process. AC2 is the dynamic integration of all airspace users in accordance with the commander's intent, priorities, and risk guidance.

History

On 29 August 2005, Hurricane Katrina made landfall. In less than 48 hours the scope of that Category 3 storm overwhelmed Gulf Coast state and local response capabilities. When Hurricane Rita, a Category 4 storm, made landfall on 24 September 2005, the regional situation deteriorated. The Department of Defense (DOD) participated in an unprecedented disaster response effort supporting the Federal Emergency Management Agency (FEMA), the lead federal agency.

U.S. Northern Command (USNORTHCOM) exercised its homeland defense responsibilities and established two disaster response joint task forces (JTFs): Katrina (JTF-K) commanded by First Army, Fort Gillem, GA, and Rita (JTF-R) commanded by Fifth Army, Fort Sam Houston, TX. In addition, 1st Air Force, Tyndall Air Force Base (AFB), FL was designated to perform command and control for Air Force assets supporting air operations in and around the Katrina joint operating area. To exercise this responsibility, 1st Air Force established the 1st Air Expeditionary Task Force (1st AETF), Tyndall AFB, FL, to be the Air Force service component of JTF-Katrina. When Fifth Army stood up JTF-Rita, 1st AETF became JTF-R's Air Force service component.

1st AETF was responsible for coordinating and integrating relief operations with local, state, and federal agencies. It established air expeditionary groups (AEGs) at Louis Armstrong New Orleans International Airport, LA; Alexandria, LA; Keesler AFB, MS; Jackson, MS; and Maxwell AFB, AL. These AEGs supported forward-deployed Airmen on the periphery of the disaster area.

1st Air Force

With its headquarters at Tyndall Air Force Base in the community of Panama City, FL, 1st Air Force (Air Forces Northern [1AF/AFNORTH]) is one of five numbered air forces assigned to Air Combat Command. It has sole responsibility for ensuring the air sovereignty and air defense of the continental United States (CONUS), U.S. Virgin Islands, and Puerto Rico. As the CONUS Region (CONR) for the binational North American Aerospace Defense Command (NORAD), CONR provides air defense in the form of airspace surveillance and airspace control.

As the USNORTHCOM air component, AFNORTH is the senior agency in the United States Theater Air Control System (USTACS) and is specifically responsible for the land areas of the continental United States, U.S. Virgin Islands, Puerto Rico, and the surrounding seas out to approximately 500 nautical miles. When tasked, it conducts homeland defense and defense support of civil authorities (DSCA) operations in the USNORTHCOM area of responsibility. The DSCA mission is to use air assets to defeat terrorism; support local, state, regional, and federal emergency service agencies; and to protect the American people and their way of life.

Organization

AFNORTH is a U.S. Air Force component headquarters/numbered air force consisting of a command element, air staff, personal, staff and air and space operations center (AOC).

Special designations

Additional authorities may be delegated by the commander, USNORTHCOM to the AFNORTH commander to fulfill special responsibilities in air domain operations, including the following:

- **Combined force air component commander (CFACC):** The CFACC is responsible for planning, tasking, and directing air and space capabilities from multiple services and coordinating activity with interagency air capabilities.
- **Airspace coordination authority (ACA):** The ACA is responsible for coordinating and deconflicting air traffic. This responsibility is almost always retained by the Federal Aviation Administration (FAA). All airspace planning must be coordinated with and approved by the FAA as the ACA. AFNORTH collaborates directly with FAA on military airspace planning.
- **Space coordinating authority (SCA):** The SCA is responsible for collecting and linking any space requirements (imagery, communications, GPS, etc) and ensuring space products are effectively and efficiently disseminated.
- **Collections operations manager (COM):** The COM for imagery analysis and assessment is responsible for collecting and linking federal, state and military imagery requirements to specific imagery platforms and ensuring imagery products are effectively and efficiently disseminated.

Combined Air and Space Operations Center

The Combined Air and Space Operations Center (CAOC) executes combined NORAD air missions in accordance with bilateral Canada-US NORAD agreements.

- **CAOC airspace management team:** Within a typical CAOC, the airspace management team is a component of the command and control planning team. Due to the complexity of integrating military operations with civilian operations in the national airspace system (NAS), an existing airspace control system, and constant DOD FAA coordination, the airspace management team is separate from the C2 team within the combat plans division (CPD). The airspace management team consists of military and civilian air traffic controllers responsible for coordinating and integrating the airspace control system with the FAA. In recognition of the FAA's statutory responsibility, military air operations are designed to coexist with civilian operations and have as little impact on the NAS as possible.
- **Airspace coordination plan (ACP):** The airspace plans team develops and coordinates the ACP with the FAA. The ACP document, which is approved by the joint force commander, provides specific planning guidance and procedures for the airspace control system in the airspace control area. The plans team coordinates airspace requests and matters affecting military aircraft control with the FAA, the International

Civil Aviation Organization, military units, foreign agencies, and other applicable federal and state agencies. The team receives, processes, and deconflicts airspace control measure requests to develop the airspace control order. The airspace control order implements the airspace coordination plan, which provides the specific details of the approved request for airspace coordinating measures.

- **Air traffic control:** Airspace control increases mission effectiveness by promoting the safe, efficient, and flexible use of airspace with high-volume aircraft operations while placing minimal restraints upon the airspace users. Regardless of AFNORTH's airspace control measures, all flights are conducted under standard federal air regulations. The FAA uses temporary flight restrictions (TFRs) to regulate entry into the airspace. These TFRs define the restricted airspace and outline the requirements for operating within it. The CAOC uses and incorporates positive control elements of the NAS and procedural control capabilities of theatre battle management core systems (TBMCS) computers to maximize flying safety in the airspace control area. The ACP and airspace control order (ACO) are in no way intended to supersede air traffic control procedures or instructions. Aircraft operating within Class B, C, D, and terminal radar service area (TRSA) airspaces will operate in accordance with air traffic control airspace class requirements. The ACP and ACO are additional guidance and procedures ratified by the airspace coordination authority regulating participating DOD aircraft.
- **Operations airspace team:** The operations airspace team is responsible for coordinating and managing all airspace management activities. The team monitors flying activities to ensure that airspace control measures are compatible with mission requirements. They coordinate with internal and external C2 agencies on airspace control issues, requests, and problems. This team is the focal point for disseminating ACO changes. Team members monitor and disseminate airfield navigational aids, and air traffic control facility status and information reports consistent with FAA reporting. Team members also facilitate immediate coordination with the host nation (normally the FAA) on airspace control issues, requests, and problems within the airspace control area.

CAOC air mobility division

In coordination with the director of mobility forces–air, the air mobility division (AMD) plans, coordinates, tasks, and executes the theater air mobility mission. This includes air refueling and airlift support to Operation Noble Eagle and civil support missions such as hurricane hunters, Modular Aerial Spray System (MASS), and the military airborne firefighting system (MAFFS). During contingencies, this mission expands to provide the joint forces air component commander (JFACC) /combined forces air component Commander (CFACC) with a single air mobility picture in the USNORTHCOM area of operations (AOR) including state-directed Air National Guard (ANG) forces (Title 32) and federally directed active duty forces (Title 10). By providing this information, the AFNORTH AMD is able to ensure continuity and synchronization, prevent duplication of effort, enhance safety, and promote efficiency of assets across the entire air mobility spectrum of operations.

Airlift control team

The airlift control team (ALCT) is the source of intratheater airlift expertise within the AMD. The ALCT brings intratheater airlift functional expertise to plan, task, and coordinate intratheater

airlift operations for the commander of Air Force forces. The ALCT has three responsibilities: planning, tactics development, and long-range requirement determination. In the AFNORTH AOR, virtually all airlift missions are planned by the Air Mobility Command (AMC)/Tanker Airlift Control Center (TACC) at Scott AFB, IL with coordination through the ALCT. DSCA missions, including hurricane hunters, MASS, and MAFFS, provide exceptions. For DSCA, the ALCT provides planning efforts and coordination with individual units and lead civilian agencies to achieve desired goals while also incorporating in the USNORTHCOM air tasking order (ATO).

Aeromedical evacuation control team

The aeromedical evacuation control team (AECT) is responsible for aeromedical evacuation operational planning, scheduling, tasking, and assisting the air mobility control team with execution and monitoring. The AECT coordinates airlift support and evaluates available air mobility airframes assigned to or transiting the theater for possible tasking to meet theater aeromedical evacuation (AE) requirements.

The AFNORTH CAOC/AMD does not have a standing AECT. During contingency operations, when aeromedical evacuation is required, AMD augmentation is typically provided by AMC to form an AECT at the AFNORTH AOC for the purpose of providing the JFACC with a single air mobility picture. In cases where augmentation is not available, the AMD ensures coordination between AFNORTH/surgeon general and the Global Patient Movement Requirements Center at Scott AFB, IL to coordinate and accomplish any USNORTHCOM-directed aeromedical evacuations.

Regional air movement coordination center

The AFNORTH regional air movement coordination center (RAMCC) is part of the joint concept of operations for air mobility during crisis response. The RAMCC stands up during contingencies to provide management of airflow into and out of designated airfields for the purpose of maximizing personnel and cargo throughput. It coordinates with military C2 elements (contingency response group [CRG], contingency response element [CRE], and contingency response team [CRT]) present at the airfields to determine maximum on-ground limitations and factors that affect airflow. The RAMCC then coordinates with the FAA, TACC, NGB, and ALCT to determine and issue slot times for aircraft transiting the contingency airfield.

Airbase and airfield opening: Contingency response group, element, and team

Cross-functional contingency response groups (CRGs), contingency response elements (CREs) and contingency response teams (CRTs) are designed to rapidly deploy—without formal request—to support the openings of airbases or airfields or to extend existing airfield infrastructure. Both the U.S. Transportation Command (USTRANSCOM) and the ANG have units that provide teams that vary in size from 12 to 113 members, depending on the support required. Their capabilities include airfield assessment, airfield operations, C2, aerial port, aircraft maintenance, air traffic control, intelligence, security, fuels, supply, contracting, and finance. AMC has six CRG units located at two contingency response wings; the 615th at Travis AFB, CA and the 621st at McGuire AFB, NJ. The ANG has two CRGs: the 123rd CRG at Louisville, KY and the 108th CRG at McGuire AFB, NJ.

The CRG/CRE is under the operational control (OPCON) of USTRANSCOM, but OPCON may be shifted to the USNORTHCOM commander after initial deployment when a formal support relationship is mandated by Joint Chiefs of Staff (JCS). Once deployed, CRG/CRE can self-sustain for five days after which resupply is required. Units should be relieved by follow-on forces no later than 45 days from the CRG/CRE arrival date regardless of status. Early planning and submission of a request for forces for follow-on air expeditionary forces are essential.

Mobile aeromedical staging facility

A mobile aeromedical staging facility (MASF) is a rapid-response, patient-staging facility used across the spectrum of conflict. The MASF provides the ability to receive, process, and support patients awaiting AE.

How to Request/Access AFNORTH Air Mobility Support

Request through deployed air component coordination element (ACCE) team, Air Mobility Division (AMD) liaison officer, or emergency preparedness liaison officers or by contacting the Director, Mobility Forces– Air DIRMObFOR– Air or AMD chief by phone or email.

Toll free: (800) 896-8806 (Tyndall Base Operator)

AFNORTH DIRMObFOR–Air: (850) 283-5350, DSN 523-5350, e-mail: afnorthdirmobfor@tyndall.af.mil

Combined Air Operations Center (CAOC) chief, AMD: (850) 283-5098/5858, DSN 523-5098/5858

CAOC Tanker/Airlift Duty Officer: (24/7/365) (850) 283-5549/5741, DSN 523-5549/5741, e-mail: 601aoc.amd@tyndall.af.mil

Table K-1

How to Request/Access Airspace Planning Capabilities

Air Space Planning: (850) 283-8654, DSN 523-8654

601 Air and Space Operations Center/Combat Plans Air Space Division: (850) 283-5837/5860, DSN 523-5837/586.

Table K-2

Contingency Response Air Support Schedule

Purpose

During hurricanes Katrina and Rita, conducting traditional command and control of DOD forces during contingency operations became problematic because availability of secure communications was limited. The large number of non-DOD forces operating in the area made the air picture more complex. To assist with collaboration and coordination, the CAOC Combat Plans Division implemented the following procedures for ATO and contingency response air support schedule (CRASS) processes.

CRASS philosophy

The CRASS is not a “tasking” document. It serves as a visibility document intended to maximize visibility of air operations in the disaster area or joint operations area (JOA) among all participants.

Communication formats

Classified means will be used to disseminate taskings for aircraft assigned, attached or operating in support of the JFC as determined through consultation with component commanders. JFACC normally exercises OPCON of U.S. Air Force forces and tactical control of any Navy, Army, and Marine aviation assets made available to the JFACC. All taskings will be coordinated by the JFACC and published in an AFNORTH ATO. According to Joint Publication (JP) 3-30, *Command and Control for Joint Air Operations*, inclusion of component air assets in the ATO does not imply any command or tasking authority over them. The responsibility for planning, coordinating, and developing ACP/ACO and operating an airspace control system also rests with the JFACC. Classified AFNORTH ATO, as well as amplifying information (ACP/ACO/special instructions [SPINS]) will be developed and published by 601 CPD. All information is available on Theater Battle Management Core Systems (TBMCS)/web browsers on releasable to Canadian and U.S. forces (RELCAN) and SECRET Internet Protocol Router (SIPR) networks through 601 CPD website and updated according to the ATO cycle.

Unclassified means will be utilized to disseminate CRASS and amplifying information (ACP/ACO/special instructions [SPINS]). CRASS will enable increased SA of all aircraft (including non-DOD) operating in the JOA. The CRASS includes all interagency missions, as well as planned flying by other agencies (including Title 32 ANG, etc). The fidelity of this product depends on the information provided by non-DOD agencies and organizations. It will be published using a common application (Excel) to ensure data access. It requires increased coordination with state emergency operations centers (EOCs), law enforcement agencies and other agencies to ensure accuracy.

While compliance with the ACO/ACP/SPINS is not mandatory, non-DOD agencies are encouraged to provide inputs to the CRASS worksheet. All information will be updated in accordance with the classified ATO cycle. CAOC CPD will coordinate with state EOC and other agencies to ensure fullest dissemination of required documentation and increased support of JFACC mission. Required information is published on the AFNORTH public domain Internet website: <AFNORTH.US/sample/CRASS%20Contingency%20Response%20Air%20Support%20Schedule/Forms/AllItems.aspx>.

The website address will also be published on any FAA Notices to Airmen created in response to the contingency.

References

Defense Support to Civil Authorities (DSCA) Air Support Handbook, Headquarters First Air Force/Air Forces Northern (1AF [AFNORTH]), 1 January 2009.

TRADOC Pam 525-7-3, *The United States Army Concept Capability Plan for Airspace Command and Control for the Future Modular Force*, Version 1.0, 20 April 2009.

AFNORTH Fact Sheet, <<http://www.1af.acc.af.mil/library/factsheets/afctsheet.asp?id=4107>>, August 2008.

Appendix L

Search and Rescue

National Search and Rescue Committee

The National Search and Rescue Committee (NSARC) is a federal-level committee formed to coordinate civil search and rescue (SARs) matters of interagency interest within the United States. Its members include:

- Department of Defense (DOD).
- Department of Commerce.
- Department of Transportation.
- Department of the Interior.
- Department of Homeland Security.
- Federal Communications Commission.
- National Aeronautics and Space Administration.

The NSARC developed the National Search and Rescue Plan, which divided the United States into search and rescue regions (SRR) and assigned SAR coordinators for each. They are:

- United States Air Force: Recognized SAR coordinator for the United States aeronautical SRR corresponding to the continental United States other than Alaska.
- United States Pacific Command: Recognized SAR coordinator for the United States aeronautical SRR corresponding to Alaska.
- United States Coast Guard: Recognized SAR coordinator for all other U.S. aeronautical and maritime SRRs. This includes the state of Hawaii as well as waters over which the United States has jurisdiction, such as navigable waters of the United States.

During a Stafford Act incident, the DOD may provide SAR support following a request by the Federal Emergency Management Agency (FEMA), directed by a joint director of military support and approved by the secretary of defense. However, local commanders may also provide SAR support when an imminently serious threat to public health and safety exists and time does not permit prior approval. Within the United States, the Title 10 air support to civil operations falls under the control of 1st Air Force/Air Force North (1AF/AFNORTH). On the ground, urban SAR is conducted by specialized units of both government and nongovernmental organizations. In the National Response Framework (NRF), SAR falls under Emergency Support Function (ESF) #9. See Chapter 5 of this handbook for more on the ESFs.

Aeronautical Search and Rescue

1AF/AFNORTH rapidly responds to nonmilitary threats. Under its defense support to civil authorities (DSCA) mission, the organization assists civilian agencies before and during emergencies, natural or man-made disasters, and other DOD-approved activities. This role provides the ability to save lives, relieve suffering, prevent property damage, and provide humanitarian assistance where and when it is needed most in the United States.

Operating with the 601st Air Operations Center, the Air Force Rescue Coordination Center (AFRCC) serves as the U.S. inland SAR mission coordinator and is the single agency responsible for coordinating on-land federal searches. These SAR operations can be conducted anywhere in the 48 states, Mexico, and Canada. The AFRCC has direct ties to the Federal Aviation Administration alerting system and the U.S. Mission Control Center. The joint forces air component commander (JFACC) establishes a joint personnel recovery center (JPRC), as required. The Civil Air Patrol (CAP), flying as the Air Force Auxiliary (AFAUX), is a significant partner in SAR and other DSCA missions.

Air Force Rescue Coordination Center

The United States Air Force (USAF) is designated by the National Search and Rescue Plan (NSP) as the SAR coordinator for the U.S. aeronautical SRR corresponding to the continental United States other than Alaska. The secretary of the Air Force has delegated this responsibility through headquarters Air Combat Command/commander (CC) to 1 AF/CC. The AFRCC coordinates federal SAR services, ensuring timely and effective lifesaving operations. Additionally, the AFRCC conducts advanced SAR planning instruction, through the National SAR School, to federal, state, and local agencies as well as to volunteer SAR organizations and controllers. The AFRCC is an active duty squadron integrated into the 601st Air and Space Operations Center at Tyndall Air Force Base, FL.

The AFRCC is responsible for coordinating all federal inland commercial, military, and interstate aeronautical SAR in the contiguous United States and assists Mexico and Canada when requested. The responsibilities include:

- Initiating searches for missing/overdue aircraft (including all DOD, commercial, and interstate aircraft or intrastate aircraft, if requested by the state).
- Managing all inland emergency beacon searches: 121.5, 243.0 and 406 megahertz (MHz) emergency locator transmitters (ELTs) on aircraft, emergency position-indicating radio beacons (EPIRBs) for maritime environment, and personal locator beacons (PLBs) that are used in all environments. (Hikers, mountain climbers and anyone else who has the capability of getting lost could use a PLB.)
- Brokering federal assets to support state and local SAR operations (including missing person searches, medical evacuation, organ transport, transport of ground SAR units, and special capabilities).

NSP: It is the policy of the signatory federal agencies to provide an NSP for the United States for coordinating SAR services to meet domestic needs and international commitments.

Implementing guidance for this plan is provided in the *International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual* and the *National Search and Rescue Supplement (NSS)* and supporting addenda. The NSP describes the U.S. SAR organization, key authorities, responsibilities, primary principles, and policies within the SAR system. The NSP is solely intended to provide internal guidance to all signatory federal agencies. State organizations retain established SAR responsibilities within their boundaries for incidents that are primarily local or intrastate in character. As such, the AFRCC maintains memorandums of agreement between each state governor and 1 AF/CC that establish SAR responsibilities between the designated Inland SAR coordinator and each state. A memorandum of understanding exists between the governor's designated state SAR coordinator and AFRCC/CC (the SAR mission coordinator) on how the SAR responsibilities are conducted in each state.

Joint Personnel Recovery Center (JPRC): According to Operation Order 08-01, the Northern Command (NORTHCOM) commander designated the JFACC as the supported personnel recovery commander and establishes the NORTHCOM JPRC in the 601st Air and Space Operations Center to plan and execute joint DOD (Title 10) personnel recovery for NORTHCOM's area of responsibility and DSCA in support of state catastrophic incident SAR (CIS) operations. The JPRC plans, coordinates, and executes joint CIS missions, coordinates CIS procedures published in the air tasking order (ATO) and special instructions, reviews theater plans, and coordinates joint training and exercises.

ESF #9: The Department of Homeland Security/FEMA activates ESF #9 when an incident is anticipated or occurs that may result in a request for a unified federal SAR response to an impacted area. DOD is one of the four primary federal partners for ESF #9. Following a presidential disaster declaration, the designated lead primary agency for ESF #9 coordinates federal SAR response with federal, state, tribal, territorial, and locally designated SAR authorities to integrate federal SAR resources and support the requesting state.

Global Area Reference System (GARS): GARS is a standardized area reference system used across DOD and CAP which can be used to deconflict deliberate SAR operations. It is based on the standard latitude and longitude system to provide an integrated common frame of reference for joint force situational awareness and facilitate air-to-ground coordination, deconfliction, integration, and synchronization. This area reference system provides a common language between the components and simplifies communications. It is important to note that GARS is primarily designed as a battle-space management tool and not to be used for navigation or targeting.

GARS design: GARS divides the surface of the earth into 30-minute by 30-minute cells. Each cell is identified by a five-character designator, such as 006AG. The first three characters designate a 30-minute wide longitudinal band. Beginning with the 180-degree meridian and proceeding eastward, the bands are numbered from 001 to 720, so that 180 E to 179 30 W is band 001; 179 30 W to 179 00 W is band 002; and so on. Additional information and GARS grids can be downloaded from the National Geospatial Intelligence Agency website at <<http://earth-info.nga.mil/GandG/coordsys/grids/gars.html>>

The AFRCC and JPRC are available for SAR planning support advice and assistance 24 hours a day, every day at 800-851-3051, (850) 283-5955, or DSN 523-5955.

Civil Air Patrol Air Force Auxiliary

The CAP, a volunteer civilian SAR organization, provides SAR services as an official auxiliary of the USAF and represents the primary SAR resource available to the civil sector. Under the NRF, FEMA is the primary agency for ESF #9.

When tasked by the Air Force, CAP, in its AFAUX role, can support federal state and local authorities, performing various reconnaissance, emergency services, homeland security and disaster relief missions. CAP has over 55,000 volunteers and a fleet of 550 aircraft nationwide (including Puerto Rico and the Virgin Islands) available for tasking, generally with a 4-hour response time.

With advanced coordination, CAP/AFAUX forces can be postured to a responsive alert status with a capability to launch within minutes. For nonimmediate response incidents, it is imperative to plan ahead and make requests early enough to ensure timely approval of requests through the normal AFNORTH ATO process.

CAP/AFAUX capabilities include:

- **Aerial imaging:** Provides the ability to image, transmit, and download high resolution digital photos from airborne platforms via e-mail. Provides short-notice, in-flight disaster and damage assessment as well as ongoing visual reconnaissance.
- **Airborne visual reconnaissance:** Conducts visual airborne reconnaissance of isolated locations, border and coastal areas, ports and harbors, and critical infrastructure, including nuclear power plants, gas pipelines, reservoirs, etc. to help identify suspicious activity.
- **Satellite link airborne dynamic retasking:** Satellite links provide the ability to contact aircraft in order to retask/request different photo orientation or mission changes.
- **Light air transport/air taxi:** Provides transport of human blood or organs, equipment, passengers, or search dog teams to austere/remote airfields.
- **Air and ground fleet availability:** Maintains a fleet of over 550 aircraft, 940 ground vehicles and trained crews available for SAR.
- **Communications support:** An extensive communications network that provides very high frequency (VHF) and high frequency (HF) capability as well as aerial communications relay platforms. The network includes over 5,000 fixed land VHF radio stations and 10,000 mobile radios, as well as a nationwide HF network.
- **Personnel:** A cadre of more than 650 chaplains is available for weekly religious services or general support. Trained ground crews to provide damage assessment and mitigation, disaster recovery, and limited security to augment civil and military authorities.

- **Law enforcement support:** Ability to take law enforcement or VIP personnel aloft for visual reconnaissance of areas of interest when legal requirements are met.
- **Sensor adaptability:** Capable (with sufficient advanced coordination) of carrying various customer-supplied sensor packages aloft.

CAP/AFAUX assets

- **Aircraft:** Five hundred and fifty light civil aircraft, including Cessna C-172, C-182, and C-206 models, as well 16 Gippsland GA-8 eight seat aircraft, are strategically placed throughout the nation.
- **Satellite digital imaging system- (SDIS)- equipped aircraft:** One hundred C-182 are aircraft equipped with SDIS and are used to transmit still-frame digital pictures in near real time and direct voice communications from the aircraft.
- **Aircraft equipped hyperspectral system:** The 16 Gippsland GA-8 is equipped with airborne hyperspectral imaging systems for complex or sophisticated target detection.
- **Ground equipment:** CAP has over 850 seven-, 12-, and 15-passenger vans, 4x4s, and long-bed pickups, as well as 90 dedicated communications vehicles with limited all-band capability.
- **Nationwide radio communications system:** Comprised of over 15,000 CAP-owned base, mobile, and portable two-way radios, the national & regional HF radio networks provide survivable, infrastructure-independent command and control communications that are not dependent on satellite/cellular telephone systems. There are over 500 VHF radio repeater stations located strategically throughout the country, as well as 1,400 airborne, mobile, and hand-held direction finder (DF) units.

Sensor descriptions

- **Direction finder (DF):** The DF is designed to locate emergency locator beacons on downed aircraft or emergency position indicating radio beacons from ships in distress. It can receive emergency signals on 121.5 MHz (old civil frequency), 243 MHz (old military frequency), and 406 MHz (new universal frequency).
- **SDIS:** Point-to-multipoint transmission of aerial digital photography is delivered in-flight via satellite communications. An SDIS functional unit is comprised of an aircraft equipped with a photo window, a digital camera, laptop computer, aircraft satellite telephone equipment and a trained three-person crew. Since images are sent directly to a customer's computer, no specialized ground equipment is needed. A photo is attached to a standard Microsoft Outlook e-mail, allowing for text information (latitude or longitude coordinates, time stamp, site identification, conditions, etc.) to accompany photos. The near real-time nature of SDIS images has proven effective in SAR; disaster response and damage assessment; environmental impact damage, destruction appraisal, and tracking; and facility security reconnaissance, among many other tasks.

- **Airborne real-time cueing hyperspectral enhanced reconnaissance (ARCHER):** ARCHER is the most sophisticated unclassified hyperspectral imaging system available. It has direct applications for SAR, counterdrug; disaster relief, and impact assessment, and homeland security. ARCHER is a non-invasive reflected light technology that uses three separate methods for target identification:
 - Spectral signature matching: Evaluates reflected light against a library of spectral signatures to identify specifically-targeted objects.
 - Anomaly detection: Compares reflected light against a continuously calculated background spectrum. Anomalies are flagged as potential targets for further evaluation.
 - Change detection: Executes a pixel-by-pixel comparison of current image against ground conditions that were obtained in a previous mission over the same area. Scene changes are identified, and new, moved or departed targets are highlighted for evaluation.

How to Request/Access CAP/AFAUX Capabilities

(SAR/Life-saving missions include emergency blood, organ and tissue transport.)

AFRCC (24/7/365): Toll free: (800) 851-3051; DSN 523; commercial: (850) 523-5955

All Other Mission Requests

(Includes immediate response missions to prevent human suffering or to mitigate great property damage.)

CAP National Operations Center 24/7/365 on-call duty officer available: Toll free: (888)-211-1812, Ext 300

AFNORTH CAP liaison officer, normal duty hours only: Toll free: (800) 896-8806 (Tyndall operator); commercial: (850) 283-5880; DSN 523

Combined Air Operations Center senior operations duty officer, 24/7/365: Toll free: (800) 896-8806 (Tyndall operator); commercial: (850) 283-5573

Urban Search and Rescue

Urban search-and-rescue (USAR) involves the location, rescue (extrication), and initial medical stabilization of victims trapped in confined spaces. Structural collapse, transportation accidents, mines and collapsed trenches can lead to victims being trapped.

Urban search-and-rescue is considered a “multihazard” discipline, as it may be needed for a variety of emergencies or disasters, including earthquakes, hurricanes, typhoons, storms and tornadoes, floods, dam failures, technological accidents, terrorist activities, and hazardous materials releases. The events may be slow in developing, as in the case of hurricanes, or sudden, as in the case of earthquakes.

If a disaster event warrants national USAR support, FEMA will deploy the three closest task forces within six hours of notification and additional teams as necessary. The role of these task forces is to support state and local emergency responders’ efforts to locate victims and manage recovery operations.

Each task force consists of two 31-person teams, four canines, and a comprehensive equipment cache. USAR task force members work in four areas of specialization: search, to find victims

trapped after a disaster; rescue, which includes safely digging victims out of tons of collapsed concrete and metal; technical, made up of structural specialists who make rescues safe for the rescuers; and medical, which cares for the victims before and after a rescue.

Today there are 28 national task forces staffed and equipped to conduct round-the-clock SAR operations following earthquakes, tornadoes, floods, hurricanes, aircraft accidents, hazardous materials spills, and catastrophic structure collapses. These task forces, complete with necessary tools and equipment and required skills and techniques, can be deployed by FEMA for the rescue of victims of structural collapse. A task force is totally self-sufficient for the first 72 hours of a deployment.

What the task force can do:

- Conduct physical SAR in collapsed buildings.
- Provide emergency medical care to trapped victims.
- Use SAR dogs.
- Assess and control gas, electric service and hazardous materials.
- Evaluate and stabilize damaged structures.

Urban Search and Rescue Task Force Locations		
State	Number	Organization
Arizona	AZ-TF1	Phoenix
California	CA-TF1	Los Angeles City Fire Department
	CA-TF2	Los Angeles County Fire Department
	CA-TF3	Menlo Park Fire Department
	CA-TF4	Oakland Fire Department
	CA-TF5	Orange County Fire Department
	CA-TF6	Riverside Fire Department
	CA-TF7	Sacramento Fire Department
	CA-TF8	San Diego Fire Department
Colorado	CO-TF1	State of Colorado
Florida	FL-TF1	Miami-Dade Fire Department
	FL-TF2	Miami Fire Department
Indiana	IN-TF1	Mairon County
Maryland	MD-TF1	Montgomery County
Massachusetts	MA-TF1	City of Beverly
Missouri	MO-TF1	Boone County Fire Protection District
Nebraska	NE-TF1	Lincoln Fire Department
Nevada	NV-TF1	Clark County Fire Department
New Mexico	NM-TF1	State of New Mexico

New York	NY-TF1	New York City fire, emergency medical service, and police
Ohio	OH-TF1	Miami Valley Urban Search and Rescue
Pennsylvania	PA-TF1	Commonwealth of Pennsylvania
Tennessee	TN-TF1	Memphis Fire Department
Texas	TX-TF1	State of Texas Urban Search and Rescue
Utah	UT-TF1	Salt Lake Fire Department
Virginia	VA-TF1	Fairfax County Fire and Rescue Department
	VA-TF2	Virginia Beach Fire Department
Washington	WA-TF1	Puget Sound Task Force

Table L-2. Urban Search and Rescue Task Force Locations.

Detailed procedures for USAR can be found in FEMA’s *Urban Search and Rescue Response System in Federal Disaster Operations* manual, January 2000. This and other resources are available at <<http://www.fema.gov/emergency/usr/resources.shtm>.>

Army support



Figure L-1.

The 911th U.S. Army Technical Rescue Engineer Company (911th EC) is the only unit of its kind in the U.S. Army. 911th EC is comprised of combat engineers trained in technical rescue tasks, specializing in rescue techniques for victims trapped in collapsed buildings.

On order, 911th EC deploys and conducts technical rescue operations in support of military and/or federal contingencies in the National Capital Region. When not training or engaged in rescue missions, the unit provides limited engineer support to the Military District of Washington.

The 911th EC trains with state, local and federal agencies to include FEMA USAR teams, to develop and maintain the most advanced skills in the field.

U.S. Army Corps of Engineers

The U.S. Army Corps of Engineers (USACE) USAR mission is to provide efficient and effective physical and technical support to the FEMA mission response effort under ESF #9. This includes developing, training, and equipping USACE structural engineers to operate as support to the FEMA USAR task forces and the FEMA USAR incident support team (IST) engineering cell. The USAR program also provides training for all FEMA USAR structures specialists.

Additional USACE mission priorities include:

- Provide technical assistance to local jurisdictions regarding rescue efforts.
- Provide technical assistance to military personnel who provide light to heavy USAR support.
- Provide technical support to other agencies (such as the Federal Bureau of Investigation, Drug Enforcement Agency, Bureau of Alcohol, Tobacco and Firearms, National Institute of Standards and Technology, etc.)

USACE provides USAR training courses for structures specialists (StS) from both USACE and FEMA. In addition, other agencies attend this course, such as the Army's 911th EC, state, and regional task forces, and foreign countries involved with USAR.

StS design shoring systems to stabilize structures for rescuers to gain safe access to the victims. The StS are trained in Rescue Systems 1 (a basic rescue skills course). They also receive instruction in structural collapse patterns, hazard identification and building monitoring, rapid assessment of buildings, building triage and marking systems, advance shoring, and shoring calculations. Mission durations are short and usually 6 to 10 days.

USACE StS Cadre is an essential component of USAR task forces and the IST with the ability for fast deployment in a life saving mission. The StS brings engineering expertise to the USAR task force. Responsible for evaluating the immediate structural conditions at the incident and recommending the appropriate hazard mitigation, the StS serves a vital function to the task force. While supporting an incident, StS interact with local fire and rescue squads and state task forces. They conduct entry into partially collapsed spaces in support of the operations of rescue specialists. StS support includes evaluation of structures hazards within the partially collapsed structure, recommendations for shoring of those spaces and efficient breaching of obstructions.

Recent Lessons Learned

In a Vigilant Guard exercise, November 2009 in Tonawanda, NY, USACE StS worked a rubble pile problem with the New York National Guard civil support team and chemical, biological, radiological, nuclear, or high-yield explosive [CBRNE] enhanced response force packages (CERFPs) as well as local responders. Lessons learned included:

- Even though exercises may include a simulated collapse structure event, exercise planners must realize the "pile" will be "live." This requires real-world decisions

about participant safety and the need to mitigate potentially hazardous conditions. This requires the real world use of monitoring tools to evaluate if a suspect structure is stable or not.

- Operations should run 24 hours to allow for night work, shift changes, and coordination challenges.
- Receiving teams (rescue squads; CERFPs; etc.) were unaware of the StS role and required a detailed explanation and continual advocacy for education and involvement. An StS liaison should be dedicated to CERFP teams working the same incident.
- The Rino global positioning system devices were difficult to use while crawling through pile.
- The wireless building-monitoring system needs to be ruggedized.
- USACE training to StS, FEMA USAR teams, and state USAR teams means all have a common reference and uniform terminology of the disaster response environment.

Points of Contact

For additional information regarding the USACE USAR program, contact one of the following subject-matter experts:

- USACE Emergency Management, South Pacific Division: (415) 503-6616 FAX: (415) 503-6647.
- USACE Emergency Management, South Pacific Division Chief: (415) 503-6610 FAX: (415) 503-6647.

References

Defense Support to Civil Authorities Air Support Handbook, Headquarters First Air Force/Air Forces Northern (1AF [AFNORTH]), 01 January 2009.

Domestic Operational Law Handbook for Judge Advocates, LTC Patrick A. Barnett, Editor, 20 July 2009, Center for Law and Military Operations, <<http://www.jagcnet.army.mil/clamo>>.

DOD 4515.13-R, *Air Transportation Eligibility*, (November 1994), through change 3, April 9, 1998. paragraph C5.7; See also ESF #9.

AFNORTH Fact Sheet, <<http://www.1af.acc.af.mil/library/factsheets/factsheet.asp?id=4107>>, August 2008.

FEMA at <<http://www.fema.gov/emergency/usr/>>.

Urban Search & Rescue Mission Overview, U.S. Army Corps of Engineers, Office of Homeland Security, Civil Emergency Management, June 2007.

National Search and Rescue Plan of the United States, National Search and Rescue Committee, 2007.

Appendix M

After Action Reviews

Chairman of the Joint Chiefs of Staff Instruction 3150.25D, *Joint Lessons Learned Program*, 10 October 2008, provides information for policies, reporting procedures, and responsibilities for members of joint task forces responding to incidents. It defines the after action review (AAR) as “a panel of representatives from major participating units in an operation, exercise, experiment, or event led by a facilitator to review observations recorded for validation.” It defines a lesson learned as “results from an evaluation or observation of an implemented corrective action that contributed to improved performance or increased capability. A lesson learned also results from an evaluation or observation of a positive finding that did not necessarily require corrective action other than sustainment.”

Commanders and staffs at all echelons are responsible for collecting relevant observations, insights, and lesson learned (OIL) using both formal and informal methods. Army Regulation (AR) 11-33, *Army Lessons Learned Program: System Development and Application*, 17 October 2006, established the AAR system and lessons learned process. Paragraphs 2-3, 2-4, and 2-5 require commanders of active duty, Guard, and Reserve commands, Army service component commands, direct reporting units, and assigned units (brigade or larger) to submit unit-level AARs and other lessons-learned material to the Center for Army Lessons Learned (CALL) for review, analysis, dissemination, and archiving. This is to be completed no later than 90 days after returning to home station after an incident. AR 11-33 also requires commanders to assist CALL collection and analysis teams when they arrive in their operational area during or following an incident.

The Army will collect relevant OIL, AARs, tactics, techniques, and procedures and other records from Army operations, major collective training exercises, and experiments to identify issues that impact Soldier and unit performance. By analyzing the data, the Army determines how to sustain, enhance, and increase its preparedness for future operations. The process is illustrated in Figure N-1. CALL is responsible for archiving unit AARs and developing products for dissemination to training units so that future training will incorporate best practices.

Army Training Circular 25-20, *A Leader's Guide to After-Action Reviews*, 30 September 1993, provides thorough guidance on preparing an AAR. The U.S. Army conducts AARs for both training exercises and operations and provides a standardized format to identify:

- Unit-identified problems with the commander's solution.
- Better ways of doing business (no changes required to current doctrine, training, organization, material, and leadership).
- Commander-identified problems that require Headquarters, Department of the Army Training and Doctrine Command action to solve.

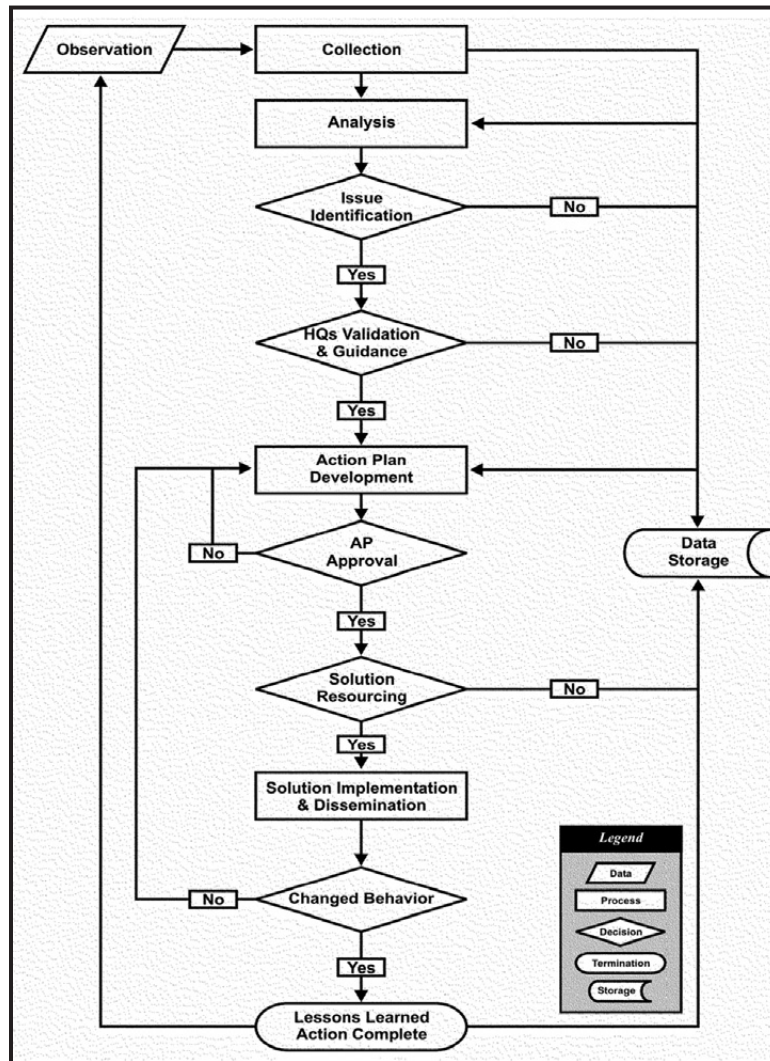


Figure M-1. Deliberate lessons learned process

In the National Response Framework there are numerous requirements to conduct AARs.

- ESF #8 requires the regional, field, and joint field office logistics management structure to participate “in the development of after action reports and remedial action management program inputs to headquarters to correct deficiencies or publicize best practices.”
- 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.
- ESF #12 directs the Department of Energy to contribute to AARs.

- The Critical Infrastructure and Key Resources (CIKR) Annex states that when an incident is complete, “incident-related activities transition back from response to steady state. Concurrently, the after action report is prepared.”
- The demobilization portion of the CIKR Annex further states, “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.” It also provides Department of Homeland Security procedures for completing an AAR.

The National Incident Management System requires all preparedness organizations to “conduct after action reviews to strengthen future preparedness.” It also requires all plans to incorporate AARs, lessons learned, and corrective actions.

Appendix N

Composite Risk Management

Composite Risk Management (CRM) is a decision-making process used to mitigate risks associated with all hazards that have the potential to injure or kill personnel, damage or destroy equipment, or otherwise impact mission effectiveness. The primary premise of CRM is that it does not matter where or how loss occurs because the result is the same—decreased mission effectiveness. The guiding principles of CRM are:

- Integrate CRM into all phases of missions and operations. Effective CRM requires the process be integrated into all phases of mission or operational planning, preparation, execution, and recovery.
- Make risk decisions at the appropriate level. As a decision-making tool, CRM is only effective when the information is passed to the appropriate level of command for decision. Commanders are required to establish and publish approval authority for decision making. This may be a separate policy, specifically addressed in regulatory guidance, or addressed in the commander's training guidance. Approval authority for risk decision making is usually based on guidance from higher headquarters.
- Accept no unnecessary risk. Accept no level of risk unless the potential gain or benefit outweighs the potential loss.

CRM is a decision-making tool to assist the commander, leader, or individual in identifying, assessing, and controlling risks to make informed decisions that balance risk costs (losses) against mission benefits (potential gains).

- Apply the process cyclically and continuously. CRM is a continuous process applied across the full spectrum of Army training and operations, individual and collective day-to-day activities and events, and base operations functions. It is a cyclic process that is used to continuously identify and assess hazards, develop and implement controls, and evaluate outcomes.
- Do not be risk averse. Identify and control the hazards; complete the mission.

Composite Risk Management Steps

CRM is a five-step process:

- Step 1: Identify hazards.
- Step 2: Assess hazards to determine risk.
- Step 3: Develop controls and make risk decisions.
- Step 4: Implement controls.
- Step 5: Supervise and evaluate.

Steps 1 and 2 are assessment steps, and Steps 3 through 5 are management steps.

When the CRM is overlaid with the troop-leading procedures, the result is as shown in Figure N-1.



Figure N-1. CRM and troop leading procedures

To maintain continuity with mission tasks and requirements, it is necessary to track the CRM process in a standardized manner. Many tools are available that can be tailored to portray CRM information to suit a particular mission, situation, operation, or event. When time and situation allow, the Army standard CRM worksheet (Department of the Army Form 7566, Composite Risk Management Worksheet) or an electronic version will be used to document the CRM process.

Key Definitions

Hazard: A condition with the potential to cause injury, illness, or death of personnel; damage to or loss of equipment or property; or mission degradation. A hazard may also be a situation or event that can result in degradation of capabilities or mission failure. Hazards exist in all environments—combat operations, stability operations, base support operations, training, garrison activities, and off-duty activities.

Danger: Exposure or vulnerability to harm or risk, the balance between the chance or probability of a hazardous incident, and the result of the hazardous incident.

Risk: Probability and severity of loss linked to hazards.

Risk management: The process of identifying, assessing, and controlling risks arising from operational factors and making decisions that balance risk cost with mission benefits.

Reference

Field Manual 5-19, *Composite Risk Management*, Department of the Army, August 2006.

Appendix O

State Points of Contact

This appendix provides points of contact for National Guard key military support personnel and units in each of the states and territories. The director of military support (DOMS), the joint operations center (JOC), and the adjutant general (TAG) phone numbers are provided, when available. The table also shows the Federal Emergency Management Agency (FEMA) region to which each state or territory belongs, the name and phone numbers of weapons of mass destruction (WMD) civil support teams (CSTs), and whether there is a chemical, biological, radiological, nuclear, or high-yield explosive enhanced response force package (CERFP) in the state. If a state has more than one WMD-CST, the city is annotated.

STATE FEMA REGION	POSITION	DSN	COMMERCIAL
AK	DOMS	317-384-4229	(907) 428-6229
X	JOC	317-384-4365	(907) 428-6365/7335
	TAG	317-384-4003	(907) 428-6003
	103rd WMD-CST		(907) 980-6093
AL	DOMS	363-7207	(334) 271-7207
IV	JOC	363-7753	(334) 213-7753
	TAG	363-7200	(334) 271-7200
	46th WMD-CST		(334) 954-3400
AR	DOMS	962-5475	(501) 212-5475
VI	JOC	962-5471	(501) 212-5471
	TAG	962-5001	(501) 212-5001
	61st WMD-CST		(501) 212-4262
AZ	DOMS		(602) 267-2774
IX	JOC	853-2583	(602) 267-2583/2428/2562
	TAG	853-2712	(602) 267-2712
	91st WMD-CST		(602) 267-2953
CA	DOMS	466-3200	(916) 267-3200
IX	JOC	466-3440	(916) 854-3440
	TAG	466-3500	(916) 854-3500
(Hayward)	95th WMD-CST (CERFP)		(510) 780-0683
(Los Alamitos)	9th WMD-CST		(562) 413-1516

CENTER FOR ARMY LESSONS LEARNED

STATE FEMA REGION	POSITION	DSN	COMMERCIAL
CO	DOMS	250-1595	(720) 250-1595
VIII	JOC	250-1290	(720) 250-1290/1911
	TAG	250-1500	(720) 250-1500
	8th WMD-CST (CERFP)		(303) 994-3846
CT	DOMS	636-7837	(860) 524-4824
I	JOC	636-7951	(860) 524-4951
	TAG	636-7953	(860) 524-4953
	14th WMD-CST		(860) 627-6095
DC	DOMS	325-8734	(202) 685-8734
III	JOC	325-8776	(202) 685-8776
	TAG	325-9798	(202) 685-9798
	33rd WMD-CST		(202) 685-9955
DE	DOMS	440-7085	(302) 326-7085
III	JOC	440-7835/7002	(302) 326-7002
	TAG	440-7001	(302) 326-7001
	31st WMD-CST		(302) 326-7566
FL	DOMS	822-0430	(904) 823-0430
IV	JOC	822-0459	(904) 823-0459
	TAG	823-0101	(904) 823-0101
(Stark)	44th WMD-CST (CERFP)		(904) 682-2401
(St. Petersburg)	48th WMD-CST		(727) 437-5930
GA	DOMS	753-3968	(678) 569-3968
IV	JOC	753-3911	(678) 569-3911
	TAG	338-6001	(678) 569-6001
	4TH WMD-CST (CERFP)		(678) 569-3733
GU	DOMS		(671) 735-0433
IX	JOC	315-344-2323	(671) 734-082
	TAG		(671) 735-0400
	94TH WMD-CST		(671) 647-1972/1970

STATE FEMA REGION	POSITION	DSN	COMMERCIAL
HI	DOMS		(808) 733-4263
IX	JOC		(808) -733-4263
	TAG		(808) 733-4246
	93rd WMD-CST (CERFP)		(808) 479-8687
IA	DOMS	431-4541	(515) 252-4541
VII	JOC	431-4710	(515) 252-4710/11
	TAG	431-4020	(515) 252-4020
	71st WMD-CST (CERFP)		(515) 334-2803/4
ID	DOMS	272-5755	(208) 272-5755/4151
X	JOC		(208) 422-5755
	TAG	272-5242	(208) 272-5242
	101st WMD-CST		(208) 272-4283/4278
IL	DOMS	555-3577	(217) 761-3577
V	JOC	555-3941/3945	(217) 761-3941/3945
	TAG	555-3500	(217) 761-3500
	5th WMD-CST (CERFP)		(708) 824-5926
IN	DOMS	369-2204	(317) 247-3204
V	JOC	369-2320	(317) 247-3320
	TAG	369-2559	(317) 247-3559
	53rd WMD-CST		(317) 247-3300x5081
KS	DOMS	720-8193	(785) 274-1193
VII	JOC	720-8117/8126	(785) 274-1117/1126/1821
	TAG	720-8001	(785) 274-1001
	73rd WMD-CST		(785) 861-4088
KY	DOMS	667-1580	(502) 607-1580
IV	JOC	667-1636/6803	(502) 607-1636
	TAG	667-1558	(502) 607-1558
	41st WMD-CST	741-4542	(502) 364-9542

CENTER FOR ARMY LESSONS LEARNED

STATE FEMA REGION	POSITION	DSN	COMMERCIAL
LA	DOMS	435-5534	(318) 290-5534
VI	JOC	435-5262	(318) 290-5262
	TAG	435-3858	(318) 641-3858
	62nd WMD-CST		(225) 319-4779/4781
MA	DOMS	256-6802	(508) 233-6802
I	JOC	256-7213	(508) 233-7213
	TAG	256-6552	(508) 233-6552
	1st WMD-CST (CERFP)		(508) 233-7575
MD	DOMS		(410) 702-9063
III	JOC	496-9000	(410) 702-9000
	TAG	496-6020	(410) 576-6097
	32nd WMD-CST		(301) 677-0018
ME	DOMS	626-4551	(207) 626-4551
I	JOC	626-4429	(207) 626-4429
	TAG	476-4271	(207) 626-4271
	11th WMD-CST		(207) 877-9623 (207) 873-9591
MI	DOMS	623-5619	(517) 483-5619
V	JOC	623-8031/8032	(517) 481-8031
	TAG	623-8083	(517) 481-8083
	51st WMD-CST		(269) 731-6531
MN	DOMS	825-8916	(651) 268-8916
V	JOC	825-8860/8861	(651) 268-8860/8861
	TAG	825-8924	(651) 268-8924
	55th WMD-CST (CERFP)		(612) 713-2836/8
MO	DOMS	555-9599	(573) 638-9599
II	JOC	555-9803	(573) 638-9803
	TAG	555-9710	(573) 638-9710
	7th WMD-CST (CERFP)		(573) 329-9024

STATE FEMA REGION	POSITION	DSN	COMMERCIAL
MS	DOMS	293-6313	(601) 313-6313
IV	JOC	293-6193	(601) 313-6193
	TAG	293-6232	(601) 313-6232
	47th WMD-CST	293-1575/1866	(601) 313-1575/1866
MT	DOMS	324-3166	(406) 324-3166
VIII	JOC	324-3000/3170	(406) 324-3000/3170
	TAG	324-3010	(406) 324-3010
	83rd WMD-CST	324-3099	(406) 324-3099
NC	DOMS	582-9118	(919) 664-6118
IV	JOC	582-9531	(919) 664-6531
	TAG	582-9101	(919) 664-6101
	42nd WMD-CST		(252) 752-7506
ND	DOMS	373-2174	(701) 333-2174
VII	JOC	373-2906	(701) 333-2906
	TAG	373-2001	(701) 333-2001
	81st WMD-CST		(701) 333-6904
NE	DOMS	279-7395	(402) 309-7395
VII	JOC	279-7400	(402) 309-7400
	TAG	279-7099	(402) 309-7099
	72nd WMD-CST (CERFP)	279-7559	(402) 309-7559
NH	DOMS	684-9555	(603) 227-1555
I	JOC	684-9555	(603) 227-1555
	TAG	684-9200	(603) 225-1200
	12th WMD-CST	684-9836	(603) 225-1836
NJ	DOMS	445-9095	(609) 530-7095
II	JOC	445-9010	(609) 530-7010
	TAG	445-7957	(609) 530-6957
	21st WMD-CST		(609) 562-0059

CENTER FOR ARMY LESSONS LEARNED

STATE FEMA REGION	POSITION	DSN	COMMERCIAL
NM	DOMS	867-8585	(505) 474-1585
VI	JOC	867-9770	(505) 474-2770/2771
	TAG	867-8210	(505) 474-1210
	64th WMD-CST		(505) 771-7802
NV	DOMS	530-7895	(775) 887-7895
IX	JOC	530-7200	(775) 887-7200
	TAG	530-7302	(775) 887-7302
	92nd WMD-CST		(702) 643-4277
NY	DOMS	489-6110	(518) 786-6110
II	JOC	489-6104	(518) 786-6104
	TAG	489-4502	(518) 786-4502
(Scotia)	2nd WMD-CST (CERFP)		(518) 786-3432
(Ft. Hamilton)	24th WMD-CST		(518) 337-7469
OH	DOMS	346-7424	(614) 336-7424
V	JOC	346-7551	(614) 734-7551
	TAG		(614) 336-7070
	52nd WMD-CST (CERFP)		(614) 336-6636
OK	DOMS	628-5587	(405) 228-5587
VI	JOC	628-5061	(405) 228-5061
	TAG	628-5201	(405) 228-5201
	63rd WMD-CST		(405) 306-9526
OR	DOMS	355-2800	(503) 584-2800
X	JOC	355-2800	(503) 584-2800
	TAG	355-3991	(503) 584-3991
	102nd WMD-CST (CERFP)		(503) 584-3124
PA	DOMS	491-8648	(717) 861-8648
III	JOC	491-8932	(717) 861-8932
	TAG	491-8500	(717) 861-8932
	3rd WMD-CST (CERFP)	491-2623	(717) 861-2623

STATE FEMA REGION	POSITION	DSN	COMMERCIAL
PR	DOMS		
II	JOC		(787) 723-7700/11
	TAG		
	22nd WMD-CST		(787) 289-1611
RI	DOMS	247-4123	(401) 275-4123 / 247-4123
I	JOC	247-4139	(401) 275-4139
	TAG	247-4102	(401) 275-4102
	13th WMD-CST		(401) 392-0821
SC	DOMS		
IV	JOC	583-4045/6	(803) 806-4045/6
	TAG	583-4217	(803) 806-4217
	43rd WMD-CST		(803) 806-3772
SD	DOMS	747-6772	(605) 737-6722
VIII	JOC	747-6032	(605) 737-6032
	TAG	747-6702	(605) 737-6702
	82nd WMD-CST		(605) 430-9620
TN	DOMS	683-0750	(615) 313-0750
IV	JOC	683-7590	(615) 313-7590/3
	TAG	683-3001	(615) 313-3001
	45th WMD-CST		(615) 355-3618
TX	DOMS	954-5591	(512) 782-5591
VI	JOC	954-5544	(512) 782-5544
	TAG	954-5705	(512) 782-5705
	6th WMD-CST (CERFP)	954-1912	(512) 782-1912
UT	DOMS	766-4108	(801) 523-4108
VIII	JOC	766-4400	(801) 432-4400
	TAG	766-4401	(801) 523-4400
	85th WMD-CST		

CENTER FOR ARMY LESSONS LEARNED

STATE FEMA REGION	POSITION	DSN	COMMERCIAL
VA	DOMS		(804) 328-3013
III	JOC		(804) 236-7704/5 (434) 292-8650/6
	TAG		(434) 371-2526
	34th WMD-CST (CERFP)		(434) 294-1321
VI	DOMS	727-7771	(340) 712-7771
II	JOC	727-7788	(340) 712-7740
	TAG	727-7710	(340) 712-7710
	23rd WMD-CST		(340) 719-8341/7333
VT	DOMS	636-3342	(802) 338-3342
I	JOC	636-3050	(802) 338-3050
	TAG	636-3124	(802) 338-3124
	15th WMD-CST	636-3534	(802) 338-3534
WA	DOMS	323-8677	(253) 512-8677
X	JOC	323-8130	(253) 512-8130/ 8131/8773
	TAG	323-8201	(253) 512-8201
	10th WMD-CST		(253) 512-8063/7633
WI	DOMS	745-8410	(608) 245-8410
V	JOC	745-8400	(608) 245-8400
	TAG	724-3001	(608) 242-3001
	54th WMD-CST	745-8430	(608) 245-8430
WV	DOMS	623-6464	(304) 561-6464
III	JOC	623 6444	(304) 561-6496/44/55
	TAG	623-6316	(304) 561-6316
	35th WMD-CST (CERFP)		(304) 201-3150/2
WY	DOMS	388-5288	(307) 772-5288
VIII	JOC	388-5112	(307) 772-5112
	TAG	388-5234	(307) 772-5234
	84th WMD-CST		(307) 772-5029

Appendix P

Emergency Preparedness Liaison Officers

Emergency preparedness liaison officer (EPLO) is a generic term referring collectively to service and other Department of Defense (DOD) agency personnel who coordinate military assistance to other federal agencies and state governments.

These positions are established to:

- Coordinate resources as required, typically through the Federal Emergency Management Agency (FEMA) mission assignment process.
- Maintain effective communication between the DOD components, DOD, and other state and/or federal governmental agencies and nongovernmental organizations.
- Promote mutual understanding among various organizations tasked with providing and coordinating emergency support functions in civil emergency situations.
- Serve as a subject-matter expert on service-specific capabilities, limitations, and legal authorities.

Regional Emergency Preparedness Liaison Officer

Regional EPLOs (REPLOs) are reservists assigned to the FEMA regions with the same areas of responsibility as their respective defense coordinating officers (DCOs). They may backfill for DCOs who have been deployed. REPLOs direct their efforts toward planning and coordinating defense support to civil authorities (DSCA) activities. They serve as subject matter experts for the regions and their respective services and are highly trained in request for assistance and mission assignment development.

The U.S. Coast Guard (USCG) plans to assign one senior reserve officer (O-5) billet at each FEMA region. During nondisaster periods, USCG EPLOs fall under the command and control of the USCG district that encompasses the FEMA region. Upon activation, the USCG EPLO typically reports either to the FEMA regional response coordination center or the joint field office for the declared disaster.

State Emergency Preparedness Liaison Officer

At the state level, state EPLOs (SEPLOs) can perform duties in state emergency operations centers (EOCs). SEPLOs are the subject matter experts in their states; they serve as DOD liaisons for DSCA to state and federal agencies and maintain situational awareness within the state. Their purpose is to build relationships on a daily basis.

EPLOs are also referred to as NEPLOs (Navy), AFEPLOs (Air Force), or MEPLOs (Marine Corps). Regardless of title, their functions and responsibilities to their DCOs are the same as described above.

CENTER FOR ARMY LESSONS LEARNED

REGION	STATE	POSITION	PHONE
I	CT	Liaison Officer	(781) 928-0160
I	MA	Liaison Officer	(978) 796-3784
I	ME	Liaison Officer	(207) 992-4042
I	NH	Liaison Officer	(603) 885-5667
I	RI	Liaison Officer	(207) 892-1314
I		Chief REPLO	(781) 266-9317
I		Assistant REPLO	(617) 626-8032
II	NJ	Liaison Officer	(646) 996-8137
II	NY	Liaison Officer	(215) 697-6046
II	NY	Assistant Liaison Officer	(315) 952-8408
II	PR	Liaison Officer	(787) 707-4172
II	VI	Liaison Officer	(787) 977-5820
II		Assistant REPLO	(732) 532-9660
III	DC	Liaison Officer	(610) 834-3467
III	DE	Liaison Officer	(610) 591-6882
III	MD	Liaison Officer	(215) 345-2665
III	PA	Liaison Officer	(717) 214-6658
III	VA	Liaison Officer	(757) 688-1649
III	VA	Assistant Liaison Officer	
III	WV	Liaison Officer	
III		Chief REPLO	(703) 235-2894
III		Assistant REPLO	(215) 656-6693
IV	AL	Liaison Officer	(251) 460-7891
IV	AL	Assistant Liaison Officer	(334) 687-1986
IV	FL	Liaison Officer	
IV	FL	Assistant Liaison Officer	(210) 569-2448
IV	GA	Liaison Officer	(404) 886-5342
IV	GA	Assistant Liaison Officer	
IV	KY	Liaison Officer	(502) 454-2948
IV	MS	Liaison Officer	(901) 224-5434
IV	MS	Assistant Liaison Officer	(601) 214-3504
IV	NC	Liaison Officer	(919) 456-3902
IV	SC	Liaison Officer	(864) 597-4351
IV	TN	Liaison Officer	(865) 986-1300
IV		Chief REPLO	(404) 353-0806
IV		Assistant REPLO	(404) 464-4301

DISASTER RESPONSE

REGION	STATE	POSITION	PHONE
V	IL	Liaison Officer	(616) 229-1465
V	IN	Liaison Officer	(502) 458-4147
V	IN	Assistant Liaison Officer	(317) 510-7279
V	MI	Liaison Officer	(312) 408-5342
V	MN	Liaison Officer	
V	OH	Liaison Officer	(513) 569-4682
V	WI	Liaison Officer	(312) 408-5331
V		Chief REPLO	(952) 294-5908
V		Assistant REPLO	(612) 713-3995
VI	AR	Liaison Officer	(501) 604-1943
VI	LA	Liaison Officer	(501) 771-7805
VI	LA	Assistant Liaison Officer	(337) 531-9869
VI	NM	Liaison Officer	(915) 521-7433
VI	NM	Liaison Officer	(706) 394-3153
VI	OK	Liaison Officer	
VI	TX	Liaison Officer	(210) 221-0437
VI	TX	Assistant Liaison Officer	(210) 225-5254
VI		Chief REPLO	(903) 963-5600
VII	IA	Liaison Officer	(515) 993-6925
VII	KS	Liaison Officer	(620) 778-3075
VII	MO	Liaison Officer	(318) 485-3128
VII		Liaison Officer	(816) 283-7066
VII		Chief REPLO	(913) 651-3300
VII		Assistant REPLO	(816) 340-4341
VIII	CO	Liaison Officer	(303) 739-7421
VIII	MT	Liaison Officer	(406) 522-6272
VIII	ND	Liaison Officer	(701) 740-3168
VIII	SD	Liaison Officer	(605) 353-8500
VIII	UT	Liaison Officer	
VIII	WY	Liaison Officer	
VIII		Chief REPLO	(303) 862-2067
IX	AZ	Liaison Officer	(520) 378-2511
IX	Northern CA	Liaison Officer	(916) 795-9177
IX	Southern CA	Liaison Officer	(562) 795-2162
IX	Southern CA	Assistant Liaison Officer	(562) 795-2289
IX		Chief REPLO	(916) 704-1001
IX		Assistant REPLO	(916) 322-6905

REGION	STATE	POSITION	PHONE
X	ID	Liaison Officer	
X	OR	Liaison Officer	
X	WA	Assistant Liaison Officer	(206) 389-6011
X		Chief REPLO	(509) 372-6260

Table P-1. Title 10 REPLOs and SEPLOs

USCG EPLOs, not being Title 10 forces in most instances, have statutorily different authorities and capabilities that differ significantly from the DOD services and the National Guard (when under Title 10 or Title 32).

EPLOs do not perform the traditional roles of selected reserve (SELRES) members at a unit. EPLOs provide close coordination with their respective district EPLO coordinators and are assigned to foster the exchange of information, promote cooperation and communication, and coordinate the planning and implementation of USCG contingency plans with federal (especially Department of Homeland Security organizations), state, and local emergency preparedness partners. EPLOs will maintain a close relationship with assigned FEMA regions. When a joint field office team is deployed the EPLO is able to serve as a USCG point of contact assigned to the FEMA region. The EPLO can introduce the team to appropriate officials and get it established.

FEMA regions and USCG districts do not coincide geographically (Figure P-1). The structure is managed as follows:

- USCG EPLOs are assigned to each district.
- A SELRES commander (05) is assigned as the EPLO for each of FEMA’s 10 regional offices.
- Districts 1 and 8 have a SELRES (06) assigned as district EPLO coordinator because more than one FEMA regional office exists within each of those district boundaries.
- The district EPLO coordinator has responsibilities for Districts 5, 7, 9, 11, 13, 14, and 17 and may be assigned to an active duty member of the district planning division (DX) or district response division (DR); this is not intended to be a full-time equivalent position.
- The FEMA region EPLO reports directly to the district EPLO coordinator in a “direct reporting” relationship. The district EPLO coordinator works for the DX or DR division, depending upon the district commander’s preference.

Details concerning USCG EPLOs can be found in *Emergency Preparedness Liaison Officer (EPLO) Roles and Responsibilities Guidebook*, (CG-5334), USCG Office of Disaster and Continuity Operations, December 2009.



Figure P-1. FEMA-USCG district map

Appendix Q

Websites

Government Websites

For information about the National Incident Management System (NIMS): <http://www.fema.gov/emergency/nims/index.shtm>.

For training on NIMS: http://www.fema.gov/emergency/nims/nims_training.shtm.

For information about the National Response Framework (NRF): http://www.dhs.gov/dhspublic/interapp/editorial/editorial_0566.xml.

For training on the NRF: <http://training.fema.gov/EMIWeb/IS/IS800b.asp>.

For information about the Federal Emergency Management Agency (FEMA): <http://www.fema.gov/>.

For training offered by FEMA: <http://www.training.fema.gov/EMIWeb/IS/>.

Federal Highway Administration Emergency Transportation Operations: http://www.ops.fhwa.dot.gov/eto_tim_pse/index.htm.

General News and Information

Alertnet by Reuters (emergency news from Reuters wire service and other organizations): www.alertnet.org.

ReliefWeb (largest humanitarian portal with updated news and information on emergencies directly from Nongovernmental organizations, and government aid agencies): www.reliefweb.int.

Disaster News Network (facilitates information sharing on disaster response among responders; covers preparedness, environmental hazards, and terrorist disasters): www.disasternews.net.

National Voluntary Organizations Active in Disaster (National VOAD or NVOAD). This organization provides a forum for organizations to share knowledge and resources throughout the disaster cycle—preparation, response, and recovery—to help disaster survivors and their communities. National VOAD is a consortium of approximately 50 national organizations and 55 state and territory equivalents. During major incidents, it typically sends representatives to the Department of Homeland Security (DHS)/FEMA National Response Coordination Center to represent the voluntary organizations and assist in response coordination. The website is: www.nvoad.org.

Natural Hazards Center: The mission of the Natural Hazards Center at the University of Colorado at Boulder is to advance and communicate knowledge on hazards mitigation and disaster preparedness, response, and recovery. Using an all-hazards and interdisciplinary framework, the center fosters information sharing and integration of activities among

researchers, practitioners, and policymakers from around the world; supports and conducts research; and provides educational opportunities for the next generation of hazards scholars and professionals. The website is: www.colorado.edu/hazards.

Training Sources

- U.S. Army North training modules for defense support to civil authorities (DSCA); chemical, biological, radiological, nuclear, or high-yield explosive consequence management response force; emergency preparedness liaison officer; and defense coordination office/element are available at: <https://www.usarnorth.org/public/index.cfm>.
- Center for Domestic Preparedness: <http://cdp.dhs.gov/>.
- Emergency Management Institute: <http://training.fema.gov/EMICourses>.
- Louisiana State University: <http://www.ncbrt.lsu.edu/>.
- National Incident Management System: http://www.fema.gov/emergency/nims/nims_training.shtm#3.
- New Mexico Institute of Mining and Technology: <http://www.emrtc.nmt.edu>.
- State Level: <http://training.fema.gov/EMIWeb/STCourses>.
- Texas A&M University: <http://teexweb.tamu.edu>.
- U.S. Department of Energy: <http://www.nv.doe.gov/default.htm>.

Detailed training concerning NRF and NIMS is offered as independent study (IS) courses by FEMA's Emergency Management Institute (<http://training.fema.gov/IS/>):

- IS-1: Emergency Manager: An Orientation to the Position.
- IS-100.a: Introduction to Incident Command System, I-100.
- IS-130: Exercise Evaluation and Improvement Planning.
- IS-200.a: ICS for Single Resources and Initial Action Incidents.
- IS-208: State Disaster Management.
- IS-230: Principles of Emergency Management.
- IS-235: Emergency Planning.
- IS-288: The Role of Voluntary Agencies in Emergency Management.
- IS-292: Disaster Basics.

- IS-547: Introduction to Continuity of Operations.
- IS-700.a: National Incident Management System (NIMS), an Introduction.
- IS-701: NIMS Multiagency Coordination Systems.
- IS-702: NIMS Public Information Systems.
- IS-703: NIMS Resource Management.
- IS-706: NIMS Intrastate Mutual Aid: An Introduction.
- IS-800.b: National Response Framework: An Introduction.
- IS-860: Introduction to the National Infrastructure Protection Plan.

Unclassified Imagery Access Portals

United States Geological Survey Hazard Data Distribution System:

- Open Access: <http://hdds.usgs.gov/hdds>.
- Restricted Access: http://edcftp.cr.usgs.gov/disaster_restricted/200808_Hurricane_Ike/data.
- Official users with need to know may contact the Air Forces Northern (AFNORTH) (601 IRD) PED Team for log in information.

Northern Command (NORTHCOM) Disaster Imagery Management System (common access card required for the portal, User Name and Password required for the server): <https://operations.noradnorthcom.mil/sites/NNCJ2/NNCJ22/DSCA/DIMS/default.aspx>.

DHS's Homeland Security Information Network (HSIN) (registration required): <https://government.hsin.gov/default.aspx>.

NORTHCOM: <http://www.northcom.mil/>.

AFNORTH Exercise Webpage: <https://operations.noradnorthcom.mil/sites/afnorth/Exercises/default.aspx>.

AFNORTH public contingency webpage: <http://www.afnorth.us> or <http://1afnorth.region1.af.mil/default.aspx>.

U.S. Army North (USARNORTH)/Fifth Army: <http://www.arnorth.army.mil/public/>.

U.S. Coast Guard Homeport: <http://homeport.uscg.mil/mycg/portal/ep/home.do>.

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SIPR e-mail address: call.rfiagent@conus.army.smil.mil

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CAL plans and programs leadership instruction, doctrine, and research. CAL integrates and synchronizes the Professional Military Education Systems and Civilian Education System. Find CAL products at <<http://usacac.army.mil/cac2/cal/index.asp>>.

Combat Studies Institute (CSI)

CSI is a military history think tank that produces timely and relevant military history and contemporary operational history. Find CSI products at <<http://usacac.army.mil/cac2/csi/csipubs.asp>>.

Combined Arms Doctrine Directorate (CADD)

CADD develops, writes, and updates Army doctrine at the corps and division level. Find the doctrinal publications at either the Army Publishing Directorate (APD) <<http://www.usapa.army.mil>> or the Reimer Digital Library <<http://www.adtdl.army.mil>>.

Foreign Military Studies Office (FMSO)

FMSO is a research and analysis center on Fort Leavenworth under the TRADOC G2. FMSO manages and conducts analytical programs focused on emerging and asymmetric threats, regional military and security developments, and other issues that define evolving operational environments around the world. Find FMSO products at <<http://fmso.leavenworth.army.mil/>>.

Military Review (MR)

MR is a revered journal that provides a forum for original thought and debate on the art and science of land warfare and other issues of current interest to the U.S. Army and the Department of Defense. Find MR at <<http://usacac.army.mil/cac2/militaryreview/index.asp>>.

TRADOC Intelligence Support Activity (TRISA)

TRISA is a field agency of the TRADOC G2 and a tenant organization on Fort Leavenworth. TRISA is responsible for the development of intelligence products to support the policy-making, training, combat development, models, and simulations arenas. Find TRISA Threats at <<https://dcsint-threats.leavenworth.army.mil/default.aspx>> (requires AKO password and ID).

Combined Arms Center-Capability Development Integration Directorate (CAC-CDID)

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U.S. Army and Marine Corps Counterinsurgency (COIN) Center

The U.S. Army and Marine Corps COIN Center acts as an advocate and integrator for COIN programs throughout the combined, joint, and interagency arena. Find the U.S. Army/U.S. Marine Corps COIN Center at: <<http://usacac.army.mil/cac2/coin/index.asp>>.

Joint Center for International Security Force Assistance (JCISFA)

JCISFA's mission is to capture and analyze security force assistance (SFA) lessons from contemporary operations to advise combatant commands and military departments on appropriate doctrine; practices; and proven tactics, techniques, and procedures (TTP) to prepare for and conduct SFA missions efficiently. JCISFA was created to institutionalize SFA across DOD and serve as the DOD SFA Center of Excellence. Find JCISFA at <<https://jcisfa.jcs.mil/Public/Index.aspx>>.

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