National Response Framework

July 2007

Homeland Security
U.S. DEPARTMENT OF HOMELAND SECURITY

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16 This *National Response Framework* is a guide to how the nation conducts all-hazards
17 incident management. It is built upon flexible, scalable and adaptable coordinating
18 structures to align key roles and responsibilities across the nation, linking all levels of
19 government and private sector businesses and nongovernmental organizations. It is
20 intended to capture specific authorities and best practices for managing incidents that range
21 from the serious but purely local, to large-scale terrorist attacks or catastrophic natural
22 disasters.
23
24 Based upon extensive outreach within the public and private sectors, this plan supersedes
25 the *National Response Plan* (2004, with 2006 revisions). [This *National Response*
26 *Framework* has been approved by the President.]
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30
31   Washington, D.C.
32   July, 2007
33   **[DRAFT]**
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CONTENTS

INTRODUCTION

OVERVIEW

This *National Response Framework* (*Framework*) is a guide to how the nation conducts all-hazards incident management. It is built upon *flexible, scalable and adaptable coordinating structures* to align key roles and responsibilities *across the nation*. It is intended to capture specific authorities and best practices for managing incidents that range from the serious but purely local, to large-scale terrorist attacks or catastrophic natural disasters.

This document explains the common discipline and structures that have been exercised and matured at the local, State and national levels over time. It captures key lessons learned from Hurricanes Katrina and Rita, focusing particularly on how the Federal government is organized to support communities and States in catastrophic incidents. Most importantly, it builds upon the *National Incident Management System*, which provides a consistent national template for managing an incident.

The term "response" as used in this *Framework* includes immediate actions to save lives, protect property and meet basic human needs. Response also includes the execution of emergency operations plans, actions to support short-term recovery and some short-term mitigation activities. The *Framework* is always in effect and can be implemented as needed on a flexible, scalable basis that can help improve response. Response does not include prevention, protection or long-term recovery and restoration activities needed by communities to rebuild their way of life.

INTENDED AUDIENCE

The *Framework* is written especially for government executives, private-sector business and nongovernmental leaders and emergency management practitioners. First, it is addressed to senior elected and appointed leaders, such as Federal agency heads, State Governors, mayors, tribal leaders or city managers – those who have a responsibility to provide for effective incident management. If the nation is to be prepared for terrorist attacks and natural disasters, its leaders must have a baseline familiarity with the concepts and mechanics of the *Framework*.

At the same time, it informs emergency management practitioners, explaining the operating structures and tools used routinely by first responders and emergency managers at all levels of government. For these readers, the *Framework* is richly augmented with online access to supporting documents, further training and an evolving resource for exchanging lessons learned.[1]

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[1] To support users of the *Framework*, DHS has created an online **NRF Resource Center** at http://www.fema.gov/NRF. This online resource will routinely grow and evolve in support of the *Framework* and those who work with it. The initial postings contain multiple supporting documents, operational plans, standard forms and other tools that are commonly used by the incident management community. The site will further explain technical aspects of the *Framework*, and will routinely post supporting documents as they are newly generated or improved. Get this page up prior to release – under construction version.

1 **One of the challenges in delivering effective incident management is the relatively**
2 **high turnover and short tenure among elected and appointed officials responsible**
3 **for incident management at all levels.** Effective incident response hinges upon having
4 leaders and on-scene operators trained well – and on the degree to which both have
5 invested in response preparedness, developed engaged partnerships and are able to achieve
6 shared objectives. The player's bench is constantly changing, but a concise, common
7 playbook is needed by all.
8
9 This *Framework* is intended to supply that essential playbook. It is rooted in extensive
10 consultation among operators and policymakers at all levels. Operational planning for
11 specific types of incidents has accelerated and improved nationwide since the terrorist
12 attacks of 9/11. Such plans will continue to evolve at a rapid pace in alignment with the
13 *Framework.*
14
15

16 ## EVOLUTION OF THE *FRAMEWORK*

17
18 **This document is an outgrowth of previous iterations within a family of Federal**
19 **planning documents.** A brief discussion of its history underscores important elements of
20 the *Framework* and highlights improvements to the previous *National Response Plan* (*NRP*).
21 This *Framework* was preceded 15 years earlier by a *Federal Response Plan* (1992) that
22 focused largely on Federal roles and responsibilities.
23
24 Following the 9/11 attacks, more urgent efforts were made to understand and implement
25 common incident management principles and to develop common planning frameworks.
26 The 2004 *NRP* was an early outgrowth of those discussions, replacing the *Federal Response*
27 *Plan*. It was published one year after creation of the Department of Homeland Security
28 (DHS). The *NRP* broke new ground in integrating all levels of government in a common
29 incident management framework. It incorporated incident coordination roles for Federal
30 agencies as defined by several new laws and Presidential directives. Nine months after
31 Katrina's landfall, an amended version of the *NRP* was released, capturing preliminary
32 lessons learned from the 2005 hurricane season.
33
34 **Stakeholders have suggested changes to the *NRP* – both structural and**
35 **substantive.** Stakeholders have advised that both the initial *NRP* and its 2005 iteration
36 were bureaucratic, internally repetitive, duplicative of details contained in the *National*
37 *Incident Management System* and stylistically turgid.
38
39 Substantively, users also suggested the *NRP* was still insufficiently *national* in its focus,
40 which is to say that it should speak more clearly to the roles and responsibilities of all
41 parties involved in incident management. Moreover, it was evident that the *NRP* and its
42 supporting documents did not constitute a true operational *plan* in the sense understood by
43 emergency mangers. Its content was inconsistent with the promise of its title.
44
45 In the last several years, operational planning on a national basis for specific types of
46 incidents has matured. Yet we are still not where we need to be. Both public and private
47 sectors are, however, making significant homeland security investments, driven largely by
48 lessons from 9/11 and the 2005 hurricane season.
49
50 This *Framework* commits the Federal government to complete both strategic and
51 operational plans for the 15 specific incident scenarios specified by the *National*

1 *Preparedness Guidelines.*[2] We will do so in close coordination with communities and States.
2 These plans will ultimately improve significantly the Incident Annexes to this *Framework*,
3 which have been carried forward from the *NRP*.
4
5 Finally, the *NRP* needed additional fine tuning to explain better how the Federal government
6 has strengthened its response capabilities and adopted the coordination roles mandated by
7 Homeland Security Presidential Directive #5.
8
9 **By adopting the term "framework" within the title, this document is now more**
10 **accurately aligned with its intended purpose.** This *National Response Framework*
11 represents a natural evolution of the national response architecture. In issuing the
12 *Framework*, and guided by the input and help of many hundreds of stakeholders, we have
13 tried to address each of the suggested improvements discussed above.
14
15
16 ## INCIDENT MANAGEMENT: THE *WHO*
17
18 **An effective, unified national response requires layered, mutually supporting**
19 **capabilities.** The *Framework* seeks systematically to incorporate public sector agencies at
20 all levels, private sector businesses and nongovernmental organizations. It also emphasizes
21 the importance of personal preparedness by individuals and their families.
22
23 Communities, States and the Federal Government and the private sector must each
24 understand their respective roles and responsibilities, and complement each other in
25 achieving shared goals. Each governmental level plays a prominent role in developing the
26 response capabilities needed to respond to disasters. This includes developing plans,
27 conducting assessments, providing and directing resources and capabilities, and gathering
28 lessons learned. These activities require that all involved organizations clearly understand
29 their roles, responsibilities and how their organization fits within and supports the
30 *Framework.*
31
32 **It is important that each level of government adapt and apply the general roles**
33 **outlined in the *Framework*.** In order to do this, organizations must define key leadership
34 and staff functions, affirm a method and intent to build response capabilities and impose the
35 discipline needed to plan and operate effectively. Playbooks that summarize core
36 *Framework* concepts and are tailored specifically to leaders at different levels and types of
37 organizations can be found in the online **NRF Resource Center** at
38 *http*://www.fema.gov/NRF.
39
40 Even when a community is overwhelmed by a disaster, there is still a core, sovereign
41 responsibility to be exercised at this local level, with unique response obligations to
42 coordinate with State, Federal and private sector support teams. Each organization or level
43 of government therefore has an imperative to fund and execute its own core emergency
44 management responsibilities.
45
46 Below is a brief précis of emergency management roles at the community, State and
47 Federal levels, as well as the roles of private sector organizations.
48

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[2] The set of 15 scenarios, while not exhaustive, is representative of a broad range of terrorist attacks and natural disasters that would stretch the nation's prevention and response capabilities. Collectively, they yield core prevention and response requirements that can help direct comprehensive preparedness planning efforts. The executive summaries of the scenarios can be viewed at https://odp.esportals.com.

1   **Communities. Resilient communities begin with prepared individuals and**
2   **families and the leadership and engagement of local government and the private**
3   **sector.** Individuals, families and caregivers to those with special needs should enhance
4   their awareness of risk and threats, develop family emergency plans that include care for
5   pets and companion animals and prepare emergency supply kits. Individuals can also
6   volunteer in their communities.
7
8   Local police, fire, public health and medical, emergency management, public works,
9   environmental response and others in the community are often the first to detect a threat or
10 hazard, or respond to an emergency. They also are often the last to leave an incident site
11 or otherwise to cope with the effects of an incident. The local senior elected official (the
12 mayor, city manager or county manager) is responsible for ensuring the public safety and
13 welfare of citizens. In today's world, senior elected officials and their emergency managers
14 build the foundation for an effective response. They organize and integrate their capabilities
15 and resources with neighboring jurisdictions, the State and the private sector. Increasingly,
16 private sector businesses are vital partners within communities wherever retail locations,
17 service sites, manufacturing facilities or management offices are located.
18
19 **States, Territories and Tribal Nations. States, territories and tribal nations**
20 **have the primary responsibility for the public health and welfare of their citizens.**
21 State and local governments are closest to those impacted by natural disasters, and have
22 always had the lead in response and recovery. States are sovereign entities, and the
23 Governor has the primary responsibility for the public safety and welfare of residents. U.S.
24 territories and possessions and tribal nations also have sovereign rights and hold special
25 responsibilities.[3]
26
27 States have significant resources of their own, including State emergency management and
28 homeland security agencies, State police, health agencies, transportation agencies and the
29 National Guard. The role of the State government in incident management is to supplement
30 local efforts before, during and after incidents. During incident response, States play a key
31 role coordinating resources and capabilities from across the State and obtaining resources
32 and capabilities from other States. **If a State anticipates that its resources may**
33 **become overwhelmed, each Governor can request assistance from the Federal**
34 **government or from other States through mutual aid and assistance agreements**
35 **such as the Emergency Management Assistance Compact.**
36
37 **The Federal Government. The Federal Government maintains a wide array of**
38 **capabilities and resources that can be made available upon request of the**
39 **Governor.** When an incident occurs that exceeds State or local resources, the Federal
40 government provides resources and capabilities to support the State response. For
41 incidents involving primary Federal jurisdiction or authorities (e.g., on a military base or a
42 Federal facility), Federal agencies may be the first responders and first line of defense,
43 coordinating activities with State, territorial, tribal and local partners. The Federal
44 Government also maintains working relationships with private sector businesses and
45 nongovernmental organizations (NGOs).
46
47 Overall coordination of Federal incident management activities is the responsibility of the
48 Department of Homeland Security. Other Federal departments and agencies carry out their
49 incident management and emergency response authorities and responsibilities within the

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[3] Often throughout this *Framework*, discussion of authorities and roles of States is also intended to incorporate those of U.S. territories and possessions and tribal nations.

DRAFT: PRE-DECISIONAL AND DELIBERATIVE, 7/27/07

1 overarching coordinating mechanisms of this *Framework*. The Department of Homeland
2 Security surges Federal coordination structures at the headquarters, regional and field levels
3 to coordinate Federal support.
4
5 **The Private Sector.** A quick word about certain nomenclature used herein is
6 appropriate. Common English usage draws a binary distinction between the public and
7 private sectors – meaning those organizations and activities that are formally governmental
8 at all levels, and those that are not. The private sector thus includes many distinct entities,
9 including for-profit businesses (publicly-traded or privately owned), trade associations and
10 nongovernmental organizations, not-for-profit enterprises, faith-based organizations and
11 other voluntary organizations. Of course from another perspective, the private sector is
12 comprised not only of organizations, but of individual citizens and families, who have
13 important obligations to be prepared for emergencies, as discussed further in Chapter I.
14
15 **Private sector businesses play an essential role in protecting critical infrastructure**
16 **systems and implementing plans for the rapid restoration of normal commercial**
17 **activities and critical infrastructure operations in the event of disruption.** The
18 protection of critical infrastructure and the ability rapidly to restore normal commercial
19 activities can mitigate the impact of a disaster or emergency, improve the quality of life of
20 individuals and accelerate the pace of recovery for communities and the nation. The private
21 sector, NGOs in particular, contributes to response efforts through engaged partnerships
22 with each level of government to assess potential threats, evaluate risk and take actions as
23 may be needed to mitigate threats.
24
25 **NGOs also serve a vital community, State and national role in an effective**
26 **response by mitigating potential risks and performing essential service missions**
27 **within communities in times of need.** They provide mass sheltering, emergency food
28 supplies, counseling services or other vital support services. Such NGOs bolster and
29 support government efforts at all levels.[4] Businesses and NGOs are encouraged to develop
30 contingency plans and to work with State and local planners to ensure that their plans are
31 consistent with pertinent community, State and tribal plans, the *National Incident*
32 *Management System* and this *Framework*.
33
34 Therefore while the *Framework* throughout distinguishes fundamentally between the public
35 and private sectors, it also speaks particularly to contributions of both the business
36 community and the NGO community.
37
38
39 **INCIDENT MANAGEMENT: THE *WHAT* AND THE *HOW***
40
41 **The national response architecture or *Framework* is always in effect and can be**
42 **implemented at any level at any time.** The *Framework* is capabilities based, which is to
43 say that communities, States and the Federal government all develop functional capabilities
44 and identify resources that may be required based on potential scenarios.
45
46 **The *Framework* describes *what we do* and *how we do things* regarding incident**
47 **management.** In short, the *National Response Framework* explains how at all levels the
48 nation effectively manages the response phase of the all-hazards, national homeland
49 security strategy. The remainder of this Introduction explains the *Framework's* scope, the

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[4] The American Red Cross is an NGO with a special Congressional mandate. It is a "federal instrumentality," due to its charter requirements to carry out responsibilities delegated to it by the Federal government, but it is not a Federal agency.

1 response doctrine that animates it and the preparedness strategy of which it is a part. It
2 correlates with an outline of the overall document.
3
4

SCOPE

6
7 **The *Framework* provides structures for implementing national-level policy and**
8 **operational coordination for domestic incident management.** It can be partially or
9 fully implemented in the context of a threat, in anticipation of a significant event or in
10 response to an incident. Selective implementation allows for a scaled response, delivery of
11 the exact assets needed – and a level of coordination appropriate to each event.
12
13 The *Framework* incorporates organizational structures that promote on-scene initiative,
14 innovation, institutionally leaning into problems and sharing of essential resources drawn
15 from all levels of government and the private sector. It is not always obvious whether a
16 seemingly minor event might be the initial phase of a larger, rapidly growing threat.
17 Response must be quickly scalable, adaptable and flexible.
18
19 In this document, incidents include actual or potential emergencies or all-hazard events that
20 range from accidents and natural disasters to actual or potential terrorist attacks. They
21 include modest events wholly contained within a single community to others that are
22 catastrophic in nature and national in their scope or consequences.
23
24 Hurricane Katrina's landfall in August 2005 yielded many lessons that are now incorporated
25 into the *Framework.* More importantly, it led to strengthening incident management
26 resources and capabilities at all levels. It would be a mistake, however, to view the
27 *Framework* solely through the lens of natural disaster management. The response
28 structures and staffing tools described herein must also support, for example, a nationwide
29 outbreak of pandemic influenza, a terrorist attack with a weapon of mass destruction or a
30 cyber attack against critical infrastructure operating systems.
31
32 This *Framework*, upon full implementation, supersedes the *National Response Plan* (*NRP*).
33 The *NRP* was understood by many readers to suggest that deployment of Federal assistance
34 or interagency incident management coordination would only follow declaration of an
35 "Incident of National Significance" by the DHS Secretary or a formal emergency or disaster
36 declaration by the President. In practice, many incidents call for an earlier and more
37 effective start by DHS in coordinating and supporting response, either to forestall the
38 incident from becoming worse or to surge more aggressively to contain it.
39
40 **This document therefore has eliminated "Incident of National Significance"**
41 **declarations from the *Framework's* formal vocabulary and operational plan.** Under
42 the *Framework*, no such designations will be made. The incident management authorities of
43 the Secretary of Homeland Security are unaltered by this change. Elimination of this
44 declaration will enable a more nimble, coordinated response by the entire national
45 emergency management community. In practice, formally declaring an Incident of National
46 Significance was not a meaningful precondition for triggering a required Federal response.
47
48

RESPONSE DOCTRINE

50
51 **Our national *response doctrine* defines basic roles, responsibilities and operational**

1 **concepts for incident management across all levels of government and with the**
2 **private sector.** The overarching objective of response activities centers upon saving lives
3 and protecting property. Five elemental principles of operations animate incident
4 management actions in support of the nation's response mission. Taken together, these
5 five principles of operation constitute **national response doctrine**.
6
7 **Our response doctrine is rooted in**
8 **America's federal system and our**
9 **Constitution's division of**
10 **responsibilities between Federal**
11 **and State governments.** Because
12 this doctrine reflects the history of
13 emergency management and the
14 distilled wisdom of first responders
15 and leaders at all levels, it gives
16 elemental form to the *Framework.*
17
18 But our response doctrine "evolves in
19 response to changes in the political
20 and strategic landscape, lessons
21 learned from operations, and the
22 introduction of new technologies. Doctrine influences the way in which policy and plans are
23 developed, forces are organized and trained, and equipment is procured. It promotes unity
24 of purpose, guides professional judgment and enables [first responders] to fulfill their
25 responsibilities."[5]
26

> **Response Doctrine:**
> **Five Key Principles**
>
> 1. **Engaged partnership.**
>
> 2. **Tiered response.**
>
> 3. **Scalable, flexible and adaptable operational capabilities.**
>
> 4. **Unity of effort through unified command.**
>
> 5. **Readiness to act.**

27 **Response doctrine can be expected to evolve only slowly.** Our response strategy and
28 the *Framework* merit periodic review and revision, while operational plans supporting the
29 *Framework* must be tested and improved through a process of continuous innovation. The
30 last is especially true as regards our operational plans to counter the threat of terrorist
31 attack. That is why the new online **NRF Resource Center** will routinely offer newly-
32 generated operational plans and other relevant materials as they are first developed or
33 subsequently refined.
34
35 **Our *national response doctrine* is comprised of five key principles:** (1) engaged
36 partnership; (2) tiered response; (3) scalable, flexible and adaptable operational
37 capabilities; (4) unity of effort through unified command; and (5) readiness to act. An
38 introductory word about each follows.
39
40
41 ## ENGAGED PARTNERSHIP
42
43 Leaders at all levels must communicate and actively support engaged partnerships to
44 develop shared goals and align capabilities so that none allows the other to be overwhelmed
45 in times of crisis. Layered, mutually supporting capabilities at Federal, State and local
46 levels allows for planning together in times of calm and responding together effectively in
47 times of need. This doctrine includes ongoing communication of incident activity among all
48 partners to the *Framework*, and shared situational awareness for a more rapid response.

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[5] *United States Coast Guard: America's Maritime Guardian*, Coast Guard Publication 1 (Washington, DC: January 2002, second printing), p. 3. The term "doctrine" has clear and rich meaning as a guide to action within the military services. See also, U.S. Department of Defense's *Joint Operations Planning and Execution System*, an overview of which is available at http://www.dtic.mil/doctrine/jel/other_pubs/jopes.pdf.

1 The war on terror in our era requires *a heightened state of readiness* and nimble, practiced
2 capabilities baked into the heart of our preparedness and response planning.
3
4 **Preparedness and planning are essential to nurturing engaged partnership.**
5 Effective incident response activities begin with a host of preparedness activities conducted
6 well in advance of an incident. Preparedness involves a combination of planning, resources,
7 training, exercising and organizing in order to build, sustain and improve operational
8 capabilities. Preparedness is the process of identifying the personnel, training and
9 equipment needed for a wide range of potential incidents and developing jurisdiction-
10 specific plans for delivering capabilities when needed for an incident.
11
12 Preparedness activities should be coordinated among all involved agencies within the
13 jurisdiction, as well as across jurisdictions. Integrated planning, described later in this
14 *Framework*, will assist in identifying gaps in capability and developing mitigation strategies
15 to fill those gaps.
16
17 To support national preparedness, DHS has published the *National Preparedness Guidelines*.
18 This document lays out 15 national planning scenarios that form the basis of the newly-
19 coordinated national exercise schedule and priorities, and it identifies 37 core capabilities
20 that are needed to support incident management across the nation. The *Guidelines* identify
21 core community and State capabilities that will be supported by the DHS homeland security
22 grant programs.
23
24
25 **TIERED RESPONSE**
26
27 **Incidents must be managed at the lowest possible jurisdictional level and**
28 **supported by additional response capabilities when needed.** It is not necessary that
29 each level become overwhelmed, or fail, prior to surging assets from another level. Just the
30 contrary, a tiered response will also be a forward-leaning response.
31
32 Most incidents begin and end locally and are wholly managed at the community level. Many
33 incidents require additional resources or support from across the community, and some
34 require additional support from neighboring communities or the State. A few require
35 Federal support. National response protocols recognize this and are structured to provide
36 additional, tiered levels of support when there is a need for additional resources or
37 capabilities to support and sustain the response and initial recovery. During large-scale
38 events, all levels will take proactive actions to respond, anticipating resources that may be
39 required.
40
41
42 **SCALABLE, FLEXIBLE AND ADAPTABLE OPERATIONAL CAPABILITIES**
43
44 **As incidents change in size, scope and complexity, the response must adapt to**
45 **meet requirements.** The number, type and sources of assets must be able to expand
46 rapidly to meet needs associated with a given incident. The *Framework's* disciplined and
47 coordinated process can provide for rapid surge of assets from all levels of government,
48 appropriately scaled to need. While pre-staged, planned and exercised to meet the full
49 range of emergency management scenarios from small to severe, execution must be flexible
50 and adapted to fit each individual incident. For the duration of a response, and as needs
51 grow and change, responders must remain nimble and adaptable. Equally, the overall
52 response should be flexible as it transitions from the response effort to recovery.
53

1 This *Framework* is grounded in doctrine that demands a tested inventory of common
2 organizational structures and capabilities that are scalable, flexible and adaptable for
3 diverse operations. Its adoption across all levels of government and with businesses and
4 NGOs will facilitate interoperability and improve operational coordination.
5
6
UNITY OF EFFORT THROUGH UNIFIED COMMAND
8
9 **Effective *unified command* is indispensable to all response activities and requires**
10 **a clear understanding of the roles and responsibilities of each participating**
11 **organization.** Success requires *unity of effort*, which respects the chain of command of
12 each participating organization while harnessing seamless coordination across jurisdictions
13 in support of common objectives.
14
15 Unified command is an important element in multi-jurisdictional or multi-agency incident
16 management. It provides a structure to enable agencies with different legal, geographic
17 and functional responsibilities to coordinate, plan and interact effectively. As a team effort,
18 unified command allows all agencies with jurisdictional authority or functional responsibility
19 for the incident to provide joint support through mutually developed incident objectives and
20 strategies established at the command level. Each participating agency maintains its own
21 authority, responsibility and accountability. This *Framework* employs the basic *National*
22 *Incident Management System* structures and tools that enable unified command to be
23 effective in incident management.
24
25 The *National Incident Management System* identifies multiple elements of unified command
26 in support of incident response. [6] These elements include: (1) developing a single set of
27 objectives; (2) using a collective, strategic approach; (3) improving information flow and
28 coordination; (4) creating common understanding of joint priorities and restrictions; (5)
29 ensuring that no agency's legal authorities are compromised or neglected; and (6)
30 optimizing the combined efforts of all agencies under a single plan.
31
32
READINESS TO ACT
34
35 **Effective incident response requires readiness to act balanced with an**
36 **understanding of risk.** From individuals, families and communities to local, State and
37 Federal agencies, national response depends on the instinct and ability to act. A forward-
38 leaning posture is imperative for incidents that have the potential to expand rapidly in size,
39 scope or complexity, and for no-notice events. **Once response activities have begun,**
40 **on-scene initiative is encouraged and rewarded.** Risk is inherent in all operations, but
41 incident responders accept informed risks when benefits outweigh costs, accept no
42 unnecessary risk and anticipate or manage risk through proper planning.
43
44 **Acting with dispatch, but effectively, requires clear, focused communication and**
45 **the processes to support it.** Without effective communication, a bias toward action will
46 be like firing blind – ineffectual at best; likely perilous. An effective national response relies
47 on disciplined processes, procedures and systems to communicate timely, accurate and
48 accessible information on the incident's cause, size and current situation to the public,
49 responders and others. Well-developed public information, education strategies and
50 communication plans help to ensure that lifesaving measures, evacuation routes, threat and

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[6] The *National Incident Management System* is available via the **NRF Resource Center**, which is available at
http://www.fema.gov/NRF.

1 alert systems and other public safety information are coordinated and communicated to
2 numerous audiences in a timely and consistent manner.
3
4
5 ## PART OF A BROADER STRATEGY
6
7 **The *National Response Framework* is required by, and integrates to, a larger**
8 **national strategy for homeland security that is based on four strategic**
9 **imperatives: prevent, protect, respond and recover from all-hazards incidents.**
10 This broader strategy requires a more extensive array of operational planning activity,
11 investments and preparedness work. It requires focus across all four imperatives, with
12 operational requirements for all levels of government to deal with all hazards.
13
14 This strategic focus has yielded the *National Preparedness Guidelines*, a *National*
15 *Infrastructure Protection Plan*, 17 sector-specific plans to protect critical infrastructures, a
16 coordinated national exercise schedule and literally dozens of supporting, programs, plans
17 and activities with our homeland security partners. Similar planning and investment has
18 taken place at all levels of government. Much has been done, but still much more lies
19 ahead.
20
21 The *Framework* brings a more targeted focus on the ***preparedness activities that are***
22 ***directly related to an evolving incident or potential incident*** rather than the ***steady-***
23 ***state preparedness or readiness activities*** conducted in the absence of a specific threat
24 or hazard. It does not try to subsume all of these larger efforts; rather it integrates to this
25 larger homeland security strategy. A simple example is in order.
26
27 Obviously, a terrorist attack using weapons of mass destruction would necessitate a swift,
28 disciplined and effective response to save lives and mitigate damage. The *national strategy*
29 for dealing with the threat from weapons of mass destruction includes a strong focus on
30 overseas activity, including intelligence and homeland defense missions. It includes
31 controlling our borders, multi-billion dollar investments in homeland security, strengthening
32 of critical infrastructure, a web of State and Federal regulatory measures and other
33 protective work within our borders aimed at preventing such attacks.
34
35 All strategic preparedness activities are not, strictly speaking, components of the
36 *Framework*. But the *Framework* is intended to be informed by and tie seamlessly to these
37 other crucial national, State and local preparedness activities and investments.
38
39
40 ## *FRAMEWORK* UNPACKED
41
42 The *Framework* presents overall the key response principles, participants, roles and
43 structures that guide the nation's response operations. What follows is organized as
44 follows:
45
46   * **Chapter I: Roles and Responsibilities.** This chapter sharpens the focus on ***who***
47   is involved with emergency response management at the community, State, tribal,
48   and Federal levels.
49
50   * **Chapter II: Response Actions.** This chapter describes ***what*** we as a nation
51   collectively do under the *Framework:* prepare, respond and recover.

1   •   **Chapter III: Incident Management.** This chapter explains ***how*** the *National*
2   *Incident Management System* concepts and structures are applied to achieve our
3   incident management objectives.
4
5   •   **Chapter IV: Additional Resources.** This final chapter discusses the manner and
6   extent to which this *Framework* is shaped by and integrates to the broader national
7   preparedness strategy for the homeland. It explains next steps to update the
8   *National Response Plan* Annexes, including Emergency Support Function teams,
9   Support Annexes and Incident Annexes. In addition, it summarizes the content and
10   plan for the online **NRF Resource Center**, a new, actively managed FEMA web site
11   that will deliver state-of-art support for the *Framework* with additional support tools
12   shaped by and particularly addressed to the incident management community.
13
14 **Effective Date.** This initial version of the *National Response Framework* supersedes the
15 last version of the *National Response Plan* 60 days after final publication of the *Framework*.
16 Final publication of the *Framework* is expected in early September.
17

Chapter I
ROLES AND RESPONSIBILITIES

This chapter provides an overview of the core actors responsible for emergency management at the community, State, tribal and Federal levels. This includes an important role for private sector businesses and nongovernmental organizations. It provides an overview of institutional roles and responsibilities as defined by the *National Response Framework* and what must be done to build and maintain essential response capabilities.

In short, this chapter sharpens the focus on *who is involved* with the *Framework* – the key individuals and groups responsible for incident management.

COMMUNITY

The responsibility for responding to emergencies and disasters, both natural and man-made, begins at the local level – with citizens and public officials in the city or town affected by the event. Local leaders and emergency managers prepare their communities to manage incidents locally. For communities, the doctrine of **unified command** plays a key role in helping community leaders to coordinate resources within jurisdictions, among adjacent jurisdictions and with the private sector and nongovernmental organizations, such as the American Red Cross. This section describes the roles and responsibilities of key leadership elements within communities.

Chief Elected Official. A mayor, city manager or county manager, as a jurisdiction's chief executive officer, is responsible for ensuring the public safety and welfare of the people of that jurisdiction. Specifically, the chief elected official provides strategic guidance and resources during emergency preparedness, response and recovery efforts. Emergency management is a core obligation of local leaders.

Chief elected officials must have a clear understanding of their roles and responsibilities for successful emergency management and incident response. At times, these roles may require providing direction and guidance to constituents during an incident, but their day-to-day activities do not focus on emergency management and incident response. On an ongoing basis, elected and appointed officials may be called upon to help shape or modify laws, policies and budgets to aid preparedness efforts and to improve emergency management and incident response activities.

Any incident can have a mix of political, economic, social, environmental, public health and financial implications with potentially serious long-term effects. **Significant incidents require a coordinated response (across agencies, jurisdictions and including the private sector), during which elected and appointed officials must make difficult decisions under crisis conditions.**

Elected and appointed officials help their communities prepare for, respond to and recover from potential incidents. Key responsibilities include:

- Establish strong working relationships locally with other jurisdictional leaders and with core private sector business and NGO leaders. The objective is to get to know your colleagues in advance of an incident.

- Lead and encourage community leaders to focus on emergency management preparedness and mutual support.

- Support participation in local mitigation efforts within the jurisdiction and, as appropriate, with the private sector.

- Understand and implement laws and regulations that support emergency management and incident response.

- Ensure that local emergency preparedness plans take into account the needs of individuals with special needs or those with companion or service animals prior to, during and after an incident.

Community leaders also work closely with their Members of Congress during emergencies and on an ongoing basis regarding local preparedness capabilities and needs. Members of Congress play an important, ongoing role in supporting their constituents for effective local emergency response and emergency planning. Members often help community leaders understand the Federal resources that are available to prepare for emergencies. Especially during high consequence events, many citizens traditionally contact Members for assistance or information on Federal response policies and assistance. The Department of Homeland Security recognizes a special obligation to provide Members representing affected areas timely information about emergency incidents that involves Federal response.

Emergency Manager. The local emergency manager has the day-to-day responsibility of overseeing emergency management programs and activities. He or she works with elected officials to ensure that there are unified objectives with regard to the community's emergency response plans and activities. This role entails coordinating all aspects of a jurisdiction's mitigation, preparedness, response and recovery capabilities.

The emergency manager coordinates all components of the emergency management program for the community, to include assessing the availability and readiness of local assets most likely required during an incident and identifying any shortfalls.

Other duties of the local emergency manager might include the following:

- Coordinate the planning process and work cooperatively with other community agencies and private sector enterprises.

- Oversee damage assessments during an incident.

- Advise and inform the local chief elected official about emergency management activities during an incident.

- Develop and execute public awareness and education programs.

- Involve private sector businesses and relief organizations in planning, training and exercises.

1   **Department and Agency Heads. The local emergency manager is assisted by,**
2   **and coordinates the efforts of, employees in departments that perform emergency**
3   **management functions.** Department and agency heads collaborate with the emergency
4   manager during development of the local emergency operations plan and provide key
5   emergency management resources. Participation in the planning process ensures that
6   specific capabilities (i.e., firefighting, law enforcement, emergency medical services and
7   public works) are integrated into a workable plan to safeguard the community.
8
9   These department and agency heads and their staffs develop and train to internal policies
10   and procedures to meet response and recovery needs. They should also participate in
11   interagency training and exercising to develop and maintain the necessary capabilities.
12
13

14   # PRIVATE SECTOR BUSINESSES AND NGOS

15
16   Government agencies are responsible for protecting the lives and properties of their citizens
17   and promoting their well-being. However, the government does not, and cannot, work
18   alone. **In all facets of emergencies and disasters, the government works with**
19   **private sector groups as partners in emergency management.**
20
21   As discussed in the Introduction, the term "private sector" refers to many distinct entities,
22   including for-profit businesses (publicly-traded and privately-owned), trade associations and
23   nongovernmental organizations (NGOs), not-for-profit enterprises, faith-based organizations
24   and other private, voluntary organizations. While the *Framework* throughout distinguishes
25   fundamentally between the public and private sectors, it also speaks more particularly to
26   contributions of both businesses and the NGO community.
27
28   **Businesses.** Businesses have an invaluable role to play during emergencies. First, they
29   must provide for and protect their employees in the workplace. In addition, emergency
30   managers must work seamlessly with businesses that provide water, power, communication
31   networks, transportation, for-profit medical care, security and numerous other services
32   upon which both emergency response and recovery is particularly dependant.
33
34   **Many private sector organizations are responsible for operating and maintaining**
35   **portions of the nation's critical infrastructure.** Critical infrastructures include those
36   assets, systems, networks and functions – physical or virtual – so vital to the United States
37   that their incapacitation or destruction would have a debilitating impact on security, national
38   economic security, public health or safety or any combination of those matters. Key
39   resources are publicly or privately controlled resources essential to minimal operation of the
40   economy and the government.[7] The Department of Homeland Security has developed a
41   comprehensive National Infrastructure Protection Plan (NIPP) that is synchronized with this
42   *Framework*.[8]
43
44   Together, government agencies and private sector businesses form a response partnership.

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[7] National Infrastructure Protection Plan, 2006, Glossary of Key Terms, is the source for the definitions of critical
infrastructure and key resources. These definitions are derived from the provisions of the Homeland Security Act
of 2002 and Homeland Security Presidential Directive 7.

[8] The goal of the NIPP is to build a safer, more secure and more resilient America by enhancing protection of the
Nation's critical infrastructures and key resources. The *Critical Infrastructure and Key Resources Support Annex*
provides detailed guidance regarding incident response implementation of the NIPP, including roles and
responsibilities, concept of operations and incident-related actions. See http://www.dhs.gov/nipp for additional
information.

1   This partnership begins at the grassroots level, depending on the local and State resources
2   that are in place, to provide the backbone for disaster management. **During an incident,**
3   **key private sector business partners should be involved in the local crisis decision**
4   **making process or at least have a direct link to key local emergency managers.**
5   Communities cannot effectively respond to, or recover from, emergencies or disasters
6   without strong cooperative relations with private sector businesses.
7
8   Essential private sector business requirements include:
9
10 • Plan for the protection of their facilities, infrastructure and personnel.
11
12 • Plan for responding to and recovering from incidents that impact their own facilities.
13
14 • Work with emergency management personnel before an emergency occurs to
15   ascertain what assistance may be necessary and how they can help.
16
17 • Develop and exercise emergency plans before an emergency occurs.
18
19 • Where appropriate, establish mutual assistance agreements to provide specific
20   response capabilities.
21
22 • Provide assistance (including volunteers) to support broader community emergency
23   management during an emergency and throughout the recovery process
24
25 **Nongovernmental Organizations. In the world of emergency management**
26 **response, NGOs play enormously important roles before, during and after an**
27 **emergency.** For example, NGOs provide mass sheltering, emergency food supplies,
28 counseling services or other vital support services to promote the recovery of disaster
29 victims. Oftentimes these groups provide specialized services that help individuals with
30 disabilities.
31
32 A key feature of NGOs is their inherent independence and commitment to specific sets of
33 interests and values. These interests and values drive the groups' operational priorities and
34 shape the resources they provide. Such NGOs bolster and support government efforts at all
35 levels – from community to State and Federal, for response operations and planning. When
36 planning the allocation of the local community emergency management resources and
37 structures, some community, State and Federal organizations have provided direct
38 assistance to NGOs. These groups collaborate with first responders, governments at all
39 levels and other agencies and organizations.
40
41 Examples of NGO and voluntary organization contributions include:
42
43 • Train and manage volunteer resources.
44
45 • Identify shelter locations and needed supplies.
46
47 • Provide critical emergency services to those in need, such as cleaning supplies,
48   clothing, food and shelter or assistance with post-emergency cleanup.
49
50 • Identify those whose needs have not been met and help coordinate the provision of
51   assistance.
52

1   **Some private sector organizations and NGOs are officially designated as support**
2   **elements to national response capabilities.** The American Red Cross, for example, is a
3   supporting agency to the mass care function of Emergency Support Function #6 to the
4   *Framework.* In addition, two overarching organizations are particularly instrumental in
5   organizing private sector participation in incident preparedness and response:
6
7   • *National Voluntary Organizations Active in Disasters (NVOAD).* NVOAD is a
8   consortium of more than 30 recognized national organizations active in disaster
9   relief. Their organizations provide capabilities to incident management and response
10   efforts at all levels. During major incidents, NVOAD typically sends representatives
11   to FEMA's National Response Coordination Center to represent the voluntary
12   organizations and assist in response coordination.
13
14 • *Citizen Corps.* In recent years, citizen groups have organized to assist public
15   officials in responding to emergencies. Citizen Corps, administered by the
16   Department of Homeland Security, is a community-level program that brings
17   government and private-sector groups together and coordinates the emergency
18   preparedness and response activities of community members. Through its network
19   of community, State and tribal councils, Citizen Corps increases community
20   preparedness and response capabilities through public education, outreach, training
21   and volunteer service.
22
23 **Volunteers and Donations.** Responding to disasters and emergencies frequently
24 exceeds the resources of government organizations. Volunteers and donations can support
25 incident response in many ways, and it is essential that governments at all levels plan
26 ahead for incorporation of volunteers and donated goods into their response processes.
27
28 The Volunteer and Donations Management Support Annex provides detailed guidance from a
29 national standpoint, and State and local planners should include similar Volunteer and
30 Donations Annexes in their emergency operations plans.
31
32 For major incidents in which foreign governments, individuals or organizations wish to make
33 donations, the U.S. Department of State is responsible for coordinating such donations.
34 Detailed guidance regarding the process for managing international donations is provided in
35 the International Support Annex.[9]
36
37 **Individuals and Families.** Although not formally a part of emergency management
38 operations, individuals and families play an important role in the overall emergency
39 management strategy. Community members can contribute by:
40
41 • **Reducing hazards in and around their homes.** By taking simple actions, such as
42   raising utilities above flood level or taking in unanchored objects during high winds,
43   people can reduce the amount of damage caused by an emergency or disaster event.
44
45 • **Preparing a disaster supply kit.** By assembling disaster supplies in advance of an
46   event, people can take care of themselves until first responders arrive. This includes
47   supplies for companion and service animals. See the recommended disaster supplies
48   list at http://www.ready.gov.
49

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[9] The *Framework's* support annexes are available online via the **NRF Resource Center**,
http://www.fema.gov/NRF.

1   • **Monitoring emergency communications carefully.** Throughout an emergency,
2   critical information and direction will be released to the public via electronic and
3   other media. By listening and following these directions carefully, residents can
4   reduce their risk of injury, keep emergency routes open to response personnel and
5   reduce demands on landline and cellular communication.
6
7   • **Volunteering with an established organization.** Organizations and agencies
8   with a role in emergency response and recovery are always seeking hardworking,
9   dedicated volunteers. By volunteering with an established voluntary agency,
10   individuals and families become part of the emergency management system and
11   ensure that their efforts are directed where they are needed most.
12
13 • **Enrolling in emergency response training courses.** Emergency response
14   training, whether basic first aid through the American Red Cross or a more complex
15   course through a local community college, will enable residents to take initial
16   response actions required to take care of themselves and their families, thus allowing
17   first responders to respond to higher priority incidents that affect the entire
18   community.
19
20 Community Emergency Response Team (CERT) training is one way for citizens to prepare
21 for an emergency.[10] **CERT training is designed to prepare people to help themselves,**
22 **their families and their neighbors in the event of a catastrophic disaster.** Because
23 emergency services personnel may not be able to help everyone immediately, residents can
24 make a difference by using the training obtained in the CERT course to save lives and
25 protect property.
26
27

28 # STATE
29
30 **A primary role of State government in incident management is to supplement and**
31 **facilitate local efforts before, during and after incidents.** The State provides direct
32 and routine assistance to its local jurisdictions through emergency management program
33 development, coordinating routinely in these efforts with Federal preparedness officials.
34 States must be prepared to maintain or accelerate services and to provide new services to
35 local governments when local capabilities fall short of demands.
36
37 Under the *Framework*, the term "State" and discussion of the roles and responsibilities of
38 States typically also includes cognate responsibilities that apply U.S. territories and
39 possessions and tribal nations. States are also responsible for requesting Federal
40 emergency assistance for communities and tribes within their area of responsibility. Thus,
41 States help by coordinating Federal assistance to the local level. In response to an incident,
42 the State helps coordinate and integrate resources and applies them to local needs.
43
44 **Governor.** As a State's chief executive, **the Governor is responsible for the public**
45 **safety and welfare of the people of his or her State**. For the purposes of the
46 *Framework*, any reference to a State Governor also references the chief executive of U.S.
47 Territories. The Governor:
48
49 • Is responsible for coordinating State resources needed to prevent, prepare for,
50   respond to and recover from emergency incidents of all types.

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[10] See http://www.citizencorps.gov/cert/about.shtm.

- In accordance with State law, may be able to make, amend or suspend certain orders or regulations in support of the incident management response.

- Communicates to the public and helps people, businesses and organizations cope with the consequences of any type of emergency.

- Commands the State military forces (National Guard and State militias).

- Arranges help from other States through interstate mutual aid and assistance compacts, such as the Emergency Management Assistance Compact.

- Requests Federal assistance including, if appropriate, a Stafford Act Presidential declaration of an emergency or disaster, when it becomes clear that State or interstate mutual aid capabilities will be insufficient or have been exceeded.

- Coordinates with impacted tribal nations within the State and initiates requests for a Stafford Act Presidential emergency or disaster declaration on behalf of an impacted tribe when appropriate.

As noted in *A Governor's Guide to Homeland Security*,[11] before being sworn in, new Governors should:

- *Avoid vacancies in key homeland security positions such as the State homeland security director or the State emergency manager. A newly elected Governor should work with his or her transition team to identify these key personnel early to minimize vacancies and encourage overlap with the outgoing administration. As soon as a new Governor selects people for these positions, the department or agency they are about to lead should be informed.*

- *Ensure that a staff able to manage a disaster response operation is in place on their inauguration day.*

- *Task their incoming gubernatorial staff, particularly the legal counsel, with reviewing the procedures necessary for them to declare a State emergency and use their emergency powers.*

State Homeland Security Advisor. The State Homeland Security Advisor serves as counsel to the Governor on homeland security issues and **serves as a liaison between the Governor's office, the State homeland security structure, the Department of Homeland Security (DHS)** and other organizations both inside and outside of the state. The advisor often chairs a committee comprised of representatives of relevant State agencies, including public safety, the National Guard, emergency management, public health and others charged with developing preparedness and response strategies.

Director, State Emergency Management Agency. All States have laws mandating establishment of a State emergency management agency and the emergency operations plan coordinated by that agency. **The Director of the State emergency management agency ensures that the State is prepared to deal with large-scale emergencies and is responsible for coordinating the State response in any major emergency or disaster.** This includes supporting local governments as needed or requested, and

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[11] National Governors Association, *A Governor's Guide to Homeland Security*, 2007, p. 11. Available at http://www.nga.org/Files/pdf/0703GOVGUIDEHS.PDF.

1 coordinating assistance with the Federal Government.
2
3 If the community's resources are not adequate, local authorities can seek additional
4 assistance from the county or State emergency manager. Although the State emergency
5 management agency may dispatch personnel to the scene to assist in the response and
6 recovery effort, only the Governor can request a Presidential declaration under the Stafford
7 Act.
8
9 **Other State Departments and Agencies.** State department and agency heads and
10 their staffs develop and train to internal policies and procedures to meet response and
11 recovery needs. They should also participate in interagency training and exercising to
12 develop and maintain the necessary capabilities.
13
14 **Indian Tribes. The United States recognizes Indian tribes as domestic dependent**
15 **nations under its protection** and recognizes the right of Indian tribes to self-government.
16 As such, tribes are responsible for coordinating tribal resources to address actual or
17 potential incidents. When their resources are exhausted, tribal leaders seek assistance from
18 States or even the Federal Government.
19
20 Although Federal law mandates that the Federal Government deal with Indian tribes on a
21 government-to-government basis, a tribe may opt to deal directly with State and local
22 officials. However, in order to obtain Federal assistance, **a State Governor must request**
23 **a Presidential declaration on behalf of a tribe**.
24
25 **Tribal Chief Executive Officer. The tribal chief executive officer is responsible**
26 **for the public safety and welfare of the people of that tribe.** As authorized by tribal
27 government, the tribal chief executive:
28
29 • Is responsible for coordinating Tribal resources needed to prevent, prepare for,
30   respond to and recover from emergency incidents of all types.
31
32 • May have powers to amend or suspend certain tribal laws or ordinances in support of
33   emergency response.
34
35 • Communicates with the tribal nation, and helps people, businesses and organizations
36   cope with the consequences of any type of disaster or emergency.
37
38 • Negotiates mutual aid agreements with other tribes/jurisdictions.
39
40 • Can request Federal assistance through the Governor of the State when it becomes
41   clear that the tribe's capabilities will be exceeded.
42
43 • Can elect to deal directly with the Federal Government. Although a State Governor
44   must request a Presidential disaster declaration on behalf of a tribe under the
45   Stafford Act, Federal agencies can work directly with the tribe within existing
46   authorities and resources.
47
48
49 # FEDERAL: ROLES AND RESPONSIBILITIES
50
51 When an incident occurs that exceeds local or State resources – or when an incident is
52 managed by Federal departments or agencies acting under their own authorities – the

19

1   Federal Government uses the *Framework* to involve all necessary department and agency
2   capabilities, organize the response and ensure coordination with response partners.
3
4   The Federal Government's response structures are, as our doctrine requires, **scalable and**
5   **flexible** – tailored specifically to the nature and scope of a given incident. Following
6   Hurricane Katrina, the Federal government has strengthened its capabilities to act in
7   emergencies, and to do so faster and more comprehensively.
8
9   The doctrine of **unified command** is applied at the headquarters, regional and field levels
10   to enable diverse agencies to work together effectively. Using unified command principles,
11   participants share common goals and synchronize their activities to achieve those goals.
12   The Federal Government also works to establish **engaged partnership** with States, as well
13   as the private sector. Our national response is more effective when all levels of government
14   work together well before an incident to develop effective plans and achieve a heightened
15   state of preparedness.
16
17   **Coordination of Federal Responsibilities. The President leads the Federal**
18   **government response effort** to ensure that the necessary coordinating structures,
19   leadership and resources are applied quickly and efficiently to large-scale and catastrophic
20   incidents. The President's **Homeland Security Council** and **National Security Council**,
21   which bring together Cabinet officers and other agency heads as necessary, provide national
22   strategic and policy guidance to the President during large-scale incidents that affect the
23   nation.
24
25   **The overall coordination of Federal incident management activities is implemented**
26   **through the Secretary of Homeland Security.** Other Federal departments and agencies
27   carry out their incident management and emergency response authorities and
28   responsibilities within this overarching framework. **Nothing in this *Framework* alters or**
29   **impedes the ability of Federal, State, local or tribal departments and agencies to**
30   **carry out their specific authorities or perform their responsibilities under all**
31   **applicable laws, Executive orders and directives.** Additionally, nothing in this
32   *Framework* is intended to impact or impede the ability of any Federal department or agency
33   to take an issue of concern directly to the President or any member of his or her staff.
34
35   Presidential directives[12] outline the following six primary lanes of responsibility that guide
36   Federal support at national, regional and field levels.
37
38   **Incident Management.** The **Secretary of Homeland Security** is the principal Federal
39   official for domestic incident management. By Presidential directive and statutory authority,
40   the Secretary is responsible for coordination of Federal resources utilized in the prevention
41   of, preparation for, response to or near-term recovery from terrorist attacks, major
42   disasters or other emergencies. The role of the Secretary of Homeland Security is to
43   provide the President with an overall architecture for emergency response, to coordinate the
44   Federal response, while relying upon other Federal partners. Depending upon the incident,
45   the Secretary also contributes elements of the response consistent with DHS's mission,
46   capabilities and authorities.
47
48   The following four criteria define situations for which the Department of Homeland Security
49   will implement the broad-based incident management coordinating mechanisms of the
50   *Framework*: (1) a Federal department or agency acting under its own authority has

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[12] The core Presidential directive in this regard is Homeland Security Presidential Directive 5, "Management of Domestic Incidents," which is available via the **NRF Resource Center** at http://www.fema.gov/NRF.

1   requested DHS assistance; (2) the resources of State and local authorities are overwhelmed
2   and Federal assistance has been requested; (3) more than one Federal department or
3   agency has become substantially involved in responding to the incident; or (4) the
4   Secretary has been directed by the President to assume incident management
5   responsibilities.
6

7   **Law Enforcement Investigation.**   The **Attorney General** is the chief law
8   enforcement officer of the United States.   The Attorney General has the lead responsibility
9   for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside
10   the United States or directed at U.S. citizens or institutions abroad, as well as for
11   coordinating activities of the other members of the law enforcement community to detect,
12   prevent, preempt and disrupt terrorist attacks against the United States.   This includes
13   actions that are based on specific intelligence or law enforcement information.
14

15   **Homeland Defense.**   The **Secretary of Defense** is responsible for homeland defense
16   and may also authorize Defense Support of Civil Authorities for domestic incidents as
17   directed by the President or when consistent with military readiness operations and
18   appropriate under the circumstances and the law.   When Department of Defense military
19   forces are authorized to support the needs of civil authorities, command of those forces
20   remains with the Secretary of Defense.   The Secretary of Defense must balance meeting the
21   Defense Department's primary mission of national defense while recognizing that the use of
22   available Department assets can benefit the national response to a domestic incident.
23

24   **International Coordination.**   The **Secretary of State** coordinates international
25   preparedness, response and recovery activities relating to domestic incidents and the
26   protection of U.S. citizens and U.S. interests overseas.
27

28   **Intelligence**.   The **Director of National Intelligence** serves as the President's principal
29   intelligence advisor and oversees and directs the implementation of the National Intelligence
30   Program.
31

32   **Other Response Support.**   Under the *Framework*, ***various Federal departments or***
33   ***agencies may play primary, coordinating and/or support roles based on their***
34   ***authorities and resources and the nature of the threat or incident.***
35

36   In situations where a Federal agency has jurisdictional authority and responsibility for
37   directing or managing a major aspect of the response, that agency is part of the national
38   leadership for the incident and is represented in the field at the Joint Field Office in the
39   Unified Coordination Group, at headquarters through the National Operations Center and
40   the National Response Coordination Center, which is part of the National Operations Center.
41

42   In addition, several Federal agencies have their own authorities to declare disasters or
43   emergencies.   For example, the Secretary of Health and Human Services can declare a
44   public health emergency.   These declarations may be made independently or as part of
45   incidents requiring a coordinated Federal response.   Where those declarations are part of an
46   incident requiring a coordinated Federal response, those Federal agencies act within the
47   overall coordination structure of the *Framework*.

CHAPTER II
RESPONSE ACTIONS

The *National Response Framework* is implemented through a set of shared principles (our doctrine), activities and organizational structures that support effective incident management. This chapter sharpens the focus on the core activities of incident management.

In short, this chapter unpacks and explains *what we as a nation collectively do* under the *Framework*: prepare, respond and recover.

INTRODUCTION

The *Framework* is intended to strengthen, harmonize and coordinate **response capabilities** at all levels. The doctrine of **tiered response** emphasizes that incidents should be handled at the lowest jurisdictional level capable of handling the work. The vast majority of incidents are, in fact, managed locally.

The *Framework* is focused on incidents of all types, including acts of terrorism, major disasters and other emergencies. For the purpose of this document, the term "incident" refers to an actual or potential occurrence or event.

First responders and emergency managers are both doers and planners, which is to say that to lead **response** and **recovery** efforts effectively, they must also **prepare** effectively, i.e., plan, organize, train, equip, exercise and continuously evaluate actual performance.

This chapter describes **the three phases of incident management: *prepare, respond and recover*.** It also outlines key tasks related to each in order to bring clarity to the actual work of incident management.

Each member of our society – not just our leaders or professional emergency managers – has a role to play in strengthening the nation's emergency management capabilities. The daily work of incident management draws upon common skills and discipline, whether one is responding on behalf of a community, state, tribe or Federal agency. The discussion below provides an overview of the key tasks associated with each of the three response capabilities. In each case, the general discussion is augmented by examples of how the key tasks are tailored to align with the needs of incident managers at various specific levels. **Mastery of these key tasks supports unity of effort, and thus improves our ability to save lives, protect property and meet basic human needs.**

Figure X. Capability Building Model

The Preparedness Cycle Builds Capabilities

22

PREPARE

Effective preparedness is an essential precondition for successful response.
Preparedness is discussed in the *National Response Plan* thusly: "the *NRP* focuses on those *activities that are directly related to an evolving incident or potential incident* rather than *steady-state preparedness or readiness activities* conducted in the absence of a specific threat or hazard" (page 4, emphasis added).

The *Framework* preserves this distinction and is focused on supporting preparedness activities directly related to an evolving incident or potential incident. Six tasks form the backbone of the preparedness cycle. Each is described below.

1. PLAN

Deliberate planning makes it possible to manage the entire life-cycle of a potential crisis, determine capability requirements and help stakeholders learn and practice their roles. Planning includes the collection and analysis of intelligence and information, as well as the development of policies, plans, procedures, mutual aid agreements, strategies and other arrangements to perform missions and tasks. Planning also improves effectiveness by clearly defining required capabilities, shortens the time required to gain control of an incident and facilitates the rapid exchange of information about a situation.

Community and State Actions. Community and State governments have a responsibility to develop detailed, robust all-hazards emergency operations plans. These plans must have clearly defined leadership roles and responsibilities, and they must articulate the decisions that need to be made with clarity about who will make them and when. These plans should include both hazard-specific and all-hazards plans that are tailored to the locale. They should be integrated, operational and incorporate key private-sector business and NGO elements.

Plans should include strategies for no-notice and forewarned evacuations, with particular considerations for assisting special needs (e.g. mobility disabled) populations. Specific procedures and protocols should augment these plans to guide rapid implementation.

Federal Actions. Each Federal department or agency must also plan for its role in incident response. Every Federal agency possesses personnel and resources that may be needed in response to an incident. Some Federal agencies have primary responsibility for certain aspects of incident response, such as hazardous materials remediation. Other Federal agencies may have supporting roles in providing different types of resources, such as communications personnel and equipment. Regardless of their roles, all Federal agencies must develop policies, plans and procedures governing how they will effectively locate resources and provide them as part of a coordinated Federal response.

The National Planning and Execution System is the official planning system used by the Department of Homeland Security's Incident Management Planning Team (IMPT) to develop interagency, national-level Strategic Plans for the 15 National Planning Scenarios. The FEMA Operational Planning Unit conducts nationwide operational planning in support of these strategic plans. Community, state and regional plans should complement and support FEMA's operational planning.

2. ORGANIZE

Organizing to support response capabilities includes developing an overall organizational structure, strengthening leadership at each level and assembling well-qualified teams of paid and volunteer staff for essential response and recovery tasks. The *National Incident Management System* (*NIMS*) provides standard command and management structures. This common system enables responders from different jurisdictions and disciplines to work together better to respond to natural disasters and emergencies, including acts of terrorism.

Community and State Actions. At the community and State levels, preparedness organizations begin the coordination of emergency management and incident response activities well before an incident. These organizations range from groups of individuals to large entities that represent a wide variety of committees, planning groups and other organizations. Preparedness organizations should meet regularly and coordinate with one another to ensure an appropriate focus on helping jurisdictions meet their preparedness needs. The needs of the jurisdictions involved will dictate how frequently such organizations must conduct their business, as well as how they are structured.

Jurisdictions should conduct a thorough inventory of their resources and conform to *NIMS* organizational and management principles by:

- Identifying the resources they possess and standardizing those resources in accordance with *NIMS* resource typing requirements.

- Ensuring interoperability of resources by purchasing only those resources that meet commonly accepted standards for performance.

- Ensuring that they have sufficient personnel who are trained in incident management principles and organized into standardized teams.

Federal Actions. Federal departments and agencies must organize to support effective incident management. Each department and agency head should vest the agency official responsible for incident management and preparedness with sufficient authority to meet the agency's responsibilities under the *Framework.* Federal departments and agencies are required to conduct a thorough, systematic inventory of their resources and to conform to *NIMS* organizational and management principles as noted above. Federal entities should also ensure they have a cadre of personnel (which can include full-time employees, temporary or surge personnel and contractors) who are trained in incident management principles and organized into standardized teams. Personnel and equipment can be bundled into "adaptive force packages," organized according to *NIMS* principles to provide a particular function or mission capability.

The Federal government utilizes *NIMS* resource management principles and this *Framework* to:

- Identify and describe **individual** Federal resources, and **Emergency Support Function teams** to assign primary and supporting actions to specific Federal departments and agencies, organize certain categories of resources and for deployment.

1 • Enhance response capability through **pre-scripted mission assignments** and
2 **advanced readiness contracts**, as well as through pre-positioned resources.
3
4 Federal departments and agencies should be familiar with each of these tools and use them
5 to accomplish informed response. Additional information about each of these resource
6 management approaches follows.
7
8 **Individual Resources.** Using *NIMS* principles, Federal resources are organized by
9 category, kind, size, capacity, skill and other characteristics. This organization makes
10 resource management more efficient and ensures that similar resources from different
11 agencies are organized according to standard principles.
12
13 **Emergency Support Function Teams.** The Federal government groups most of its
14 resources and capabilities, and those of certain private-sector and non-governmental
15 organizations, under 15 Emergency Support Functions (ESFs). ESFs align categories of
16 resources and provide strategic objectives for their use. ESFs utilize standardized resource
17 management concepts such as typing, inventorying and tracking to facilitate the dispatch,
18 deployment and recovery of resources before, during and after an incident. The *Framework*
19 identifies primary ESF agencies on the basis of authorities and resources. Support agencies
20 are assigned based on the availability of resources in a given functional area. ESFs provide
21 the greatest possible access to Federal department and agency resources regardless of what
22 agency has those resources. See Chapter III for significant additional detail regarding
23 ESFs.[13]
24
25 **Pre-Scripted Mission Assignments.** The Federal government uses pre-scripted
26 mission assignments to assist in planning and to reduce the time it takes to deploy Federal
27 resources. Pre-scripted mission assignments identify resources or capabilities of Federal
28 departments and agencies that are commonly called upon during incident response. Pre-
29 scripted mission assignments allow primary and supporting ESF agencies to organize
30 resources into "adaptive force packages." Based on specific requirements, pre-scripted
31 mission assignments can be tailored to develop, train and exercise rosters of deployable
32 disaster response personnel.
33
34 **Advanced Readiness Contracting**. While the Federal government has tremendous
35 resources on hand to support State and local governments, certain resources are more
36 efficiently deployed when procured from the private sector. Advanced readiness contracting
37 ensures that contracts are in place before an incident for commonly needed commodities
38 such as ice, water, debris removal, temporary power and plastic sheeting. Advanced
39 readiness contracting improves the Federal government's ability to secure supplies and
40 services by streamlining the process of ordering, acquiring and distributing surge resources
41 when needed.
42
43 **Pre-Positioned Resources.** Since virtually all incidents are local, Federal resources
44 must be positioned close to those localities most at risk for particular types of events. As a
45 result, the Federal government pre-positions resource stockpiles to leverage the geographic
46 distribution of Federal regional, district and sector offices across the country. Federally
47 administered incident response networks such as the National Urban Search & Rescue
48 Response System and the National Disaster Medical System utilize locally-sponsored teams

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[13] See also Chapter IV for discussion of ESF Annexes, which are available via the **NRF Resource Center** at
http://www.fema.gov/NRF.

1 to enhance Federal response efforts and reduce response times. These teams
2 simultaneously strengthen preparedness in their communities.
3
4 **Active Operations Centers.** Federal operations centers maintain active situational
5 awareness and interactive communications within and among Federal department and
6 agency regional, district and sector offices across the country. These operations centers are
7 often connected with their State and local counterparts, and can exchange information and
8 draw and direct resources in the event of an incident.
9
10
11 ## 3. TRAIN
12
13 **Building essential response capabilities nationwide requires a systematic program**
14 **to train individual teams and organizations to meet a common baseline of**
15 **performance and certification standards.**
16
17 **Community and State Actions.** Individuals and teams, whether paid or volunteer,
18 must meet relevant qualification, certification and performance standards. Professionalism
19 and experience is the foundation upon which successful response is built. Rigorous, ongoing
20 training is thus imperative. Content and methods of training must comply with applicable
21 standards and produce required skills and measurable proficiency. FEMA and other
22 organizations offer incident management training in online and classroom formats.
23
24 **Federal Actions.** Each Federal department and agency is required to ensure that key
25 incident management personnel are trained to an appropriate skill level in incident
26 management principles and subject matter requirements.
27
28
29 ## 4. EQUIP
30
31 **Community, State, tribal and Federal jurisdictions need to establish a common**
32 **understanding of the capabilities of distinct types of emergency response**
33 **equipment.** This facilitates planning before an incident, and rapid scaling and flexibility in
34 meeting the needs of an incident. A critical component of preparedness is the acquisition of
35 equipment that will perform to established standards, including the capability to be
36 interoperable with equipment used by other jurisdictions and/or participating organizations.
37
38 **Community and State Actions.** Effective preparedness requires jurisdictions to
39 identify and have strategies to obtain and deploy major equipment, supplies, facilities and
40 systems in sufficient quantities to perform assigned missions and tasks. The mobilization,
41 tracking, use, sustaining and de-mobilization of physical and human resources requires an
42 effective logistics system. That system must support both the residents in need and the
43 teams that are responding to the incident. As noted previously, *NIMS*-compliant resource
44 typing provides a uniform method of sharing commonly understood resources when needed
45 in a major incident.
46
47 **Federal Actions.** Each Federal department and agency must assess the needs of its
48 subject-matter experts to perform assigned emergency response missions and tasks. This
49 includes obtaining equipment needed to perform agency-specific emergency response
50 missions and maintaining core capabilities to communicate effectively among Federal, State
51 and local responders using the incident management structures described in the
52 *Framework*.

1
2 Federal departments and agencies responsible for providing equipment for incident
3 management activities must bundle that equipment into standardized equipment caches and
4 be prepared to provide for its safe transportation. They must of course also routinely
5 service and maintain such equipment and support the resources needed to maintain, repair
6 and operate it in the field.
7
8
9 ## 5. EXERCISE
10
11 **Exercises provide opportunities to test capabilities and improve proficiency in a**
12 **risk-free environment.** Exercises assess and validate policies, plans and procedures.
13 They also clarify and familiarize personnel with roles and responsibilities. Well-designed
14 exercises improve interagency coordination and communications, highlight capability gaps
15 and identify opportunities for improvement. Exercises should:
16
17 • Include multi-disciplinary, multi-jurisdictional incidents.
18
19 • Require interactions with private-sector and nongovernmental organizations.
20
21 • Cover all aspects of preparedness plans, particularly the processes and procedures
22 for activating local, intrastate or interstate mutual aid and assistance agreements.
23
24 • Contain a mechanism for incorporating corrective actions.
25
26 **Community, state, Federal and tribal jurisdictions should exercise their own**
27 **response capabilities and evaluate their abilities to perform expected**
28 **responsibilities and tasks.** This is a basic responsibility of all entities and is distinct from
29 participation in other interagency exercise programs.
30
31 As discussed in the Introduction, DHS has responsibility for coordinating the National
32 Exercise Program, which incorporates a requirement that Federal departments and agencies
33 support an exercise program that is tied to the 15 incident and planning scenarios contained
34 in the *National Preparedness Guidelines*. The Secretary of Defense has also signed an
35 internal order accelerating this alignment. This four-year exercise schedule is augmented
36 by other exercises that link Federal, State and local planners and executives, such as the
37 TOPOFF series and state-centered exercises on pandemic influenza supported by the
38 Secretary of Health and Human Services. State and local participation is a feature of most
39 of the work on Federally-sponsored exercises. Various DHS grants are available to support
40 this training and exercise work.
41
42
43 ## 6. EVALUATE AND IMPROVE
44
45 Evaluation and iterative process improvement are cornerstones of effective preparedness
46 exercises. Upon concluding an exercise, jurisdictions should evaluate performance against
47 relevant capability objectives, identify deficits and institute corrective action plans.
48 Improvement planning should develop specific recommendations for changes in practice,
49 timelines for implementation and assignments for completion.
50
51 **All community, State, tribal and Federal entities should institute a corrective**
52 **action program to evaluate exercise participation and incident response, capture**
53 **lessons learned and make improvements in its response capabilities.** An active

1 corrective action program will provide a method and define roles and responsibilities for
2 identification, prioritization, assignment, monitoring and reporting of corrective actions
3 arising from exercises and real world events. The National Exercise Program contains a
4 corrective action program system, a web-based tool that enables Federal, State and local
5 emergency response and homeland security officials to implement the corrective action
6 program process. In this way, the continuous cycle of preparedness yields enhancements
7 to community preparedness.
8
9

10 # RESPOND

11
12 **Once an incident occurs, priorities shift – from**
13 **building capabilities to employing resources to**
14 **preserve life, property, the environment and the**
15 **social, economic and political structure of the**
16 **community.** Depending on the size, scope and
17 magnitude of an incident, communities, States, and, in
18 some cases, the Federal Government will be called to
19 action.
20
21 Four key response actions typically occur in support of
22 an emergency response mobilization: (1) gain and
23 maintain situational awareness; (2) assess the situation
24 and activate key resources and capabilities; (3)
25 effectively coordinate response actions; then, as the
26 situation permits, (4) demobilize. These response
27 actions are illustrated in Figure XX, and core elements
28 of each is described below.

Figure X. The Response Process
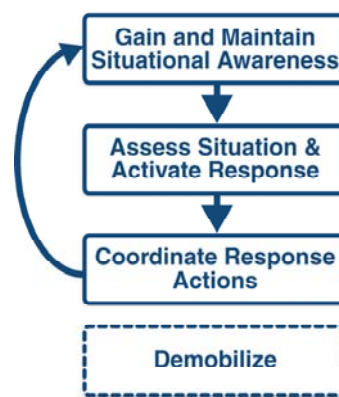
29
30
31 ## 1. GAIN AND MAINTAIN SITUATIONAL AWARENESS.

32
33 **Baseline Priorities. Situational awareness requires continuous monitoring of**
34 **relevant sources of information regarding actual incidents and developing**
35 **hazards.** The scope and type of monitoring varies based on the type of incidents being
36 evaluated and needed reporting thresholds. Critical information is passed through pre-
37 established reporting channels according to established security protocols. Priorities
38 include:

39
40 • *Providing the right information at the right time.* For an effective national
41 response, jurisdictions must continuously refine the ability to assess the situation as
42 an incident unfolds and rapidly provide accurate information to decision-makers in a
43 user-friendly manner. It is essential that all levels of government, the private sector
44 and nongovernmental organizations share information in order to develop a common
45 operating picture and synchronize their response operations and resources.

46
47 • *Improving and integrating national reporting.* Situational awareness must start
48 at the incident scene and be effectively communicated to local governments, the
49 State, and the Federal Government. Jurisdictions must integrate existing reporting
50 systems to develop an information and knowledge management system that fulfills
51 national information requirements.
52

1 • ***Linking operations centers and tapping subject-matter experts.*** States,
2 communities and the Federal Government have a wide range of operations centers
3 that monitor events and provide situational awareness, including local and State
4 emergency operations centers, the Department of Homeland Security's National
5 Operations Center and other Federal operations centers. Based on their roles and
6 responsibilities, operations centers should identify information requirements,
7 establish reporting thresholds and be familiar with the expectations of decision-
8 makers and partners. Situational awareness is greatly improved when experienced
9 subject-matter experts identify critical elements of information and use them to form
10 a Common Operating Picture.
11
12 Incident reporting and documentation procedures should be standardized to enhance
13 situational awareness and provide emergency management/response personnel with ready
14 access to critical information. Situation reports should contain verified information and
15 explicit details (who, what, where and how) related to the incident. Status reports, which
16 may be contained in situation reports, relay specific information about resources. Based on
17 an analysis of the threats, jurisdictions issue warnings to the public and provide emergency
18 public information.
19
20 **Community and State Actions.** Community, State and tribal governments can
21 address the inherent challenges in establishing successful information-sharing networks by:
22
23 • Creating intelligence fusion centers that bring together into one central location law
24 enforcement, intelligence, emergency management, public health and other agencies
25 to evaluate together available information and intelligence.
26
27 • Utilizing national standards for information sharing that foster the ability of systems
28 to exchange data.
29
30 • Joining national efforts that encourage intelligence and information sharing and
31 include regional, multi-state and Federal systems.
32
33 • Reporting incident information to DHS using established mechanisms. Terrorist
34 threats and actual incidents with a potential or actual terrorist link should
35 immediately be reported to a local or regional Joint Terrorism Task Force.
36
37 **Federal Actions.** The DHS National Operations Center (NOC) is responsible for
38 facilitating homeland security coordination across the Federal mission areas of prevention,
39 protection, response and recovery. The NOC serves as the national fusion center, collecting
40 and synthesizing all-source information to determine if there is a terrorist nexus. The NOC
41 also shares all-threats and all-hazards information across the spectrum of homeland
42 security partners. Federal departments and agencies should report information regarding
43 actual or potential incidents requiring a coordinated Federal response to the NOC. Such
44 information may include:
45
46 • Implementation of a Federal department or agency emergency response plan.
47
48 • Actions to prevent or respond to an incident requiring a coordinated Federal response
49 for which a Federal department or agency has responsibility under law or directive.
50
51 • Submission of requests for coordinated Federal assistance to, or receipt of a request
52 from, another Federal department or agency.
53

- Requests for coordinated Federal assistance from State, local, tribal governments or private sector businesses and NGOs.

- Suspicious activities or threats, which are closely coordinated among the NOC, the FBI Counter Terrorism Watch and the National Counter Terrorism Center.

The primary reporting method for information flow is the DHS Common Operating Picture. Each Federal department and agency must ensure that its incident response personnel are trained to use the Common Operating Picture for incident reporting.[14]

Alerts. When notified of a hazard or an incident that potentially requires a coordinated Federal response. The **NOC assesses the situation and notifies the Secretary of Homeland Security and the primary Federal operations coordination centers**: the National Response Coordination Center; the FBI Strategic Information Operations Center; the National Counterterrorism Center; and the National Military Command Center. The NOC serves as the primary coordinating center for these and other operations centers. The NOC alerts Department and Agency leadership, employing decision-quality information. Based on the information, the Secretary of Homeland Security determines the need for activation of *Framework* elements. Officials should be prepared to participate, either in person or by secure video teleconference, with departments or agencies involved in responding to the incident.

The NOC maintains the Common Operating Picture that provides overall situational awareness for incident information. Each Federal department and agency must ensure that its incident response personnel are trained to utilize these tools.

2. ASSESS THE SITUATION, ACTIVATE RESOURCES AND CAPABILITIES

Baseline Priorities. *When an incident or potential incident occurs, responders assess the situation, identify and prioritize requirements and activate available resources and capabilities* to save lives, protect property and meet basic human needs. In most cases, this includes development of an **Incident Action Plan** by the Incident Command in the field and support plans by the appropriate community, State and/or Federal Government entities. Key activities include:

- *Activating and mobilizing people, resources and capabilities.* Across all levels, initial actions may include activation of people and teams and establishment of response structures to organize and coordinate an effective response. The resources and capabilities deployed and the activation of supporting response structures should be directly related to size, scope, nature and complexity of the incident. All responders should maintain and regularly exercise notification systems and protocols.

- *Requesting additional resources and capabilities.* Responders may also request additional resources and/or capabilities from the surrounding area, or, if the event exceeds local resources, from other communities, the State, nearby States or the Federal government. For all incidents, especially large-scale national incidents, it is essential to prioritize and clearly communicate incident requirements so that resources can be efficiently matched, typed and mobilized to support operations.

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[14] Additional information concerning HSIN and Federal reporting requirements is found in the *HSIN Concept of Operations*, which is available via the **NRF Resource Center** at http://www.fema.gov/NRF.

1

2 • ***Pre-identifying needs and pre-positioning resources.*** When planning for
3 heightened threats or in anticipation of large-scale incidents, communities, States or
4 the Federal government should anticipate resources and capabilities that may be
5 needed. Based on asset availability, resources should be pre-positioned and
6 response teams and other support assets may be placed on alert or deployed to a
7 staging area. As noted above, mobilization and deployment will be most effective
8 when supported by planning that includes pre-scripted mission assignments, advance
9 readiness contracting and pre-positioned capabilities.

10

11 **Community and State Actions.** In the event of, or in anticipation of, an incident
12 requiring a coordinated response, community and State jurisdictions should:

13

14 • Identify staff for deployment to the **Emergency Operations Center.** These
15 organizations have standard procedures and call-down lists and should notify
16 department and agency points of contact.

17

18 • Work with emergency managers to take the necessary steps to provide for continuity
19 of operations.

20

21 • Activate **Incident Management Teams (IMTs),** which are incident command
22 organizations made up of the Command and General Staff members and appropriate
23 functional units of an Incident Command System organization. The level of training
24 and experience of the IMT members, coupled with the identified formal response
25 requirements and responsibilities of the IMT, are factors in determining the "type," or
26 level, of IMT.

27

28 • Activate **Specialized Response Teams.** Jurisdictions may have specialized teams
29 including search and rescue teams, crime scene investigators, public works teams,
30 hazardous materials response teams, public health specialists or veterinarians.

31

32 **Federal Actions.** In the event of, or in anticipation of, an incident requiring a
33 coordinated Federal response, the National Operations Center, in many cases acting through
34 the National Response Coordination Center, notifies other Federal departments and agencies
35 of the situation and specifies the level of activation required. After being notified,
36 departments and agencies should:

37

38 • Identify and deploy staff for their own emergency operations centers to surge to
39 initial operational levels.

40

41 • Identify staff for deployment to the National Operations Center, the National
42 Response Coordination Center, FEMA Regional Response Coordination Centers or
43 other operations centers as needed. These organizations have standard procedures
44 and call down lists and will notify department or agency points of contact if
45 deployment is necessary.

46

47 • Identify staff that can be dispatched to the Joint Field Office, including Federal
48 officials representing those departments and agencies with specific authorities, lead
49 personnel for the JFO Sections (Operations, Planning, Logistics and Administration
50 and Finance) and the Emergency Support Function teams.

51

52 • Begin activating and staging Federal teams in support of the Federal response as
53 requested by DHS.

1
2 • Activate pre-scripted mission assignments and readiness contracts, as directed by
3   DHS.
4
5
6 **3. COORDINATE RESPONSE ACTIONS**
7
8 **Baseline Priorities.** Coordination of response activities occurs through response
9 structures based on pre-assigned roles, responsibilities and reporting protocols. Critical
10 information is provided up through pre-established reporting chains to decision-makers.
11 The efficiency and effectiveness of response and supporting organizations will be enhanced
12 by full application of the *NIMS* with its common principles, structures and coordinating
13 processes. Specific priorities include:
14
15 • ***Community, tribal and State governments are responsible for the***
16   ***management of their emergency functions***. Such management includes
17   mobilizing the National Guard, pre-positioning assets and supporting its
18   communities. Community, State and tribal governments, in conjunction with their
19   voluntary organization partners, are also responsible for implementing plans to
20   ensure the effective management of the flow of volunteers and goods in the affected
21   area.
22
23 • ***Coordinating initial actions.*** Initial actions are coordinated through the on-scene
24   Incident Command and may include: immediate law enforcement, fire and
25   emergency medical services; emergency flood fighting; evacuations; transportation
26   system detours; and emergency information for the public. As the incident unfolds,
27   the on-scene Incident Command updates Incident Action Plans and revises courses
28   of action based on changing circumstances.
29
30 • ***Coordinating requests for additional support.*** If additional resources and
31   capabilities are required, the on-scene Incident Command requests the needed
32   support. Additional response structures and personnel are activated to support the
33   response. In such large-scale responses, it is critical that personnel understand
34   response roles, structures, protocols and concepts to ensure clear, coordinated
35   actions. In most cases, resources and capabilities are activated through Emergency
36   Support Function teams (ESFs) and integrated into the *NIMS* structure at the
37   appropriate levels.
38
39 • ***Identifying and integrating resources and capabilities***. Resources and
40   capabilities must be marshaled, deployed, received, staged and efficiently integrated
41   into ongoing operations. For large, complex incidents, this may include working with
42   a diverse array of organizations, ranging from multiple private-sector companies and
43   NGOs through prearranged agreements and contracts. Large-scale events may also
44   require sophisticated coordination and time-phased deployment of resources through
45   an integrated logistics system. Pre-arranged capabilities, response teams and
46   adaptive force packages may be deployed. Systems and venues must be established
47   to receive, stage, track and integrate resources into ongoing operations. Incident
48   Command should continually assess operations and scale and adapt existing plans to
49   meet evolving circumstances.
50
51 • ***Coordinating communications.*** Effective public communication strategies are
52   essential following an incident. Incident Command may elect to establish a Joint

Information Center (JIC), which would be responsible for coordinating public information across community, State, Federal and tribal governments, as well as with the private sector and NGOs. By developing media lists, contact information for relevant stakeholders and coordinated news releases, the JIC facilitates dissemination of accurate, consistent, accessible and timely public information to numerous audiences.

Specific response action will vary depending upon the scope and nature of the incident. Response actions are based on the shared objectives established by the Incident Command and Unified Coordination Group. Response activities include, but are not limited to:

- Warning the public and providing emergency public information.

- Implementing evacuation plans that include provisions for special needs populations and companion animals.

- Sheltering evacuees in pre-identified shelters and providing food, water, ice and other necessities.

- Performing search and rescue.

- Treating the injured.

- Providing law enforcement.

- Controlling hazards (extinguishing fires, containing hazardous materials spills, etc.).

- Providing consistent, timely and accurate public information.

Neighboring communities play a key role in providing support through a framework of mutual aid and assistance agreements. These agreements are formal documents that identify the resources that communities are willing to share during an incident. Such agreements should include:

- Definitions of key terms used in the agreement.

- Roles and responsibilities of individual parties.

- Procedures for requesting and providing assistance.

- Procedures, authorities and rules for allocation and reimbursement of costs.

- Notification procedures.

- Protocols for interoperable communications.

- Relationships with other agreements among jurisdictions.

- Treatment of workers' compensation, liability and immunity.

- Recognition of qualifications and certifications.

1   While States typically act as the conduit between the Federal and local governments when
2   Federal assistance is supporting a local jurisdiction, there are certain instances in which
3   Federal partners may play an active role in a unified command. For example, wildfires on
4   Federal land or oil spills are activities for which certain Federal agencies may have authority
5   to respond under their own statutes and jurisdiction.
6
7   **Community and State Actions.** Within communities, *NIMS* principles, including
8   unified command, are applied to integrate response plans and resources across jurisdictions
9   and departments and with private sector businesses and NGOs. **States provide the vast**
10 **majority of the external assistance to communities.** The State is the gateway to
11 several government programs that help communities prepare. When an incident grows
12 beyond the capability of a community, and cannot meet the needs with mutual aid and
13 assistance resources, the community contacts the State. Upon receiving a request for
14 assistance from a local government, immediate State response activities may include:
15
16 • Coordinating warnings and public information through the activation of the State's
17   public communications strategy and the establishment of a Joint Information Center.
18
19 • Distributing supplies stockpiled to meet the emergency.
20
21 • Providing needed technical assistance and support to meet the response and
22   recovery needs of individuals and families.
23
24 • The Governor's suspending existing statutes, rules, ordinances and orders for the
25   duration of this emergency, if necessary, to ensure timely performance of disaster
26   response functions.
27
28 • Implementing State donations management plans and coordinating with NGOs and
29   the private sector.
30
31 • Ordering the evacuation of persons from any portions of the State threatened by the
32   disaster, giving consideration to the requirements of special needs populations and
33   those with companion or service animals.
34
35 In addition to these actions, the Governor may elect to activate the National Guard. **The**
36 **National Guard is a crucial State resource during emergencies and disasters, with**
37 **expertise in communications, logistics, search and rescue and decontamination.**
38 The State Governor commands the State military forces (National Guard, when in State
39 Active Duty or Title 32 status, and State militias) and can deploy these assets in response to
40 an incident. National Guard forces employed under State Active Duty or Title 32 status are
41 providing support to the Governor of their State and are not part of Federal military
42 response efforts.
43
44 **When the National Guard is deployed in State Active Duty status, the Governor**
45 **retains command and control of forces inside his or her State or territory.** State
46 Active Duty is based on State statute and policy, and the State is responsible for all costs
47 relating to the deployment. Title 32 Full-Time National Guard Duty refers to Federal training
48 or other duty, other than inactive duty, performed by a member of the National Guard.
49 Title 32 is not subject to *posse comitatus* restrictions and allows the Governor, with the
50 approval of the President or the Secretary of Defense, to order a Guard member to duty to:
51
52 • Perform training and other operational activities.
53

- Undertake activities for the military protection of the territory or domestic population of the United States, or of the infrastructure or other assets of the United States determined to be critical to national security, from a threat or aggression against the United States.

- Conduct homeland defense activities that the Secretary of Defense determines to be necessary and appropriate for participation by the National Guard units or members.

In rare circumstances, the President would federalize National Guard forces for domestic duties under Title 10. In such cases, the forces are no longer under the command of the Governor. Instead, the Department of Defense assumes full responsibility for all aspects of the deployment, including command and control over National Guard forces.

State-to-State Assistance. If additional resources are required, the State may request assistance from other States by using interstate mutual aid and assistance agreements such as the **Emergency Management Assistance Compact (EMAC).** Administered by the National Emergency Management Association, EMAC is a congressionally ratified organization that provides form and structure to the interstate mutual aid and assistance process. Through EMAC, a State can request and receive assistance from other member States.[15] Such State-to-State assistance may include:

- Invoking and administering a Statewide Mutual Aid Agreement, as well as coordinating the allocation of resources under that agreement.

- Invoking and administering EMAC and other compacts and agreements, and coordinating the allocation of resources that are made available to and from other States.

Requesting Federal Assistance. When an incident overwhelms State and mutual aid resources, the Governor may request Federal assistance. In such cases, the affected community, State and Federal government will collaborate to provide the necessary assistance. The Federal Government may provide assistance in the form of funding, resources and critical services. **Federal agencies respect the sovereignty and responsibilities of community, State and tribal governments while rendering assistance.** The intention of the Federal Government in these situations is not to command the incident response, but rather to support the affected community, State and/or tribal governments.

Robert T. Stafford Disaster Relief and Emergency Assistance Act. When it is clear that State or tribal capabilities will be exceeded or exhausted, the Governor can request Federal assistance, including assistance under the **Robert T. Stafford Disaster Relief and Emergency Assistance Act** (Stafford Act).[16] The Stafford Act authorizes the President to provide financial and other forms of assistance to State and local governments, certain private nonprofit organizations and individuals to support response, recovery and mitigation efforts following Presidential emergency or disaster declarations.

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[15] For more detail about EMAC, see http://www.emacweb.org/.
[16] Further detail regarding Federal involvement under the Stafford Act is available via the **NRF Resource Center** at http://www.fema.gov/NRF. Additional information about the Stafford Act disaster process and disaster aid programs is available at http://www.fema.gov/hazard/dproc.shtm.

1   The Stafford Act is triggered by any catastrophe (i.e., fire, flood, explosion, epidemic),
2   regardless of cause, which brings about damage of sufficient severity and magnitude to
3   warrant Federal disaster assistance to supplement the efforts and available resources of
4   States, local governments and disaster relief organizations in alleviating the damage, loss,
5   hardship or suffering.
6
7   The forms of public assistance typically flow either from a disaster declaration or an
8   emergency declaration.[17] **A Major Disaster** could result from a hurricane, earthquake,
9   flood, tornado or major fire which the President determines warrants supplemental federal
10   aid. The event must be clearly more than state or local governments can handle alone. If
11   declared, funding comes from the President's Disaster Relief Fund, which is managed by
12   FEMA, and disaster aid programs of other participating federal agencies. **A Presidential**
13   **Major Disaster Declaration** puts into motion long-term federal recovery programs, some
14   of which are matched by state programs, and designed to help disaster victims, businesses
15   and public entities. **An Emergency Declaration** is more limited in scope and without the
16   long-term federal recovery programs of a Major Disaster Declaration. Generally, federal
17   assistance and funding are provided to meet a specific emergency need or to help prevent a
18   major disaster from occurring.
19

20   *Requesting a Presidential Declaration.* Most incidents are not of sufficient magnitude to
21   merit a Presidential emergency or major disaster declaration. However, when State and
22   local resources are insufficient, **a Governor may ask the President to declare a Federal**
23   **disaster or emergency.** Before making a declaration request, the Governor must activate
24   the State's emergency plan and ensure that all appropriate State and local actions have
25   been taken, including:
26

27   •   Surveying the affected areas to determine the extent of private and public damage.
28

29   •   Conducting joint preliminary damage assessments with FEMA officials to estimate the
30   types and extent of Federal disaster assistance required.
31

32   •   Consulting with the DHS/FEMA Regional Administrator on Federal disaster assistance
33   eligibility, and advising the FEMA regional office if a Presidential declaration will be
34   requested.
35

36   Only a Governor can initiate a request for a Presidential emergency or major disaster
37   declaration. This **request is made through the FEMA Regional Administrator** and is
38   based on a finding that Federal assistance is needed because the situation exceeds State
39   and local response capabilities due to its severity and magnitude. The request should
40   include:
41

42   •   Information on the extent and nature of State resources that have been or will be
43   used to address the consequences of the disaster.
44

---

[17] The Stafford Act defines an **emergency** as "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." A **major disaster** is defined as "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."

1   •   A certification by the Governor that State and local governments will assume all
2   applicable non-Federal costs required by the Stafford Act.
3
4   •   An estimate of the types and amounts of supplementary Federal assistance required.
5
6   •   Designation of a State Coordinating Officer.
7

8 The completed request, addressed to the President, should be sent to the FEMA Regional
9 Administrator, who evaluates the damage and requirements for Federal assistance and
10 make a recommendation to the FEMA Administrator. **The FEMA Administrator, acting**
11 **through the Secretary of Homeland Security, may then recommend a course of**
12 **action to the President.** The Governor, appropriate members of Congress and Federal
13 agencies are immediately notified of a Presidential declaration.
14

15 **Federal Assistance Available Without a Presidential Declaration.** In many
16 cases, disaster assistance may be obtained from the Federal Government and
17 nongovernmental organizations without a Presidential declaration. For example, FEMA
18 places liaisons in State emergency operations centers and moves commodities to sites near
19 incident sites that may require federal assistance prior to a Presidential declaration.
20 Additionally, some types of assistance, such as Fire Management Assistance Grants – which
21 provide support to States experiencing severe wildfires – do not require Presidential
22 approval. Finally, Federal departments and agencies may provide immediate lifesaving
23 assistance to States under their own statutory authorities without a formal Presidential
24 declaration.
25

26 **Other Federal or Federally-Facilitated Assistance**. The *Framework* covers the full
27 range of complex and constantly changing requirements in anticipation of, or in response to,
28 threats or actual incidents, including terrorism and major disasters. In addition to Stafford
29 Act support, Federal support can take many forms. Federal departments and agencies must
30 remain flexible and adaptable in order to provide the support that is required for a particular
31 incident.
32

33 *Federal Support to States.* The *Framework* provides the mechanism for coordinating the
34 actions of multiple Federal departments and agencies when States are requesting support
35 for incidents that require additional assistance.
36

37 *Federal-to-Federal Support.* A Federal department or agency responding to an incident
38 under its own jurisdictional authorities may request DHS coordination to obtain additional
39 Federal assistance. As part of Federal-to-Federal support, Federal departments and
40 agencies execute interagency or intra-agency reimbursable agreements, in accordance with
41 the Economy Act or other applicable authorities. The *Framework's* Financial Management
42 Support Annex,[18] contains additional information on this process.
43

44 In such cases, DHS may activate one or more ESFs to coordinate required support. Federal
45 departments and agencies must plan for Federal-to-Federal support missions, identify
46 additional issues that may arise when providing assistance to other Federal departments
47 and agencies and address those issues in the planning process. When providing Federal-to-
48 Federal support, DHS may designate a Federal Resource Coordinator to perform the
49 resource coordination function.
50

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[18] Available via the **NRF Resource Center** at http://www.fema.gov/NRF.

1   ***International Assistance.*** A domestic incident may have international and diplomatic
2   implications that call for coordination and consultations with foreign governments and
3   international organizations. An incident may also require direct bilateral and multilateral
4   actions on foreign affairs issues related to the incident. The Department of State (DOS) has
5   responsibility for coordinating bilateral and multilateral actions, and for coordinating
6   international assistance. International coordination within the context of a domestic
7   incident requires close cooperative efforts with foreign counterparts, multilateral/
8   international organizations and the private sector. Federal departments and agencies
9   should consider in advance what resources or other assistance they may require or be asked
10   to accept from foreign sources and address issues that may arise in receiving such
11   resources. Detailed information on coordination with international partners is further
12   defined in the International Coordination Support Annex.[19]
13
14   ***Proactive Federal Response to Catastrophic Events.*** During catastrophic events,
15   especially for those which occur without notice, the Federal Government may take proactive
16   measures to mobilize and deploy assets in anticipation of a request from a State. Protocols
17   for proactive Federal response are most likely to be implemented for catastrophic events
18   involving chemical, biological, radiological, nuclear or high-yield explosive weapons of mass
19   destruction, or large-magnitude earthquakes or other natural or technological disasters in or
20   near heavily populated areas. Proactive Federal response protocols are used to ensure that
21   Federal response resources reach the scene in a timely manner despite any disruption to
22   normal function of State or local governments.
23
24   ## Response Activities.
Specific response actions will vary depending upon the scope and
25   nature of an incident. Response actions are based on the shared objectives established by
26   the Joint Field Office's Unified Coordination Group. Detailed information about the full range
27   of potential response capabilities is contained in the Capability Annexes Incident Annexes
28   and Support Annexes. See Chapter IV for additional detail about these items.
29
30   ***Department and Agency Activities.*** Federal departments and agencies, upon receiving
31   notification or activation requests, must implement their agency-specific emergency
32   operations plans to activate resources and organize the agency's response actions. Agency-
33   level plans should incorporate procedures for:
34
35   •   Reporting instructions for key internal resources.
36
37   •   Designation of department or agency representatives for interagency coordination.
38
39   •   Activation of coordination groups managed by the department or agency in
40   accordance with roles and responsibilities.
41
42   •   Activation, mobilization, deployment and ongoing status reporting for resource-typed
43   teams with responsibilities for providing capabilities under the *Framework*.
44
45   •   Readiness to execute mission assignments in response to requests for assistance
46   (including pre-scripted mission assignments), and to support all levels of department
47   or agency participating in the response, both at the field and the national level.
48
49   •   Ensuring that department or agency resources (personnel, teams or equipment) fit
50   into the interagency incident management framework set out in the *Framework*.
51

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[19] Available via the **NRF Resource Center** at http://www.fema.gov/NRF.

1   ***Regional Incident Management Activities.*** The FEMA Regional Administrator deploys a
2   liaison to the State Emergency Operation Center to provide technical assistance and also
3   activates the Regional Response Coordination Center. Federal department and agency
4   personnel, including ESF primary and support agency personnel, staff the RRCC as required.
5   The Regional Response Coordination Centers:

6
7   • Coordinate initial regional and field activities.
8
9   • Deploy regional teams to assess the impact of the event, gauge immediate State
10   needs and make preliminary arrangements to set up operational field facilities.
11
12 • Coordinate Federal support until a Joint Field Office is established.
13
14 • Establish a Joint Information Center to provide a central point for coordinating
15   emergency public information activities.
16
17 ***Incident Management Assist Team (IMAT).*** In coordination with the RRCC, FEMA may
18 deploy an Incident Management Assist Team (IMAT). IMATs are interagency teams
19 composed of subject matter experts and incident management professionals. IMAT
20 personnel may be drawn from national or regional Federal department and agency staff
21 according to pre-established protocols. IMAT teams make preliminary arrangements to set
22 up Federal field facilities and initiate establishment of the JFO.
23
24 ***Emergency Support Functions.*** The National Response Coordination Center may also
25 activate specific Emergency Support Functions by directing appropriate departments and
26 agencies to initiate the initial actions delineated in the Capabilities Annex.[20]
27
28
29 ## 4. DEMOBILIZE
30
31 Demobilization is the orderly, safe and efficient return of an incident resource to its original
32 location and status. Demobilization should begin as soon as possible to facilitate
33 accountability of the resources and be fully coordinated with other response structures.
34
35 **Community and State Actions.** At the community and State levels, demobilization
36 planning and activities should include:
37
38 • Provisions to address and validate the safe return of resources to their original
39   locations.
40
41 • Processes for tracking resources and ensuring applicable reimbursement.
42
43 • Steps to ensure responder safety.
44
45 • Accountability for compliance with mutual aid provisions.
46
47 **Federal Actions.** The Unified Coordination Group oversees the development of an exit
48 strategy and demobilization plan. As the need for full-time interagency response
49 coordination at the JFO wanes, the Unified Coordination Group plans for selective release of
50 Federal resources, demobilization, transfer of responsibilities and closeout.
51

---

[20] Available via the **NRF Resource Center** at http://www.fema.gov/NRF.

1 ESF representatives assist in demobilizing resources and organizing their orderly return to
2 regular operations, warehouses or pre-positioning locations. After the Joint Field Office
3 closes, ongoing activities transition to individual agencies with primary recovery
4 responsibilities. Federal partners then work directly with their regional or headquarters
5 offices to administer and monitor individual recovery programs, support and technical
6 services.
7
8
9 # RECOVER
10
11 **Once immediate lifesaving activities are complete, the focus shifts to assisting**
12 **individuals, families and businesses in meeting basic needs and returning to self-**
13 **sufficiency.** Recovery is the development, coordination and execution of service- and site-
14 restoration plans for affected communities, and the resumption of government operations
15 and services through individual, private-sector, nongovernmental and public assistance
16 programs. Such programs:
17
18 - Identify needs and resources.
19
20 - Provide housing and promote restoration.
21
22 - Address care and treatment of affected persons.
23
24 - Inform residents and prevent unrealistic expectations.
25
26 - Implement additional measures for community restoration.
27
28 - Incorporate mitigation measures and techniques, as feasible.
29
30 **Even as the immediate imperatives for response to an incident are being**
31 **addressed, the need to begin recovery operations emerges.** In an almost
32 imperceptible evolution, the emphasis upon response will give way to recovery operations
33 and, if applicable, hazard mitigation. Within recovery, actions are taken to help individuals,
34 communities and the nation return to normal. Depending on the complexity of this phase,
35 recovery and cleanup efforts involve significant contributions from all sectors of our society.
36
37 **Short-term recovery** is immediate and overlaps with response. It includes such actions as
38 providing essential public health and safety services, restoring interrupted utility and other
39 essential services, reestablishing transportation routes and providing food and shelter for
40 those displaced by the disaster. Although called "short term," some of these activities may
41 last for weeks.
42
43 **Long-term recovery,** which is outside the scope of the *Framework*, may involve some of
44 the same actions but may continue for a number of months or years, depending on the
45 severity and extent of the damage sustained. For example, long-term recovery may include
46 the complete redevelopment of damaged areas.
47
48 **Community and State Actions.** Recovery from disaster is unique to each community
49 and depends on the amount and kind of damage caused by the disaster and the resources
50 that the community has ready or can quickly obtain. In the short term, recovery is an
51 extension of the response phase in which basic services and functions are restored. In the

1 long term, recovery is a restoration of both the personal lives of individuals and the
2 livelihood of the community.
3
4 **Federal Actions.** The Joint Field Office remains the central coordination point among
5 community, State, Federal and tribal governments, as well as private sector entities that are
6 providing recovery assistance. Examples of Federal recovery actions include:
7
8   - *Coordinating assistance programs to help individuals, families and*
9   *businesses meet basic needs and return to self-sufficiency.* Such programs
10   include housing assistance, crisis counseling services, disaster legal services and
11   unemployment or re-employment programs.
12
13 - *Coordinating with private sector and nongovernmental organizations*
14   *involved in donations management.* Such activities include coordinating with
15   local and tribal governments the need for, and locations of, Disaster Recovery
16   Centers. Federal, State, local, voluntary and nongovernmental organizations staff
17   the Disaster Recovery Centers. They provide recovery and mitigation program
18   information, advice, counseling and related technical assistance.
19
20 - *Coordinating public assistance grant programs authorized by the Stafford*
21   *Act.* These programs aid community and State governments and eligible private
22   nonprofit organizations with the cost of emergency protective services, debris
23   removal and the repair or replacement of disaster-damaged public facilities and
24   associated environmental restoration.
25
26 - **Coordinating mitigation grant programs help restore and revitalize the**
27   **community as well as reduce the impacts from future disasters.**
28

CHAPTER III
INCIDENT MANAGEMENT

This portion of the *National Response Framework* describes the organizational structures that have been developed, tested and refined over time by emergency management professionals for incident management response operations at all levels. The key staff positions needed to operate this system are explained and their relations and dependencies outlined. The *Framework's* incident management discipline is based on the *National Incident Management System*, particularly from its Incident Command System discipline.

In short, this chapter explains *how we as a nation are organized* to achieve our incident management objectives.

INTRODUCTION

Homeland Security Presidential Directive (HSPD)−5 called for a single, comprehensive system to enhance the ability of the United States to manage domestic incidents. In March 2004, DHS released the *National Incident Management System* (*NIMS*), which provides a consistent nationwide template to enable all levels of government, the private sector and nongovernmental organizations to work together during an incident.[21]

Only by further integrating these *NIMS* principles into all phases of an incident and throughout all levels of government will we ensure that all stakeholders have a common set of principles from which to operate during an incident.

Scope of the *Framework*. The *Framework* provides structures, based upon *NIMS*, for implementing national-level policy and operational coordination for domestic incident management. It can be partially or fully implemented in the context of a threat, in anticipation of a significant event or in response to an incident. Selective implementation allows for a scaled response, delivery of the exact assets needed – and a level of coordination appropriate to each event.

The *Framework* incorporates organizational structures that promote on-scene initiative, innovation, institutionally leaning into problems and sharing of essential resources drawn from all levels of government and the private sector. It is not always obvious whether a seemingly minor event might be the initial phase of a larger, rapidly growing threat. Response must be quickly scalable, adaptable and flexible.

In this document, incidents include actual or potential emergencies or all-hazard events that range from accidents and natural disasters to actual or potential terrorist attacks. They include modest events wholly contained within a single community to others that are catastrophic in nature and national in their scope or consequences.

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[21] The *National Incident Management System* is available via the **NRF Resource Center**, which is available at http://www.fema.gov/NRF.

1   Hurricane Katrina's landfall in August 2005 yielded many lessons that are now incorporated
2   into the *Framework.* More importantly, it led to strengthening incident management
3   resources and capabilities at all levels. It would be a mistake, however, to view the
4   *Framework* solely through the lens of natural disaster management. The response
5   structures and staffing tools described in this chapter must also support, for example, a
6   nationwide outbreak of pandemic influenza, a terrorist attack with a weapon of mass
7   destruction or a cyber attack against critical infrastructure operating systems.
8
9

KEY CONCEPTS

10

11
12   *NIMS* provides a core set of common concepts, principles, terminology, and technologies in
13   the following areas:
14

15   • **Incident Command System:** Much of *NIMS* is built upon the Incident Command
16   System (ICS), which was developed by the fire service during the 1970s. ICS is
17   normally structured to facilitate activities in six major functional areas: command,
18   operations, planning, logistics, finance and administration and intelligence.
19

20   • **Multi-agency coordination systems:** Examples of multi-agency coordination
21   systems include a county emergency operations center, a State intelligence fusion
22   center, the DHS National Operations Center, DHS/FEMA National Response
23   Coordination Center, the DOJ/FBI Strategic Information and Operations Center and
24   the National Counterterrorism Center.
25

26   • **Unified Command:** Unified command provides the basis from which multiple
27   agencies can work together effectively with a common objective of effectively
28   managing an incident. Unified command ensures that regardless of the number of
29   agencies or jurisdictions involved, all decisions will be based upon mutually agreed
30   upon objectives.
31

32   • **Training:** Leaders and staff require initial training on incident management
33   principles, as well as ongoing training to provide updates on current concepts and
34   procedures.
35

36   • **Identification and management of resources:** Classifying types of resources is
37   essential to ensure that multiple agencies can effectively communicate and provide
38   resources during a crisis.
39

40   • **Situational awareness:** Situational awareness is the provision of timely and
41   accurate information during an incident. Thus, situational awareness is the lifeblood
42   of incident management. Without it, decisions will not be informed by information on
43   the ground and actions will be inefficient and ineffective. Situational awareness
44   requires continuous monitoring, verification and integration of key information
45   needed to assess and respond effectively to threats, potential threats, disasters or
46   emergencies.
47

48   • **Qualifications and certification:** Competent staff is a requirement for any leader
49   managing an incident. During a crisis there will not be time to determine staff
50   qualifications, if such information has not yet been compiled and available for review
51   by leaders. To identify the appropriate staff to support a leader during a crisis,
52   qualifications, based on training and expertise of staff should be pre-identified and

1   evidenced by certification, if appropriate.
2
3   •   **Collection, tracking and reporting of incident information and incident**
4   **resources:** Information today is transmitted instantly via the Internet and the 24/7
5   news channels. While timely information is valuable, it also can be overwhelming.
6   For effective response, we must leverage expertise and experience to identify what
7   information is needed to support decision makers and be able to rapidly summarize
8   and prioritize this information. Information must be gathered accurately at the
9   scene and effectively communicated to those who need it. To be successful, clear
10   lines of information flow and a common operating picture are essential.
11
12   A revised version of *NIMS* will update existing doctrine based on lessons learned since the
13   first publication of *NIMS* and add additional areas such as:
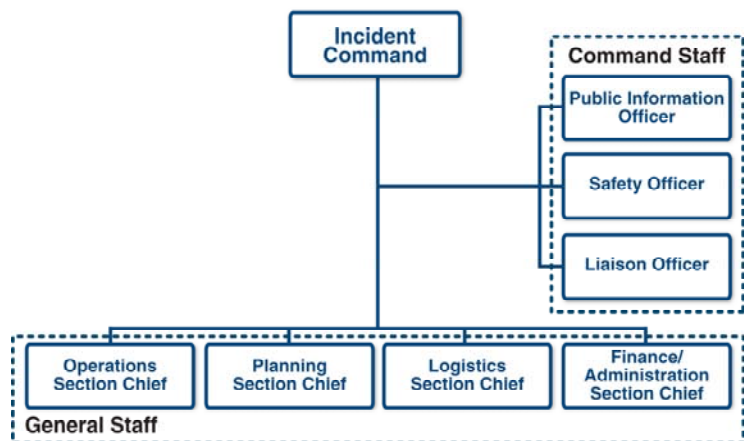14
15   •   **Crisis action planning:** Deliberative planning during non-incident periods should
16   quickly transition to crisis action planning when an incident occurs. Crisis action
17   planning is the process for rapidly adapting existing deliberative plans and
18   procedures during an incident based on the actual circumstances of an event. Crisis
19   action planning should also include the provision of decision tools for senior leaders
20   to guide their decision making.
21
22   •   **Exercises:** Consistent with the National Exercise Program, all stakeholders should
23   regularly exercise their incident management capabilities and procedures to ensure
24   that they are fully capable of executing their incident management responsibilities.
25
26

27   # COMMUNITY RESPONSE: STRUCTURES AND STAFFING

28

29   **Field Level: Incident Command. Local responders use the Incident Command**
30   **System (ICS) to manage response operations.** ICS is a management system designed
31   to enable effective incident management by integrating a combination of facilities,
32   equipment, personnel, procedures and communications operating within a common
33   organizational structure.
34
35   A basic strength of ICS is that it is
36   already widely adopted. It is used
37   to organize both near-term and
38   long-term field-level operations for
39   a broad spectrum of emergencies.
40   ICS is used by all levels of
41   government – Federal, State, tribal,
42   and local – as well as by many
43   private sector businesses and
44   nongovernmental organizations.
45   Typically, the incident command is
46   structured to facilitate activities in
47   five major functional areas:
48   command, operations, planning,
49   logistics and finance/administration.
50
51   The ICS defines certain key roles for managing an ICS event, as follow.



Figure XX. Incident Command Structure

1 The **Incident Commander** is the individual responsible for all incident activities, including
2 the development of strategies and tactics and the ordering and release of resources. The
3 Incident Commander has overall authority and responsibility for conducting incident
4 operations and is responsible for the management of all incident operations at the incident
5 site.
6
7 The **Command Staff** consists of a Public Information Officer, Safety Officer, Liaison Officer
8 and other positions as required, who report directly to the Incident Commander. The
9 General Staff normally consists of an Operations Section Chief, Planning Section Chief,
10 Logistics Section Chief and Finance/Administration Section Chief. An Intelligence/
11 Investigations Chief may be established, if required, to meet incident management needs.
12
13 At the tactical level, on-scene incident command and management organization are located
14 at an **Incident Command Post,** which is typically comprised of local and mutual aid
15 responders. When multiple command authorities are involved, the Incident Command Post
16 may be led by a **unified command comprised of officials who have jurisdictional**
17 **authority or functional responsibility for the incident under an appropriate law,**
18 **ordinance or agreement**. The unified command provides direct, on-scene control of
19 tactical operations.
20
21 **Field Level: Area Command.** If necessary, an
22 **Area Command** may be established to oversee the
23 management of multiple incidents being handled by
24 separate Incident Command Posts or to oversee
25 management of complex incident dispersed over a
26 larger area. The Area Command does not have
27 operational responsibilities and is activated only if
28 necessary, depending on the complexity of the
29 incident and incident management span-of-control
30 considerations. The Area Command or Incident
31 Command Post provides information to, and may
32 request assistance from, the local Emergency
33 Operations Center.
34

Figure XX. Area Command Structure
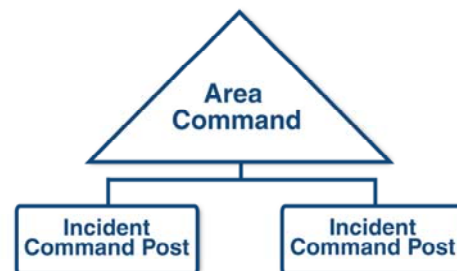
35 **Local Emergency Operations Center.** If the Incident Commander determines that
36 additional resources or capabilities are needed, he or she will contact the **local Emergency**
37 **Operations Center (EOC)** and relay requirements to the local emergency manager.
38
39 Local EOCs are the physical location where multi-agency coordination occurs. EOCs help
40 form a **common operating picture** of the incident, relieve on-scene command of the
41 burden of external coordination and secure additional resources. The core functions of an
42 EOC include coordination, communications, resource dispatch and tracking, information
43 collection, analysis and information dissemination.
44
45 EOCs may be permanent organizations and facilities that are staffed 24 hours a day, 7 days
46 a week, or they may be established to meet short-term needs. Standing EOCs – or those
47 activated to support larger, more complex incidents – are typically established in a central
48 or permanently established facility. Such permanent facilities in larger communities are
49 typically directed by a full-time **emergency manager**. EOCs may be organized by major
50 discipline (fire, law enforcement, medical services, etc.), by jurisdiction (city, county,
51 region, etc.), by emergency support function (communications, public works, engineering,
52 transportation, resource support, etc.) or, more likely, by some combination thereof.
53

1   During an incident the local emergency manager ensures the EOC is staffed to support the
2   incident command and arranges needed resources. The **chief elected official** provides
3   policy direction and supports the Incident Commander and emergency manager, as needed.
4
5
6   # STATE RESPONSE: STRUCTURES AND STAFFING
7
8   **State Emergency Operations Center.** State EOCs are the physical location where
9   State, tribal and, often, multi-agency coordination occurs. Every State maintains an EOC
10 configured to expand as necessary to manage events
11 requiring State-level assistance.

Figure XX. State Emergency Operations Center

12
13 The local incident command structure directs on-scene
14 emergency management activities and maintains
15 command and control of on-scene incident operations.
16 State EOCs are activated as necessary to support local
17 operations. Therefore, the State EOC is the central
18 location from which off-scene activities supported by the
19 State are coordinated. Senior elected and appointed
20 officials are located at the State EOC, as well as
21 personnel supporting core functions. The key function
22 of State EOC personnel is to ensure that those who are
23 located at the scene have the resources (i.e., personnel,
24 tools and equipment) they need for the response.

25
26 State EOC personnel report to the Governor and act as
27 liaisons between local and Federal personnel. When
28 involved, State and tribal officials typically take the lead to communicate public information
29 regarding incidents occurring in their jurisdictions. It is essential that immediately following
30 an incident, the State or tribe ensures that:
31
32 •   Communication lines with the press are open, questions receive prompt responses,
33   and false rumors are refuted before they spread.
34
35 •   Information about where to receive help is communicated directly to victims and
36   victims' families.
37
38 In order to coordinate the release of emergency information and other public affairs
39 functions, a State or tribal government may establish a **Joint Information Center**, a
40 physical location from which external affairs professionals from all the organizations
41 involved in an incident work together. The Joint Information Center serves as a focal point
42 for coordinated and timely release of incident-related information to the public and the
43 media.
44
45 **Requesting and Managing Federal Assistance.** The Governor is responsible for
46 requesting Federal assistance for incidents within his or her State. Overall, Federal incident
47 support to the State is generally coordinated through a **Joint Field Office** (JFO). The JFO
48 provides the means to integrate diverse Federal resources and engage directly with the
49 State. Unified Command is established at the JFO through a **Unified Coordination Group**
50 comprised of senior officials from the State and key Federal departments and agencies.
51 This group of senior officials provides the breadth of national support to achieve shared
52 objectives.
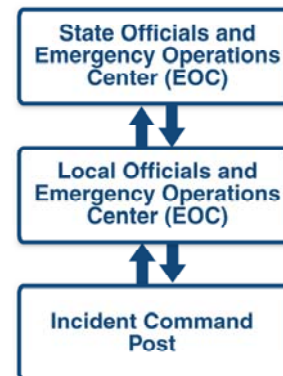
Details of the structures and staffing models associated with a JFO, the FEMA Regional Response Coordination Centers and other organizations that support State response are described below, in the section regarding Federal response structures. By way of introduction, the *Framework* calls for two senior leaders appointed by the Governor to work in coordination with the Federal JFO team.

State Coordinating Officer. The State Coordinating Officer (SCO) plays a critical role in managing the State response and recovery operations following Stafford Act declarations. The Governor of the affected State appoints the SCO, and lines of authority flow from the Governor to the SCO, following the State's policies and laws. For certain anticipated events in which a Stafford Act declaration is expected, such as an approaching hurricane, the Secretary of Homeland Security or the FEMA Administrator may pre-designate one or more Federal officials to coordinate with the SCO to determine resources and actions that will likely be required, and begin pre-deployment of assets. The specific roles and responsibilities of the SCO include:

- Serve as the primary representative of the Governor for the affected State or locality with the Regional Response Coordination Center or within the JFO once it is established.

- Work with the Federal Coordinating Officer to formulate State requirements, including those that are beyond State capability, and set priorities for employment of Federal resources provided to the State.

- Ensure coordination of resources provided to the State via mutual aid and assistance compacts.

- Provide a linkage to local government.

- Serve in the Unified Coordination Group in the JFO.

Governor's Authorized Representative. As the complexity of the response dictates, the *Framework* contemplates that the Governor may empower a Governor's Authorized Representative to:

- Execute all necessary documents for disaster assistance on behalf of the State, including certification of applications for public assistance.

- Represent the Governor of the impacted State in the Unified Coordination Group, when required.

- Coordinate and supervise the State disaster assistance program to include serving as its grant administrator.

- Identify, in coordination with the SCO, the State's critical information needs for incorporation into a list of Essential Elements of Information (critical items of specific information required to plan and execute an operation and to support timely, logical decisions).

U.S. Territories. Within the *Framework*, U.S. territories use the same response structure and mechanisms as State governments for requesting and receiving Federal assistance. Territories pose special response challenges. Working in partnerships with territorial

1 governments, the *Framework* is adapted to meet these unique challenges through
2 preparedness plans and pre-staging of assets.
3
4 Territorial governments may receive federally-coordinated response within the U.S.
5 possessions, including the insular areas, and within the Federated States of Micronesia and
6 the Republic of the Marshall Islands. Stafford Act assistance is available to Puerto Rico, the
7 U.S. Virgin Islands, Guam, American Samoa and the Commonwealth of the Northern
8 Mariana Islands, which are included in the definition of "State" in the Stafford Act. At
9 present, Stafford Act assistance also is available to the Federated States of Micronesia and
10 the Republic of the Marshall Islands under the compact of free association.
11
12

FEDERAL RESPONSE: STRUCTURES AND STAFFING

14
15
16 **POLICY DEVELOPMENT AND OPEATIONS COORDINATION**
17
18 **Policy Development.** The President leads the nation in responding effectively and
19 ensuring the necessary coordinating structure, leadership and resources are applied quickly
20 and efficiently to large-scale incidents. In support of the President, the Homeland Security
21 Council (HSC) and National Security Council (NSC) provide national strategic and policy
22 guidance during large-scale incidents. The HSC and NSC ensure coordination for all
23 homeland and national security-related activities among executive departments and
24 agencies and promote effective development and implementation of related policy. Using
25 principles similar to **unified command**, which is employed at the Incident Command Post
26 and Joint Field Office, the HSC and NSC ensure unified leadership across the federal
27 Government.
28
29 The Assistant to the President for Homeland Security and Counterterrorism and the
30 Assistant to the President for National Security Affairs coordinate interagency policy for
31 domestic and international incident management, respectively, and convene interagency
32 meetings to coordinate policy issues. Both policy councils use well-established policy
33 development structures to identify policy issues that require interagency coordination, flesh
34 out policy options and present those options for decision.
35
36 To support domestic interagency policy coordination on a routine basis, HSC and NSC
37 Deputies and Principals convene to resolve significant policy issues. They are supported by
38 the following two bodies at the assistant secretary-level:
39
40 • ***Domestic Readiness Group (DRG).*** The DRG is an interagency body convened on
41   a regular basis to develop and coordinate preparedness and response policy. This
42   staff-level group evaluates various policy issues of interagency import regarding
43   domestic preparedness and incident management and makes recommendations to
44   Cabinet and agency deputies and principals for decision. As appropriate, the chair of
45   the Homeland Security Council and Cabinet principals will present such policy issues
46   to the President for decision. The Domestic Readiness Group has *no role regarding*
47   *operational management* during an actual incident.
48
49 • ***Counterterrorism Security Group (CSG).*** The CSG is an interagency body
50   convened on a regular basis to develop terrorism prevention policy and to coordinate
51   threat response and law enforcement investigations associated with terrorism. This
52   staff-level group evaluates various policy issues of interagency import regarding

1   counterterrorism and makes recommendations to Cabinet and agency deputies and
2   principals for decision. As appropriate, the chair of the National Security Council and
3   Cabinet principals will present such policy issues to the President for decision. The
4   Counterterrorism Security Group has *no role regarding operational management*
5   during an actual incident.
6
7 **Within the supporting structures described above, Federal departments and**
8 **agencies support policy development based on responsibilities that are described**
9 **in statute, by HSPD-5 and in specific detail in Chapter I, above.**
10
11 **Operations Coordination.** The **Secretary of Homeland Security** is the principal
12 Federal official responsible for domestic incident management. This includes coordinating
13 **Federal operations** and resource deployments within the United States to prepare for,
14 response to and recovery from terrorist attacks, major disasters or other emergencies
15
16 All Federal departments and agencies may play significant roles in incident management,
17 depending on the nature and size of an event. The policies, operational structures and
18 capabilities to support an integrated Federal response have grown swiftly since the 9/11
19 attacks, and continue to evolve. Many of these arrangements are defined in the Emergency
20 Support Functions, coordinated through pre-scripted mission assignments and formalized in
21 interagency agreements.
22
23 **Communications among Federal agencies, particularly in an era when the nation is**
24 **at war with terrorists, requires a highly integrated capacity to share information**
25 **relentlessly and efficiently.** By doing so, incidents that start small but may have large
26 consequences can be effectively managed. Some events, such as a deliberate attack on the
27 food supply, might initially appear as a localized or even commonplace incident. At the
28 same time, the *Framework* cannot interfere with the established operations of community,
29 State and Federal agencies.
30
31 **The Department of Homeland Security (DHS) was created in 2003 in part to serve**
32 **as the planning integrator for the President of a more robust Federal incident**
33 **management capability and to coordinate Federal incident management activities**
34 **in support of our State and local partners.** DHS is responsible for the overall
35 architecture of how these capabilities are executed and sustained. DHS itself has
36 considerable responsibilities for emergency preparedness and operations, yet does not have
37 the statutory authorities, subject matter expertise or the range of assets and operational
38 capabilities needed for Federal response for major or catastrophic incidents.
39
40 At DHS, the **FEMA Administrator** is the Secretary's principal advisor for matters relating to
41 emergency management. **Other DHS agency heads** have a lead response role or an
42 otherwise significant role in incident management, depending upon the type and severity of
43 the event. For example, the Coast Guard Commandant has statutory lead authority for
44 certain mass migration management scenarios and significant oil spill incidents.
45
46 The **DHS Director of Operations Coordination** is the Secretary's principal advisor for the
47 overall departmental level of integration of incident management operations. Run by the
48 Director, the DHS National Operations Center is intended to provide a one-stop information
49 source for incident information sharing with the White House and other Federal agencies at
50 the headquarters level.
51
52 Operational planners from multiple Federal agencies are assigned with other full-time
53 interagency representatives to the Incident Management Planning Team. This group,

managed by the DHS Director of Operations Coordination, is developing strategic guidance and plans for the *Framework's* 15 planning scenarios. Exchange of watch officers, operations staff and intelligence analysts is robust and growing among Federal agencies. Other coordination assets, such as the National Bio-surveillance Integration Center, the Terrorism Screening Center and the Homeland Infrastructure Threat and Risk Analysis Center, have been established in support of more routine and extensive data sharing for emergency management.

The role of DHS in coordinating Federal response operations must be highly collaborative. There must be excellent, mutual transparency among DHS and its Federal partners into each other's response capabilities. The same is true with regard to States. This requires extraordinarily close, daily **operational connectivity** among States, DHS and other departments and agencies at senior levels and at operational levels.

What remains in this chapter is devoted to: (1) an exposition of the major headquarters-level Federal coordinating structures and staff positions upon which the *Framework* relies to support incident management; and (2) a concise description of core field-level Federal operational structures and staff, with particular focus also on their integration to State and community structures and staffing.

HEADQUARTERS-LEVEL SUPPORT STRUCTURES

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

The NOC is a component of the DHS Office of Operations Coordination. As a continuously operating multi-agency operations center, the NOC's staff monitors many sources of threat and hazard information from across the United States and abroad. It is supported by a 24/7 watch officer contingent, including: (1) DHS NOC managers; (2) selected Federal interagency, State and local law enforcement representatives; (3) intelligence community liaison officers provided by the DHS Chief Intelligence Officer; (4) analysts from the Operations Division's interagency planning element – the Incident Management Planning Team; and (5) watch standers representing dozens of organizations and disciplines from the Federal government and others from the private sector.

**Figure X. National Operations Center:
Facilitating Information Sharing**
[Insert chart here]

The NOC facilitates homeland security information sharing and operations coordination with other Federal, State, tribal, local and nongovernmental partners. During a response to a significant incident, the NOC meets its information fusion and sharing responsibilities by providing spot reports, situation reports and other information sharing tools, all supported by and distributed through its common operating picture. The continued development and rapid integration at the Federal, State and local levels of electronic reporting and information sharing tools supporting the NOC's common operating picture is a very high priority of the *Framework*.

1 **Supporting Federal Operations Centers.** The Federal government has a wide range
2 of headquarters-level operations centers that maintain situational awareness within their
3 functional areas and provide relevant information to the NOC. Most Cabinet agencies have
4 at least one such facility. During incidents, four other Federal operations centers have key
5 roles in providing situational awareness and interagency coordination.

7 - *National Response Coordination Center (NRCC).* **The NRCC, a component of**
8   **the NOC, is DHS/FEMA's primary operations management center for most,**
9   **but not all, national incident response and recovery incidents, as well as the**
10   **focal point for national resource coordination.** As a 24/7 operations center, the
11   NRCC monitors potential or developing incidents and supports the efforts of regional
12   and field components. The NRCC has well-tested capabilities within DHS to connect
13   directly by video teleconference to all State EOCs and to FEMA regional emergency
14   response support structures.

16   The NRCC also has the capacity to surge staffing immediately in anticipation of or in
17   response to a national incident by activating the full range of Emergency Support
18   Function teams and other personnel as needed to provide resources and policy
19   guidance to a Joint Field Office or other local incident management structures, as
20   needed for incident response. The NRCC provides overall incident management
21   coordination, conducts operational planning, deploys national-level entities, and
22   collects and disseminates incident information as it builds and maintains a common
23   operating picture.

25 - *National Infrastructure Coordination Center (NICC):* Part of the National
26   Operations Center, the NICC monitors the nation's critical infrastructure and key
27   resources on an ongoing basis. During an incident, the NICC provides a coordinating
28   forum to share information across infrastructure and key resources sectors through
29   appropriate information-sharing entities such as the Information Sharing & Analysis
30   Centers and the Sector Coordinating Councils.

32 - *National Counterterrorism Center (NCTC).* The NCTC serves as the primary
33   Federal organization for integrating and analyzing all intelligence pertaining to
34   terrorism and counterterrorism and to conduct strategic operational planning by
35   integrating all instruments of national power.

37 - *Strategic Information and Operations Center (SIOC).* The FBI SIOC is the focal
38   point and operational control center for all Federal intelligence, law enforcement and
39   investigative law enforcement activities related to domestic terrorist incidents or
40   credible threats, including leading attribution investigations. The SIOC serves as an
41   information clearinghouse to help collect, process, vet and disseminate information
42   relevant to law enforcement and criminal investigation efforts in a timely manner.
43   The SIOC maintains direct connectivity with the NOC. The SIOC, located at FBI
44   Headquarters, supports the FBI's mission in leading efforts of the law enforcement
45   community to detect, prevent, preempt and disrupt terrorist attacks against the
46   Unites States.

48 - *National Military Command Center and U.S. Northern Command.* Located in
49   the Pentagon, the National Military Command Center houses the logistical and
50   communications center for the Secretary of Defense and is the principal command
51   and control center of the Department of Defense. The U.S. Northern Command
52   (NORTHCOM) provides command and control of Department of Defense homeland
53   defense efforts and to coordinate defense support of civil authorities.

1
2   • ***Other DHS Operations Centers.*** Depending upon the incident or operation (for
3   example, National Security Special Events), the operating centers of other DHS
4   operating components may serve primary operations management center in support
5   of the Secretary. These include the Coast Guard, Transportation Security
6   Administration, the U.S. Secret Service and Customs and Border Protection
7   operations centers.
8
9 **Emergency Support Function (ESF) Teams. DHS coordinates disaster response**
10 **support from across the Federal government by calling up, as needed, one or more**
11 **of the 15 ESF teams.** The ESF teams are coordinated internally at DHS by FEMA through
12 its NRCC. During a response, ESFs are a critical mechanism to coordinate functional
13 capabilities and resources provided by Federal departments and agencies, along with certain
14 private-sector and nonprofit organizations. They represent an effective way to bundle and
15 funnel resources and capabilities to local, State and other responders. These functions are
16 coordinated by a single agency but may rely on several agencies that provide resources for
17 each functional area. The mission of the ESF is to provide the greatest possible access to
18 capabilities of the Federal government regardless of which agency has those capabilities.
19
20 The ESFs serve as the primary operational-level mechanism to provide assistance in
21 functional areas such as transportation, communications, public works and engineering,
22 firefighting, mass care, housing, human services, public health and medical services, search
23 and rescue, agriculture and energy. A list of the 15 ESF teams and a description of the
24 scope of each is found at Table XX.
25
26 Each ESF is composed of primary and support agencies. The *Framework* identifies primary
27 agencies on the basis of authorities, resources and capabilities. Support agencies are
28 assigned based on resources and capabilities in a given functional area. The resources
29 provided by the ESFs reflect the resource-typing categories identified in the *NIMS*.
30
31 ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents
32 where Federal departments or agencies request DHS assistance or under other
33 circumstances as defined in HSPD-5. Not all national incidents result in the activation of
34 ESFs. In a declared emergency or major disaster, DHS/FEMA can surge assets and
35 capabilities through ESFs into an area in anticipation of an approaching storm or event that
36 is expected to cause a significant impact and result. This coordination through ESFs allows
37 FEMA to position Federal support for a quick response, though actual assistance cannot
38 normally be provided until the Governor requests and receives a Presidential major disaster
39 or emergency declaration. Many States have also organized an ESF structure along this
40 approach.
41
42 **When ESFs are activated, they may have a headquarters, regional and field**
43 **presence.** At FEMA headquarters, the ESFs support decision-making and coordination of
44 field operations within the NRCC. The ESFs deliver a broad range of technical support and
45 other services at the regional level in the Regional Response Coordination Centers, and in
46 the Joint Field Office and Incident Command Posts, as required by the incident. At all
47
48

1
2
3
4

**Table XX. Emergency Support Function Teams
and ESF Coordinators**

ESF #1 – Transportation **Federal Coordinator: Department of Transportation**
• Federal and civil transportation support • Transportation safety • Restoration and recovery of transportation infrastructure • Movement restrictions • Damage and impact assessment
ESF #2 – Communications **Federal Coordinator: DHS (National Communications System)**
• Coordination with telecommunications industry • Restoration and repair and of communications infrastructure • Protection, restoration and sustainment of national cyber and information technology resources • Oversight of communications within the Federal incident management structure
ESF #3 – Public Works and Engineering **Federal Coordinator: Department of Defense (Army Corps of Engineers)**
• Infrastructure protection and emergency repair • Infrastructure restoration • Engineering services, construction management • Critical infrastructure liaison
ESF #4 – Firefighting. **Federal Coordinator: Department of Agriculture**
• Firefighting activities on Federal lands • Resource support to rural and urban firefighting operations
ESF #5 – Emergency Management **Federal Coordinator: DHS (FEMA)**
• Coordination of incident management efforts • Issuance of mission assignments • Resource and human capital • Incident action planning • Financial management
ESF #6 – Mass Care, Emergency Assistance, Housing and Human Services **Federal Coordinator: DHS (FEMA)**
• Mass care • Disaster housing • Human services
ESF #7 – Resource Support **Federal Coordinator: General Services Administration**
• Resource support (facility space, office equipment and supplies, contracting services, etc.)
ESF #8 – Public Health and Medical Services **Federal Coordinator: Department of Health and Human Services**
• Public health • Medical • Mental health services • Mortuary services
ESF #9 – Search and Rescue **Federal Coordinator: DHS (FEMA)**
• Life-saving assistance • Search and rescue operations
ESF #10 – Oil and Hazardous Materials Response **Federal Coordinator: Environmental Protection Agency**

• Oil and hazardous materials (chemical, biological, radiological, etc.) response • Environmental safety and short- and long-term cleanup
ESF #11 – Agriculture and Natural Resources **Federal Coordinator: Department of Agriculture**
• 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 pets
ESF #12 – Energy **Federal Coordinator: Department of Energy**
• Energy infrastructure assessment, repair and restoration • Energy industry utilities coordination • Energy forecast
ESF #13 – Public Safety and Security **Federal Coordinator: Department of Justice**
• Facility and resource security • Security planning and technical resource assistance • Public safety and security support • Support to access, traffic and crowd control
ESF #14 – Long-Term Community Recovery **Federal Coordinator: DHS (FEMA)**
• Social and economic community impact assessment • Long-term community recovery assistance to States, local governments and the private sector • Mitigation analysis and program implementation
ESF #15 – External Affairs **Federal Coordinator: DHS**
• Emergency public information and protective action guidance • Media and community relations • Congressional and international affairs • Tribal and insular affairs

1
2

1 levels, DHS/FEMA issues mission assignments to obtain resources and capabilities from
2 across the ESFs in support of the State.[22]
3
4 The ESFs plan and support response activities through the *NIMS* Incident Command
5 Structure, discussed above. At the headquarters, regional and field level, ESFs provide staff
6 to support the Incident Command Structure sections for operations, planning, logistics and
7 finance/administration, as requested. This structure enables the ESFs to work
8 collaboratively. For example, if a State requests assistance with a mass evacuation, the
9 Joint Field Office would request personnel from ESF #1 *(Transportation)*, ESF #6 *(Mass*
10 *Care, Emergency Assistance, Housing and Human Services)* and ESF #8 *(Public Health and*
11 *Medical Services)*. These would then be integrated into a single branch within the
12 Operations Section to ensure effective coordination of evacuation services. The same *NIMS*
13 structures are used to organize ESF response in the field, regional and headquarters levels.
14
15 To support an effective response, all ESFs are required to have both strategic and more-
16 detailed operational plans that include all participating organizations and engage private
17 sector businesses and NGOs as appropriate. The ongoing support, coordination and
18 integration of ESF teams and their work is a core responsibility of FEMA in its incident
19 management leadership role for DHS.
20
21
22 **REGIONAL SUPPORT STRUCTURE**
23
24 **FEMA Regional Offices.** FEMA has ten regional offices, each headed by a Regional
25 Administrator. The regional field structures are FEMA's permanent presence for
26 communities and States across America. The staff at these offices support development of
27 all-hazards operational plans and generally help States and communities achieve higher
28 levels of readiness. These regional offices mobilize FEMA assets and evaluation teams to
29 the site of emergencies or disasters.
30 Many of FEMA's most experienced and
31 battle-tested response personnel are
32 employed at regional offices.

Figure XX. FEMA Regions

33
34 Each of FEMA's regional offices
35 maintains a **Regional Response**
36 **Coordination Center (RRCC)**. The
37 RRCCs are 24/7 coordination centers
38 that expand to become an interagency
39 facility staffed by ESFs in anticipation of
40 a serious incident in the region or
41 immediately following an incident.
42 Operating under the direction of the
43 FEMA Regional Administrator, the
44 RRCCs coordinate regional response
45 efforts, and maintain connectivity with State EOCs, State fusion centers, and other Federal
46 and State operations and coordination centers that have potential to contribute to
47 development of situational awareness.
48
49

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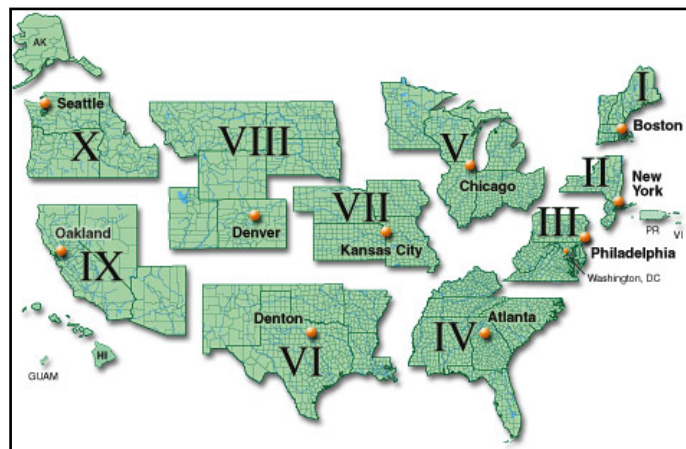
[22] Additional information on the mission assignment process is available in the Financial Support Annex, which is available via the **NRF Resource Center** at http://www.fema.gov/NRF.

DRAFT: PRE-DECISIONAL AND DELIBERATIVE, 7/27/07

FIELD SUPPORT STRUCTURE

Initial Response. **Depending upon the type and scope of incident, a number of different Federal assets may be dispatched to a community in need during the first hours following an incident.** Of course, in some cases, the proximity of Federal incident management employees already working in a community may be able to deliver Federal support that ranges from experienced and professional emergency management teams to other temporary and *ad hoc* assistance.

Following a President's official declaration of an emergency or disaster, a wide array of Federal assets can be deployed as needed. As this *Framework* was being drafted, Congress had recently passed legislation expanding and further defining the type of teams that FEMA will support. Federal agencies are adapting their capabilities to support more versatile and nimble force packages. FEMA has developed a next generation of rapidly deployable interagency nationally- and regionally-based incident response teams, which will be called **Incident Management Assist Teams (IMAT).** These new teams will soon replace existing Emergency Response Teams at the national and regional level, as well as the Federal Incident Response Support Teams. They will provide a forward Federal presence to improve response to serious incidents requiring Federal assistance.

The IMATs will support efforts to meet the emergent needs of state and local jurisdictions, possess the capability to provide initial situational awareness for Federal decision-makers and support the initial establishment of a unified command.

The initial IMAT teams are fully operational. These initial teams will form the nucleus of FEMA's next generation of emergency response personnel until appropriate personnel are hired and trained. In Fiscal Year 2007, FEMA will have stood up one permanent national IMAT and three permanent regional IMATs. Further growth is expected.

Other initial response and coordination tools deployed by FEMA in conjunction with declared emergencies and disasters include:

- *Hurricane Liaison Team (HLT).* The HLT is a small team designed to enhance hurricane disaster response by facilitating information exchange between the National Hurricane Center in Miami, Florida, and other National Oceanic and Atmospheric Administration components and Federal, State and local government officials.

- *Urban Search and Rescue (US&R) Task Forces.* The National US&R Response System is a framework for structuring local emergency services personnel into integrated disaster response task forces. The 28 National US&R Task Forces, complete with the necessary tools, equipment, skills and techniques, can be deployed by FEMA to assist state and local governments in rescuing victims of structural collapse incidents or to assist in other search and rescue missions. Each task force must have all its personnel and equipment at the embarkation point within six hours of activation. The task force can be dispatched and *en route* to its destination in a matter of hours.

- *Mobile Emergency Response Support (MERS).* The primary function of MERS is to provide mobile telecommunications capabilities and life, logistics, operational and power generation support required for the on-site management of disaster response activities. MERS support falls into three broad categories: (1) operational support elements; (2) communications equipment and operators; and (3) logistics support.

1   MERS supports Federal, State and local responders in their efforts to save lives, protect
2   property and coordinate disaster operations. Staged in six strategic locations, one with
3   offshore capabilities, the MERS detachments can concurrently support multiple field
4   operating sites within a disaster area.
5
6   **Joint Field Office (JFO). The JFO is the primary Federal incident management**
7   **field structure.**   The JFO is a temporary Federal facility that provides a central location for
8   the coordination of Federal, State, tribal, local, private sector businesses and NGOs with
9   primary responsibility for response and short-term recovery. The JFO structure is
10 organized, staffed, and managed in a manner consistent with *National Incident Management*
11 *System* (*NIMS*) principles.
12
13 Personnel from Federal and State departments and agencies, other jurisdictional entities,
14 and private sector businesses and nongovernmental organizations may be requested to staff
15 various levels of the JFO, depending on the requirements of the incident. When incidents
16 impact the entire nation or multiple States or localities, multiple JFOs may be established.
17 In these situations, a Unified Area Command may be established. The physical location of
18 the Unified Area Command depends on the situation.
19
20   **Figure XX. Joint Field Office and Unified Command**
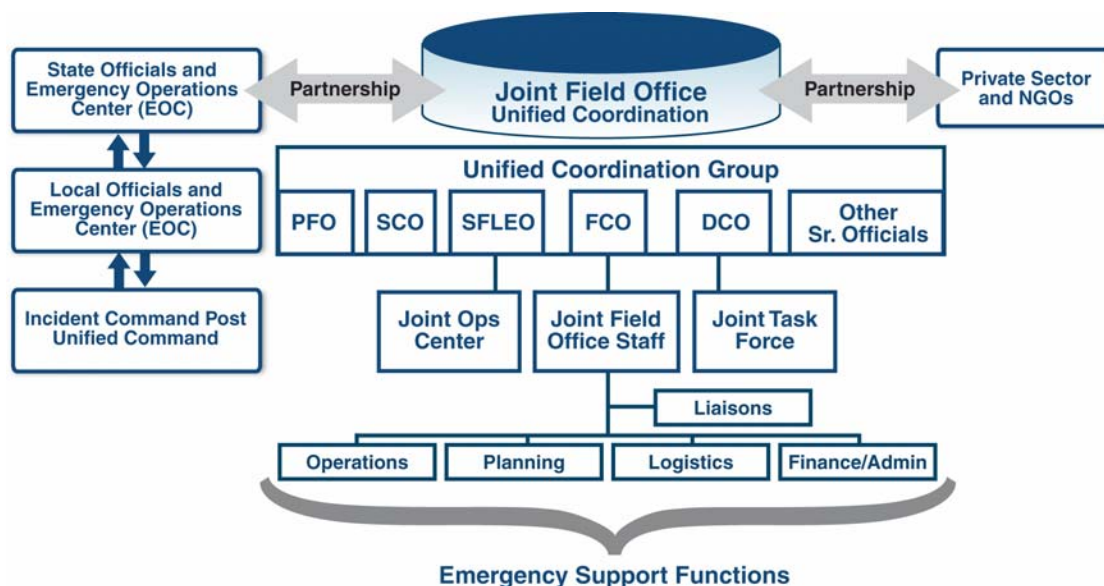
21
22 As the primary field structure, the JFO provides the organizing structure to integrate diverse
23 Federal authorities and capabilities and coordinate Federal response and recovery
24 operations. For additional information on staffing and procedures, see the JFO Standard
25 Operating Procedure.[23] The JFO is internally organized and operated using the concepts and
26 principles of the *NIMS* Incident Command System (ICS).
27
28 The JFO is organized into four sections that reflect the *NIMS*/ICS standard organization as
29 follows:
30

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[23] This and other SOPs are available via the **NRF Resource Center**, which is available at
http://www.fema.gov/NRF.

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

6

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

12

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

20

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

25

26 Figure XX illustrates a typical JFO organizational structure. All or portions of this
27 organizational structure may be activated based on the nature and magnitude of the threat
28 or incident.

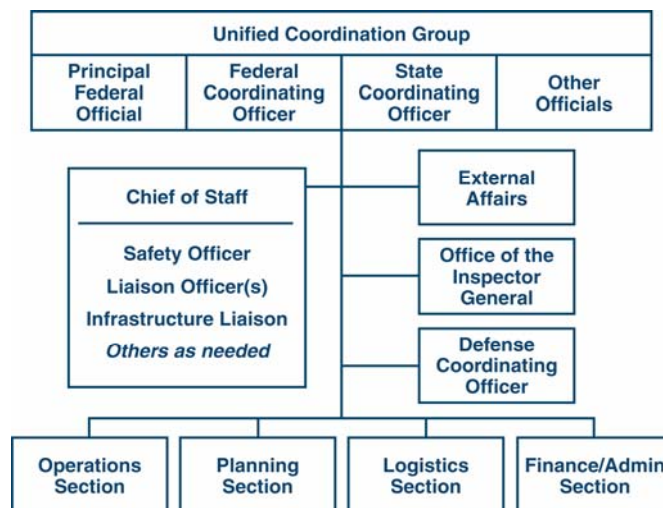29   **Figure XX. Sample JFO Organization**

30 **Personnel from Federal and State**
31 **departments and agencies, other**
32 **jurisdictional entities, private**
33 **sector businesses and**
34 **nongovernmental organizations**
35 **may be requested to staff various**
36 **levels of the JFO, depending on the**
37 **requirements of the incident.**
38 Depending on the scope and nature of
39 the incident, the Unified Coordination
40 Group identifies what Federal
41 capabilities are needed and requests
42 Federal staff from these areas to
43 support the JFO structure.

44

45 Two additional functional elements of
46 note include the Infrastructure Liaison
47 and the Joint Information Center (JIC). The Infrastructure Liaison is assigned by the DHS
48 Office of Infrastructure Protection and advises the Unified Coordination Group on critical
49 infrastructure and key resources issues.

50

51 The JIC is a physical location from which external affairs professionals from all the
52 organizations involved in an incident work together to provide emergency information,
53 media response and public affairs functions. The JIC serves as a focal point for a

1 coordinated and timely release of incident-related prevention, preparedness, response,
2 recovery and mitigation information to the public. The JIC is established at or virtually
3 connected to the JFO, through the ESF #15 (*External Affairs*) staff. Depending on the
4 nature or magnitude of an incident, JICs may be established at multiple locations. Co-
5 location of the Federal, State and local JICs is encouraged.
6
7 **Unified Coordination Group**. **The JFO is led by the Unified Coordination Group,**
8 **which is comprised of specified senior leaders representing State and Federal**
9 **interests.** The Unified Coordination Group typically consists of the Principal Federal Official,
10 Federal Coordinating Officer, State Coordinating Officer and senior officials from other
11 entities with primary statutory or jurisdictional responsibility and significant operational
12 responsibility for an aspect of an incident (e.g., the Senior Federal Law Enforcement Officer
13 or Joint Task Force Commander, if either is assigned). In the absence of a Principal Federal
14 Official having been appointed by the Secretary of Homeland Security (see below), the
15 Federal Coordinating Officer is the primary Federal official in the Unified Coordination Group.
16
17 **The composition of the Unified Coordination Group will vary, depending upon the**
18 **scope and nature of the incident and the assets deployed in support of the affected**
19 **community.**
20
21 **The JFO is the primary, but not the only, Federal field structure.** Presidential
22 directives[24] outline the primary lanes of responsibility that guide Federal support at national,
23 regional and field levels. The field structures are designed to implement these lanes of
24 responsibility and provide coordination to ensure an effective response. In addition to the
25 JFO, these include:
26
27 - *Joint Operations Center (JOC).* The JOC is the FBI command post used to
28   manage terrorist threats or incidents and investigative and intelligence activities.
29   The JOC coordinates the necessary Federal law enforcement assets required to
30   respond to and resolve the threat or incident with State, tribal and local law
31   enforcement agencies.
32
33 - *Joint Task Force (JTF).* Based on the magnitude, type of incident and anticipated
34   level of resource involvement, the combatant commander may utilize a JTF to
35   command Federal military forces in support of the incident response. The JTF will
36   deploy to a location that will enable efficient and effective command, control and
37   coordination of the Department of Defense response efforts, while maintaining close
38   contact with the JFO. The DCO will remain the conduit between Defense and the JFO
39   Unified Coordination Group.
40
41 The JFO is the primary structure for incident management, the FBI JOC is the primary
42 structure for law enforcement investigation and the JTF Headquarters is the primary
43 structure for Defense support.
44
45 There may also be one or more State field structures (i.e., State EOCs). These facilities
46 should be co-located to the extent possible, or otherwise established in close proximity.
47 While these structures may not be physically co-located, they will, when and if established,
48 maintain constant connectivity to share information and remain aligned in purpose and
49 intent. Each command center will normally assign liaisons to each of the other command
50 centers to ensure alignment. These structures are described below.
51

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[24] HSPD 5, *Management of Domestic Incidents*

FIELD SUPPORT ROLES

The Federal team that assembles to provide unified coordination is composed of multiple senior leaders performing supporting roles tailored to the specific event. Not all of these will be deployed at every incident that involves a Federal response.

Obviously, not all Federal response efforts come with Stafford Act Funding and the full array of Stafford Act staffing. However, a Stafford Act event, such as a large hurricane or earthquake, will generate a very disciplined and scripted deployment. An equally disciplined yet different array of Federal personnel and alternative leadership positions may be deployed for other non-Stafford Act incidents.   All necessary staffing options are provided for by the *Framework* and anticipated with its various incident scenario plans.

For example, a mass migration event in the Gulf of Mexico would entail a Coast Guard response lead. An oil spill for which the Coast Guard has clean-up responsibility under the Oil Pollution Act of 1990, does not result in establishment of a Joint Field Office, but it employs cognate organizational structures under the leadership of the Coast Guard's On-Scene Coordinator.[25] Alternatively, the criminal investigation following a car bomb attack on an airport will be directed by the Attorney General, will closely involve the Transportation Security Administration from the moment of an explosion to institute appropriate airport security measures, yet may not generate a Stafford Act declaration.

Key senior Federal officials that typically may be deployed in a Federal incident management team include those discussed below.

Principal Federal Official. By law and by Presidential directive, the Secretary of Homeland Security is the principal Federal official responsible for coordination of all domestic incidents requiring multi-agency Federal response. **In a catastrophic or unusually complex incident, the Secretary may elect to designate a single individual to serve as his primary representative.** This person will serve as the lead Federal official in the field, acting on the Secretary's behalf to maximize the effectiveness of the Federal incident management response. When appointed, such an individual serves on-scene as the **Principal Federal Official** for the incident.

The PFO exercises overall coordinating authority on behalf of the Secretary at the field level and will facilitate Federal support to the Joint Field office, serving as a member of the Unified Coordination Group. The PFO will coordinate interagency conflict resolution, as necessary, and provide a primary point of contact and situational awareness locally for the Secretary of Homeland Security. The PFO serves as an interface with appropriate jurisdictional officials regarding the overall Federal incident management strategy and is the primary Federal spokesperson for coordinated media and public communications.

A PFO will be a senior Federal official with deep management experience and strong leadership capabilities. PFOs will undergo specific training prior to appointment to this position. Once formally designated for an ongoing incident, a PFO will relinquish the conduct of all previous duties to focus exclusively on his or her incident management responsibilities.

This *Framework* stipulates that **the same individual will *not* serve as a Principal Federal Official and the Federal Coordinating Officer *(see below)* at the same time for the same incident.** When both positions are assigned, each has significant,

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[25] See U.S. Coast Guard, Marine Safety Manual, available at http://www.uscg.mil/hq/g-m/nmc/pubs/msm/.

1 complementary responsibilities that will best be served by appointing two individuals. The
2 Secretary is not restricted to DHS officials when selecting a PFO.
3
4 **The PFO will be deployed with a small, highly-trained mobile support staff. The**
5 **PFO does not direct or replace the incident command structure established at the**
6 **incident.** Nor does the PFO have line authority over the Federal Coordinating Officer, a
7 Senior Federal Law Enforcement Officer, a Defense Department Joint Task Force
8 Commander or State or local officials. Other Federal incident management officials retain
9 their authorities as defined in existing statutes and directives. Instead, the PFO coordinates
10 the activities of other Federal officials involved in incident management activities acting
11 under their own authorities.
12
13 **Federal Coordinating Officer.** For Stafford Act events, upon the recommendation of
14 the FEMA Administrator and the Secretary of Homeland Security, the President appoints a
15 Federal Coordinating Officer (FCO). **The FCO is a senior FEMA official trained, certified**
16 **and well experienced in emergency management, and specifically appointed to**
17 **coordinate Federal support in the response and recovery to emergencies and**
18 **major disasters.** The FCO executes Stafford Act authorities, including commitment of
19 FEMA resources and the authority to mission assign other Federal agencies. If a major
20 disaster or emergency declaration covers a geographic area that spans all or parts of more
21 than one State, the President may decide to appoint a single FCO for the entire incident,
22 with other individuals as needed serving as Deputy FCOs.
23
24 **In all cases, the FCO represents the FEMA Administrator in the field to discharge**
25 **all FEMA responsibilities for the response and recovery efforts underway.** The FCO
26 works in close coordination with the State Coordinating Officer, the senior State official in
27 the JFO. Some FCO-certified FEMA executives are given additional, specialized training
28 regarding unusually complex incidents. For example, one may be further trained for
29 catastrophic earthquake response, whereas another might burnish unique skills for response
30 related to weapons of mass destruction or pandemic influenza.
31
32 For Stafford Act events – and if the Secretary of Homeland Security has *not* appointed a
33 PFO for the incident – the FCO is the primary Federal representative with whom State and
34 local emergency management officials and State, tribal and local senior elected or appointed
35 officials interface in the field. In such events, the FCO is the focal point of coordination
36 within the Unified Coordination Group, ensuring overall integration of Federal emergency
37 management, resource allocation and seamless integration of Federal activities in support
38 of, and in coordination with, State, tribal and local requirements. In such events, the FCO
39 also would serve locally as a primary, although not exclusive, point of contact for Federal
40 interfaces with the media and the private sector.
41
42 **Pre-designated PFOs and FCOs. In certain scenarios, the Secretary of**
43 **Homeland Security may pre-designate a PFO and/or FCO to facilitate Federal**
44 **domestic incident planning and coordination.** Such pre-designation can focus on
45 specified geographic areas or be based on specific potential threats – or a combination of
46 both. For example, beginning in 2007, the Secretary has pre-designated a national PFO and
47 five regional PFOs together with a national FCO and regional FCOs, who will serve in the
48 event of a nationwide outbreak of pandemic influenza or other similar nationwide biological
49 event.
50
51 The PFOs and FCOs have been paired to train together and develop response plans in
52 concert with the President's national pandemic influenza strategy. Because the Secretary of
53 Health and Human Services has the lead for human health issues and the Secretary of

61

1   Agriculture has the lead for animal health issues, the pandemic PFO/FCO teams are
2   augmented by pre-designated senior officials from the Departments of Health and Human
3   Services and Agriculture. These are synchronized with additional team members from
4   within DHS and from other Federal Departments.
5
6   Pre-designation of these leadership teams is allowing for sustained advance planning
7   conducted with State and community leaders.
8
9   **Senior Federal Law Enforcement Official (SFLEO).** The SFLEO is an official
10 appointed by the Attorney General during an incident requiring a coordinated Federal
11 response to coordinate all law enforcement, public safety and security operations with
12 intelligence or investigative law enforcement operations directly related to the incident. The
13 SFLEO is a member of the Unified Coordination Group and, as such, is responsible to ensure
14 that allocation of law enforcement requirements and resource allocations are coordinated as
15 appropriate with all other members of the Group. In the event of a terrorist incident, the
16 SFLEO will normally be a senior FBI official, who has coordinating authority over all law
17 enforcement activities related to the incident, both those falling within the Attorney
18 General's explicit authority as recognized in HSPD-5 and those otherwise directly related to
19 the incident itself.
20
21 **Joint Task Force (JTF) Commander.** Based on the complexity and type of incident,
22 and the anticipated level of Department of Defense (DOD) resource involvement, DOD may
23 elect to designate a JTF to command Federal (Title 10) military activities in support of the
24 incident objectives. If a JTF is established, consistent with DOD operational requirements,
25 its command and control element will establish effective liaison with the JFO to ensure
26 coordination and unity of effort. The JTF Commander will serve as a representative in the
27 Unified Coordination Group.
28
29 The JTF Commander exercises operational control of all allocated DOD resources (excluding
30 U.S. Army Corps of Engineers resources). National Guard forces operating under a
31 Governor's control are not DOD-controlled resources. The use of a JTF does not replace the
32 requirement for a Defense Coordinating Officer (DCO) as part of the JFO Coordination Staff.
33 The JTF does not coordinate requests for assistance from DOD.
34
35 **Defense Coordinating Officer (DCO).** DOD has appointed 10 DCOs and assigned
36 one to each FEMA region. If requested and approved, the DCO serves as DOD's single point
37 of contact at the JFO. With few exceptions, requests for Defence Support of Civil Authorities
38 originating at the JFO are coordinated with and processed through the DCO. The DCO may
39 have a Defense Coordinating Element consisting of a staff and military liaison officers to
40 facilitate coordination and support to activated ESFs. Specific responsibilities of the DCO
41 (subject to modification based on the situation) include processing requirements for military
42 support, forwarding mission assignments to the appropriate military organizations through
43 DOD-designated channels, and assigning military liaisons, as appropriate, to activated ESFs.
44
45 **Other Senior Officials.** Based on the scope and nature of an incident, senior officials
46 from other Federal departments and agencies, State, tribal or local governments and private
47 sector businesses or NGOs may participate in a Unified Coordination Group. Usually, the
48 larger and more complex the incident, the greater the number of entities represented.
49
50 **Federal Resource Coordinator (FRC).** In non-Stafford Act situations, when a Federal
51 department or agency acting under its own authority has requested the assistance of the
52 Secretary of Homeland Security to obtain support from other Federal departments and

1   agencies, DHS may designate an FRC. In these situations, the FRC coordinates support
2   through interagency agreements and memorandums of understanding. Relying on the
3   same skill set, DHS may select the FRC from the FCO cadre or other personnel with
4   equivalent knowledge, skills and abilities. The FRC is responsible for coordinating timely
5   delivery of resources to the requesting agency.
6
7   The JFO structure normally includes a Unified Coordination Staff. The Unified Coordination
8   Group determines the extent of staffing based on the type and magnitude of the incident.
9   See the JFO Standard Operating Procedure for further details on these and other Federal
10   staff positions supporting the field operation.
11

CHAPTER IV
ADDITIONAL RESOURCES

The *National Response Framework* **is supplemented and supported by an on-line tool designed especially for emergency management practitioners, the NRF Resource Center (http://www.fema.gov/NRF).** This on-line-resource will grow and routinely evolve in support of the *Framework* and those who work with it. The core *Framework* should require significant change only infrequently. However, the operational planning and detailed work of developing stronger emergency management plans and capabilities will require a continued rapid pace of change in the months and years ahead. The **NRF Resource Center** is intended to supply a nimble, state-of-the-art forum for sharing and encouraging such improvement.

This chapter first briefly summarizes the broader national architecture for preparedness planning upon which the *Framework* rests. **It then describes *how* additional resources and operational information will be made available, especially to emergency response practitioners, in support of the *Framework.***

PART OF A BROADER PREPAREDNESS STRATEGY

The *Framework* is required by, and integrates to, a larger national preparedness strategy for homeland security that is based on four strategic imperatives: prevent, protect, respond and recover from all-hazards incidents. This broader strategy requires a more extensive array of operational planning activity, investments and preparedness work. It requires focus across all four of these imperatives, with operational requirements for all levels of government to deal with all hazards.

This strategic focus has yielded the *National Preparedness Guidelines*, a *National Infrastructure Protection Plan*, 17 sector-specific plans to protect critical infrastructure, a coordinated national exercise schedule, an extensive set of grant programs to support homeland security priorities, the *National Incident Management System* and literally dozens of supporting operational plans, programs and activities with our homeland security partners. Similar planning and investment has taken place at all levels of government. A great deal has been accomplished in developing a rigorous national preparedness architecture, yet much more work lies ahead to build upon this architecture.

The *Framework* focuses on ***preparedness activities that are directly related to an evolving incident or potential incident***, rather than the ***steady-state preparedness or readiness activities*** conducted in the absence of a specific threat or hazard. The response *Framework* does not try to subsume all of these larger efforts; yet it depends upon and integrates to our larger homeland security strategy.

A national focus on steady-state readiness is imperative. The President identified emergency planning and the larger steady-state readiness as a national priority, and this prioritization is reflected especially in the *National Preparedness Guidelines* and *The National Infrastructure Protection Plan*. **The *Guidelines* package — which, like the *Framework*, was developed through extensive national consultation — is comprised of four critical elements**:

- ***The National Preparedness Vision,*** which provides a concise statement of the core preparedness goal for the nation.

- ***The 15 National Planning Scenarios,*** which collectively depict a diverse set of high-consequence threat scenarios regarding both potential terrorist attacks and natural disasters. Collectively, these scenarios are designed to focus contingency planning for homeland security preparedness work at all levels of government and with the private sector. The 15 scenarios form the basis for coordinated Federal planning, training, exercises and grant investments needed to prepare for emergencies of all types.

- ***Universal Task List (UTL),*** which is a menu of some 1,600 unique tasks that can facilitate efforts to prevent, protect, respond and recover from the major events that are represented by the National Planning Scenarios. It presents a common vocabulary and identifies key tasks that supports development of essential capabilities among organizations at all levels. Of course, no entity will perform every task. This task list was used to assist in creating the Target Capabilities List.

- ***Target Capabilities List (TCL),*** which defines 37 specific capabilities that communities, the private sector and all levels of government should possess in order to respond effectively to disasters.

The ***National Infrastructure Protection Plan* and its 17 sector-specific plans for protecting critical infrastructure together create a system for preparedness planning that comprehensively includes both the public and private sectors.** It establishes protection standards and objectives developed in partnership with each of the 17 sectors, and establishes consultative mechanisms, including those for sharing key threat information, with private sector businesses that own or operate most of the nation's critical infrastructure.

Taken together, publication of the *Framework*, finalization of the *National Preparedness Guidelines* and the completion of all of the first-generation sector-specific plans that support the *National Infrastructure Protection Plan* mark a significant milestone in post 9/11 preparedness. **These strategic documents — supported by others developed at the Federal, State and community levels — now bring into clear relief the essential architecture that is animating vital tactical preparedness work nationwide.**

All of these strategic preparedness activities are not, strictly speaking, components of the *Framework*. But the *Framework* is intended to be informed by and tie seamlessly to these larger-scope national, State and local preparedness activities and investments.

The *Framework's* planning activities are directly related to evolving incidents or potential incidents. No planner can anticipate every specific threat scenario or foresee every outcome. The value of effective planning is determined less by whether all actions transpire exactly as planned, than by the development of a sound, practiced framework for effective response.

The Planning Process. Emergency planning is an orderly, analytical problem-solving process. It follows a set of logical steps from plan initiation to analysis of an objective, development and comparison of ways to achieve it and selection of the best solution. Rather than concentrating on every detail of how to achieve the objective, an effective plan structures thinking and supports insight, creativity and initiative in the face of

1   an uncertain and fluid environment. While using a prescribed planning process cannot
2   guarantee success, inadequate plans and planning are proven contributors to failure.
3
4   Effective planning assigns clear tasks and purposes, promotes frequent interaction among
5   stakeholders, guides preparedness activities, establishes procedures for implementation,
6   provides measures to synchronize actions and allocates or reallocates resources. It can also
7   serve, at least in part, as a substitute for experience. Experience helps us know intuitively
8   what to expect and what actions to take. In situations where we lack experience, such as
9   many potential homeland security scenarios, planning provides the opportunity to anticipate
10 conditions and systematically to think through potential problems and workable solutions.
11
12 **Time, uncertainty, risk and experience influence planning.** These factors define the
13 starting point where planners apply appropriate concepts and methods to create solutions to
14 particular problems. Since this involves judgment and balancing of competing demands,
15 plans cannot be overly detailed, followed to the letter or so general that they provide
16 insufficient direction. This is why planning is both science and art, and why plans are
17 evolving frameworks.
18
19 Those aspects of planning that are quantifiable, measurable and lend themselves to analysis
20 – such as how long it takes a team to mobilize and travel certain distances – are part of the
21 science of planning. Knowledge about the science of planning can be gained through
22 training and study. Other aspects of planning, such as the choice of particular options or
23 arrangement of a specific sequence of actions, are part of the art of planning and require
24 understanding the dynamic relationships between participants. Mastering the art of
25 planning comes through exercises and operational experience.
26
27 **While expertise in planning's procedural aspects is important, without a shared**
28 **planning system or planning community, interaction and collaboration will be**
29 **inhibited, planning cycles will be too long and inflexible, and plans will be difficult**
30 **to maintain.** Since planning is an essential homeland security activity, it requires policies,
31 procedures and tools that provide decision makers and planners, who constitute the
32 planning community, with the capability to plan.
33
34 The *Framework* stresses several fundamentals associated with preparedness planning.
35 **First, all key leaders must participate in effective planning – government**
36 **executives, private sector business and nongovernmental leaders and emergency**
37 **management practitioners.** These leaders discipline the process to meet the
38 requirements of time, planning horizons, simplicity and level of detail. They ensure plans
39 are compliant with policy and law, are relevant and suitable for implementation. Planning
40 helps decision makers anticipate and think critically, reducing time between decisions and
41 action. The more involved decision makers are in planning, the better the planning product.
42
43 **Second, plans must clearly assign tasks, allocate resources and establish**
44 **accountability**. Leaders must ensure that responders have the means to accomplish the
45 mission. They do so by organizing, staffing, equipping and allocating resources. They
46 establish clear priorities to make the most efficient use of key resources, and ensure
47 accountability.
48
49 **Third, plans will guide preparedness activities and requirements.** They provide a
50 common framework to guide preparedness by establishing the desired end state and the
51 capabilities required to reach it. Capabilities provide the means to accomplish a mission and
52 achieve desired outcomes by performing critical tasks, under specified conditions, to target
53 levels of performance. Exercises provide opportunities to demonstrate and evaluate

1   performance, while periodic assessments of plans identify lessons learned and provide the
2   means to share best products and practices.
3
4   **Finally, planning helps to deal with complexity.** Homeland security problems most
5   often involve a complex set of interrelated problems. The nation's strategy for homeland
6   security attaches special emphasis to planning for catastrophic events with the greatest risk
7   of mass casualties, massive property lost and immense social disruption
8
9   The *Framework* encourages parallel and collaborative planning. Parallel planning means two
10 or more levels of the community can plan nearly simultaneously. Collaborative planning
11 means real-time planning interaction among levels. Both principles place a premium on
12 continuous information sharing, require significant interaction and decrease the time
13 required to complete a plan.
14
15

16 # SUPPORTING DOCUMENTS AND THE NRF RESOURCE CENTER

17
18 **To assist readers in implementing the *Framework*, DHS has developed the**
19 **Resource Center as an on-line repository of supporting documents, resources and**
20 **educational materials.** It intended especially to assist emergency management
21 practitioners. This repository provides a single, web-based portal for documents,
22 information, training materials and other tools needed for response partners to understand
23 and execute their roles under the *Framework*.
24
25 First, this portal will post all authoritative, formally cleared plans, annexes and resources
26 associated with this *Framework*. Such Federally-approved documentation will typically be
27 reviewed by an interagency process managed by the President's Homeland Security Council.
28 In addition, the Resource Center portal will be dynamic, providing links to additional
29 preparedness resources and updating the Framework's formal supporting documents as
30 necessary.
31
32 The online Resource Center's home page may be found at **http://www.fema.gov/NRF**.
33 As all Resource Center postings will be routinely evaluated, updated and augmented, the
34 remainder of this chapter contains a roadmap of what initially conveys from the *National*
35 *Response Plan* (*NRP*) and an outline of work to come.
36
37 The initial Resource Center postings contain the multiple supporting documents that were
38 part of the *NRP*, including (1) an Emergency Support Function (ESF) Annex for each of the
39 15 ESFs; (2) nine Support Annexes; (3) six Incident Annexes; and (4) several informational
40 annexes, such as an overview of the main Stafford Act provisions and an acronym list,
41 updated as appropriate. All of these formal supporting documents were approved prior to
42 posting by the Federal interagency process described above, and subsequent revisions to
43 them will receive the same coordination. **Coincident with publication of the**
44 ***Framework,* the ESF Annexes were revised to conform as needed with the**
45 ***Framework*.**
46
47 The revised ESF Annexes reflect real-world experience under the *National Response Plan*.
48 For example, instead of working in separate ESF structures, the Operations Section Chief
49 might establish a mass evacuation group to examine cross-cutting issues and request
50 representatives from *Transportation* (ESF-1), *Public Health and Medical Services* (ESF-8)
51 and *Mass Care, Emergency Assistance, Housing and Human Services* (ESF 6). This

1   approach retains the functional expertise of ESFs but leverages cross-cutting teams to
2   ensure an effective and integrated response.
3
4   **The Support Annexes similarly conveyed without extensive change at this**
5   **juncture.**[26] The Support Annexes in the *National Response Plan* provide a starting point
6   understand support needed under the *Framework*. Further assessment is required to
7   evaluate essential community, State, Federal and private sector resources needed to
8   execute the capabilities specified by the *National Preparedness Guidelines*. We will then
9   build iteratively on these annexes to develop support tools tailored to meet the nation's
10 response requirements. The current draft annexes need to be aligned with various planning
11 documents described above that were published after the *National Response Plan* was first
12 approved in December 2004.
13
14 An early effort at providing an orientation for diverse types of incidents that may require
15 incident-specific implementation of the *NRP*, the Federal plan for drafting this type of
16 resource need has been significantly changed in conjunction with publication of the
17 *Framework*. The *NRP*'s six Incident Annexes included scenarios for the following types of
18 incidents: biological, cyber, nuclear/radiological, oil and hazardous materials, terrorism
19 incident law enforcement, and catastrophic incidents.[27]
20
21 **Also since publication of the *NRP* in 2004, the *National Preparedness Guidelines***
22 **have established 15 National Planning Scenarios that deal much more**
23 **comprehensively and precisely with a baseline set of scenarios** that, as noted above,
24 collectively depict the broad range of natural and man-made threats facing our nation and
25 overall guide homeland security planning efforts at all levels of government and with the
26 private sector. They form the basis for national planning, training, investment and
27 exercises needed to prepare for emergencies of all types.
28
29 **Consequently, this *Framework* calls for delivery in the case of each of the**
30 ***Guideline's* 15 scenarios two types of plans: (1) a strategic plan (roughly the**
31 **equivalent of the *NRP*'s Incident Annexes, though more detailed); and (2) an**
32 **operational supplement (equivalent to the detail found in the Catastrophic**
33 **Incident Supplement).** All of the original scenarios covered by a *National Response Plan*
34 Incident Annex are covered in this new approach, though the 30 total incident plans that
35 will accompany the *Framework* will collectively be much more extensive. Again, prior to
36 web publication of these new scenario-based plans and operational supplements, these
37 documents will receive Federal interagency approval.
38
39 These plans will leverage existing products as available. For example, pandemic influenza is
40 one of the 15 scenarios in the *Guidelines*. The Administration has already published a
41 *National Strategy for Pandemic Influenza* (November 2005) for this scenario,[28] which
42 included extensive public comment and collaboration with public health and emergency
43 management professionals at all levels. That document has also be made available at the
44 Resource Center in support of the *Framework*.
45

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[26] [Note for this draft: any conforming amendments to the former *NRP* ESF Annexes and the Support Annexes will be made after the public comment period for this draft *Framework* and in conjunction with its approval by the President in final form.]

[27] A food and agricultural incident annex was contemplated by the *NRP* but not subsequently published. A complement to the Catastrophic Annex, the Catastrophic Incident Supplement was published in September 2005. This latter document is published For Official Use Only.

[28] See http://www.whitehouse.gov/homeland/pandemic-influenza.html.

DRAFT: PRE-DECISIONAL AND DELIBERATIVE, 7/27/07

A detailed concept of operations for pandemic influenza consistent with the *Framework* has been drafted, and it forms the basis for much of the ongoing Federal planning and State and local collaboration in this area. DHS, supported by a wide range of interagency resources, has established an interagency Incident Management Planning Team that will be a nucleus around which much of this interagency planning work will be drafted for wider review and, ultimately, for incorporation into the Resource Center.

Initial NRF Resource Center Documentation. Initial postings to the web page supporting the *Framework* include the following:

1. Emergency Support Function Annexes

- ESF #1 – Transportation
- ESF #2 - Communications
- ESF #3 - Public Works and Engineering
- ESF #4 - Firefighting
- ESF #5 - Emergency Management
- ESF #6 - Mass Care, Housing and Human Services
- ESF #7 - Resource Support
- ESF #8 - Public Health and Medical Services
- ESF #8 - 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

2. Support Annexes

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

3. Incident Annexes[29]

- *Improvised Nuclear Device*
- *Aerosol Anthrax*
- *Pandemic Influenza*
- *Plague*
- *Blister Agent*
- *Toxic Industrial Chemicals*
- *Nerve Agent*

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[29] These incident annexes are currently under development, one for each of the 15 National Planning Scenarios identified in the *National Preparedness Guidelines*. They may be augmented over time with additional incident annexes for other scenarios, as needed.

1. • *Chlorine Tank Explosion*
2. • *Major Earthquake*
3. • *Major Hurricane*
4. • *Radiological Dispersal Device*
5. • *Improvised Explosive Device*
6. • *Food Contamination*
7. • *Foreign Animal Disease*
8. • *Cyber Attack*
9.
10. **4. Legacy *NRP* Incident Annexes**[30]
11.
12. • Biological Incident
13. • Pandemic Influenza
14. • Catastrophic Incident
15. • Cyber Incident
16. • Nuclear/Radiological Incident
17. • Oil and Hazardous Materials Incident
18. • Terrorism Incident Law Enforcement Investigation
19.
20. **5. Informational Annex**
21.
22. • Glossary of Key Terms
23. • List of Acronyms
24. • Authorities and References
25. • Overview of Stafford Act
26. • Key resource references: The *National Incident Management System; National*
27.   *Infrastructure Protection Plan;* sector specific plans, etc.
28. • *Framework* Playbooks for Private and Public Leaders *(under development)*
29.
30. **6. Learning Center**
31.
32. The NRF will incorporate a learning center that includes job aids, educational tools (including
33. a planned "wiki" tool to support creative interaction among users), links to the broader
34. range of preparedness reports and documentation, and access to web-based training
35. courses. It will contain material that is routinely evaluated and updated for accuracy and
36. currency.
37.
38.

EFFECTIVE DATE AND *FRAMEWORK* IMPLEMENTATION

40.
41. This initial version of the *National Response Framework* builds upon and supersedes the
42. *National Response Plan* (December 2004, as amended May 2006). The changes reflected in
43. this document are not substantively dramatic, and in no regard does this *Framework* alter
44. the basic NIMS-based structures adopted for field-based incident management structures
45. and activities.
46.
47. This *Framework*, does, however, arrive with a significant strengthening of Federal
48. capabilities over the past two years and a maturing of Federal internal coordination as called
49. for by Presidential directive HSPD-5. It is supported by an enhanced focus on emergency

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[30] These Incident Annexes were initially published with the *National Response Plan* and will remain in effect until formally replaced by the appropriate Incident Annexes based upon the National Planning Scenarios.

1 management preparedness at the community and State levels as well. Finally, it represents
2 an effort to make the serious work of incident management somewhat more approachable
3 for readers who are not emergency management practitioners, while providing more useful
4 supplemental resources precisely for those practitioners.
5
6 Because the *Framework* does not depart significantly in terms of its operation at the
7 community, State, tribal or Federal levels, it is not expected that its adoption will take
8 significant new training to make for an effective transition from response operations shaped
9 by the existing *National Response Plan*. Therefore the effective date for implementation will
10 be 60 days after final publication. Final publication of the *Framework* is expected in early
11 September, 2007.