

***FINAL DRAFT***

**NATIONAL RESPONSE PLAN**

**Final Draft**

**DRAFT**

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**TRANSMITTAL LETTER**

To be developed

## LETTER OF INSTRUCTION

### Implementation Guidance

#### A. General

The *National Response Plan (NRP)* is effective upon issuance with a phased implementation process during the first year. During the first 180 days of this implementation process, the *Initial NRP*, *Federal Response Plan (FRP)*, *U.S. Government Domestic Terrorism Concept of Operations Plan (CONPLAN)*, and the *Federal Radiological Emergency Response Plan (FRERP)* remain in effect.

- **Phase I - Transitional Period** (0 to 90 days): This 90-day timeframe is intended to provide a transitional period for departments and agencies and other organizations to modify training, designate staffing of *NRP* organizational elements, and become familiar with *NRP* structures, processes, and protocols.
- **Phase II – Plan Modification** (90 to 180 days): This second 90-day timeframe is intended to provide departments and agencies the opportunity to modify existing Federal interagency plans to align with the *NRP* and conduct necessary training and certification.
- **Phase III – Initial Implementation and Testing** (180 days to 1 year): Six months after its issuance, the *NRP* is to be fully implemented, and the *Initial NRP*, *FRP*, *CONPLAN* and *FRERP* are superseded. During this timeframe, DHS will conduct systematic assessments of *NRP* coordinating structures, processes, and protocols implemented for actual Incidents of National Significance, national-level homeland security exercises and National Special Security Events. These assessments will gauge the plan’s effectiveness in meeting specific objectives outlined in *Homeland Security Presidential Directive-5 (HSPD-5)*. At the end of this period, DHS will conduct a one-year review to assess the implementation process and make recommendations to the Secretary on necessary *NRP* revisions. Following this initial review, the *NRP* will begin a deliberate four-year review and reissuance cycle.

#### B. Requirements

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

##### 1. Secretary of Homeland Security:

- a. Within 90 days of the issuance of this plan, in coordination with other departments and agencies, develop and publish detailed operational procedures for the Homeland Security Operations Center (HSOC), National

- 1 Response Coordination Center (NRCC), Interagency Incident Management  
2 Group (IIMG), and Joint Field Office (JFO);
- 3 b. Within 180 days of the issuance of this plan, identify appropriate assets and  
4 establish agreements and procedures for their rapid deployment and  
5 employment in accordance with the *NRP Catastrophic Incident Supplement*;  
6 c. Designate representatives to staff the HSOC (the Operational Information and  
7 Intelligence Branch and/or the NRCC) and IIMG;
- 8 d. Develop appropriate training programs for HSOC, IIMG, Principal Federal  
9 Official (PFO), and Federal Coordinating Officer (FCO) cadres
- 10 e. Within one year of its effective date, conduct an interagency review to assess  
11 the effectiveness of the *NRP*, identify improvements, and provide  
12 recommendations regarding plan modifications and reissuance, if required.

13  
14 **2. Federal Departments and Agencies:**

- 15  
16 a. As required by *HSPD-5*, provide cooperation, resources, and support to the  
17 Secretary of Homeland Security in the implementation of the *NRP*, as  
18 appropriate and consistent with their own authorities and responsibilities;
- 19 b. Designate representatives to staff the HSOC (the Operational Information and  
20 Intelligence Branch and/or the NRCC) and IIMG;
- 21 c. Within 180 days of the issuance of this plan, modify existing interagency  
22 incident management and emergency response plans and protocols, to the  
23 extent authorized by law, incorporating:
- 24 ■ Linkages to key *NRP* processes and coordinating structures (i.e., the  
25 IIMG, NRCC, Regional Response Coordination Center (RRCC), JFO,  
26 etc.);
  - 27 ■ Principles and terminology used in the *NIMS* and *NRP*;
  - 28 ■ *NRP* incident reporting requirements; and
  - 29 ■ Procedures for transitioning from localized incidents to Incidents of  
30 National Significance.
- 31 Modifications to existing Federal interagency plans must be completed and  
32 reported to the Department of Homeland Security within 180 days of the  
33 publication of the *NRP*;<sup>1</sup>
- 34 d. Carry out responsibilities assigned in the Emergency Support Function  
35 annexes to the *NRP*, developing supplemental plans and procedures as  
36 required; and
- 37 e. Establish connectivity with and report to the National Joint Terrorism Task  
38 Force and the HSOC as outlined in section V.A.1 (page 59) of this document.

39  
40 **3. State, Local, and Tribal Governments and Nongovernmental Organizations:**

- 41  
42 a. State, local, and tribal governments and emergency management agencies and  
43 nongovernmental organizations are requested to report to local and regional

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<sup>1</sup> The National Oil and Hazardous Substances Pollution Contingency Plan (NCP) is a regulation subject to notice and comment requirements. For modifications to the NCP, rulemaking activities will be commenced within 180 days of publication of this plan.

1 Joint Terrorism Task Forces and the HSOC as outlined in section V.A.1 (page  
2 61) of this document.

- 3 b. State, local, and tribal governments and emergency management agencies and  
4 non-governmental organizations are requested to coordinate with the HSOC  
5 regarding procedures for establishing connectivity for domestic incident  
6 management purposes. Local government procedures should be coordinated  
7 with the respective State government and/or emergency management agency.  
8 c. State, local, and tribal governments and nongovernmental organizations are  
9 requested to modify existing incident management and emergency operations  
10 plans within 180 days of publication of this plan to ensure proper alignment  
11 with *NRP* coordinating structures, processes, and protocols.  
12 d. State, local, and tribal governments are requested to notify the Secretary of  
13 Homeland Security of any substantial conflicts between this plan and State,  
14 local, or tribal government laws or regulations. This plan is not intended to  
15 compromise existing State, local, or tribal government laws or corresponding  
16 incident management or emergency response plans. Local government  
17 notification to DHS should be coordinated with the appropriate State  
18 government and/or emergency management agency.  
19

#### 20 **4. Federal Regional organizations:**

- 21  
22 a. Designate representatives to the RRCC and Regional Interagency Steering  
23 Committee (RISC) at the request of the Secretary of Homeland Security;  
24 b. Develop regional supplements to the *NRP* as required; and  
25 c. Update existing SOPs pertaining to the RRCC to align with *NRP*  
26 requirements.  
27

#### 28 **5. Private Sector:**

29  
30 For critical elements of infrastructure whose disruption may have national or  
31 major regional impact, owners and operators of those infrastructure elements are  
32 encouraged to develop appropriate emergency response plans and information-  
33 sharing processes and protocols tailored to the unique requirements of their  
34 respective sector or industry, and that clearly map to regional, State and local  
35 emergency response plans and information-sharing networks. These plans and  
36 information-sharing processes and protocols should be consistent with the *NRP*  
37 base plan and supporting annexes.  
38

## ***FOREWORD***

### **I. Organization of the *National Response Plan***

The *National Response Plan (NRP)* consists of the following sections as shown in Figure 1:

- A.** The **Base Plan** describes the structure and processes comprising a national approach to domestic incident management designed to integrate the efforts and resources of Federal, State, local, tribal, private sector, and nongovernmental organizations. The Base Plan includes planning assumptions, roles and responsibilities, concept of operations, preparedness guidelines, and plan maintenance instructions.
- B.** The **Emergency Support Function (ESF) Annexes** detail the missions, policies, structures, and responsibilities of Federal agencies for coordinating resource and programmatic support to States and other Federal agencies or other jurisdictions and entities during Incidents of National Significance. The introduction to the ESF Annexes summarizes the functions of ESF coordinators and primary and support agencies. The chart on page viii provides a summary of the scope of each annex. The ESF Annexes include:
- ESF #1 - Transportation
  - ESF #2 - Telecommunications and Information Technology
  - ESF #3 - Public Works and Engineering
  - ESF #4 - Firefighting
  - ESF #5 - Emergency Management
  - ESF #6 - Mass Care, Housing, and Human Services
  - ESF #7 - Resource Support
  - ESF #8 - Public Health and Medical Services
  - ESF #9 - Urban Search and Rescue
  - ESF #10 - Oil and Hazardous Materials<sup>2</sup> Response
  - ESF #11 - Agriculture and Natural Resources
  - ESF #12 - Energy
  - ESF #13 - Public Safety and Security
  - ESF #14 - Community Recovery, Mitigation, and Economic Stabilization
  - ESF #15 - Emergency Public Information and External Communications
- C.** The **Support Annexes** provide guidance and describe the functional processes and administrative requirements necessary to ensure efficient and effective implementation of *NRP* incident management objectives. The Support Annexes are described below:
- **Financial Management** provides guidance for *NRP* implementation to ensure that incident-related funds are provided expeditiously and that financial management activities are conducted in accordance with established law, policies, regulations, and standards.

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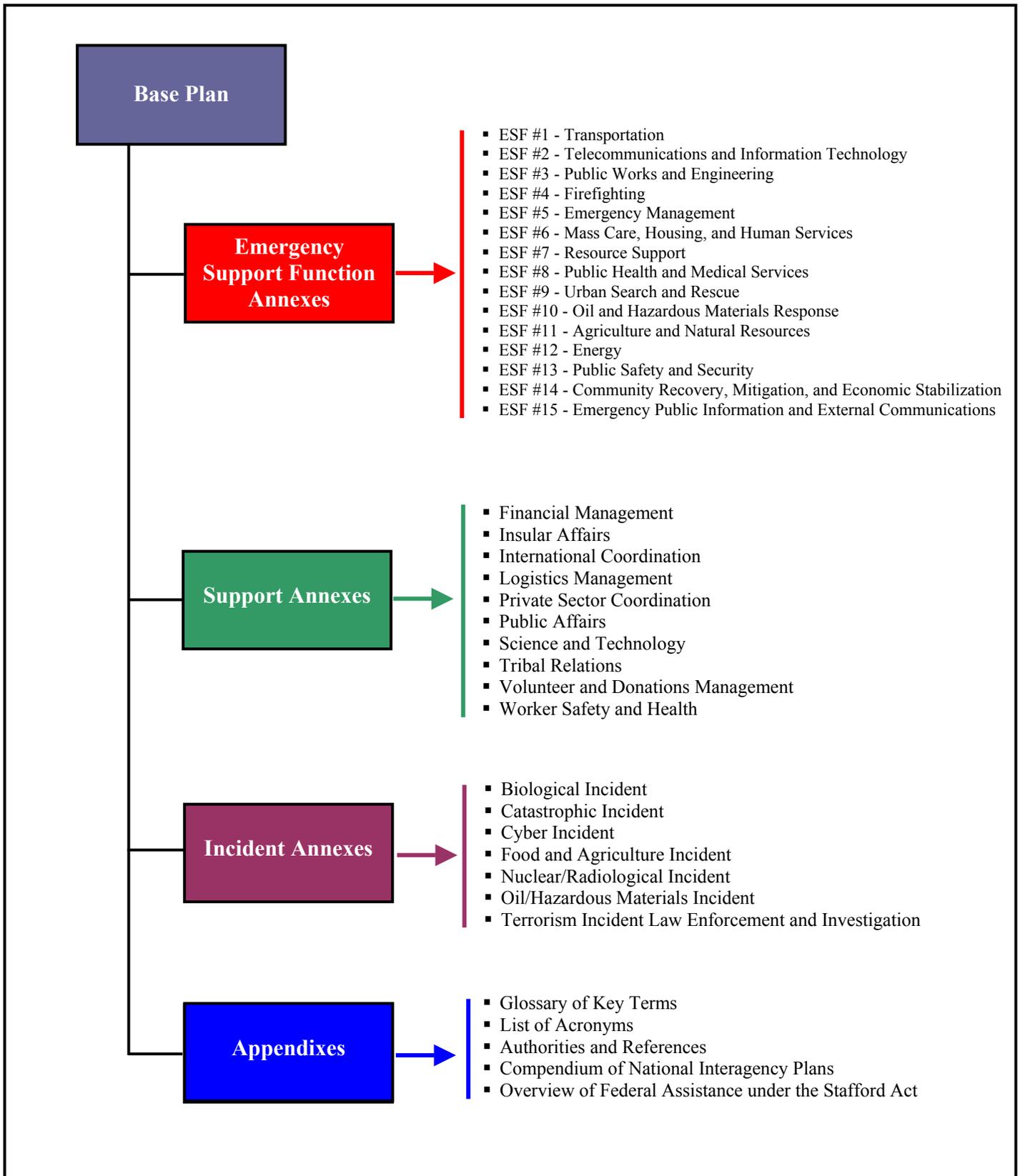
<sup>2</sup> For the purposes of the NRP, “hazardous materials” is a general term intended to include hazardous substances, pollutants, and contaminants as defined by the NCP. See Appendix 1: Glossary of Key Terms for more details.

- **Insular Affairs** provides guidance to assist in the timely, coordinated Federal response to Incidents of National Significance occurring in U.S. insular areas. This includes areas that historically have been part of the United States as well as independent nations that make up the former “World War II Trust Territories.”
  - **International Coordination** provides guidance for carrying out responsibilities regarding international coordination in support of the Federal response to domestic Incidents of National Significance.
  - **Logistics Management** describes the framework within which the overall *NRP* logistics management function operates. It also outlines logistics management responsibilities and mechanisms for integrating Federal, State, local, and tribal, resource providers.
  - **Private Sector Coordination** outlines processes to ensure effective incident management coordination and integration with the private sector, including representatives of the Nation’s critical infrastructure sectors and other industries.
  - **Public Affairs** describes interagency incident communications procedures designed to enable the coordination and dissemination of timely, public information during Incidents of National Significance.
  - **Science and Technology** provides guidance and mechanisms to ensure that all levels of government can leverage the Nation’s science and technology resources efficiently and effectively in the management of Incidents of National Significance.
  - **Tribal Relations** describes the policies, responsibilities, and concept of operations for effective coordination and interaction with tribal governments and communities during Incidents of National Significance.
  - **Volunteer and Donations Management** provides guidance on volunteer and donations management functions related to Incidents of National Significance.
  - **Worker Safety and Health** details processes to ensure coordinated, comprehensive efforts to identify responder safety and health risks and implement procedures to minimize or eliminate illness or injuries during incident management and emergency response activities.
- D.** The **Incident Annexes** address contingency or hazard situations requiring specialized application of the *NRP*. The Incident Annexes describe the missions, policies, responsibilities, and coordination processes that govern the interaction of public and private entities engaged in incident management and emergency response operations across a spectrum of potential hazards. These annexes are typically augmented by a variety of supporting plans and operational supplements. The Incident Annexes are described below:
- **Biological Incident Annex** describes incident management activities related to a biological terrorism event, pandemic, emerging infectious disease, or novel pathogen outbreak.
  - **Catastrophic Incident Annex** establishes the strategy for implementing and coordinating an accelerated national response to a catastrophic incident.
  - **Cyber Incident Annex** establishes procedures for a multidisciplinary, broad-based approach to the preparation for, remediation of, and recovery from

catastrophic cyber events impacting critical national processes and the national economy.

- **Food and Agriculture Incident Annex** describes incident management activities related to a terrorist attack, major disaster, or other emergency involving the nation's agriculture and food systems. *(To be published in a subsequent version of this plan.)*
  - **Nuclear/Radiological Incident Annex** describes incident management activities related to nuclear/radiological incidents.
  - **Oil and Hazardous Materials Incident Annex** describes incident management activities related to certain nationally significant oil and hazardous materials pollution incidents.
  - **Terrorism Law Enforcement and Investigation Annex** describes law enforcement and criminal investigation activities in response to a terrorist event.
- E. **Appendixes** provide other relevant, more detailed supporting information, including terms, definitions, acronyms, authorities, and a compendium of national interagency plans.

FIGURE 1.—*Organization of the National Response Plan*



## II. Key Definitions

This section provides key definitions used in the *NRP*. These definitions are based on provisions contained in *Homeland Security Presidential Directive-5*, the *Homeland Security Act of 2002*, and other relevant authorities. A comprehensive list of definitions relevant to the *NRP* is included in Appendix 1.

- **Federal Departments and Agencies.** Those executive departments enumerated in 5 U.S.C. 101, together with DHS; independent establishments as defined by 5 U.S.C. § 104(1); government corporations as defined by 5 U.S.C. § 103(1); and the U.S. Postal Service.
- **State.**<sup>3</sup> Any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States.
- **Local Government.**<sup>4</sup> Includes any county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized Tribal organization, or in Alaska a Native Village or Alaska Regional Native Corporation; and a rural community, unincorporated town or village, or other public entity.
- **Nongovernmental organization.** Include entities that associate based on the interests of their members, individuals, or institutions that are not created by a government, but may work cooperatively with government. Such organizations serve a public purpose, not a private benefit.
- **Private Sector.** Organizations and entities that are not part of any governmental structure. It includes for-profit and not-for-profit organizations, formal and informal structures, commerce and industry, and private voluntary organizations.
- **Incident of National Significance.** An actual or potential high-impact event that requires a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, nongovernmental and/or private sector entities in order to save lives and minimize damage.
- **Major Disaster.** As defined by the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (42 U.S.C. §§ 5121-5206), a major disaster is “any natural catastrophe, including, among other things, hurricanes, tornadoes, storms, earthquakes, or, regardless of cause, any fire, flood, or explosion” determined by the President to have caused damage of sufficient severity and magnitude to

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<sup>3</sup> As defined in the Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C. §101(14)

<sup>4</sup> As defined in section 2 (10) of the Homeland Security Act of 2002

warrant major disaster assistance under the act. All Presidentially declared disasters are Incidents of National Significance.

- **Emergency.** As defined by the *Stafford Act*, an emergency is “any other occasion or instance for which the President determines that Federal assistance is needed to supplement State, local, and tribal efforts 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.” All Presidentially declared emergencies are Incidents of National Significance.
- **Catastrophic Incident.** Any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal and private sector authorities; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened. All catastrophic incidents are Incidents of National Significance.
- **Preparedness.** The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources. In the context of the *NRP*, preparedness is operationally focused on actions taken in response to a threat or incident.
- **Prevention.** Involves actions taken to avoid an incident or to intervene to stop an incident from occurring. For the purposes of this plan, this includes applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing; and law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending perpetrators.
- **Response.** Involves activities that address the short-term, direct effects of an incident. These activities include immediate actions to preserve life, property, and the environment; meet basic human needs; and maintain the social, economic, and political structure of the affected community. Response also includes the execution of emergency operations plans and incident mitigation activities designed to limit loss of life, personal injury, property damage, and other unfavorable outcomes.
- **Recovery.** Involves actions and the implementation of programs necessary to help individuals, communities, and the environment directly impacted by an incident to

return to normal where feasible. These actions assist victims and their families, restore institutions to regain economic stability and confidence, rebuild or replace destroyed property, address environmental contamination, and reconstitute government operations and services. Recovery actions often extend long after the incident itself. Recovery programs may include hazard mitigation components designed to avoid damage from future incidents.

- **Mitigation.** Activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident. Mitigation measures may be implemented prior to, during, or after an incident. Mitigation measures are often developed in accordance with lessons learned from prior incidents. The *NRP* distinguishes between hazard mitigation and incident mitigation. Hazard mitigation includes any cost-effective measure which will reduce the potential for damage to a facility from a disaster event. Measures may include zoning and building codes, floodplain property acquisitions, home elevations or relocations, and analysis of hazard-related data. Incident mitigation involves actions taken during an incident designed to minimize impacts or contain the damages to property or the environment.

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### **Emergency Support Function Annexes**

- A. ESF #1 – Transportation
- B. ESF #2 – Telecommunications and Information Technology
- C. ESF #3 – Public Works and Engineering
- D. ESF #4 – Firefighting
- E. ESF #5 – Emergency Management
- F. ESF #6 – Mass Care, Housing and Human Services
- G. ESF #7 – Resource Support
- H. ESF #8 – Public Health and Medical Services
- I. ESF #9 – Urban Search and Rescue
- J. ESF #10 – Oil and Hazardous Materials Response
- K. ESF #11 – Agriculture
- L. ESF #12 – Energy
- M. ESF #13 – Public Safety and Security
- N. ESF #14 – Economic Stabilization, Community Recovery and Mitigation
- O. ESF #15 – Emergency Public Information and External Communications

### **Support Annexes**

- A. Financial Management
- B. Insular Affairs
- C. International Coordination
- D. Logistics Management
- E. Private Sector Coordination
- F. Public Affairs
- G. Science and Technology
- H. Tribal Relations
- I. Volunteer and Donations Management
- J. Worker Safety and Health

### **Incident Annexes**

- A. Biological Incident
- B. Catastrophic Incident
- C. Cyber Incident
- D. Food and Agriculture Incident
- E. Nuclear/Radiological Incident
- F. Oil and Hazardous Materials Incident
- G. Terrorism Law Enforcement and Investigation

## **Appendixes**

1. Glossary of Key Terms
2. List of Acronyms
3. Authorities and References
4. Compendium of National Interagency Plans
5. Overview of a Request for Federal Assistance under the *Stafford Act*

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1 *NATIONAL RESPONSE PLAN*

2  
3 **I. Introduction**

4  
5 The Nation’s domestic incident management landscape changed dramatically following the  
6 terrorist attacks of September 11, 2001. Today’s threat environment includes not only the  
7 traditional spectrum of manmade and natural hazards—wildland and urban fires, floods, oil  
8 spills, hazardous materials releases, transportation accidents, earthquakes, hurricanes, tornadoes,  
9 pandemics, and disruptions to the Nation’s energy and information technology infrastructure—  
10 but also the deadly and devastating terrorist arsenal of chemical, biological, radiological, nuclear,  
11 and high explosive weapons.

12  
13 These complex and emerging 21<sup>st</sup> century threats and hazards demand a unified and coordinated  
14 national approach to domestic incident management. The *National Strategy for Homeland*  
15 *Security; Homeland Security Act of 2002; and Homeland Security Presidential Directive-5*  
16 *(HSPD-5), Management of Domestic Incidents*, established clear objectives for a concerted  
17 national effort to prevent terrorist attacks within the United States; reduce America’s  
18 vulnerability to terrorism, natural disasters, and other emergencies; and minimize the damage  
19 and recover from attacks, natural disasters, and other emergencies that do occur.

20  
21 Achieving these homeland security objectives is a challenge requiring bold steps and adjustments  
22 to established structures, processes, and protocols. An important initiative called for in the above  
23 documents is the development and implementation of a *National Response Plan (NRP)*,  
24 predicated on a new *National Incident Management System (NIMS)*, that aligns the patchwork of  
25 Federal special-purpose incident management and emergency response plans into an effective  
26 and efficient structure. The *NRP* and the *NIMS* (published March 1, 2004) together integrate the  
27 capabilities and resources of various governmental jurisdictions, incident management and  
28 emergency response disciplines, nongovernmental organizations, and the private sector into a  
29 cohesive, coordinated, and seamless national framework for domestic incident management.

30  
31 The *NIMS* provides a nationwide template enabling Federal, State, local, and tribal governments,  
32 and private sector and nongovernmental organizations to work together effectively and  
33 efficiently to prevent, prepare for, respond to, and recover from domestic incidents regardless of  
34 cause, size, or complexity. The *NRP*, using the *NIMS*, is an all-hazards plan that provides the  
35 structure and mechanisms for national-level policy and operational direction for domestic  
36 incident management. Consistent with the model provided in the *NIMS*, the *NRP* can be partially  
37 or fully implemented, in the context of a threat, anticipation of a significant event, or in response  
38 to a significant event. Selective implementation through the activation of one or more of the  
39 system’s components allows maximum flexibility in meeting the unique operational and  
40 information sharing requirements of the situation at hand and enabling effective interaction with  
41 various non-Federal entities.

42  
43 The *NRP* incorporates relevant portions of and, upon full implementation, supersedes the  
44 *Federal Response Plan (FRP)*, *U.S. Government Interagency Domestic Terrorism Concept of*  
45 *Operations Plan (CONPLAN)*, *Federal Radiological Emergency Response Plan (FRERP)*, and  
46 the *Initial National Response Plan (INRP)*. The *NRP*, as the core operational plan for national

1 incident management, also establishes national-level coordinating structures, processes, and  
2 protocols that will be incorporated into certain existing Federal interagency incident- or hazard-  
3 specific plans (such as the *National Oil and Hazardous Substances Pollution Contingency Plan*)  
4 designed to implement the specific statutory authorities and responsibilities of various  
5 departments and agencies in particular contingency scenarios. These plans are linked to the *NRP*  
6 in the context of Incidents of National Significance, but remain as stand alone documents in that  
7 they also provide detailed protocols for responding to routine incidents that normally are  
8 managed by Federal agencies without the need for DHS coordination. The *NRP* also  
9 incorporates other existing Federal emergency response and incident management plans (with  
10 appropriate modifications and revisions) as integrated components, operational supplements, or  
11 supporting tactical plans. Further details on *NRP*-supporting plans and documents are included  
12 in section VI.E, page 77.

13  
14 Nothing in this plan alters or impedes the ability of Federal, State, local, or tribal departments  
15 and agencies to carry out their specific authorities or perform their responsibilities under all  
16 applicable laws. Additionally, nothing in this plan is intended to impact or impede the ability of  
17 any Federal department or agency head to take an issue of concern directly to the President, the  
18 Assistant to the President for Homeland Security, the Assistant to the President for National  
19 Security Affairs, or any other member of the President's staff.

#### 20 21 **A. Purpose**

22  
23 The purpose of the *NRP* is to establish a comprehensive, national, all-hazards approach to  
24 domestic incident management across a spectrum of activities including prevention,  
25 preparedness, response, and recovery actions. The *NRP* incorporates best practices and  
26 procedures from various incident management disciplines—homeland security,  
27 emergency management, law enforcement, firefighting, public works, public health,  
28 responder and recovery worker health and safety, and emergency medical services—and  
29 integrates them into a unified coordinating structure. The *NRP* provides the framework  
30 for Federal interaction with State, local, and tribal governments; the private sector; and  
31 nongovernmental organizations in the context of domestic incident prevention,  
32 preparedness, response, and recovery activities. It describes capabilities and resources  
33 and establishes responsibilities, operational processes and protocols to help protect the  
34 Nation from terrorist attacks and other natural and manmade hazards; save lives; protect  
35 public health, safety, property, and the environment; and reduce adverse psychological  
36 consequences and disruptions to the American economy and way of life. Finally, the *NRP*  
37 serves as the foundation for the development of detailed supplemental plans and  
38 procedures to effectively and efficiently implement Federal incident management  
39 activities and assistance.

40  
41 The *NRP*, using the *NIMS*, establishes mechanisms to:

- 42  
43 ■ Maximize the integration of incident-related prevention, preparedness, response, and  
44 recovery activities;
- 45 ■ Improve coordination and integration of Federal, State, local, tribal, regional, private  
46 sector, and nongovernmental organization partners;

- 1       ▪ Maximize efficient utilization of resources needed for effective incident management
- 2       and critical infrastructure protection and restoration;
- 3       ▪ Improve incident management communications and increase situational awareness
- 4       across jurisdictions and between the public and private sectors;
- 5       ▪ Facilitate emergency mutual aid and Federal emergency support to State, local, and
- 6       tribal governments;
- 7       ▪ Facilitate Federal-to-Federal interaction and emergency support;
- 8       ▪ Provide a proactive and integrated Federal response to catastrophic events; and
- 9       ▪ Address linkages to other Federal incident management and emergency response
- 10      plans developed for specific types of incidents or hazards..

## 11       **B. Scope and Applicability**

12       The *NRP* covers the full range of complex and constantly changing requirements in

13       anticipation of or in response to threats or acts of terrorism, major disasters, and other

14       emergencies as defined below. The *NRP* does not specifically address long-term

15       reconstruction and redevelopment.

16       The *NRP* establishes interagency and multi-jurisdictional mechanisms for Federal

17       Government involvement in, and DHS coordination of, domestic incident management

18       operations. This includes coordinating structures and processes for incidents requiring:

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

24       This plan distinguishes between incidents that require DHS coordination, termed

25       Incidents of National Significance, and the majority of incidents occurring each year that

26       are handled by responsible jurisdictions or agencies through other established authorities

27       and existing plans.

28       The *NRP* recognizes and incorporates the various jurisdictional and functional authorities

29       of Federal departments and agencies, State, local, and tribal governments, and private

30       sector organizations in domestic incident management.

31       The *NRP* details the specific domestic incident management roles and responsibilities of

32       the Secretary of Homeland Security, Attorney General, Secretary of Defense, Secretary

33       of State, and other departments and agencies involved in domestic incident management

34       as defined in *HSPD-5* and other relevant statutes and directives. This plan also

35       establishes the multiagency organizational structures and processes required to

36       implement the authorities, roles, and responsibilities of the Secretary of Homeland

37       Security as the “principal Federal official” for domestic incident management.

1 The *NRP* is applicable to all Federal departments and independent agencies that may be  
2 requested to provide assistance in the context of actual or potential Incidents of National  
3 Significance, meaning those high-impact events that require a coordinated and effective  
4 response by an appropriate combination of Federal, State, local, tribal, private sector, and  
5 nongovernmental entities in order to save lives, minimize damage, and provide the basis  
6 for long-term community and economic recovery. The American Red Cross functions as  
7 a Federal agency in coordinating the use of Federal mass care resources in a  
8 Presidentially declared disaster or emergency.

9  
10 The Secretary of Homeland Security provides coordination for Federal operations and/or  
11 resources for Incidents of National Significance, establishes reporting requirements, and  
12 conducts ongoing communications with Federal, State, local, tribal, private sector, and  
13 nongovernmental organizations to maintain situational awareness, analyze threats, assess  
14 national implications of threat and operational response activities, and manage potential  
15 or actual incidents.

16  
17 Incidents of National Significance may include the following:

- 18  
19 1. **Credible threats, indications of imminent terrorism, or acts of terrorism**  
20 domestically against the people, property, environment, or political or legal  
21 institutions of the United States, its territories or possessions;  
22
- 23 2. **Major disasters or emergencies** as defined under *the Robert T. Stafford Disaster*  
24 *Relief and Emergency Assistance Act*, as amended, typically when the resources of  
25 State, local and tribal governments are overwhelmed and Federal assistance has been  
26 requested;  
27
- 28 3. **Catastrophic incidents** (see definition on page *x*); and/or  
29
- 30 4. **Unique situations** that may require *NRP* implementation, including the following:  
31
  - 32 a. When a Federal department or agency acting under its own authority requests the  
33 assistance of the Secretary of Homeland Security to manage non-*Stafford Act*  
34 emergencies such as agricultural, public health, or mass migration events;  
35
  - 36 b. When the Secretary of Homeland Security is directed by the President to assume  
37 responsibility for a domestic incident;  
38
  - 39 c. Events at the discretion of the Secretary of Homeland Security that substantially  
40 involves one or more Federal departments or agencies. These are expected to be  
41 events of high impact and high visibility that require significant multiagency  
42 involvement; and  
43
  - 44 d. High-profile, large-scale events that present high probability targets such as  
45 National Special Security Events (NSSEs) and other special events as determined

1 by the Secretary of Homeland Security that require extensive prevention planning  
2 and readiness preparations to ensure a rapid and coordinated incident response.  
3

#### 4 **C. Incident Management Activities** 5

6 This plan addresses the full spectrum of activities related to domestic incident  
7 management, including prevention, preparedness, response, and recovery actions. The  
8 *NRP* focuses on those activities that are directly related to an evolving incident or  
9 potential incident rather than steady-state preparedness or readiness activities conducted  
10 in the absence of a specific threat or hazard.  
11

12 Additionally, since Incidents of National Significance typically result in impacts far  
13 beyond the immediate or initial incident area, the *NRP* provides a framework to enable  
14 the management of cascading impacts and multiple incidents as well as the prevention of  
15 and preparation for subsequent events. Examples of incident management actions from a  
16 national perspective include:  
17

- 18 ■ Increasing nationwide public awareness;
- 19 ■ Assessing trends that point to potential terrorist activity;
- 20 ■ Elevating the National Homeland Security Advisory System alert condition;
- 21 ■ Increasing countermeasures such as inspections, surveillance, security,  
22 counterintelligence, and infrastructure protection;
- 23 ■ Conducting public health surveillance and testing processes, and issuing  
24 immunizations;
- 25 ■ Coordinating Federal support to State, local, and tribal authorities in the aftermath of  
26 an incident;
- 27 ■ Providing strategies for coordination of Federal resources required to handle  
28 subsequent events; and
- 29 ■ Restoring public confidence after a terrorist attack.  
30

#### 31 **D. Authorities** 32

33 Various Federal statutory authorities and policies provide the basis for Federal actions  
34 and activities in the context of domestic incident management. The *NRP* uses the  
35 foundation provided by the *Homeland Security Act*, *HSPD-5*, and the *Stafford Act* to  
36 provide a comprehensive, all-hazards approach to domestic incident management. It also  
37 establishes the coordinating structures, processes, and protocols required to integrate the  
38 specific statutory and policy authorities of various Federal department and agencies in a  
39 collective framework for action to include prevention, preparedness, response, and  
40 recovery activities. Appendix 3 provides a summary of statutes, executive orders, and  
41 presidential directives that provide additional authority and policy direction relevant to  
42 domestic incident management. The *NRP* may be used in conjunction with other Federal  
43 incident management and emergency operations plans developed under these and other  
44 authorities as well as memoranda of understanding (MOUs) among various Federal  
45 agencies.  
46

## E. Key Concepts

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

1. Systematic and coordinated incident management including protocols for:
  - Coordinated action;
  - Alert and notification;
  - Mobilization of Federal resources to augment existing Federal, State, local, and tribal capabilities;
  - Operating under differing threats or threat levels; and
  - Integration of crisis and consequence management functions.
2. Proactive notification and deployment of Federal resources in anticipation of or in response to catastrophic events in coordination and collaboration with State, local, and tribal governments and private entities when possible.
3. Organizing interagency efforts to minimize damage, restore impacted areas to pre-incident conditions if feasible, and/or implement programs to mitigate vulnerability to future events.
4. Coordinating incident communication, worker safety and health, private sector involvement, and other activities that are common to the majority of incidents (see Support Annexes).
5. Organizing Emergency Support Functions (ESFs) to facilitate the delivery of critical resources, assets, and assistance. Federal departments and agencies are assigned to ESFs based on authorities, resources, and capabilities.
6. Providing mechanisms for vertical and horizontal coordination, communications, and information sharing. These mechanisms facilitate coordination among State, local, and tribal entities and the Federal Government, as well as between the public and private sectors.
7. Facilitating Federal support to Federal departments and agencies acting under their own authorities.
8. Developing detailed supplemental operations, tactical, and hazard-specific contingency plans and procedures.
9. Coordinating interagency and intergovernmental planning, training, exercising, assessment, coordination, and information exchange.

1  
2 **II. Planning Assumptions and Considerations**  
3

- 4 A. Incidents are typically managed at the lowest possible geographic, organizational, and  
5 jurisdictional level.  
6
- 7 B. Incident management activities will be initiated and conducted using the principles  
8 contained in the *NIMS*.  
9
- 10 C. The combined authorities, expertise, and capabilities of government at all levels, the  
11 private sector, and nongovernmental organizations will most likely be required to  
12 manage and direct all actions necessary to prevent, prepare for, respond to, and  
13 recover from Incidents of National Significance.  
14
- 15 D. Actual or potential Incidents of National Significance require the Secretary of  
16 Homeland Security to coordinate operations and/or resources, and may:  
17
- 18 ▪ Occur at any time with little or no warning in the context of a general or specific  
19 threat or hazard;
  - 20 ▪ Require significant information sharing at the unclassified and classified levels  
21 across multiple jurisdictions and between the public and private sectors;
  - 22 ▪ Involve single or multiple geographic areas;
  - 23 ▪ Have significant international impact and/or require significant international  
24 information sharing, resource coordination; and/or assistance;
  - 25 ▪ Span the spectrum of incident management to include prevention, preparedness,  
26 response, and recovery;
  - 27 ▪ Involve multiple, highly varied hazards or threats on a local, regional, or national  
28 scale;
  - 29 ▪ Result in numerous casualties; fatalities; displaced people; property loss;  
30 disruption of normal life-support systems, essential public services, and basic  
31 infrastructure; and significant damage to the environment;
  - 32 ▪ Impact economic and social infrastructures at all levels;
  - 33 ▪ Overwhelm capabilities of State, local, and tribal governments, and private sector  
34 infrastructure owners and operators;
  - 35 ▪ Attract a sizeable influx of independent, spontaneous volunteers and supplies;
  - 36 ▪ Require extremely short-notice Federal asset coordination and response timelines;  
37 and
  - 38 ▪ Require prolonged, sustained incident management operations and support  
39 activities.  
40
- 41 E. Top priorities for incident management are to:  
42
- 43 ▪ Save lives and protect the health and safety of the public, responders, and  
44 recovery workers;
  - 45 ▪ Ensure security of the homeland;
  - 46 ▪ Protect and restore critical infrastructure;

- 1           ▪ When appropriate, conduct law enforcement investigations to resolve the incident,  
2           apprehend the perpetrators, and collect and preserve evidence for prosecution;  
3           ▪ Protect property and mitigate damages and impacts to individuals, communities,  
4           and the environment; and  
5           ▪ Facilitate recovery of individuals, families, businesses, governments, and the  
6           environment.  
7
- 8           F. Departments and agencies at all levels of government and certain nongovernmental  
9           organizations, such as the American Red Cross, must deploy to Incidents of National  
10           Significance on short notice to provide timely and effective mutual aid and/or  
11           intergovernmental assistance.  
12
- 13           G. The degree of Federal involvement in incident operations depends largely upon  
14           specific Federal authority or jurisdiction. Factors that may be considered include:  
15
- 16           ▪ The State, local, or tribal need and/or requests for external support;  
17           ▪ The economic ability of the affected entity to recover from the incident;  
18           ▪ The type or location of the incident; and  
19           ▪ The severity and magnitude of the incident.  
20
- 21           H. Federal departments and agencies support the homeland security mission and are  
22           expected to provide:  
23
- 24           ▪ Initial and/or ongoing response, when warranted, under their own authorities and  
25           funding;  
26           ▪ Alert, notification, pre-positioning, and timely delivery of resources to enable the  
27           management of potential and actual Incidents of National Significance; and  
28           ▪ Proactive support for catastrophic or potentially catastrophic incidents using  
29           protocols for expedited delivery of resources.  
30
- 31           I. For Incidents of National Significance that are Presidentially declared disasters or  
32           emergencies, Federal support to States is delivered in accordance with relevant  
33           provisions of the *Stafford Act* (see Appendix 3, Authorities and References). (Note  
34           that while all Presidentially declared disasters and emergencies under the *Stafford Act*  
35           are considered Incidents of National Significance, not all Incidents of National  
36           Significance necessarily result in disaster declarations under the *Stafford Act*.) Under  
37           provisions of the *Stafford Act*:  
38
- 39           • A Governor may request the President to declare a major disaster or emergency if  
40           the Governor finds that effective response to the an event is beyond the combined  
41           response capabilities of the State and affected local governments. Based on the  
42           findings of a joint Federal-State-Local Preliminary Damage Assessment (PDA)  
43           indicating the damages are of sufficient severity and magnitude to warrant  
44           assistance under the *Act*, the President may grant a major disaster or emergency  
45           declaration. (Note: In a particularly fast-moving or clearly devastating disaster,  
46           the PDA process may be deferred until after the declaration.)

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- If the President determines that an emergency exists where the primary responsibility for response rests with the United States, because the emergency involves an area or facility for which the Federal government exercises exclusive preeminent primary responsibility or and authority, the President may unilaterally direct the provision of assistance under the *Act* and will, if practicable, consult with the Governor of the State.
  - DHS can use limited pre-declaration authorities to move initial response resources (critical goods typically needed in the immediate aftermath of a disaster such as food, water, emergency generators, etc.) closer to a potentially affected area. DHS can also activate essential command, control, and coordination structures to avert or lessen the effects of a disaster or improve the timeliness of response operations. and avert or lessen the effects of an emergency.
  - Federal assistance takes many forms—including the direct provision of goods and services, financial assistance (through insurance, grants, loans, and direct payments), and technical assistance—and can come from various sources.
  - Federal agencies will normally be reimbursed, as appropriate, for actions taken in response to a Presidentially - declared disaster or emergency. In some instances, Federal agencies will be required to use their own authorities and funds, when appropriate, to provide assistance for alleviating damage, loss, hardship, and suffering.
  - In a major disaster or emergency, as defined in the *Stafford Act*, the President “may direct any Federal agency, with or without reimbursement, to utilize its authorities and the resources granted to it under Federal law (including personnel, equipment, supplies, facilities, and managerial, technical, and advisory services) in support of State and local assistance efforts; . . . ” Section 402(a)(1) of the *Stafford Act*, 42 U.S.C. § 5170a(1).
  - In an emergency, as defined in the *Stafford Act*, the President “may “direct any Federal agency, with or without reimbursement, to utilize its authorities and the resources granted to it under Federal law (including personnel, equipment, supplies, facilities, and managerial, technical, and advisory services) in support of State and local assistance efforts to save lives, protect property and public health and safety, and lessen or avert the threat of a catastrophe;” Section 502(a)(1) of the *Stafford Act*, 42 U.S.C. § 5192(a)(1).
  - *Stafford Act* authorities are delegated to the Secretary of Homeland Security by Executive Order 12148, 44 Fed. Reg. 43239 (1979), *as amended by* Exec. Order No. 132862155, Amended by Executive Order 13286, 68 44 Fed. Reg. 53071 10619 (19792003). The Executive Order designates DHS as the lead Federal agency for coordination and direction of Federal disaster relief, emergency assistance, and emergency preparedness. The order also delegates the President’s

1 relief and assistance authority under the *Stafford Act* to the Secretary of Homeland  
2 Security, with the exception of the declaration of a major disaster or emergency.  
3 The Secretary of Homeland Security further delegated the authority under the  
4 *Stafford Act* to the Under Secretary of Emergency Preparedness and Response in  
5 Management Directive 9001.  
6

- 7 J. In an actual or potential Incident of National Significance that is not encompassed by  
8 the *Stafford Act*, the President may instruct a Federal agency, subject to any statutory  
9 limitations on the agency, to utilize the authorities and resources granted to it by  
10 Congress (including personnel, equipment, supplies, and managerial, technical,  
11 information sharing, and advisory services) to initiate incident prevention,  
12 preparedness, response, and recovery activities to include support of State, local, or  
13 tribal assistance requirements using the coordinating structures outlined in this plan.  
14
- 15 K. Federal-to-Federal support refers to the circumstance in which a Federal department  
16 or agency requests Federal resource support under the *NRP* that is not addressed by  
17 the *Stafford Act* or other mechanisms (e.g., Memorandums of Understanding  
18 (MOUs), Memorandums of Agreement (MOAs), etc.). This support:  
19
- 20 ■ Is coordinated by DHS using the multiagency coordination structures established  
21 in the *NRP* and in accordance with the *NIMS*.
  - 22 ■ Generally is funded by the Federal entity with primary responsibility and statutory  
23 authority for the incident according to the guidelines provided in the *Economy*  
24 *Act*, 31 U.S.C. 1535, unless other statutory authorities exist.
  - 25 ■ Is facilitated by the interagency Memorandum of Understanding for Mutual Aid,  
26 and executed at the time of the incident through interagency agreements (see the  
27 Financial Management Annex for more information).
  - 28 ■ May include support to incident operations at sites under the control of the  
29 Legislative or Judicial Branches of the Federal Government.  
30

### 1 **III. Roles and Responsibilities**

2  
3 This section discusses the roles and responsibilities of Federal, State, local, tribal, private sector,  
4 and nongovernmental organizations and citizens involved in support of the *NRP*.

#### 5 6 **A. State, Local, and Tribal Governments**

7  
8 Police, fire, emergency medical, emergency management, public health, public works,  
9 environmental agencies, and other personnel are often the first to arrive and the last to  
10 leave an incident site. In some instances, a Federal agency in the local area may act as a  
11 first responder, and the local assets of Federal agencies may be used to advise or assist  
12 State or local officials in accordance with agency authorities and procedures. Mutual aid  
13 agreements provide mechanisms to mobilize and employ resources from neighboring  
14 jurisdictions to support the incident command.

15  
16 When State resources and capabilities are overwhelmed, Governors may request Federal  
17 assistance under a Presidential disaster or emergency declaration.

18  
19 **1. Governor:** As a State's chief executive, the Governor is responsible for the public  
20 safety and welfare of the people of that State or territory. The Governor:

- 21  
22     ▪ Is responsible for coordinating State resources to address the full spectrum of  
23 actions to prevent, prepare for, respond to, and recover from incidents in an all-  
24 hazards context to include terrorism, natural disasters, accidents, and other  
25 contingencies;
- 26  
27     ▪ Under certain emergency conditions, typically has police powers to make, amend,  
28 and rescind orders and regulations;
- 29  
30     ▪ Provides leadership and plays a key role in communicating to the public and in  
31 helping people, businesses, and organizations cope with the consequences of any  
32 type of declared emergency within State jurisdiction;
- 33  
34     ▪ Encourages participation in mutual aid and implements authorities for the State to  
35 enter into mutual aid agreements with other States, tribes, and territories to  
36 facilitate resource sharing;
- 37  
38     ▪ Is the Commander-in-Chief of State Military Forces (National Guard when in  
39 State Active Duty or Title 32 Status and the authorized State Militias); and
- 40  
41     ▪ Requests Federal assistance when it becomes clear that State or tribal capabilities  
42 will be insufficient or have been exceeded or exhausted.

43  
44 **2. Local Chief Executive Officer:** A mayor, city, or county manager, as a  
45 jurisdiction's chief executive, is responsible for the public safety and welfare of the  
46 people of that jurisdiction. The Local Chief Executive Officer:

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

**3. Tribal Chief Executive Officer:** As a tribe's chief executive, the Tribal Chief Executive Officer is responsible for the public safety and welfare of the people of that tribe. The Tribal Chief Executive Officer may be authorized by tribal government as follows:

- Is responsible for coordinating tribal resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents involving all hazards including terrorism, natural disasters, accidents, and other contingencies;
- Has extraordinary powers to suspend Tribal laws and ordinances, such as to establish a curfew, direct evacuations, and order a quarantine;
- Provides leadership and plays a key role in communicating to the tribal nation, and in helping people, businesses, and organizations cope with the consequences of any type of domestic incident within the jurisdiction;
- Negotiates and enters into mutual aid agreements with other tribes/jurisdictions to facilitate resource sharing;
- Can request State and Federal assistance through the Governor of the State when the tribe's capabilities have been exceeded or exhausted; and
- Can elect to deal directly with the Federal Government. (Although a State Governor must request a Presidential disaster declaration on behalf of a tribe

1 under the *Stafford Act*, Federal agencies can work directly with the tribe within  
2 existing authorities and resources.)  
3

## 4 **B. Federal Government**

### 5 6 **1. Department of Homeland Security (DHS)**

7  
8 The *Homeland Security Act of 2002* established the Department of Homeland  
9 Security to prevent terrorist attacks within the United States; reduce the vulnerability  
10 of the United States to terrorism, natural disasters, and other emergencies; and  
11 minimize the damage and assist in the recovery from terrorist attacks, natural  
12 disasters and other emergencies. Pursuant to this *Act*, the Secretary of Homeland  
13 Security is responsible for coordinating Federal operations within the United States to  
14 prepare for, respond to, and recover from terrorist attacks, major disasters and other  
15 emergencies. *HSPD-5* further designates the Secretary of Homeland Security as the  
16 “principal Federal official” for domestic incident management. In this role, the  
17 Secretary is responsible for coordinating Federal resources utilized in response to or  
18 recovery from terrorist attacks, major disasters or other emergencies if and when any  
19 of the following four conditions applies: (1) a Federal department or agency acting  
20 under its own authority has requested DHS assistance, (2) the resources of State and  
21 local authorities are overwhelmed and Federal assistance has been requested; (3)  
22 more than one Federal department or agency has become substantially involved in  
23 responding to the incident; or (4) the Secretary has been directed to assume incident  
24 management responsibilities by the President.  
25

### 26 **2. Department of Justice (DOJ)**

27  
28 In accordance with *HSPD-5*, the Attorney General has lead responsibility for criminal  
29 investigations of terrorist acts or terrorist threats by individuals or groups inside the  
30 United States, or directed at U.S. citizens or institutions abroad, where such acts are  
31 within the Federal criminal jurisdiction of the United States, as well as for related  
32 intelligence-collection activities within the United states, subject to applicable laws,  
33 executive orders, directives and procedures.  
34

35 Generally acting through the Federal Bureau of Investigation (FBI), the Attorney  
36 General, in cooperation with other Federal departments and agencies engaged in  
37 activities to protect national security, also coordinates the activities of the other  
38 members of the law enforcement community to detect, prevent, preempt, and disrupt  
39 terrorist attacks against the United States. Following a terrorist threat or an actual  
40 incident that falls within the criminal jurisdiction of the United States, the full  
41 capabilities of the United States will be dedicated, consistent with U.S. law and with  
42 activities of other Federal departments and agencies to protect national security, to  
43 assisting the Attorney General in identifying, apprehending, and prosecuting the  
44 perpetrators.  
45  
46

### 3. Department of Defense (DOD)

DOD maintains significant resources that may be available to support the Federal response to an Incident of National Significance. The Secretary of Defense authorizes Defense Support of Civil Authorities (DSCA) for domestic incidents as directed by the President or when consistent with military readiness operations and appropriate under the circumstances and the law. The Secretary of Defense will retain command of military forces under DSCA, as with all other situations and operations.

Concepts of "command" and "unity of command" have distinct legal and cultural meanings for military forces and operations. For military forces, command runs from the President to the Secretary of Defense to the Commander of the combatant command to the commander of the forces. The "Unified Command" concept utilized widely by civil authorities is distinct from the military chain-of-command and, accordingly, does not include DOD forces. As appropriate, the Department will coordinate its response actions with civil authorities utilizing the "Unified Command" concept.

During a Federal response to a domestic incident, the military retains command and operational control over DOD personnel involved in incident response, while functioning in coordination with the senior onsite Federal official. Nothing in this relationship with that onsite Federal official impairs or otherwise affects the legal authority of the Secretary of Defense over the Department of Defense and its personnel, including the chain of command for military forces and military command and control procedures.

### 4. Department of State (DOS)

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

### 5. Other Federal Agencies

During an Incident of National Significance, other Federal departments or agencies may play primary and/or support roles based on their authorities and resources, and the nature of the incident. In situations where a Federal agency has jurisdictional authority and responsibility for directing or managing a major aspect of the response, that agency is part of the national leadership for the incident and participates as a Senior Federal Official (SFO) or Senior Federal Law Enforcement Official (SFLEO) (such as the FBI Special Agent-in-Charge (SAC) for a terrorist event) in the Joint Field Office (JFO) Coordination Group at the field level, and as part of the Interagency Incident Management Group (IIMG) at the national level (see section IV.D, page 27). Some Federal agencies with jurisdictional authority and responsibility may also participate in the Unified Command at the Incident Command Post (ICP).

1  
2 *HSPD-5* directs the heads of all Federal departments and agencies to “provide their  
3 full cooperation, resources and support, as appropriate with their own  
4 responsibilities” to support the Secretary of Homeland Security, the Attorney  
5 General, and the Secretary of State. These departments and agencies participate in  
6 the *NRP* acting in accordance with their own authorities, and through the Homeland  
7 Security Operations Center (HSOC), the IIMG, and the ESF structure as coordinators,  
8 primary agencies, and/or support agencies and/or as required for law enforcement or  
9 homeland security efforts.

10  
11 Several Federal agencies have independent authorities to declare disasters or  
12 emergencies. These authorities may be exercised concurrently with or become part of  
13 a major disaster or emergency declared under the *Stafford Act*. Some examples of  
14 agencies exercising independent authorities include the following scenarios:

- 15  
16 ■ The Secretary of Agriculture may declare a disaster in certain situations in which  
17 a county sustained production loss of 30 percent or greater in a single major  
18 enterprise, authorizing emergency loans for physical damages and crop loss.
- 19  
20 ■ The Administrator of the U.S. Small Business Administration may make a  
21 disaster declaration based on physical damage to buildings, machinery,  
22 equipment, inventory, homes, and other property as well as economic injury.
- 23  
24 ■ The Secretary of Commerce may make a declaration of a commercial fisheries  
25 failure or fishery resources disaster.
- 26  
27 ■ The Secretary of Health and Human Services may declare a public health  
28 emergency.
- 29  
30 ■ The U.S. Army Corps of Engineers (USACE) is a public engineering organization  
31 within DOD providing engineering support and services to DOD activities around  
32 the globe as well as to the nation’s Civil Works flood protection and navigation  
33 infrastructure. The USACE Chief of Engineers may make a disaster declaration  
34 in response to flooding and coastal storms in accordance with 33 U.S.C. § 701n  
35 (Public Law 84-99) authorizing USACE to undertake emergency activities  
36 including disaster preparation, advance measures, emergency operations,  
37 rehabilitation of flood control works and protection or repair of Federal shore  
38 protective works, emergency water due to drought or contaminated source,  
39 emergency dredging, and flood-related rescue operations.

40  
41 The ESF, Support, and Incident Annexes provide further discussion of the roles and  
42 responsibilities of other Federal agencies.

## 6. Emergency Support Functions

The *NRP* applies a functional approach that groups the capabilities of Federal departments and agencies into Emergency Support Functions to provide the planning, support, resources, program implementation, and emergency services that are most likely to be needed during Incidents of National Significance. The Federal response to actual or potential Incidents of National Significance is typically provided through the full or partial activation of the ESF structure as necessary.

The ESFs serve as the coordination mechanism to provide assistance to State, local, and tribal governments or to Federal departments and agencies conducting missions of primary Federal responsibility. ESFs may be activated for both *Stafford Act* and non-*Stafford Act* incidents where Federal departments or agencies request DHS assistance or under other circumstances as defined in *HSPD-5*, paragraph (4). Funding for Federal-to-Federal support normally is provided by the requesting agency. The ESFs provide staffing for the National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), Joint Field Office (JFO), and Incident Command Post as required by the situation at hand.

Each ESF is composed of primary and support agencies. The *NRP* identifies primary agencies on the basis of authorities, resources, and capabilities. Support agencies are assigned based on resources and capabilities in a given functional area. The resources provided by the ESFs reflect the resource typing categories identified in the *NIMS*. The scope of each ESF is summarized in Figure 2. ESFs are expected to support one another in carrying out their respective roles and responsibilities. In cases where required assistance is outside the scope of any particular ESF, DHS, in the context of a *Stafford Act* emergency, may request another Federal agency to bring its resources to bear on a reimbursable basis. For a non-*Stafford Act* emergency, this authority resides with the President and may be directed on a non-reimbursable basis, subject to any statutory limitations on the agency. Additional discussion on roles and responsibilities of ESF Coordinators, primary agencies, and support agencies can be found in the introduction to the ESF Annexes.

Note that not all Incidents of National Significance result in the activation of ESFs. It is possible that an Incident of National Significance can be adequately addressed by DHS and other Federal agencies through activation of certain NRP elements (e.g., PFO, IIMG) without the activation of ESFs.

FIGURE 2.—*Emergency Support Functions*

ESF	SCOPE
ESF #1 – Transportation	<ul style="list-style-type: none"> <li>▪ Federal and civil transportation support</li> <li>▪ Transportation safety</li> <li>▪ Restoration/recovery of transportation infrastructure</li> <li>▪ Movement restrictions</li> </ul>
ESF #2 – Telecommunications and Information Technology	<ul style="list-style-type: none"> <li>▪ Coordination with telecommunication industry</li> <li>▪ Restoration/repair of telecommunication network</li> <li>▪ Protect, restore, and sustain national cyber and information technology resources</li> </ul>
ESF #3 – Public Works and Engineering	<ul style="list-style-type: none"> <li>▪ Infrastructure protection and emergency repair</li> <li>▪ Infrastructure restoration</li> <li>▪ Engineering services, construction management</li> <li>▪ Critical infrastructure liaison</li> </ul>
ESF #4 – Firefighting	<ul style="list-style-type: none"> <li>▪ Firefighting activities on Federal lands</li> <li>▪ Resource support to rural and urban firefighting operations</li> </ul>
ESF #5 – Emergency Management	<ul style="list-style-type: none"> <li>▪ Information collection, analysis, and dissemination</li> <li>▪ Reports, bulletins, advisories, and assessments</li> <li>▪ Action planning and tracking</li> <li>▪ Resource tracking</li> <li>▪ Science and technology support (modeling, information provision and interpretation)</li> </ul>
ESF #6 – Mass Care, Housing, and Human Services	<ul style="list-style-type: none"> <li>▪ Mass care</li> <li>▪ Disaster housing</li> <li>▪ Human services</li> </ul>
ESF #7 – Resource Support	<ul style="list-style-type: none"> <li>▪ Resource support</li> <li>▪ Logistics</li> </ul>
ESF #8 – Public Health and Medical Services	<ul style="list-style-type: none"> <li>▪ Public health</li> <li>▪ Medical</li> <li>▪ Mental health services</li> <li>▪ Mortuary services</li> </ul>
ESF #9 – Urban Search and Rescue	<ul style="list-style-type: none"> <li>▪ Life saving assistance</li> <li>▪ Urban search and rescue</li> </ul>
ESF #10 – Oil and Hazardous Materials Response	<ul style="list-style-type: none"> <li>▪ Oil and hazardous materials (hazardous substances, chemical, radiological, etc.) response</li> <li>▪ Environmental safety and short- and long-term cleanup</li> </ul>
ESF #11 – Agriculture and Natural Resources	<ul style="list-style-type: none"> <li>▪ Nutritional services</li> <li>▪ Agricultural production</li> <li>▪ Animal health</li> <li>▪ Natural resource protection and restoration</li> </ul>
ESF #12 – Energy	<ul style="list-style-type: none"> <li>▪ Energy system assessment, repair and restoration</li> <li>▪ Energy industry utilities coordination</li> <li>▪ Energy forecast</li> </ul>
ESF #13 – Public Safety and Security	<ul style="list-style-type: none"> <li>▪ Operational and personnel security</li> <li>▪ Liaison between criminal investigation and response/recovery ops</li> <li>▪ Inspector General activities</li> </ul>
ESF #14 – Economic Stabilization, Community Recovery, and Mitigation	<ul style="list-style-type: none"> <li>▪ Economic impact assessment</li> <li>▪ Long-term community recovery assistance to States, local governments, and the private sector to address impacts</li> <li>▪ Mitigation analysis and program implementation</li> </ul>
ESF #15 – Emergency Public Information and External Communications	<ul style="list-style-type: none"> <li>▪ Emergency public information and protective action guidance</li> <li>▪ Media and community relations</li> <li>▪ Congressional and International affairs</li> <li>▪ Tribal and insular affairs</li> </ul>

### C. Nongovernmental and Volunteer Organizations

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

The National Voluntary Organizations Active in Disaster (NVOAD) is an umbrella organization of established and experienced voluntary organizations that provide disaster services. Such entities provide significant capabilities to incident management and response efforts at all levels. For example, the wildlife rescue and rehabilitation activities conducted during a pollution emergency are often carried out by private, nonprofit organizations working with natural resource trustee agencies.

### D. Private Sector

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

**1. Roles:** The role, responsibilities, and participation of the private sector during Incidents of National Significance vary based on the nature of the organization and the type and impact of the incident. Private sector organizations may be involved as:

- An Impacted Organization or Infrastructure: Private sector organizations may be affected by direct or indirect consequences of the incident, including privately owned critical infrastructure and those main private sector organizations that are significant to local, regional, and national economic recovery from the incident. Examples of privately owned infrastructure include transportation, telecommunications, private utilities, hospitals, educational institutions, and other services of a government nature.
- A Response Resource: Private sector organizations provide response resources (donated or compensated) during an incident—including specialized teams, equipment, and advanced technologies—through local public-private emergency plans, mutual aid agreements or incident-specific requests from government and private sector-volunteered initiatives.

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- A Regulated and/or Responsible Party: Owners/operators of certain regulated facilities or hazardous operations may bear responsibilities under the law for preparing for and preventing incidents from occurring, and responding to an incident once it occurs. For example, Federal regulations require owners/operators of Nuclear Regulatory Commission (NRC)-regulated nuclear facilities and activities to maintain emergency (incident) preparedness plans, procedures, and facilities and to perform assessments, prompt notifications, and training for a response to an incident.
  - A Member of the State Emergency Organization: Private sector organizations may serve as an active partner in local and state emergency preparedness and response organizations and activities.

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

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

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3. **Response Resources:** Unless the response role is inherently governmental (e.g., law enforcement, etc.), private sector organizations are encouraged to develop and maintain capabilities to respond to and manage a complete spectrum of incidents and emergencies. The Federal Government maintains ongoing interaction with the critical infrastructure industries to provide coordination for prevention, preparedness, response, and recovery activities. When practical, or when required under Federal law, private sector representatives should be included in planning and exercises. The government may, in some cases, direct private-sector response resources when they have contractual relationships, using government funds. The government also retains its full authorities to oversee and exert command and control as appropriate over impacted infrastructure. Through the *Defense Production Act* and the *Homeland Security Act*, DHS has the authority to redirect production and distribution of certain response and incident management resources.
4. **Functional Coordination:** The primary agency(ies) for each ESF maintains working relations with its associated private sector counterparts through

1 partnership committees or other means (e.g., ESF #2, Telecommunications and  
2 Information Technology – telecommunications industry; ESF #10, Oil and  
3 Hazardous Materials Response – oil and hazardous materials industry; etc.).  
4

#### 5 **E. Citizen Involvement**

6

7 Strong partnerships with citizen groups and organizations provide support for incident  
8 management preparedness, prevention, response, recovery, and mitigation. The U.S.  
9 Citizen Corps brings these groups together and focuses efforts of individuals through  
10 education, training, and volunteer service to help make communities safer, stronger, and  
11 better prepared to address the threats of terrorism, crime, public health issues, and  
12 disasters of all kinds.  
13

14 The Citizen Corps works through a national network of State, local, and Tribal Citizen  
15 Corps Councils, which bring together leaders from law enforcement, fire, emergency  
16 medical and other emergency management, volunteer organizations, local elected  
17 officials, the private sector, and other community stakeholders.  
18

19 Local Citizen Corps Councils implement Citizen Corps programs, which include  
20 Community Emergency Response Teams (CERTs), Medical Reserve Corps,  
21 Neighborhood Watch, Volunteers in Police Service, Coordinated National Animal Health  
22 Response Corps (NAHERC), and the affiliate programs; provide opportunities for special  
23 skills and interests; develop targeted outreach for special needs groups; and organize  
24 special projects and community events. Citizen Corps Affiliate Programs expand the  
25 resources and materials available to States and local communities by partnering with  
26 programs and organizations that offer resources for public education, outreach, and  
27 training; represent volunteers interested in helping to make their communities safer; or  
28 offer volunteer service opportunities to support first responders, disaster relief activities,  
29 and community safety efforts.  
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## 1 IV. Concept of Operations

### 2 3 A. General

4  
5 This section describes the Federal coordinating structures, processes, and protocols  
6 employed to manage Incidents of National Significance. These coordinating  
7 structures and processes are designed to enable execution of the responsibilities of the  
8 President through the appropriate Federal departments and agencies, and to integrate  
9 Federal, State, local, tribal, nongovernmental organization and private sector efforts  
10 to ensure a comprehensive national approach to domestic incident management.

11  
12 A basic premise of the *NRP* is that incidents are generally handled at the lowest  
13 jurisdictional level possible. Police, fire, emergency medical, emergency  
14 management, public health, and other personnel are responsible for incident  
15 management at the local level. In some instances, a Federal agency in the local area  
16 may act as a first responder and may provide direction or assistance consistent with  
17 its specific statutory authorities and responsibilities. In the vast majority of incidents,  
18 State and local resources and interstate mutual aid normally provide the first line of  
19 emergency response and incident management support. When an incident or potential  
20 incident is of such severity, magnitude, and/or complexity that it is considered an  
21 Incident of National Significance, according to the criteria established in this plan, the  
22 Secretary of Homeland Security, in coordination with other Federal departments and  
23 agencies, initiates actions to prevent, prepare for, respond to, and recover from the  
24 incident. These actions are taken in conjunction with State, local, tribal and private-  
25 sector entities as appropriate to the threat or incident. In the context of *Stafford Act*  
26 disasters or emergencies, DHS coordinates supplemental Federal assistance when the  
27 consequences of the incident exceed State, local, or tribal capabilities.

28  
29 During actual or potential Incidents of National Significance, the overall coordination  
30 of Federal incident management activities is executed through the Secretary of  
31 Homeland Security. Other Federal departments and agencies carry out their incident  
32 management and emergency response authorities and responsibilities within this  
33 overall coordinating framework. The Secretary of Homeland Security utilizes  
34 multiagency structures at the headquarters, regional, and field levels to coordinate  
35 efforts and provide appropriate support to the incident command structure. At the  
36 Federal headquarters level, incident information sharing, operational planning, and  
37 deployment of Federal resources is coordinated by the HSOC (Operational  
38 Information and Intelligence Branch and the NRCC). Strategic-level interagency  
39 incident management coordination and course of action development and  
40 implementation are facilitated by the IIMG, which also serves as an advisory body to  
41 the Secretary of Homeland Security. Issues beyond the Secretary's authority to  
42 resolve are referred to the appropriate Homeland Security Council and/or National  
43 Security Council entity for resolution (e.g. Counterterrorism Security Group,  
44 Deputies Committee, Principals Committee). At the regional level, interagency  
45 resource coordination and multiagency incident support is provided by the RRCC. In  
46 the field, the Secretary of Homeland Security is represented by the Principal Federal

1 Official (PFO) (or the Federal Coordinating Officer (FCO)/Federal Resource  
2 Coordinator (FRC) as appropriate). Overall Federal support to the incident command  
3 structure on-scene is coordinated through the JFO.  
4

5 For terrorist incidents, the President's responsibilities for coordinating and conducting  
6 law enforcement and criminal investigation activities are executed by the Attorney  
7 General acting through the FBI. During a terrorist incident, the local FBI SAC  
8 coordinates these activities with other members of the law enforcement community,  
9 and works in conjunction with the PFO who coordinates overall Federal incident  
10 management activities at the local level.  
11

12 The framework created by these coordinating structures is designed to accommodate  
13 the various roles the Federal Government plays during an incident, whether it is  
14 Federal support to (and in coordination with) State, local, or tribal authorities;  
15 Federal-to-Federal support; or direct implementation of Federal incident management  
16 authorities and responsibilities when appropriate under Federal law. This structure  
17 also encompasses the dual roles and responsibilities of the Secretary of Homeland  
18 Security for operational and/or resource coordination in the context of domestic  
19 incident management.  
20

## 21 **B. Concurrent Implementation of Other Plans** 22

23 The *NRP* is the core plan for managing domestic incidents and details the Federal  
24 coordinating structures and processes used during Incidents of National Significance.  
25 Other supplemental agency and interagency plans provide details on authorities,  
26 response protocols, and technical guidance for responding to and managing specific  
27 contingency situations (such as hazardous materials spills, wildland fires, etc.). In  
28 many cases, Federal agencies manage localized incidents under these plans using  
29 their own authorities without the need for coordination by the Secretary of Homeland  
30 Security. In the context of Incidents of National Significance, these supplemental  
31 agency or interagency plans may be implemented concurrently with the *NRP*, but are  
32 subordinated to the overarching core coordinating structures, processes, and protocols  
33 detailed in the *NRP*. In this case, the department or agency with primary  
34 responsibility for execution of the supplemental agency or interagency plan is also  
35 responsible for insuring that all ongoing activities conform to the processes and  
36 protocols prescribed in the *NRP*. This helps enable effective and coordinated Federal  
37 incident management operations, consistent with individual department and agency  
38 authorities and responsibilities. Similarly, this same principle applies to the  
39 implementation of security plans developed to support special security events,  
40 particularly NSSes. A comprehensive listing and summary of representative national  
41 agency and interagency plans is included in Appendix 4.  
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### C. Organizational Structure

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

As illustrated in Figure 3, the local incident command structures (namely the ICP(s) and Area Command) are responsible for directing on-scene emergency management and maintaining command and control of on-scene incident operations. The support and coordination components consist of multiagency coordination centers/emergency operations centers (EOCs), and multiagency coordination entities. Multiagency coordination centers/EOCs provide central locations for operational information sharing and resource coordination in support of on-scene efforts. The multiagency coordination entities aid in establishing priorities among the incidents and associated resource allocations, resolving agency policy conflicts, and providing strategic guidance to support incident management activities. In accordance with NIMS processes, resource and policy issues are addressed at the lowest organizational level practicable. If the issues cannot be resolved at that level, then they are forwarded up to the next level for resolution.

Reflecting the *NIMS* construct, the *NRP* integrates the ICS/Unified Command on-scene (the Incident Command Post(s)), an Area Command (if needed), a JFO (which is the multiagency entity responsible for coordinating Federal assistance and incident management operations locally), the IIMG (which serves as the headquarters-level multiagency coordination entity for domestic incident management operations), and the Homeland Security Council (HSC)/National Security Council (NSC) (which serve as the headquarters-level multiagency coordination entities for policy adjudication and direction for those issues outside the authority of the Secretary of Homeland Security).

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

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



FIGURE 4.—Structure for NRP coordination: Terrorist incident

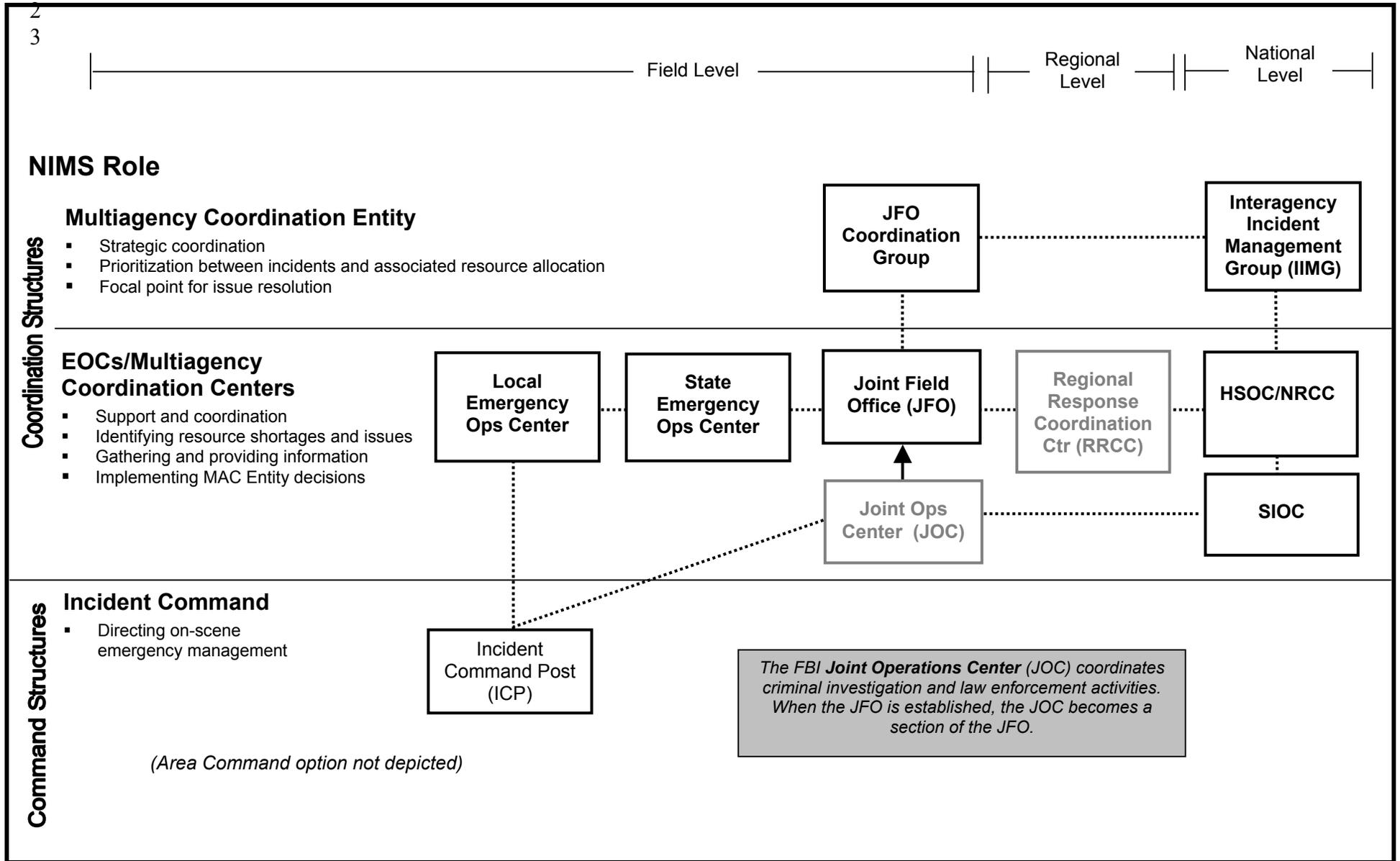
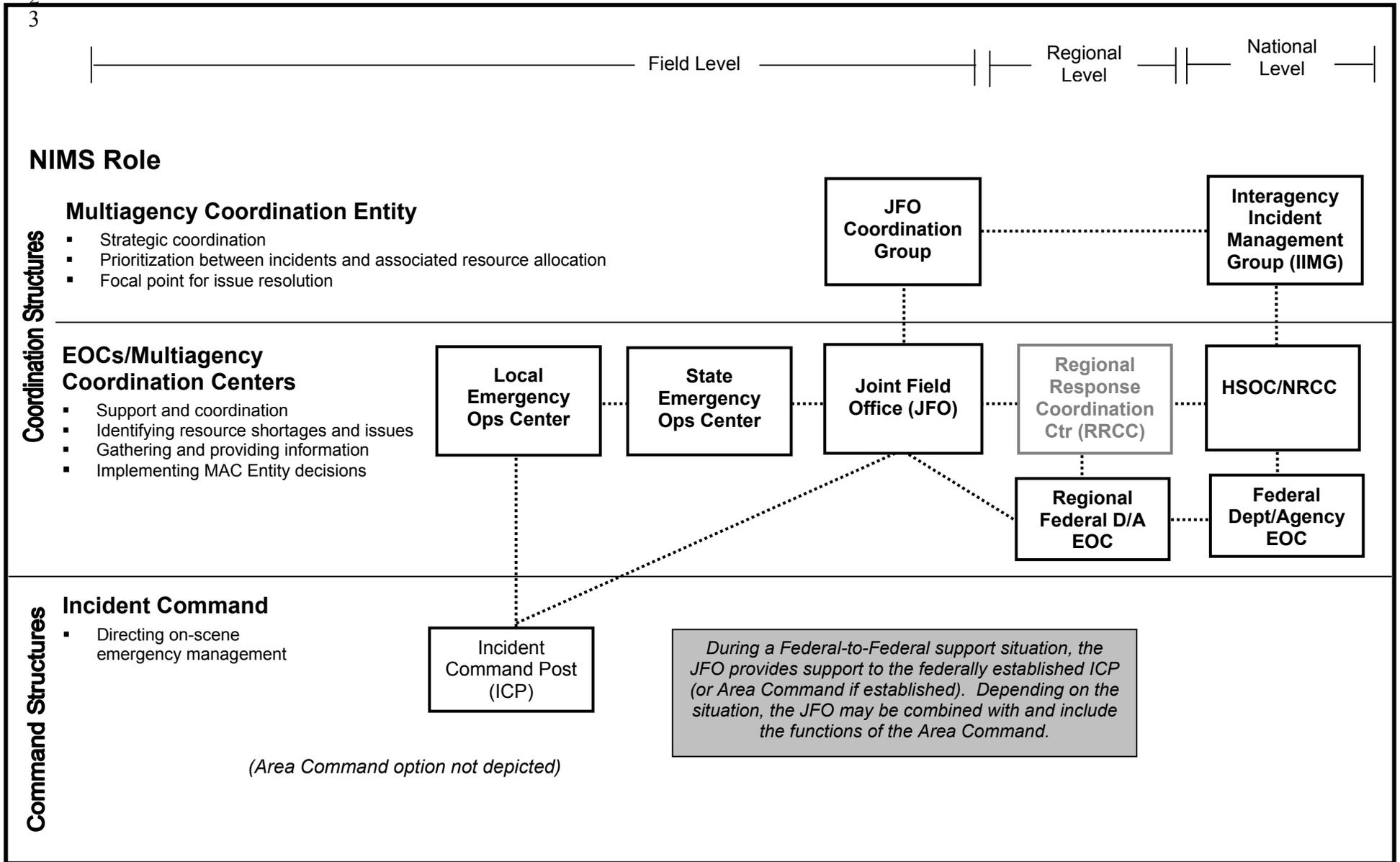


FIGURE 5.—Structure for NRP coordination: Federal-to-Federal support



1 The role of regional coordinating structures varies depending on the situation.  
2 Many incidents may be coordinated by regional structures primarily using  
3 regional assets. Larger, more complex incidents may require direct  
4 coordination between the JFO and national level, with regional structures  
5 continuing to play a supporting role.  
6

#### 7 **D. Principal *NRP* Organizational Elements**

8  
9 This section discusses the major organizational elements in the structure for  
10 Federal *NRP* coordination diagramed in Figures 3 through 5. Included in the  
11 discussion are special teams and other associated components.  
12

##### 13 **1. Homeland Security Council/National Security Council (HSC/NSC):**

14 As stated in *HSPD-5*, the Assistant to the President for Homeland Security  
15 is responsible for interagency policy coordination regarding domestic  
16 incident management, as directed by the President. Following an initial  
17 assessment by the Secretary of Homeland Security, interagency policy  
18 issues and courses of action framed by the IIMG, particularly those of a  
19 time-sensitive or those outside the authorities of the Secretary, are  
20 considered for resolution by the Counterterrorism Security Group (CSG),  
21 HSC/NSC Deputies, or HSC/NSC Principals Committees. The Assistant  
22 to the President for Homeland Security coordinates course of action  
23 selection and policy resolution with the Assistant to the President for  
24 National Security Affairs regarding domestic incidents with international  
25 implications, including those which may have been conducted, in part or  
26 whole, by international terrorist organizations or other foreign powers.

27 **2. Counterterrorism Security Group (CSG):** The CSG, coordinates, on  
28 behalf of the NSC/HSC Deputies Committee, counterterrorism issues and  
29 reviews ongoing crisis operations concerning foreign terrorism and  
30 domestic terrorism with significant foreign involvement. The CSG is an  
31 assistant secretary-level entity with principal membership from the  
32 following departments/agencies: DHS, DOD, DOS, DOJ, Treasury, CIA,  
33 FBI, and the Office of the Vice President. Additional agencies or entities  
34 may participate at the direction of the Deputy National Security Advisor  
35 for Combating Terrorism when additional expertise is required. The CSG  
36 is convened at the request of any member agency on an emergency basis  
37 based on a threat, Incident of National Significance, or a counterterrorism  
38 policy issue of an urgent nature. The CSG is the initial coordination point  
39 for the President for all matters related to terrorism.  
40

41 **3. Interagency Incident Management Group (IIMG):** The IIMG is a  
42 headquarters-level multiagency coordination entity that facilitates Federal  
43 domestic incident management for Incidents of National Significance.  
44 The Secretary of Homeland Security activates the IIMG based on the  
45 nature, severity, magnitude, and complexity of the threat or incident. The  
46 IIMG is comprised of senior representatives from DHS components, other

1 Federal departments and agencies, and nongovernmental organizations, as  
2 required. (For incident-specific activities, the IIMG replaces the  
3 Catastrophic Disaster Response Group that served as the policy-level  
4 multiagency coordination group under the *FRP*.)  
5

6 The IIMG membership is flexible and can be tailored or task-organized to  
7 provide the appropriate subject-matter expertise required for the specific  
8 threat or incident at hand. When activated, the IIMG:  
9

- 10 ■ Serves as a focal point for Federal strategic incident management  
11 planning and coordination;
- 12 ■ Maintains situational awareness of threat assessments and ongoing  
13 incident-related operations and activities;
- 14 ■ Provides decisionmaking support for threat or incident-related  
15 prevention, preparedness, response, and recovery efforts;
- 16 ■ Synthesizes information, frames issues, and makes recommendations  
17 to the Secretary of Homeland Security and other appropriate Federal  
18 officials on:
  - 19 – Actions to take in response to credible threats,
  - 20 – Changes in the National Homeland Security Advisory System alert  
21 level,
  - 22 – Policy issues,
  - 23 – Operational courses of action, and
  - 24 – Priorities for the use or allocation of Federal resources;
- 25 ■ Provides policy coordination and recommendations for the application  
26 of Federal resources in cooperation with existing agency and  
27 interagency resource management and private sector entities;
- 28 ■ Assesses national impacts of the incident(s) as well as those associated  
29 with the actual or proposed Federal response;
- 30 ■ Anticipates evolving Federal resource and operational requirements  
31 according to the specifics of the situation at hand;
- 32 ■ Maintains ongoing coordination with the PFO and the JFO  
33 Coordination Group; and
- 34 ■ Facilitates interagency coordination and coordination with other public  
35 and private entities required for implementation of decisions and  
36 directions from the President, HSC/NSC, or CSG.  
37

38 The IIMG Director, deputy or designee participates in CSG meetings for  
39 all incidents related to terrorism. Regarding matters related to terrorism,  
40 the IIMG Director coordinates with and provides information to the CSG  
41 including, but not limited to: situational awareness; operational  
42 prevention, protection, preparedness, response, and recovery activities, as  
43 well as policy course of action recommendations pertaining to a terrorism  
44 incident. If the CSG is deferred to a meeting of the HSC/NSC Deputies or  
45 Principals, the IIMG provides similar information to these entities. Policy  
46 decisions resulting from HSC/NSC Deputies or Principals meetings or

1 CSG meetings are referred to the IIMG and the appropriate departments  
 2 and agencies for implementation. The IIMG conducts general oversight of  
 3 policy and operational courses of action implemented by individual  
 4 departments and agencies, monitor progress, and report status back to the  
 5 HSC/NSC/ CSG on a timely basis. The IIMG reports to the HSC/NSC  
 6 Deputies or Principals Committees for domestic incidents that do not have  
 7 a terrorism nexus.

8  
 9 The IIMG consists of an Executive Staff, Core Group, and Subject-Matter  
 10 Expert Augmentation.

- 11  
 12 **a. Executive Staff:** The Executive Staff includes a Director, Deputy  
 13 Director, Operations Deputy, Information Analyst, Information  
 14 Requirements Manager, Recorder, Situation Briefer, Resource  
 15 Tracker, and Administrative Assistant. The Secretary of Homeland  
 16 Security will designate a senior department representative to serve as  
 17 the IIMG Director. The Deputy Director is a designated member of  
 18 the DHS Headquarters Integration staff. The Operations Deputy is a  
 19 member of the permanent staff of the HSOC.  
 20  
 21 **b. IIMG Core Group:** The IIMG Core Group includes representatives  
 22 from Federal departments and agencies and DHS component  
 23 organizations. Affected States may be represented on the IIMG either  
 24 through the DHS Office of State and Local Coordination and  
 25 Preparedness or, if needed, through a State liaison to the IIMG. At  
 26 the time of activation of the IIMG, actual IIMG membership and  
 27 participation is tailored to include departments and agencies with the  
 28 appropriate jurisdictional authority and expertise for the incident at  
 29 hand, including the following scenarios: chemical, biological,  
 30 radiological, or nuclear event, non-WMD terrorist event, cyber event,  
 31 oil/hazardous materials spill, natural disaster, mass migration event,  
 32 and other emergencies as required. IIMG processes and protocols will  
 33 be further detailed in operating procedures to be developed and  
 34 published by the Secretary of Homeland Security.  
 35

36 ***IIMG Core Group Staffing***

37 Department of Agriculture (USDA)  
 38 Department of Commerce (DOC)  
 39 Department of Defense (DOD)  
 40 Department of Energy (DOE)  
 41 Department of Health and Human Services (HHS)  
 42 Department of Homeland Security (DHS)  
 43 Border and Transportation Security (BTS)  
 44 Citizenship and Immigration Services (CIS)  
 45 Customs and Border Protection (CBP)  
 46 Immigration and Customs Enforcement (ICE)  
 47 Congressional Liaison

1 Emergency Preparedness and Response (EPR)  
 2 Information Analysis and Infrastructure Protection (IAIP)  
 3 International Affairs Office (IO)  
 4 Legislative Affairs (LA)  
 5 Office of General Council (OGC)  
 6 Office of National Capital Region Coordination (ONCRC)  
 7 Office of State and Local Government Coordination and  
 8 Preparedness (SLGCP)  
 9 Public Affairs (PA)  
 10 Special Assistant to the Secretary for the Private Sector  
 11 Science and Technology (S&T)  
 12 U.S. Coast Guard (USCG)  
 13 U.S. Secret Service (USSS)  
 14 Department of Housing and Urban Development (HUD)  
 15 Department of the Interior (DOI)  
 16 Department of Justice (DOJ)  
 17 Department of Labor (DOL)  
 18 Department of State (DOS)  
 19 Department of Transportation (DOT)  
 20 Department of Treasury  
 21 Department of Veterans Affairs (DVA)  
 22 Environmental Protection Agency (EPA)  
 23 Federal Bureau of Investigation (FBI)  
 24 General Services Administration (GSA)  
 25 National Aeronautics and Space Administration  
 26 Nuclear Regulatory Commission (NRC)  
 27 U.S. Postal Service (USPS)  
 28 White House Office of Science and Technology Policy (OSTP)  
 29 American Red Cross

30  
 31 **c. Subject-Matter Expert Augmentation:** In addition to the Executive  
 32 Staff and Core Group, the IIMG integrates immediately available and  
 33 on-call operational subject-matter expertise and reach-back capability  
 34 to meet the demands of the particular incident. For some responses,  
 35 pre-established subject-matter expert groups may exist as part of ESF  
 36 or Incident Annex planning efforts, and may be able to provide  
 37 appropriate technical advice subject matter expertise. For example, for  
 38 incidents involving hazardous materials, the National Response Team  
 39 (NRT) can provide assistance to the IIMG.

40  
 41 Procedures governing the designation, activation, recall, assembly, and  
 42 operational interaction of IIMG members, as well as procedures  
 43 governing the interaction of the IIMG with other Federal, state, and  
 44 local incident management entities, will be developed in concert with  
 45 other Federal departments and agencies and published by the Secretary  
 46 of Homeland Security in a separate document.

47  
 48 **4. Homeland Security Operations Center (HSOC):** The HSOC is the  
 49 primary national-level hub for operational communications, information,

1 and resource coordination pertaining to domestic incident management.  
2 As diagramed in Figure 6, the HSOC is comprised of two branches: the  
3 Operational Information and Intelligence Branch, managed by DHS/IAIP,  
4 and the Response Management Branch which includes the NRCC,  
5 managed by DHS/EPR/FEMA.  
6

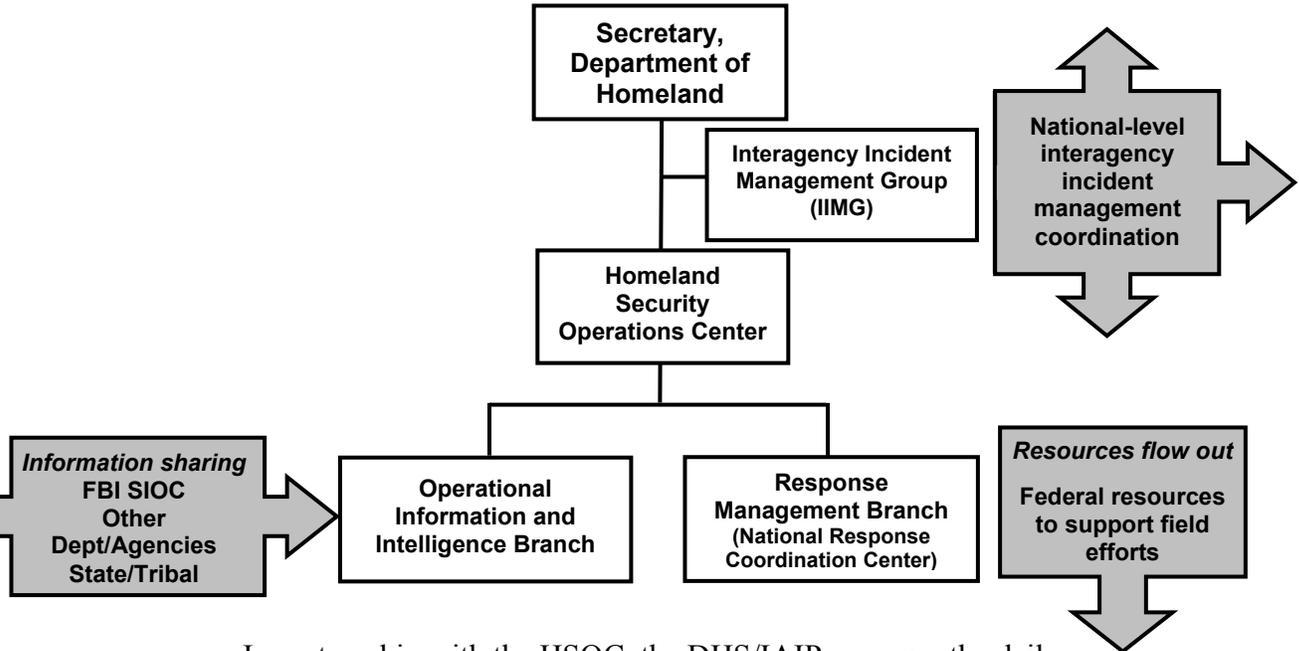
7 **a. Operational Information and Intelligence Branch:** The Operational  
8 Information and Intelligence Branch is a standing 24-hour interagency  
9 body fusing law enforcement, national intelligence, and emergency  
10 response reporting for situational awareness, incident monitoring, and  
11 incident management coordination and facilitation. Through this  
12 branch, the HSOC integrates daily incident reporting, intelligence, and  
13 other pertinent information, and maintains daily threat monitoring and  
14 situational awareness. The Operational Information and Intelligence  
15 Branch facilitates homeland security information-sharing and  
16 operational coordination with other Federal, State, local, tribal, and  
17 nongovernment EOCs.  
18

19 The Operational Information and Intelligence Branch maintains close  
20 communications with the FBI's CounterTerrorism Watch, a  
21 component of the FBI SIOC, regarding terrorist threats. This branch  
22 also facilitates department and agency efforts to further assess,  
23 prevent, or respond to threats and potential and actual incidents.  
24

25 The Operational Information and Intelligence Branch plays a critical  
26 role during the early stages of an incident by receiving reports and  
27 notifications, monitoring evolving threats, and conducting initial  
28 situational assessments. The Operational Information and Intelligence  
29 Branch conducts the following activities:  
30

- 31 ■ Disseminating or coordinating the dissemination of homeland  
32 security threat warnings, advisory bulletins, and other information  
33 pertinent to national incident management;
- 34 ■ Coordinating with the Terrorist Threat Integration Center (TTIC),  
35 Terrorist Screening Center, FBI, and other Federal Government  
36 entities for terrorism-related threat analysis and warning;
- 37 ■ Coordinating operational information with other Department and  
38 agency operations centers;
- 39 ■ Providing general situational awareness and support to and acting  
40 upon requests for information generated by the IIMG; and
- 41 ■ Establishing and maintaining real-time communications links to  
42 other Federal emergency operations centers at the national level, as  
43 well as appropriate state, regional and nongovernmental  
44 emergency operations centers and incident management officials  
45 and relevant elements of the private sector.  
46  
47

FIGURE 6.—*HSOC–IIMG Coordination*



In partnership with the HSOC, the DHS/IAIP manages the daily analysis of incident-related reports and information. This management includes maintaining communications with private-sector critical infrastructure Information Sharing and Analysis Centers (ISACs). Such communications includes conducting daily polling of the standing ISACs for incidents and abnormalities by the National Infrastructure Coordinating Center (NICC). The NICC monitors the Nation’s critical infrastructure on an ongoing basis. In the event of a disaster or incident, the NICC provides a coordinating vehicle to share information through the ISACs across sectors.

The HSOC Operational Information and Intelligence Branch includes representatives from DHS and other Federal departments and agencies as required to support steady state threat-monitoring requirements and situational awareness, as well as domestic incident management activities. The organizational structure of the HSOC is designed to integrate a full spectrum of interagency subject matter expertise and reach-back capability to meet the demands of a wide range of potential incident scenarios. Procedures governing the operational interaction of HSOC representatives, as well as interaction between the HSOC and other emergency operations centers at the Federal, state, local, and tribal levels will be developed and coordinated collaboratively with other affected departments and agencies and published in a separate document. DHS will develop, publish, and disseminate revisions to these operational procedures as required.

HSOC membership includes representatives from:

- Central Intelligence Agency (CIA)
- Department of Agriculture (USDA)\*
- Department of Defense (DOD), Assistant Secretary for Homeland Defense
- Defense Intelligence Agency (DIA)
- National Security Agency (NSA)
- National Imagery and Mapping Agency (NIMA)
- Department of Energy (DOE)
- Department of Health and Human Services (HHS)
- Department of Homeland Security (DHS)
  - Customs and Border Protection (CBP)
  - Customs and Immigration Enforcement (ICE)
  - Emergency Preparedness and Response (EPR)
  - Federal Protective Service (FPS)
  - Information Analysis and Infrastructure Protection (IAIP)
  - Office of the National Capital Region Coordinator (ONCRC)
  - Office of State and Local Government Coordination and Preparedness (SLGCP)
  - Public Affairs (PA)
  - Science and Technology (S&T)
  - United States Coast Guard (USCG)
  - Transportation Security Administration (TSA)
  - United States Secret Service (USSS)
- Department of Interior (DOI)
- Drug Enforcement Administration (DEA)
- Federal Bureau of Investigation (FBI)
- Department of Labor (DOL)\*
- Department of State (DOS)
- Department of Transportation (DOT)\*
  - Federal Aviation Administration (FAA)\*
- Department of Veterans Affairs (DVA)
- Environmental Protection Agency (EPA)
- United States Postal Service

\* Staffing from these entities is situation dependent

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

DHS component entity operations centers established to support day-to-day operational activities and incident management responsibilities as defined in existing plans continue to function in accordance with those plans. DHS component operations centers establish and maintain direct connectivity, or capability for connectivity, with the HSOC on a 24/7 basis and keep the HSOC apprised of all operational activities conducted in support of incident management requirements.

1  
2 Nothing in this plan impacts or impedes the ability of other Federal  
3 departments and agencies to establish their own emergency operations  
4 centers and maintain a direct flow of information to these operations  
5 centers from government or private sector representatives at the local  
6 incident site.

7  
8 Nothing in this plan impacts or impedes the ability of the Federal  
9 Bureau of Investigation to develop and disseminate FBI intelligence  
10 bulletins and threat warnings to law enforcement.

11  
12 **b. Response Management Branch (National Response Coordination**  
13 **Center):** The Response Management Branch, through the NRCC, is a  
14 component of the HSOC and serves as the headquarters-level hub for  
15 interagency coordination and tracking of Federal resources and  
16 emergency management program implementation. The NRCC is an  
17 interagency center managed by DHS/EPR/FEMA and comprised of  
18 representatives from activated ESF primary and support agencies. The  
19 NRCC is designed to surge staffing as required and, absent such surge  
20 conditions, operates at a nominal maintenance level reacting to  
21 incidents in coordination with the Operational Information and  
22 Intelligence Branch. The NRCC resolves Federal resource support  
23 conflicts forwarded by the JFO as well as other implementation  
24 issues. The NRCC uses the DHS/EPR/FEMA chain of command to  
25 refer policy-level issues and other unresolved conflicts to the IIMG.  
26 (Under the *FRP*, the NRCC was referred to as the Emergency Support  
27 Team (EST) or the National Interagency Emergency Operations  
28 Center (NIEOC).)

29  
30 The NRCC provides overall resource coordination for single incidents  
31 as well as concurrent multistate incident management requirements.  
32 During an incident, ESF primary and support agencies designate staff  
33 to deploy to the NRCC and/or coordinate response support activities  
34 from their respective EOCs. DHS/EPR/FEMA provides staff for  
35 support functions not filled by ESF personnel. The DHS/EPR/FEMA  
36 Operations Center supports the NRCC with a 24-hour watch and  
37 provides notification to departments and agencies on the activation (or  
38 potential activation) of ESFs.

39  
40 **5. Strategic Information and Operations Center (SIOC):** The FBI SIOC  
41 is the focal point for intelligence, law enforcement, and investigative law  
42 enforcement activities related to domestic terrorist incidents or credible  
43 threats thereof. The SIOC serves as an information clearinghouse to help  
44 collect, process, vet, and disseminate information relevant to law  
45 enforcement and criminal investigation efforts in a timely manner. The  
46 SIOC maintains direct connectivity with the HSOC. The SIOC, located at

1 FBI Headquarters, supports the FBI's mission in leading efforts of the law  
2 enforcement community to detect, prevent, preempt, and disrupt terrorist  
3 attacks against the United States.

4  
5 The SIOC houses the National Joint Terrorism Task Force (NJTTF). The  
6 mission of the NJTTF is to enhance communications, coordination, and  
7 cooperation among Federal, State, and local agencies representing the  
8 intelligence, law enforcement, defense, diplomatic, public safety, and  
9 homeland security communities by providing a point of fusion for  
10 terrorism intelligence and by supporting Joint Terrorism Task Forces  
11 (JTTFs) throughout the United States.

12  
13 **6. Terrorist Threat Integration Center (TTIC):** The TTIC serves as the  
14 national hub for terrorism-related analysis, collecting information from all  
15 members of the U.S. Government's intelligence community. The TTIC  
16 integrates terrorist-related information collected domestically and abroad  
17 in order to form the most comprehensive threat picture possible. In order  
18 to carry out its responsibilities effectively, the TTIC has access to all  
19 intelligence information—from raw reports to finished analytic  
20 assessments—available to the U.S. Government.

21  
22 **7. Emergency Support Functions:** The ESF structure provides a modular  
23 structure to energize the precise components that can best address the  
24 requirements of the incident. For example, a large-scale natural disaster or  
25 massive terrorist event may require the activation of all ESFs. A localized  
26 flood or tornado might only require activation of a select number of ESFs.  
27 Based on the requirements of the incident, ESFs provide the interagency  
28 staff to support operations of the NRCC, the RRCC, and the JFO.  
29 Depending on the incident, deployed assets of the ESFs may also  
30 participate in the staffing of the Incident Command Post.

31  
32 Under the *NRP*, each ESF is structured to provide optimal support of  
33 evolving incident management requirements. ESFs may be activated for  
34 *Stafford Act* and non-*Stafford Act* implementation of the *NRP*. Funding  
35 for non-*Stafford Act* situations will vary based on the incident. ESF  
36 activities and involvement vary throughout the incident from high-  
37 visibility, high-intensity activities during the early response, to program  
38 implementation and management during recovery, to a stage of declining  
39 requirements and deactivation as ESFs or ESF components complete their  
40 missions.

41  
42 **8. Regional Coordination:** Some Incidents of National Significance may be  
43 managed primarily using regional resources, with headquarters-level  
44 monitoring. In large-magnitude, high-visibility, and/or sensitive  
45 situations, the JFO coordinates directly with the headquarters-level HSOC

1 and IIMG. In these situations, regional organizational elements remain in  
2 support roles.

3  
4 The RRCC is a standing facility operated by DHS/EPR/FEMA that is  
5 activated to coordinate regional response efforts, establish Federal  
6 priorities, and implement local Federal program support until a JFO is  
7 established in the field and/or the PFO, FCO, or FRC can assume their  
8 NRP coordination responsibilities. The RRCC establishes communications  
9 with the affected State emergency management agency and the NRCC,  
10 coordinates deployment of the Emergency Response Team–Advance  
11 Element (ERT-A) to field locations, assesses damage information,  
12 develops situation reports, and issues initial mission assignments. The  
13 DHS/EPR/FEMA Regional Director activates the RRCC based on the  
14 level of response required. The RRCC is led by an RRCC Director and  
15 includes DHS/EPR/FEMA staff and regional ESF representatives. The  
16 RRCC may also include a DOD Regional Emergency Preparedness  
17 Liaison Officer (REPLO) who assists in coordination of requests for  
18 defense support. Financial management activity at the RRCC is  
19 monitored and reported by the Comptroller. (The RRCC replaces the  
20 Regional Operations Center (ROC) in the *FRP*).

- 21  
22 **9. Joint Field Office (JFO):** The JFO is a temporary Federal facility  
23 established to coordinate Federal assistance to affected jurisdiction(s)  
24 during Incidents of National Significance. The JFO is a multiagency  
25 coordination center that provides a central point for Federal, State, local,  
26 tribal, nongovernmental and private sector organizations with primary  
27 responsibility for incident oversight, direction, and/or assistance. The JFO  
28 enables the effective and efficient coordination of Federal incident-related  
29 prevention, preparedness, response, and recovery actions.

30  
31 The JFO utilizes the scalable organizational structure of the *NIMS* ICS.  
32 The JFO organization adapts to the magnitude and complexity of the  
33 situation at hand, and incorporates the *NIMS* principles regarding span of  
34 control and organizational structure: command, operations, planning,  
35 logistics, and finance/administration. Although the JFO uses an ICS  
36 structure, the JFO does not manage on-scene operations. Instead, the JFO  
37 focuses on providing support to on-scene efforts and conducting broader  
38 support operations that may extend beyond the incident site. As described  
39 in the *NIMS*, the JFO may also incorporate a sixth element focused on  
40 information and intelligence. This element may be included as a unit  
41 within the Planning Section, as a position in the Coordination Staff, or as a  
42 function within the Law Enforcement Investigative Operations Section.  
43 Personnel from Federal departments and agencies, other jurisdictional  
44 entities, and private sector and nongovernmental organizations provide  
45 staffing for the JFO, generally through their respective ESFs.

46

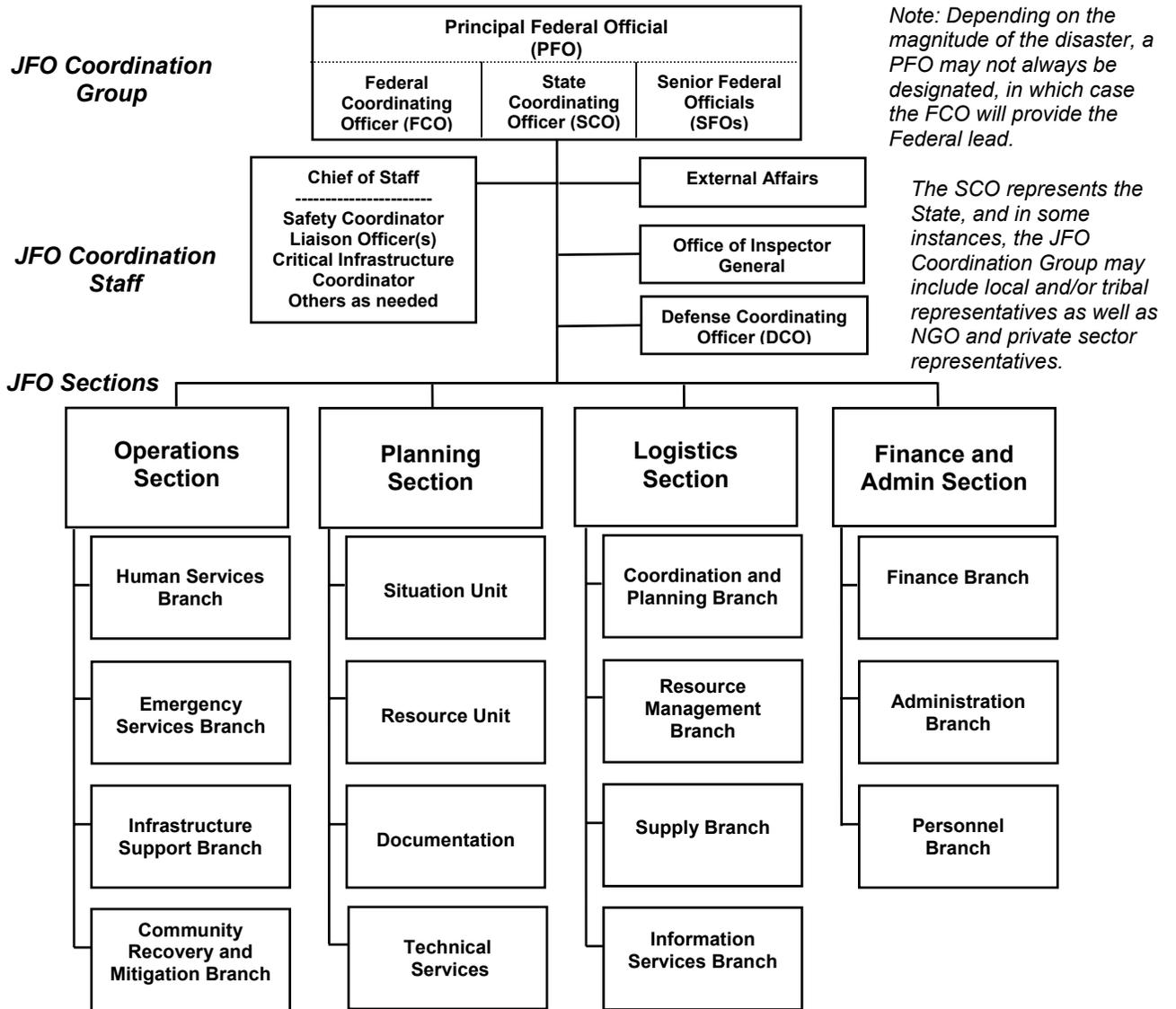
1 The JFO fully replaces the DHS/EPR/FEMA Disaster Field Office (DFO),  
2 and accommodates all entities (or their designated representatives)  
3 essential to incident management (across the domains of prevention,  
4 preparedness, response, and recovery) and the delivery of disaster  
5 assistance and other support.

- 6     ▪ When activated for a terrorist event, the JFO coordinates the  
7       functions of the FBI JOC and DHS/EPR/FEMA response and  
8       recovery operations within one Federal facility when possible.
- 9     ▪ When activated to support a NSSE or other security coordination  
10      function, the DHS/USSS Multiagency Command Center (MACC)  
11      also is collocated with the JFO when possible.
- 12    ▪ Other Federal operations centers will collocate with the JFO  
13      whenever possible. In the event that collocation is not practical,  
14      Federal agencies will be connected virtually to the JFO and will  
15      assign liaisons to the JFO to facilitate the coordination of Federal  
16      incident management and assistance efforts.
- 17    ▪ State, local, tribal, private sector, and nongovernmental  
18      organizations are encouraged to assign liaisons to the JFO as well  
19      to facilitate interaction, communication, and coordination.
- 20    ▪ FBI investigative law enforcement activities are managed through  
21      the JOC, which becomes an integrated operational component of  
22      the JFO during terrorist incidents.

23  
24 Threat situations or incidents that impact multiple States or localities may  
25 require separate JFOs. In these situations, one of the JFOs may be  
26 identified (typically in the most heavily impacted area) to provide  
27 leadership and coordination for the overall incident management effort.

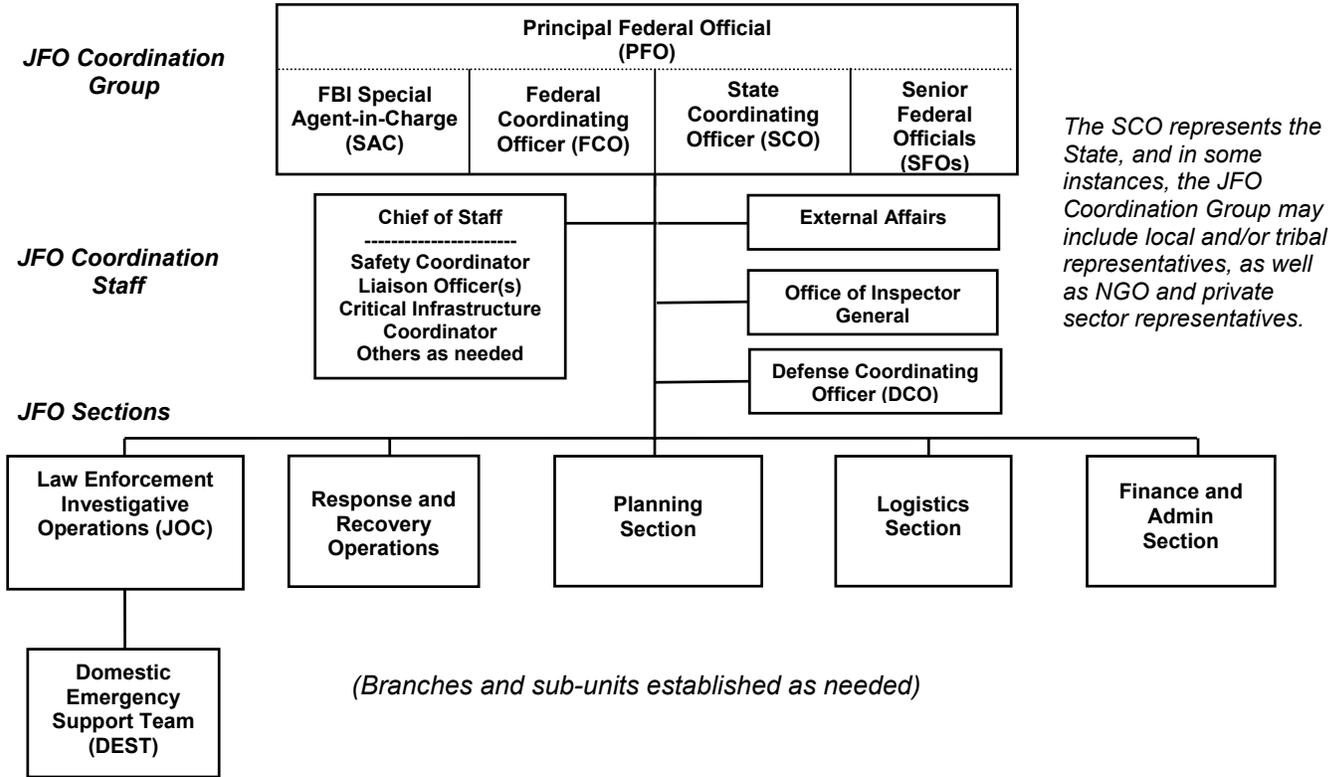
28  
29 Figures 7 through 10 illustrate possible JFO organizational structures for  
30 various types of threat scenarios and incidents. Figure 7 illustrates the  
31 organization for natural disasters, Figure 8 shows modifications for  
32 terrorism, Figure 9 shows modifications for incidents involving Federal-  
33 to-Federal support, and Figure 10 depicts the JFO organization for a  
34 NSSE.  
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FIGURE 7.—JFO organization during natural disasters



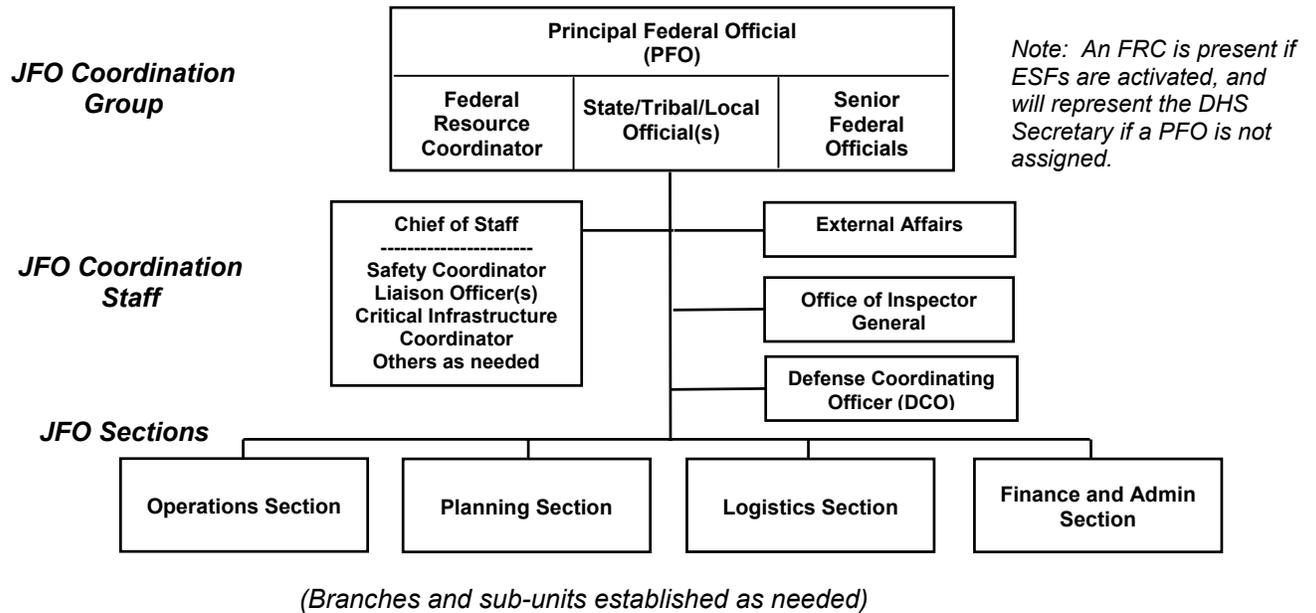
For terrorist threats or incidents, the establishment of the FBI JOC may precede the establishment of the other components of the JFO in time and may constitute the initial Federal coordinating presence on scene. With the establishment of a JFO, the JOC is incorporated as an Operations Section (as shown in Figure 8) with appropriate consideration given to the compartmentalization of sensitive law enforcement and investigative information within this structure. Utilizing the flexibility of NIMS, this JFO structure aids in the protection of sensitive information while fully integrating law enforcement operations with other incident management activities, as appropriate. In terrorism incidents, the SFLEO will be a FBI SAC.

FIGURE 8.—*JFO organization for terrorist incidents*



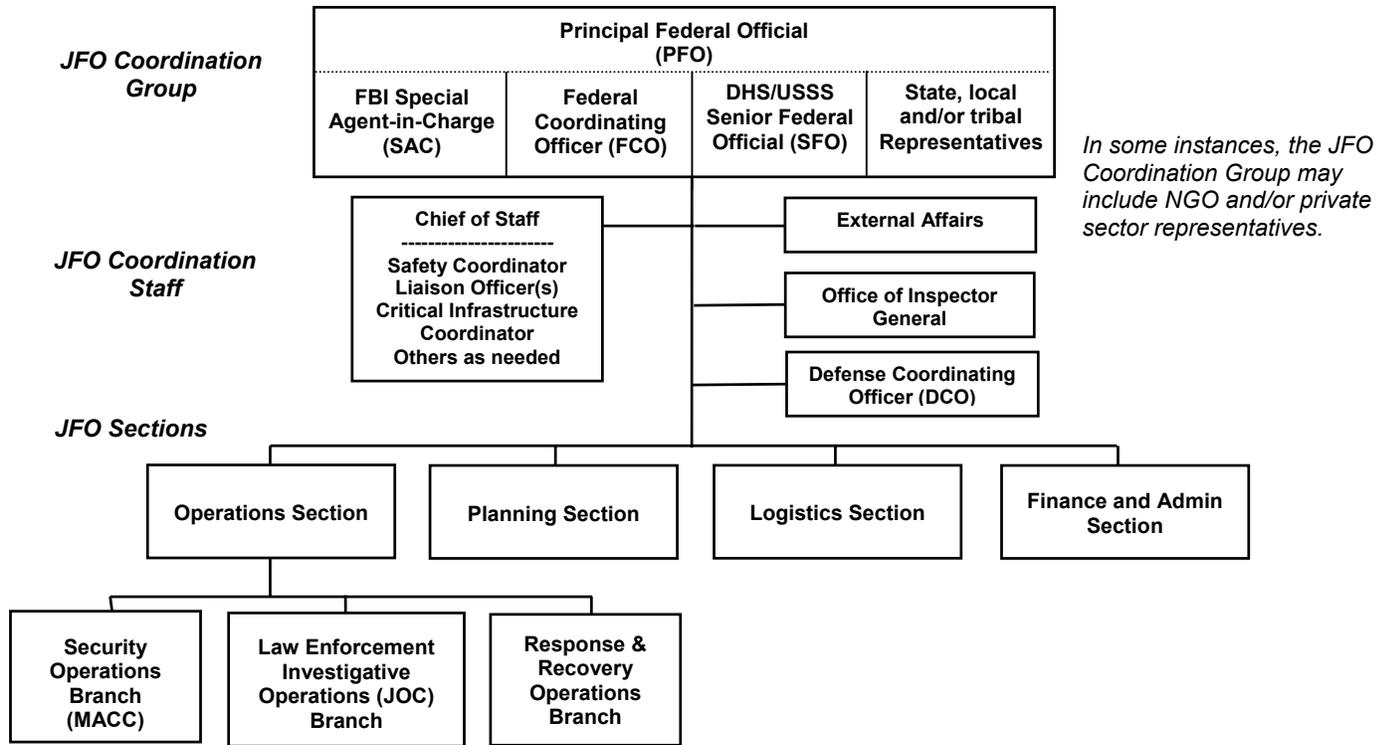
Other situations for which a JFO may be established include incidents managed by one or more Federal agencies that request DHS assistance or events that escalate to Incidents of National Significance, such as an oil spill escalating to a Spill of National Significance. Again, the JFO organization is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

FIGURE 9.—*JFO organization for Federal-to-Federal Support*



Presidential Decision Directive 62 (PDD 62) established a process by which events of national and international significance may be designated as National Special Security Events (NSSEs). Designated by the DHS Secretary, these events include the summits of world leaders, meetings of international organizations, national political party conventions, major national or international sporting events, which by virtue of their political, economic, social, or religious significance, may be targets of terrorism or other criminal activity. For NSSEs, the DHS/USSS has primary responsibility for security design, planning and implementation; FBI has primary responsibility for law enforcement, intelligence, hostage rescue, counterterrorism and criminal investigation; and DHS/EPR/FEMA has primary responsibility for emergency response and recovery planning and coordination. These agencies work together under the principles of Unified Command, with a pre-designated PFO facilitating interagency incident management coordination during NSSE planning and execution. For these situations, the JFO combines the functions of the DHS/USSS Multiagency Command Center (MACC), the FBI JOC, and the traditional DFO, as illustrated in Figure 10.

FIGURE 10.—JFO organization for National Special Security Events



(Branches and sub-units established as needed)

The JFO organization includes the following components:

- a. **JFO Coordination Group:** Utilizing the *NIMS* principle of Unified Command, JFO activities are directed by a JFO Coordination Group, which may include the PFO, SFLEO, FCO/FRC, or other SFOs with primary jurisdictional responsibility or functional authority for the incident. The JFO Coordination Group also includes a limited number of principal State, local, and tribal officials (such as the SCO), as well as NGO and private sector representatives. The JFO Coordination Group functions as a multiagency coordination entity and works jointly to establish priorities among the incidents and associated resource allocations, resolve agency policy issues, and provide strategic guidance to support Federal incident management activities. The exact composition of the JFO is dependent on the nature and magnitude of the incident, and generally includes the following personnel:

1                   **(1) Principal Federal Official (PFO):** The PFO is personally  
2                   designated by the Secretary of Homeland Security to facilitate  
3                   Federal support to the established ICS Unified Command structure  
4                   and coordinate overall Federal incident management and assistance  
5                   activities across the spectrum of prevention, preparedness,  
6                   response, and recovery. The PFO ensures that incident  
7                   management efforts are maximized through effective and efficient  
8                   coordination. The PFO provides a primary point of contact and  
9                   situational awareness locally for the Secretary of Homeland  
10                  Security.

11  
12                  The PFO does not direct or replace the incident command structure  
13                  established at the incident, nor does the PFO have directive  
14                  authority over the SAC, FCO, or other Federal and State officials.  
15                  Other Federal incident management officials retain their authorities  
16                  as defined in existing statutes and directives. The PFO coordinates  
17                  and integrates the functions of the SAC, FCO, and other Federal  
18                  officials involved in incident management activities acting under  
19                  their own authorities. The PFO also provides a channel for media,  
20                  public communications, interface with appropriate jurisdictional  
21                  officials pertaining to the incident. Once formally designated,  
22                  PFOs relinquish the conduct of all normal duties and functions.  
23                  PFOs may not be “dual-hatted” with any other roles or  
24                  responsibilities that could detract from their overall incident  
25                  management responsibilities.

26  
27                  Specific roles and responsibilities of the PFO include the  
28                  following:

- 29
- 30                  ▪ Representing the Secretary of Homeland Security as the lead  
31                  Federal official;
  - 32                  ▪ Ensuring overall coordination of Federal domestic incident  
33                  management and resource allocation activities;
  - 34                  ▪ Ensuring the seamless integration of Federal activities in  
35                  support of and in coordination with State, local, and tribal  
36                  requirements;
  - 37                  ▪ Providing strategic guidance to Federal entities;
  - 38                  ▪ Facilitating interagency conflict resolution as necessary;
  - 39                  ▪ Serving as a primary, although not exclusive, point of contact  
40                  for Federal interface with State, local, and tribal senior  
41                  elected/appointed officials, the media, and the private sector;
  - 42                  ▪ Providing real-time incident information to the Secretary of  
43                  Homeland Security through the HSOC and the IIMG, as  
44                  required;

- 1           ▪ Coordinating response resource needs between multiple
- 2           incidents as necessary, or as directed by the Secretary of
- 3           Homeland Security;
- 4           ▪ Coordinating the overall Federal public communications
- 5           strategy locally to ensure consistency of Federal interagency
- 6           communications to the public;
- 7           ▪ Ensuring that adequate connectivity is maintained between the
- 8           JFO and the HSOC; local, county, State, and regional EOCs;
- 9           nongovernmental EOCs; and relevant elements of the private
- 10          sector; and
- 11          ▪ Participating in ongoing steady-state preparedness efforts (as
- 12          appropriate for pre-designated PFOs).
- 13

14           The Secretary may designate a local Federal official as an “initial

15           PFO” to act in an interim capacity until the primary PFO is in

16           place. The initial PFO will be accountable for the same

17           responsibilities as the PFO. In certain scenarios, a PFO may be

18           pre-designated by the Secretary of Homeland Security to facilitate

19           Federal domestic incident planning and coordination at the local

20           level. A PFO also may be pre-designated for a specific geographic

21           area based on threat and other considerations. The PFO may hand

22           off the Federal lead to the FCO or another designated Federal on-

23           scene coordinator as appropriate after an event moves into long-

24           term recovery and/or cleanup operations.

25

26           The Secretary of Homeland Security will announce the designation

27           of the PFO via a message from the HSOC to other Federal, state,

28           and local emergency operations centers, as well as through a letter

29           to the Governor/Mayor of the affected jurisdiction(s).

30

31           The PFO and a small staff component may deploy with the

32           Domestic Emergency Support Team (DEST) to to facilitate their

33           timely arrival and enhance initial situational awareness. The PFO

34           and supporting staff will conform to the deployment timelines and

35           other guidelines established in DEST procedures, including, but

36           not limited to, those outlined in the Memorandum of

37           Understanding between DHS and FBI regarding the DEST

38           program. Nothing in the *NRP* alters the existing DEST concept of

39           operation or affects the mission of the DEST to support law

40           enforcement operations at the scene of a weapons of mass

41           destruction (WMD) threat or incident.

42

43           The Secretary of Homeland Security will establish a formal training

44           program for PFO designates. Unless extenuating circumstances

45           dictate otherwise, all PFOs should satisfactorily complete this

46           training program prior to performing PFO-related responsibilities.

1  
2  
3 **(2) Federal Coordinating Officer (FCO):** The FCO manages  
4 Federal resource support activities related to *Stafford Act* disasters  
5 and emergencies. The FCO has the authority under the *Stafford*  
6 *Act* to request and/or direct Federal agencies to utilize authorities  
7 and resources granted to it under Federal law (including personnel,  
8 equipment, supplies, and managerial, technical, and advisory  
9 services) in support of State and local assistance efforts.

10 The FCO assists the Unified Command and/or the Area Command.  
11 The FCO works closely with the PFO, SFLEO, and other SFOs. In  
12 *Stafford Act* situations where a PFO has not been assigned, the  
13 FCO provides overall coordination for the Federal components of  
14 the JFO and works in partnership with the SCO to determine and  
15 satisfy State and local assistance requirements. Roles and  
16 responsibilities of the FCO include the following:

- 17
- 18 ■ Conducting an initial appraisal of the types of assistance most
- 19 urgently needed;
- 20 ■ Coordinating the timely delivery of Federal assistance to
- 21 affected State, local, and tribal governments and disaster
- 22 victims;
- 23 ■ Supporting the PFO, when designated;
- 24 ■ When delegated from the DHS/EPR/FEMA Regional Director,
- 25 serving as Disaster Recovery Manager (DRM) to administer
- 26 the financial aspects of assistance authorized under the *Stafford*
- 27 *Act*;
- 28 ■ Working in partnership with the SCO (appointed by the
- 29 Governor to oversee operations for the State) and the
- 30 Governor's Authorized Representative (GAR) (empowered by
- 31 the Governor to execute all necessary documents for Federal
- 32 assistance on behalf of the State); and
- 33 ■ Taking other such action consistent with the authority
- 34 delegated to him/her as deemed necessary to assist local
- 35 citizens and public officials in promptly obtaining assistance to
- 36 which they are entitled.
- 37

38 **(3) Federal Resource Coordinator (FRC):** The FRC manages  
39 Federal resource support activities related to non-*Stafford Act*  
40 Incidents of National Significance when Federal-to-Federal  
41 support is requested from DHS. In non-*Stafford Act* situations  
42 when a Federal department or agency acting under its own  
43 authority has requested the assistance of the Secretary of  
44 Homeland Security in obtaining support from other Federal  
45 departments and agencies, DHS designates an FRC to coordinate  
46 Federal assistance. In these situations, the FRC coordinates

1 support from other Federal departments and agencies using  
2 interagency agreements and memoranda of understanding rather  
3 than the mission assignment process used for *Stafford Act* disasters  
4 and emergencies. Relying on the same skill set, DHS will select  
5 the FRC from the FCO cadre. The FRC is responsible for  
6 coordinating the timely delivery of resources to the requesting  
7 agency.

8  
9 **(4) Senior Federal Law Enforcement Official (SFLEO):** The  
10 SFLEO is the senior law enforcement official from the agency with  
11 primary jurisdictional responsibility as directed by statute,  
12 Presidential directive, existing Federal policies, and/or the  
13 Attorney General. The SFLEO directs intelligence/investigative  
14 law enforcement operations related to the incident and supports the  
15 law enforcement component of the Unified Command on-scene.  
16 In the event of a terrorist incident, this official will normally be the  
17 FBI SAC.

18  
19 **(5) State/Local/Tribal Official(s):** The JFO Coordination Group  
20 must include State representatives, such as the SCO, who serves as  
21 the State counterpart to the FCO and manages the State's incident  
22 management programs, and the GAR, who represents the Governor  
23 of the impacted State. The JFO Coordination Group may also  
24 include local area representatives with primary statutory authority  
25 for incident management.

26  
27 **(6) Senior Federal Officials (SFOs):** The JFO Coordination Group  
28 may also include other Federal department or agency officials  
29 representing agencies with primary statutory responsibility for  
30 incident management. SFOs utilize existing authorities, expertise,  
31 and capabilities to assist in management of the incident working in  
32 coordination with the PFO, FCO, SFLEO, and other members of  
33 the JFO Coordination Group.

34  
35 **(7) Responsible/Regulated Party:** If the source of the incident is a  
36 privately owned facility or vessel, the JFO Coordination Group  
37 may also include a representative of the owners/operators of the  
38 facility.

39  
40 The JFO Coordination Group provides strategic guidance and  
41 resolution of any conflicts in priorities for allocation of critical Federal  
42 resources. If policy issue resolution cannot be achieved between these  
43 parties, issues can be raised to the IIMG or through the appropriate  
44 agency chain of command for consideration by higher authorities.  
45 Unresolved resource issues are forwarded to the NRCC, then to the  
46 IIMG if further deliberation is required.

1  
2 **b. JFO Coordination Staff**  
3

4 **(1) Chief of Staff and Support Staff:** The JFO Coordination Staff  
5 may include a Chief of Staff and representatives providing  
6 specialized assistance, which may include support in the following  
7 areas: safety, legal counsel, equal rights, security, liaisons and  
8 critical infrastructure coordination.

- 9
- 10 ▪ The **Safety Coordinator** has two roles: safety of JFO  
11 personnel and coordination of safety-related issues for the  
12 incident in support of the Safety Officer(s) at the ICP(s). The  
13 Safety Coordinator may have a staff of safety and health  
14 professionals from organizations involved in the response.  
15 (See the Worker Safety and Health Support Annex for  
16 additional information.)
  - 17 ▪ **Legal Affairs** serves as the primary legal advisor to the JFO  
18 Coordination Group and may also work with each section chief  
19 to support programmatic, logistical, and personnel matters as  
20 required.
  - 21 ▪ The **Equal Rights Officer** serves to promote a discrimination-  
22 free work place and equal access to recovery programs and  
23 benefits.
  - 24 ▪ The **Security Officer** is responsible for safeguarding JFO  
25 personnel and JFO facility security.
  - 26 ▪ **Liaisons** serve as the point of contact for assisting and  
27 coordinating activities with various agencies and groups, and  
28 are assigned as needed.
  - 29 ▪ The **Critical Infrastructure Coordinator**, designated by  
30 DHS/IAIP, serves as the principal advisor to the JFO  
31 Coordination Group regarding all national- and regional-level  
32 Critical Infrastructure Sectors/Key Resource (CI/KR) incident-  
33 related issues. The Critical Infrastructure Coordinator:
    - 34 ○ Acts as liaison between the national- and regional-level  
35 CI/KR, the private sector, and JFO activities;
    - 36 ○ Coordinates CI/KR and ESF issues between the JFO;  
37 Coordination Group and IAIP representatives located at  
38 the IIMG and NRCC; and
    - 39 ○ Provides situational awareness concerning the affected  
40 CI/KR and provides periodic updates to the JFO;  
41 Coordination Group, and communicates information to  
42 the IAIP representative at the IIMG, NRCC, and NICC.

43 **(2) External Affairs Officer:** The External Affairs Officer provides  
44 support to the JFO leadership in all functions involving  
45 communications with external audiences. External Affairs  
46 includes Congressional Affairs, Public Information, Community

1 Relations, Insular Relations, Tribal Relations, and International  
2 Affairs, when appropriate. Resources for the various External  
3 Affairs Functions are coordinated through ESF #15. (See ESF #15  
4 Annex for more information.) The External Affairs Officer also is  
5 responsible for overseeing operations of the Joint Information  
6 Center (JIC) established to support the JFO. Following is a  
7 description of the JIC:  
8

- 9  
10  
11  
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  - The JIC is a physical location where public affairs professionals from organizations involved in incident management activities work together to provide critical emergency information, crisis communications, and public affairs support. The JIC serves as a focal point for the coordination and dissemination of information to the public and media concerning incident prevention, preparedness, response, recovery, and mitigation. The JIC may be established at an on-scene location in coordination with State and local agencies depending on the requirements of the incident. In most cases, the JIC is established at, or is virtually connected to, the JFO and is coordinated by Federal and State lead Public Information Officers. In most Incidents of National Significance, the Federal lead will be a DHS Public Information Officer, who works with other Federal, State, local, Tribal, and private-sector public affairs personnel. The JFO JIC works in close coordination with other JICs to integrate into a Joint Information System (JIS) providing consistent, coordinated, timely information during an incident.
  - The JIC develops, coordinates, and disseminates unified news releases. News releases are cleared through the JFO Coordination Group to ensure consistent messages, avoid release of conflicting information, and prevent negative impact on operations. This formal approval process for news releases ensures protection of law enforcement-sensitive information. Agencies may issue their own news releases related to their policies, procedures, programs, and capabilities; however, these should be coordinated with the JIC.
  - The PFO is supported by a dedicated DHS Public Affairs Officer who functions as the Press Secretary for the PFO, coordinating media activities for the PFO, providing strategic communications guidance to the JIC, and serving as a designated spokesperson when directed by the PFO.
  - The following elements should be represented at the JIC: (1) FBI Public Information Officer and staff (when activated in

1 support of a terrorist incident); (2) DHS/EPR Public  
2 Information Officer and staff; (3) other Federal agency Public  
3 Information Officers, as required; and (4) State, local, tribal,  
4 and nongovernmental organization Public Information  
5 Officers. (See the ESF #15 Annex and the Public Affairs  
6 Support Annex for additional information on the JIC, public  
7 outreach, and information dissemination.)  
8

9 **(3) Defense Coordinating Officer:** If appointed by DOD, the  
10 DCO serves as DOD's single point of contact at the JFO. With  
11 few exceptions, requests for DSCA originating at the JFO will be  
12 coordinated with and processed through the DCO. The DCO may  
13 have a Defense Coordinating Element (DCE) consisting of a staff  
14 and military liaison officers in order to facilitate support to  
15 activated ESFs. Specific responsibilities of the DCO (subject to  
16 modification based on the situation) include validating  
17 requirements for military support, forwarding mission assignments  
18 to the appropriate military organizations through DOD-designated  
19 channels, and assigning military liaisons, as appropriate, to  
20 activated ESFs.  
21

### 22 c. JFO Sections

23  
24 **(1) Operations Section:** The Operations Section coordinates  
25 operational support to on-scene incident management efforts.  
26 Branches may be added or deleted as required, depending on the  
27 nature of the incident. The Operations Section also is responsible  
28 for coordination with other Federal command posts that may be  
29 established to support incident management activities. For a  
30 terrorist incident, two Operations Sections may be established to  
31 protect the sensitive nature of ongoing law enforcement and  
32 investigative operations. In this context, the PFO will ensure close  
33 coordination between the two designated operations sections.  
34

#### 35 **(a) Law Enforcement Investigative Operations/Joint**

36 **Operations Center:** The JOC Section is established by the  
37 FBI to coordinate and direct law enforcement activities at the  
38 incident.  
39

40 The JOC Section ensures management and coordination of  
41 Federal, State, local, and tribal investigative/law enforcement  
42 activities. The emphasis of the JOC is on intelligence  
43 collection, investigation, and prosecution of a criminal act.  
44 This emphasis includes managing unique tactical issues  
45 inherent to a crisis situation (e.g., a hostage situation or  
46 terrorist threat). This section also is responsible for managing

1 operational security (OPSEC) to ensure that sensitive or  
2 classified information is not inadvertently released. The  
3 Domestic Emergency Support Team (DEST) may be  
4 incorporated as part of this section, when requested by the FBI  
5 SAC. (See page 50 for more information on the DEST.)  
6

7 **(b) Response and Recovery Operations:** The Response and  
8 Recovery Operations Section coordinates the request and  
9 delivery of Federal assistance and the support from various  
10 special teams. For terrorism incidents, the Response and  
11 Recovery Operations Section maintains close coordination with  
12 the JOC. This section is comprised of four branches:  
13 Emergency Services, Human Services, Infrastructure Support,  
14 and Community Recovery and Mitigation.  
15

16 **(2) Planning Section:** The Planning Section's function includes the  
17 collection, evaluation, dissemination, and use of information  
18 regarding the incident and the status of Federal resources. The  
19 Planning Section is responsible for preparing and documenting  
20 Federal support actions, and developing strategic, contingency,  
21 long-term, and other plans related to the incident, as needed.  
22

23 The Planning Section provides current information to the JFO  
24 Coordination Group to ensure situational awareness, determine  
25 cascading effects, identify national implications, and determine  
26 specific areas of interest requiring long-term attention. The  
27 Planning Section also provides technical and scientific expertise.  
28 The Planning Section is comprised of the following units:  
29 Situation, Resources, Documentation, and Technical Services.  
30 The Planning Section may also include an Information and  
31 Intelligence Unit, as appropriate.  
32

33 **(3) Logistics Section:** This section coordinates logistics support that  
34 includes control and accountability for Federal supplies and  
35 equipment; resource ordering; delivery of equipment, supplies, and  
36 services to the JFO and other field locations; facility location, setup,  
37 space management, building services, and general facility operations;  
38 transportation coordination and fleet management services;  
39 information and technology systems services; administrative services  
40 such as mail management and reproduction; and customer assistance.  
41 The Logistics Section may include Coordination and Planning,  
42 Resource Management, Supply, and Information Services Branches.  
43

44 **(4) Finance/Administration Section:** The JFO Coordination Group is  
45 responsible for the monitoring and tracking of all Federal costs relating  
46 to the incident and the functioning of the JFO. The

1 Finance/Administration Section is typically managed by a  
2 DHS/EPR/FEMA Comptroller. This section monitors all Federal  
3 funding requirements and costs associated with incident operations,  
4 and is also responsible for employee services for the JFO Staff,  
5 including contracting of security services for personnel, facilities, and  
6 assets.

7  
8 The Financial Management Support Annex provides guidance to  
9 ensure that funds are provided expeditiously and that financial  
10 operations are conducted in accordance with established law,  
11 regulations, and standards.

12  
13 **10. Incident Command Post:** The tactical-level, on-scene incident command  
14 and management organization is located at the ICP. It is typically  
15 comprised of designated incident management officials and responders  
16 from Federal, State, local, and tribal agencies, as well as private sector and  
17 nongovernmental organizations. When multiple authorities are involved,  
18 the ICP may be led by a Unified Command, comprised of officials who  
19 have jurisdictional authority or functional responsibility for the incident  
20 under an appropriate law, ordinance, or agreement. The Unified  
21 Command provides direct, on-scene control of tactical operations and  
22 utilizes a *NIMS* ICS incident management team organization, typically  
23 including Operations, Planning, Logistics and Finance/Administration  
24 Sections. The ICP is usually located at or in the immediate vicinity of the  
25 incident site. The location is selected by the agency having primary  
26 jurisdictional authority for managing the incident at this level. Generally,  
27 there is one ICP established for each incident. Depending on number and  
28 location of incidents, there may be multiple ICPs managed by an Area  
29 Command.

30  
31 **11. Area Command/Unified Area Command:** An Area Command is  
32 established to oversee the management of multiple incidents that are each  
33 being handled by a separate ICS organization or to oversee the  
34 management of a very large or complex incident that has multiple incident  
35 management teams engaged. The Area Command has the responsibility to  
36 set overall strategy and priorities, allocate critical resources according to  
37 priorities, ensure that incidents are properly managed, and ensure that  
38 objectives are met and strategies followed. Area Command becomes  
39 Unified Area Command when incidents are multijurisdictional.

40  
41 **12. Disaster Recovery Center (DRC):** When activated, a DRC is a satellite  
42 component of the JFO and provides a central facility where individuals  
43 affected by a disaster can obtain information on disaster recovery  
44 assistance programs from various Federal, State, local, tribal, private  
45 sector, and voluntary organizations.

46

1           **13. Interim Operating Facility (IOF):** The IOF is a temporary field facility  
2           used by a DHS/EPR/FEMA-led Emergency Response Team (ERT) in the  
3           early stages of an incident when the team cannot operate at the State EOC  
4           due to space limitations or other reasons, and the JFO is not yet  
5           established. An IOF is generally located at or near the State EOC, or near  
6           the incident site. The IOF remains in operation until the JFO is ready for  
7           occupancy. Functions accomplished at the IOF include interaction with  
8           State representatives and key ESF agencies, collection and assessment of  
9           information, and initiation of assistance programs.

## 10 11           **E. Emergency Response and Support Teams**

12  
13           Various teams are available to deploy during incidents or potential incidents  
14           to aid in incident management, set up emergency response facilities, or  
15           provide specialized expertise and capabilities. Teams that may be utilized  
16           during NRP operations include the following:

17  
18           **1. Emergency Response Team:** The ERT is the principal interagency group  
19           that staffs the JFO in support of the JFO Coordination Group. The ERT is  
20           composed of DHS/EPR/FEMA staff and ESF personnel. The ERT can be  
21           augmented by an advanced element known as the ERT-A and/or a national  
22           headquarters-level team, known as the ERT-N, deployed only for large-  
23           scale, high-visibility events. The ERT provides staffing for the JFO and  
24           ensures Federal resources are available to meet incident management and  
25           State requirements identified by the SCO. The size and composition of  
26           the ERT is scalable and can range from a small organization focusing on  
27           recovery operations to all ESF primary and support agencies undertaking  
28           the full range of prevention, preparedness, response, and recovery  
29           activities.

30  
31           Typically, the ERT organizational structure encompasses the JFO  
32           Coordination Group, JFO Coordination Staff, and the four JFO sections  
33           (Operations, Planning, Logistics, and Finance/Administration).

34  
35           The ERT-A deploys during the early stages of an incident. It is headed by  
36           a team leader from DHS/EPR/FEMA and is composed of program and  
37           support staff and representatives from selected ESF primary agencies. A  
38           part of the ERT-A deploys to the State EOC or to other locations to work  
39           directly with the State to obtain information on the impact of the event and  
40           to identify specific State requests for Federal incident management  
41           assistance. Other elements of the ERT-A (including Mobile Emergency  
42           Response Support (MERS) personnel and equipment) deploy directly to or  
43           near the affected area to establish field communications, locate and  
44           establish field facilities, and set up support activities. The ERT-A consults  
45           and coordinates with State, local, and/or tribal entities to determine the  
46           location of the JFO and mobilization centers. The ERT-A identifies or

1 validates the suitability of candidate sites for the location of mobilization  
2 center(s) and the JFO. The ERT-A conducts initial on-the-ground  
3 situational awareness analysis to include changes in topography caused by  
4 the incident, impacts to the physical and social environment, and  
5 documentation of losses avoided based on previous mitigation measures to  
6 serve as a backdrop to the Federal support strategies.  
7

8 An ERT-N is a headquarters-level team that deploys to large-scale, high-  
9 visibility incidents. An ERT-N may pre-deploy based on threat  
10 conditions. The Secretary of Homeland Security determines the need for  
11 ERT-N deployment, coordinating the plans with the affected region and  
12 other Federal agencies. The ERT-N includes staff from DHS/EPR/FEMA  
13 Headquarters and regional offices as well as other Federal agencies.  
14 (Three ERT-N teams are structured, with one team on call every third  
15 month. A fourth standing team is on call year-round exclusively to  
16 manage incidents in the National Capital Region (NCR).)  
17

- 18 **2. Federal Incident Response Support Team (FIRST):** The FIRST is a  
19 full-time DHS team immediately deployable to an incident or potential  
20 incident (particularly for a response to a catastrophic event). The FIRST  
21 coordinates with the State and local EOC to support the Incident  
22 Command Post and facilitates Federal resource issues on-scene in  
23 conjunction with the ERT-A. Team members are trained and prepared to  
24 assess the situation; identify critical and unmet needs; provide  
25 recommendations for protective actions; establish Federal support  
26 facilities; and identify and coordinate acquisition and delivery of required  
27 Federal assets and/or resources. Once the JFO is established, the FIRST is  
28 incorporated into the JFO.  
29
- 30 **3. Domestic Emergency Support Team:** The DEST is a rapidly  
31 deployable, specialized interagency team designed to provide expert  
32 advice, guidance, and support to the FBI SAC and PFO during a WMD  
33 incident or credible threat. DEST deployments are based upon a credible  
34 threat assessment or actual event and on a request from the FBI SAC. The  
35 DEST typically deploys in a pre-event/pre-release scenario in which the  
36 FBI is leading law enforcement, intelligence, and investigative actions to  
37 detect, prevent, preempt, or disrupt actions, and in which consequences  
38 have not yet presented themselves. The expert support and guidance  
39 provided by the DEST includes law enforcement and emergency response  
40 assistance, technical or scientific advice, and contingency planning  
41 guidance tailored to situations involving chemical, biological, or  
42 nuclear/radiological weapons.  
43
- 44 **4. Other Federal Teams:** In addition, there are numerous special teams  
45 available to support incident management and disaster response and  
46 recovery operations. Examples include: damage assessment teams, the

1 Nuclear Incident Response Team (NIRT), Disaster Medical Assistance  
2 Teams (DMATs), DOL/OSHA's Specialized Response Teams,  
3 Veterinarian Medical Assistance Teams (VMATs), Disaster Mortician  
4 Teams (DMORTs), National Medical Response Teams (NMRTs), Science  
5 and Technical Advisory and Response Teams (STARTs), Donations  
6 Coordination Teams, Urban Search and Rescue (US&R) task forces,  
7 US&R Incident Support Teams, and mitigation assessment teams. Many  
8 of these additional teams and capabilities are discussed in the NRP  
9 annexes. Other supporting documents provide additional listing of teams  
10 and their capabilities, such as DHS/EPR/FEMA's Emergency Teams  
11 Handbook and the DHS/USCG Hazardous Materials Response Special  
12 Teams Handbook.

## 13 14 **F. Defense Support of Civil Authorities**

15  
16 The Department of Defense provides DSCA in response to requests for  
17 assistance during domestic incidents to include terrorist attacks, major  
18 disasters, and other emergencies. DSCA refers to DOD support provided by  
19 Federal military forces, DOD civilians and contract personnel, and DOD  
20 agencies and components, in response to requests for assistance during  
21 domestic incidents to include terrorist threats or attacks, major disasters, and  
22 other emergencies. Continuous coordination with Federal, State, local, and  
23 tribal elements before, during, and after an event is essential for efficient and  
24 effective utilization of DOD's DSCA efforts.

25  
26 In most instances, DOD provides DSCA in response to requests for assistance  
27 from a lead or primary agency. However, support provided under Immediate  
28 Response authority (described below) is authorized by DOD directive and  
29 prior approval of the Secretary of Defense. DSCA normally is provided in  
30 anticipation that local, State, and Federal resources will be overwhelmed, and  
31 that it does not interfere with the Department's military readiness or  
32 operations. DOD typically provides DSCA on a reimbursable basis as  
33 authorized by law.

34  
35 **1. Requesting Defense Support of Civil Authorities:** Initial requests for  
36 assistance are made to the Office of the Secretary of Defense, Executive  
37 Secretariat. If approved by the Secretary of Defense, DOD designates a  
38 supported combatant commander for the response. The supported  
39 combatant commander determines the appropriate level of command and  
40 control for each response and usually directs a senior military officer to  
41 deploy to the incident site. Under most circumstances, the senior military  
42 officer at the incident site is the Defense Coordinating Officer (DCO).  
43 The DCO serves as DOD's single point of contact in the JFO.

44  
45 Requests for DSCA originating at the JFO will be coordinated and  
46 processed through the DCO with the exception of requests for USACE

1 support, National Guard forces operating in State Active Duty or Title 32  
2 status, or, in some circumstances, DOD forces in support of the FBI.  
3 These exceptions are detailed in paragraph 2 of this section. Specific  
4 responsibilities of the DCO are subject to modification by the supported  
5 combatant commander based on the situation. In general, the DCO will:  
6

- 7     ▪ Collocate with the PFO/FCO/FRC in the JFO;
- 8     ▪ Coordinate and process applicable requests for assistance from the  
9     PFO/FCO/FRC or designated representative;
- 10    ▪ Orchestrate the accomplishment of approved mission assignments  
11    utilizing tasked resources;
- 12    ▪ Assign military liaison officers as appropriate to ESF agencies at the  
13    JFO to provide technical assistance or facilitate timely coordination;  
14    and
- 15    ▪ Refer problematic or contentious issues through the appropriate  
16    military chain of command to the Office of the Assistant Secretary of  
17    Defense for Homeland Defense.

18  
19 Based on the magnitude, type of disaster, and anticipated level of resource  
20 involvement, the supported combatant commander may utilize a Joint  
21 Task Force (JTF) to consolidate and manage supporting military activities.  
22 A JTF commander exercises operational control of all allocated DOD  
23 resources (excluding USACE resources, National Guard forces operating  
24 in State Active Duty or Title 32 status, and, in some circumstances, DOD  
25 forces in support of the FBI). In the event that a JTF is utilized, the DCO  
26 may continue to perform all duties set forth above.  
27

28 **2. Exceptions:** Requests for DSCA originating at the JFO will be  
29 coordinated and processed through the DCO with the exception of  
30 requests for DOD/USACE support, National Guard forces operating in  
31 State Active Duty or Title 32 status, or DOD forces in support of the FBI.  
32

- 33     ▪ *U.S. Army Corps of Engineers:* USACE is a public engineering  
34     organization within DOD providing engineering support and services  
35     to DOD activities around the globe as well as to the nation's Civil  
36     Works flood protection and navigation infrastructure. USACE  
37     provides support as a primary agency and coordinating agency for ESF  
38     #3, and as a support agency to other ESFs as specified in the annexes.  
39     USACE performs emergency support activities under separate  
40     authorities, to include Public Law 84-99.
- 41  
42     ▪ *Army and Air National Guard Forces:* National Guard forces  
43     employed under State Active Duty or Title 32 status (i.e., not in  
44     Federal service) are providing support to the Governor of their State  
45     and are not part of Federal military response efforts.  
46

- 1                   ▪ *Support to the Federal Bureau of Investigation:* Support for law  
2 enforcement and domestic counterterrorism activities is provided in  
3 limited circumstances consistent with applicable laws and, in some  
4 circumstances, independent of the DCO.  
5

6                   **3. Immediate Response Authority:** Imminently serious conditions  
7 resulting from any civil emergency may require immediate action to save  
8 lives, prevent human suffering, or mitigate property damage. When such  
9 conditions exist and time does not permit approval from higher  
10 headquarters, local military commanders and responsible officials from  
11 DOD components and agencies are authorized by DOD directive and pre-  
12 approval by the Secretary of Defense, subject to any supplemental  
13 direction that may be provided by their DOD component, to take  
14 necessary action to respond to requests of civil authorities. All such  
15 necessary action is referred to as "Immediate Response."  
16

17                   **4. Export of DOD Specialized Capabilities and Training:** In addition to  
18 direct support for incident response, DOD possesses specialized  
19 capabilities employed in support of Federal, State, local, and tribal  
20 government agencies, to include their first responder communities.  
21 Included among these specialized capabilities are test and evaluation  
22 facilities and capabilities; education and exercise expertise; explosive  
23 detection; technical escort; medical services; the transfer of applicable  
24 technologies, including those developed through DOD science and  
25 technology programs; and the expertise of DOD personnel. The DOD  
26 Homeland Defense Coordination Office established at DHS facilitates  
27 interdepartmental cooperation and transfer of these capabilities to the  
28 emergency responder community.  
29

### 30 **G. Federal Law Enforcement Assistance**

31  
32 Law enforcement assistance in the *NRP* includes both the criminal  
33 investigation components and law enforcement support required to provide  
34 operational and personal security in response to Incidents of National  
35 Significance. Investigative law enforcement activities are managed from the  
36 JOC (or the JOC component of the JFO). The Federal Government has  
37 jurisdiction for enforcement of Federal law, using Federal resources. State  
38 and local law enforcement agencies may be requested to provide support to  
39 Federal law enforcement during Incidents of National Significance. Similarly,  
40 each State has jurisdiction for enforcement of State law, using State and local  
41 resources, including the National Guard (to the extent that the National Guard  
42 remains under State authority and has not been called into Federal service or  
43 ordered to active duty). Federal law enforcement agencies may be requested  
44 to provide support to State and local law enforcement during Incidents of  
45 National Significance. The Public Safety and Security ESF Annex (ESF #13)

1 provides further guidance on the integration of public safety and security  
2 resources to support the full range of incident management functions.  
3

## 4 **H. Proactive Federal Response to Catastrophic Events**

5  
6 The *NRP* establishes policies, procedures, and mechanisms for proactive  
7 Federal response to catastrophic events.  
8

### 9 **1. Implementation of Proactive Federal Response Protocols**

10  
11 Protocols for proactive Federal response are most likely to be  
12 implemented for catastrophic events involving chemical, biological,  
13 radiological, nuclear, or high-yield explosive weapons of mass  
14 destruction, or large-magnitude earthquakes or other natural or  
15 technological disasters in or near heavily populated areas. NSSEs also are  
16 an important concern, as an incident that takes place in conjunction with  
17 an NSSE could result in severe consequences. As a result, NSSEs require  
18 appropriate proactive protection and preparedness measures.  
19

20 Guiding principles for proactive Federal response include the following:  
21

- 22 ■ The primary mission is to save lives; protect critical infrastructure,  
23 property, and the environment; contain the event; and preserve  
24 national security.
- 25 ■ Standard procedures regarding requests for assistance may be  
26 expedited or, under extreme circumstances, suspended in the  
27 immediate aftermath of an event of catastrophic magnitude.
- 28 ■ Identified Federal response resources will deploy and begin necessary  
29 operations as required to commence life-safety activities.
- 30 ■ Notification and full coordination with States will occur, but the  
31 coordination process will not delay or impede the rapid deployment  
32 and use of critical resources. States are urged to notify and coordinate  
33 with local governments regarding a proactive Federal response.  
34

### 35 **2. Implementation Mechanisms for Proactive Federal Response to** 36 **Catastrophic Events**

37  
38 The *NRP Catastrophic Incident Supplement* (described in the *Catastrophic*  
39 *Incident Annex*) addresses resource and procedural implications of  
40 catastrophic events to ensure the rapid and efficient delivery of resources  
41 and assets, including special teams, equipment, and supplies that provide  
42 critical lifesaving support and incident containment capabilities. These  
43 assets may be so specialized or costly that they are either not available or  
44 are in insufficient quantities in most localities.  
45  
46

1                   These procedures are based on the following:  
2

- 3                   ▪ The pre-identification of Federal assets and capabilities.
- 4                   ▪ The strategic location of pre-identified assets for rapid deployment.
- 5                   ▪ The use of pre-scripted mission assignments, or individual agency  
6                   authority and funding, to expedite deployment upon notification by  
7                   DHS (in accordance with procedures established in the *NRP*  
8                   *Catastrophic Incident Supplement*) of a potential catastrophic event.  
9

10                   Agencies responsible for these assets will keep DHS apprised, through the  
11                   HSOC, of their ongoing status and location until the JFO is established.  
12                   Upon arrival at the scene, Federal assets will coordinate with the Unified  
13                   Command, the FBI SAC, and the JFO (or its forward elements) when  
14                   established.  
15

16                   Demobilization processes, including full coordination with the JFO  
17                   Coordination Group, are initiated either when the mission is completed or  
18                   when it is determined the magnitude of the event does not warrant  
19                   continued use of the asset.  
20

## 21                   **I. Emergency Public Information and External Communications** 22

23                   This section discusses the mechanisms for ensuring accurate, consistent, and  
24                   timely communications with all of the critical external audiences—the general  
25                   public, media, congressional and governmental leaders, and the international  
26                   community. (See ESF #15 Annex for additional information.)  
27

- 28                   **1. Public information** activities ensure the coordinated and timely release of  
29                   prevention, preparedness, response, recovery, and mitigation information  
30                   to the public. ESF #15 provides the interagency coordination mechanisms  
31                   and the resource support for Federal JIC activities. The Public Affairs  
32                   Support Annex provides an overview of the required protocols and  
33                   processes for media relations and incident communications, including  
34                   protocols for handling sensitive information, which are further outlined in  
35                   the *NRP Incident Communications Emergency Supplement*.  
36
- 37                   **2. Community Relations** activities provide information on assistance  
38                   programs to affected individuals, groups, organizations, and local  
39                   governments. Community Relations serves as a direct link to these  
40                   communities and works closely with program elements to deliver  
41                   messages relating to the availability of programs and resources.  
42
- 43                   **3. Congressional liaisons** provide information to the Washington, D.C., and  
44                   district offices of Members of Congress and address incident-related  
45                   questions, concerns, and problems expressed by their constituents.  
46

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- 4. **Intergovernmental Affairs** assists JFO leadership with direct communications, interaction, and outreach to local and State elected officials. (See the ESF# 15 Annex and the Insular Affairs Support Annex for additional information.)
- 5. **International Affairs** provides guidance for events that include cross-border issues, coordination of foreign visitors, and response to offers of assistance from foreign governments. (See the International Coordination and the Insular Relations Support Annexes for additional information.)
- 6. **Tribal Affairs** provides procedures to facilitate incident management programs and resources available to Tribal governments to assist them in protecting their families, community livelihood, and cultural and environmental resources. (See the Tribal Affairs Support Annex for additional information.)

## V. Incident Management Actions

### A. Actions

This section describes incident management actions ranging from initial threat notification to early coordination efforts to assess and deter the threat, to preparatory activation of the ESF structure, to deployment of Federal resources in support of incident response and recovery operations. These actions do not necessarily occur in sequential order; many may be undertaken concurrently in response to single or multiple threats or incidents. Figure 11 provides a graphic depiction of initial incident management actions. In situations where it is clearly apparent that an Incident of National Significance may be imminent or has occurred, assessment and pre-incident interagency coordination typically are compressed. In this instance, DHS moves quickly to coordinate multiple Federal activities to include the following: information sharing activities, interagency course of action development, alert and deployment of resources, and other assistance as required, in consultation and coordination with other Federal departments and agencies and the affected jurisdiction(s).

#### 1. Notification and Assessment

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

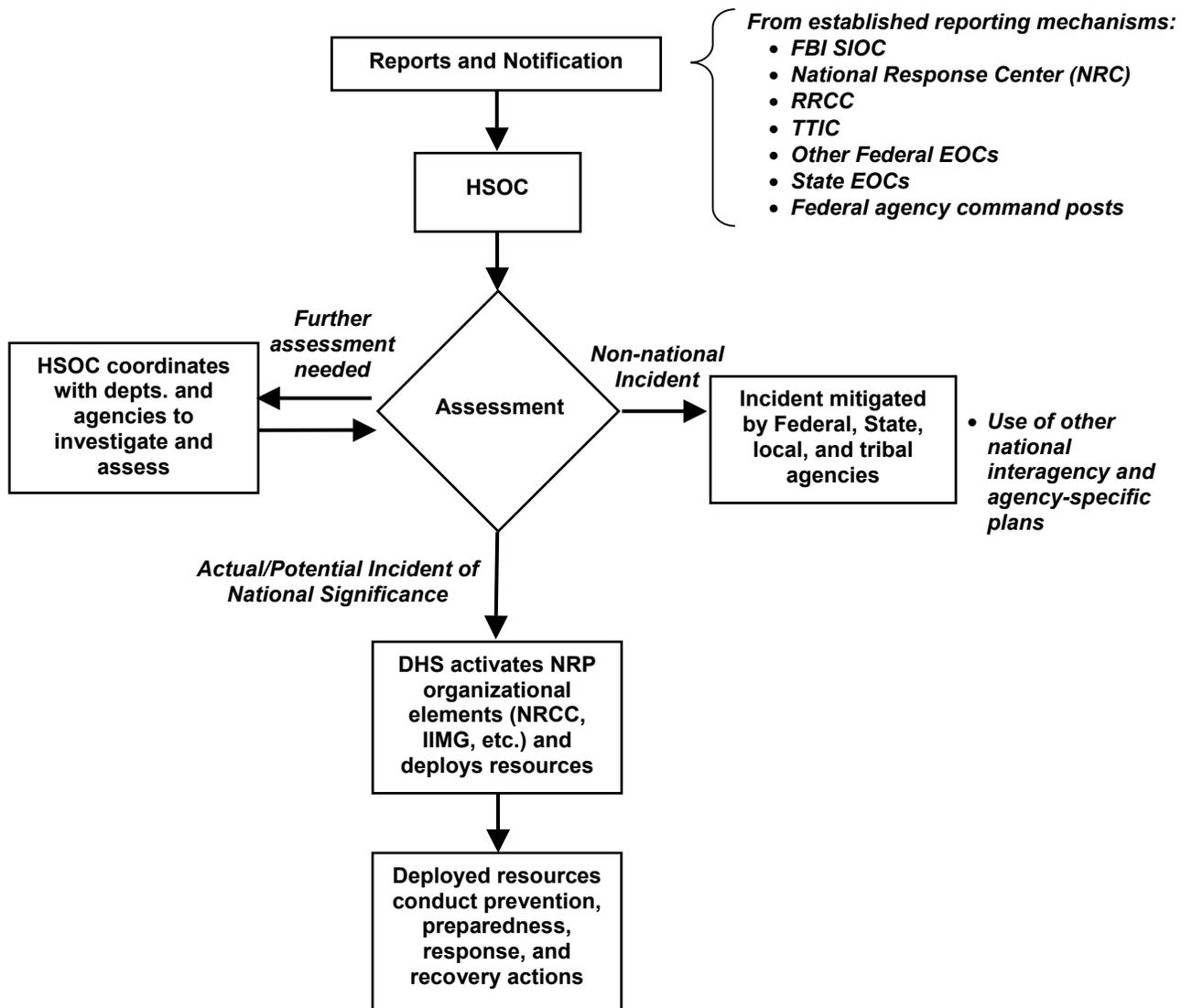
**a. Reporting Requirements:** Federal, State, tribal, private sector, and nongovernmental organization EOCs are either required or encouraged to report incident information to the HSOC. In most situations, incident information will be reported using existing mechanisms to State or Federal operations centers, which will in turn report the information to the HSOC. Terrorism-related information will be reported initially to a local or regional JTTF (or the NJTTF in the case of Federal departments/agencies), and, subsequently, from the FBI SIOC to the HSOC if the threat is deemed credible.

**(1) Federal Departments and Agencies:** Federal departments and agencies are required to report information relating to actual or potential Incidents of National Significance to the HSOC. This information may include:

(a) Implementation of a Federal department or agency emergency response plan;

- (b) Actions to prevent, respond to, or recover from an Incident of National Significance for which a Federal department or agency has responsibility under law or directive;
- (c) Submission of requests for assistance to, or receipt of a request from, another Federal department or agency in the context of an Incident of National Significance;
- (d) Receipt of requests for assistance from State, local, or tribal governments; nongovernmental organizations; or the private sector in the context of an Incident of National Significance; and
- (e) Suspicious activities or credible threats (normally from the FBI SIOC).

FIGURE 11.—Flow of initial national-level incident management actions



1                   **(2) State/Tribal Governments:** State and tribal governments and  
2                   emergency management agencies use established reporting  
3                   mechanisms and are encouraged to report information relating to  
4                   actual or potential Incidents of National Significance to the HSOC,  
5                   using procedures established by DHS (threat information should first  
6                   be reported to the local or regional JTTF). This information may  
7                   include:

- 8  
9                   (a) Implementation of an incident management or emergency response  
10                  plan or action to prevent, respond to, or recover from an Incident  
11                  of National Significance;  
12                  (b) Announcement of emergency proclamations or declarations made  
13                  under State, local, or tribal authority; and  
14                  (c) Activation of State or tribal mutual-aid agreements or compacts in  
15                  response to incidents resulting in emergency proclamations or  
16                  declarations, or requiring Federal assistance.

17  
18                  **(3) Local Governments:** Local governments use established reporting  
19                  mechanisms in coordination with State government officials and  
20                  emergency operations centers.

21  
22                  **(4) Private Sector/Nongovernmental Organizations:** Private sector and  
23                  nongovernmental organizations are encouraged to use existing  
24                  jurisdictional incident reporting mechanisms.

25  
26                  **b. Situational Awareness and Initial Incident Assessment**

27  
28                  The HSOC maintains daily situational awareness to identify and monitor  
29                  threats or potential threats inside, on, or approaching the borders of the  
30                  United States. Upon receipt, the HSOC passes such information to  
31                  appropriate Federal, State, local, and tribal intelligence and law  
32                  enforcement agencies as expeditiously as possible, according to  
33                  established security protocols in coordination with the FBI. The HSOC  
34                  also monitors nonterrorist hazards and receives reports from various  
35                  operation centers such as the DHS/EPR/FEMA Operations Center  
36                  regarding natural hazards (severe storms, floods, etc.) and the National  
37                  Response Center (NRC) regarding oil spills and hazardous materials  
38                  releases. When notified of a threat or an incident with possible national-  
39                  level implications, the HSOC assesses the situation and notifies the  
40                  Secretary of Homeland Security accordingly. Based on the information,  
41                  the Secretary of Homeland Security determines the need for NRP  
42                  activation. The HSOC coordinates with other departments and agencies  
43                  regarding further field investigation, as required.

44  
45                  The FBI and DHS/IAIP evaluate intelligence relating to terrorist threats or  
46                  other potential incidents. All Federal, State, local, and tribal departments

1 and agencies must notify their local or regional FBI JTTF regarding  
2 information associated with a threat of terrorism or an actual incident.  
3 The local FBI JTTF will notify the NJTTF. Federal department and  
4 agency headquarters should notify the NJTTF or FBI SIOC with similar  
5 information. Upon receipt of a threat of terrorism, the FBI conducts a  
6 formal threat credibility assessment, which may include assistance from  
7 select interagency experts. If a threat is deemed credible, the FBI SIOC  
8 notifies the HSOC immediately to enable subsequent *NRP* actions.  
9

#### 10 **c. Dissemination of Warnings and Bulletins**

11  
12 Watches, warnings, and other emergency bulletins are issued by various  
13 agencies based on their statutory missions and authorities. For example,  
14 the National Weather Service issues weather-related notices to warn the  
15 public of impending storms and severe weather.  
16

17 The HSOC coordinates with the TTIC, the Terrorist Screening Center  
18 (TSC), the FBI, the Department of Health and Human Services (HHS),  
19 and similar programs for terrorism-related threat analysis and warning,  
20 and disseminates homeland security threat warnings and advisory  
21 bulletins. The HSOC performs this task consistent with normal steady-  
22 state threat monitoring, assessment, research, and reporting functions. The  
23 HSOC follows existing protocols, MOUs/MOAs, and procedures in place  
24 between the TTIC, TSC, and DHS/IAIP.  
25

26 The FBI disseminates terrorism law enforcement bulletins and warnings to  
27 ensure that vital information regarding terrorism reaches appropriate  
28 officials within the U.S. counterterrorism and law enforcement  
29 communities. This information is transmitted via secure teletype. Each  
30 message transmitted under this system is an alert, an advisory, or an  
31 assessment—an alert if the terrorist threat is credible and specific, an  
32 advisory if the threat is credible but general in both timing and target, or  
33 an assessment to impart facts and/or threat analysis concerning terrorism.  
34 These products are fully coordinated with DHS prior to release.  
35

#### 36 **d. Evolving Threats identified at the National Level**

37  
38 The ongoing fusion of intelligence at the national level may result in the  
39 detection of a potential terrorist threat of a specific and credible nature.  
40 Unlike incidents reported from the field, this process results in the  
41 initiation of initial incident management actions at the headquarters level  
42 and generates a “top-down” response to deter, prevent and respond to the  
43 terrorist threat. The HSOC, TTIC, and FBI SIOC coordinate information  
44 regarding terrorist threats. When the FBI or DHS/IAIP determines that a  
45 credible threat exists, they notify and coordinate with the HSOC, which  
46 will immediately notify FBI SIOC, if they have not been already

1 informed. The HSOC then notifies the Secretary of Homeland Security,  
2 who may elect to activate any or all of the *NRP* organizational elements,  
3 as well as initiate the coordination of interagency policy issues and  
4 operational courses of action with the CSG, HSC/NSC Deputies or the  
5 HSC/NSC Principals Committees, as appropriate. The Secretary may also  
6 elect to activate and prepare to deploy various special teams to assist in  
7 prevention, preparedness, and response and recovery activities.

## 8 9 **2. Activation**

10  
11 This section discusses the early-stage efforts to activate and deploy *NRP*  
12 organizational elements and Federal resources, including special teams,  
13 emergency facilities, and other response resources.

14  
15 For actual or potential Incidents of National Significance, the HSOC reports  
16 the situation to the Secretary of Homeland Security and/or senior staff as  
17 delegated by the Secretary, who determine the need to activate components of  
18 the *NRP* to conduct further assessment of the situation and/or to initiate  
19 deployment of resources. The Secretary of Homeland Security then makes a  
20 determination of whether or not an event meets the criteria established for a  
21 potential or actual Incident of National Significance as defined in this plan.  
22 When the Secretary of Homeland Security declares an Incident of National  
23 Significance, Federal departments and agencies are notified by the HSOC (as  
24 operational security considerations permit), and may be called upon to staff  
25 the IIMG and NRCC. The affected State(s) also are notified by the HSOC  
26 using appropriate operational security protocols. In the pre-incident mode,  
27 such notification may be conducted discretely, on a need-to-know basis, so as  
28 to preserve the secrecy and confidentiality of certain law enforcement and  
29 investigative operations. (Note: *NRP* resources, such as a PFO, may be  
30 designated and activated in the context of a general threat, prior to a formal  
31 Incident of National Significance determination by the Secretary of Homeland  
32 Security to facilitate pre-incident interagency and multijurisdictional  
33 coordination and threat assessment activities.)

34  
35 Activated *NRP* organizational elements and their initial actions may include  
36 the following:

### 37 38 **a. Headquarters Organizational Elements:**

39  
40 **(1) Interagency Incident Management Group** members may convene at  
41 DHS Headquarters when activated for an initial meeting. IIMG  
42 members or alternates remain on call to meet at any time during a  
43 heightened period of alert or during an incident or on a 24/7 basis as  
44 required by the situation at hand. The IIMG may assign liaison  
45 officers to the FBI SIOC and/or other EOCs, as required, and may  
46 establish communication with State Homeland Security Advisor(s)

1 and/or State Emergency Management Director(s) through the DHS  
2 Office of State and Local Government Coordination and Preparedness  
3 representatives to the IIMG.  
4

5 **(2) National Response Coordination Center:** The NRCC begins  
6 interagency operations by coordinating initial activation and  
7 deployment of special teams, mission assignments, and RRCC(s)  
8 activities as required and as permitted by operational security  
9 considerations. The DHS/EPR/FEMA Operations Center informs  
10 primary agencies of the activation and provides a time to report to the  
11 NRCC. Primary agencies may notify and activate support agencies if  
12 required.  
13

14 Primary agencies determine the impact of an incident on their own  
15 capabilities and identify, mobilize, and deploy resources under the  
16 mission assignment process to support response activities in the  
17 affected jurisdiction(s). Formal alert and notification protocols and  
18 procedures for activation of ESFs are included as part of the NRCC  
19 standard operating procedures to be published separately.  
20

21 **(3) Federal Emergency Operations Centers:** Agencies may activate  
22 their headquarters EOCs to provide coordination and direction to their  
23 headquarters and regional response elements. Federal EOCs maintain  
24 ongoing contact and coordination with the HSOC.  
25

26 **(4) Strategic Information and Operations Center:** Upon determination  
27 that a terrorist threat is credible or that an act of terrorism has  
28 occurred, FBI Headquarters initiates liaison with other Federal  
29 agencies to activate their operations centers and provide liaison  
30 officers to the SIOC. In addition, FBI Headquarters initiates  
31 communications with the SAC of the responsible Field Office,  
32 apprising him/her of possible courses of action and discussing possible  
33 deployment of the DEST. The FBI SAC establishes initial operational  
34 priorities based upon the specific circumstances of the threat or  
35 incident. This information is then forwarded to FBI Headquarters to  
36 coordinate identification and deployment of appropriate resources. The  
37 SIOC will notify the HSOC immediately upon confirmation of a  
38 credible threat.  
39

40 **(5) Principal Federal Official:** The Secretary provides formal  
41 notification of the appointment of a PFO to Governor(s)/Mayor(s) of  
42 affected State(s) and to Federal departments and agencies. The HSOC  
43 notifies other Federal, State, and tribal emergency operations centers  
44 of the PFO designation. State EOCs are expected to pass this  
45 designation to State and local agencies and EOCs as appropriate.  
46 PFOs may be designated on a pre-incident basis according to available

1 threat information, or in response to an incident in progress. Again, if  
2 the designation is made based upon a pre-incident threat assessment,  
3 formal notification of the PFO designation may be made on a discrete,  
4 need-to-know basis.

- 5  
6 **b. Regional Elements:** Regional resources are activated to monitor and  
7 assess the need for Federal incident management support. The  
8 DHS/EPR/FEMA Regional Director deploys a liaison to the State EOC to  
9 provide technical assistance including advice on the *Stafford Act*  
10 declaration process and available Federal assistance, and also partially or  
11 fully activates the RRCC, including, where appropriate, regional  
12 representatives of Federal departments and agencies.

13  
14 The RRCC and NRCC Logistics Sections support the establishment of a  
15 JFO and mobilization center(s). The RRCC coordinates Federal support  
16 of State requirements until the FCO or FRC assumes those  
17 responsibilities. A JIC may be established, as required, to provide a  
18 central point for coordinating emergency public information activities.

- 19  
20 **c. Field Elements:**

- 21  
22 **(1) Emergency Response Team:** The RRCC initially deploys a  
23 DHS/EPR/FEMA-led ERT-A, including rapid needs assessment  
24 personnel and appropriate ESF representatives, to State operating  
25 facilities and incident sites to assess the impact of the situation, collect  
26 damage information, gauge immediate Federal support requirements,  
27 and make preliminary arrangements to set up Federal field facilities.  
28 When regional resources are overextended, or an event poses  
29 potentially significant consequences, DHS Headquarters may deploy  
30 an ERT-N to coordinate the initial response.

31  
32 The FCO/FRC heads the interagency ERT. The ERT works with the  
33 affected State and coordinates Federal support from the JFO. The  
34 ERT may establish an IOF to serve as an interim facility until the JFO  
35 is established. In a terrorism event, this activity will be coordinated  
36 with the JOC. Federal agencies and other appropriate entities supply  
37 goods and services to assist incident management efforts under DHS-  
38 issued mission assignments or their own authorities.

39  
40 The ERT-A/ERT-N coordinates damage assessment and selection of  
41 locations for field facilities with the State. It also coordinates mission  
42 assignments for direct Federal assistance and procurement of goods  
43 and services with the Comptroller and RRCC. The ERT-A/ERT-N  
44 begins the transition to a tailored Emergency Response Team.

45

1                   **(2) Federal Incident Response Support Team:** Based upon the nature  
2 of the incident, the FIRST may deploy to the scene to support State  
3 operations. The FIRST provides technical assistance to assess the  
4 situation, identify critical and unmet needs, provide protective action  
5 recommendations, and establish incident support facilities. The FIRST  
6 coordinates with the ERT-A and integrates into the JFO when  
7 established.

8  
9                   **(3) Domestic Emergency Support Team:** The DEST may be deployed  
10 to provide technical support for management of potential or actual  
11 terrorist incidents. Based upon a credible threat assessment, the  
12 Attorney General, in consultation with the Secretary of Homeland  
13 Security, may request authorization through the National Security  
14 Council to deploy the DEST. Upon arrival at the JFO or critical  
15 incident location, the DEST may act as a stand-alone advisory team to  
16 the FBI SAC providing required technical assistance or recommended  
17 operational courses of action.

18  
19                   **(4) Other Special Teams:** Depending on the nature of the incident, other  
20 special teams may be deployed in coordination with other departments  
21 and agencies. The *NRP* annexes include discussion of special teams  
22 and resources.

23  
24                   **(5) Federal First Responders:** Some Federal agencies have statutory  
25 authority and responsibility to deploy directly as first responders upon  
26 notification of an incident or potential incident. These responders may  
27 arrive on-scene before there is a determination as to whether the  
28 incident is an Incident of National Significance, but once declared,  
29 would be operating under the protocols established in the *NRP*.

### 30 31 **3. Requests for DHS Assistance**

32  
33 Requests for DHS assistance can come from State Governors requesting aid  
34 under the *Stafford Act* or from Federal agencies with a need for Federal-to-  
35 Federal support. Federal departments and agencies supporting the *NRP* are  
36 activated and engaged using either a mission assignment process for events  
37 supported by *Stafford Act* funding, or through interagency agreements or other  
38 direct funding sources when implemented using other authorities.

39  
40 **a. Federal Support to States.** DHS/EPR/FEMA processes a Governor's  
41 request for Presidential disaster or emergency declarations under the  
42 *Stafford Act*. Governors submit these requests to DHS/EPR/FEMA  
43 indicating the extent of damage and the types of Federal assistance  
44 required. DHS/EPR/FEMA then forwards the Governor's request to the  
45 White House, simultaneously notifying the Secretary of Homeland  
46 Security, along with a recommended course of action. Concurrent with a

1 Presidential declaration of a major disaster or emergency and official  
2 appointment of an FCO, DHS/EPR/FEMA designates the types of  
3 assistance to be made available and the counties eligible to receive  
4 assistance. In large-scale or catastrophic events, the declaration process  
5 can be expedited. In certain emergencies involving Federal primary  
6 responsibility, the *Stafford Act* allows the President to provide emergency  
7 assistance without a Governor's request. Appendix 5 provides an overview  
8 of the request process under the *Stafford Act*.  
9

10 In a non-*Stafford Act* emergency, the President may direct Federal  
11 departments and agencies to conduct emergency response and incident  
12 management activities consistent with their authorities and responsibilities  
13 on a non-reimbursable basis.  
14

- 15 **b. Federal-to-Federal Support.** For some incidents for which a *Stafford*  
16 *Act* declaration is not made, but a Federal department or agency is  
17 responding to an incident under its own authorities, that department or  
18 agency may require additional assistance from other Federal departments  
19 or agencies that is not otherwise readily available to them. In such  
20 circumstances, that department or agency may request DHS help in  
21 obtaining that assistance. DHS expects to use the ESFs as the mechanism  
22 for obtaining that support from other agencies, but in this case, the funding  
23 source typically would be the requesting agency in accordance with  
24 guidance provided in the *Economy Act*. The vehicle for transferring such  
25 funds would be interagency agreements based on the MOU for mutual aid  
26 (see the Financial Management Annex) and executed at the time of the  
27 event. When such DHS assistance is requested, the incident becomes an  
28 Incident of National Significance, and DHS coordinates Federal resources  
29 under the authority provided in *HSPD-5*. In these situations, DHS  
30 designates an FRC to perform the resource coordination function (rather  
31 than an FCO as occurs under a *Stafford Act* declaration).  
32

33 Requests for assistance are submitted to the DHS Executive Secretary for  
34 processing and Secretary consideration/approval. Upon approval of the  
35 request for assistance, the Secretary issues an operation order to the  
36 HSOC. The HSOC, through the NRCC, coordinates the activation of the  
37 appropriate ESFs. At this time, the Secretary of Homeland Security also  
38 may elect to convene the IIMG to begin monitoring the situation and  
39 develop appropriate recommendations and courses of action.  
40

#### 41 **4. Pre-Incident Actions** 42

43 At the national level, the HSOC facilitates interagency efforts to prevent or  
44 resolve a potential incident. As necessary, the DHS coordinates with  
45 appropriate agencies during developing situations to utilize agency resources  
46 and authorities to prevent an incident, as well as to initiate appropriate

1 preparatory and mitigating measures to reduce vulnerabilities. If warranted,  
2 the IIMG may recommend the activation of *NRP* organizational elements to  
3 provide additional resources to prevent and/or prepare for an incident.  
4

5 Prevention actions related to terrorism threats and incidents includes law  
6 enforcement activities and protective activities of DHS/IAIP. Law  
7 enforcement activities are led by the Attorney General, generally acting  
8 through the FBI. Initial law enforcement efforts focus on actions to:  
9

- 10 ■ Collect, analyze, and apply intelligence and other information in  
11 cooperation with DHS/IAIP;
- 12 ■ Conduct investigations to determine the full nature and source of the  
13 threat;
- 14 ■ Implement countermeasures such as inspections, surveillance, security,  
15 counterintelligence, and infrastructure protection; and
- 16 ■ Conduct tactical operations to interdict, preempt, or disrupt illegal activity.  
17

18 The majority of initial actions in the threat or hazard area are taken by first  
19 responders and local government, and include efforts to protect the public and  
20 minimize damage to property and the environment.  
21

- 22 **a. Public Health and Safety:** Initial safety efforts focus on actions to  
23 detect, prevent, or reduce the impact to public health and safety. Such  
24 actions can include environmental analysis, plume modeling, evacuations,  
25 emergency sheltering, air monitoring, emergency broadcasts, etc. These  
26 efforts may also include public health education, site and public health  
27 surveillance and testing processes, immunizations, prophylaxis, and  
28 isolation or quarantine for biological threats coordinated by HHS and State  
29 and local public health officials.  
30
- 31 **b. Responder Health and Safety:** The safety and health of responders is  
32 also a priority. Preparation action essential to limit their risk includes full  
33 integration of deployed health and safety assets and expertise. It also  
34 includes risk assessments based upon timely and accurate data and  
35 situational awareness that considers responder and recovery worker safety.  
36 A comprehensive location and/or operational response safety and health  
37 plan is key to mitigating the hazards faced by responders. These efforts  
38 include incident hazard identification and characterization;  
39 implementation and monitoring of personal protective equipment  
40 selection, use, and decontamination; exposure sampling and analysis;  
41 worker health and safety risk analysis; health and safety monitoring; and  
42 development/ongoing evolution of the site-specific safety and health plan.  
43
- 44 **c. Property and the Environment:** Responders may also take incident  
45 mitigation actions to protect public and private property, and the  
46 environment. Such actions may include sandbagging in anticipation of a

1 flood, or booming of environmentally sensitive areas in response to a  
2 potential oil spill.

### 3 4 **5. Response Actions**

5  
6 Once an incident occurs, the priorities shift from prevention, preparedness,  
7 and incident mitigation to immediate and short-term response activities to  
8 preserve life, property, the environment, and the social, economic, and  
9 political structure of the community. In the context of a terrorist threat,  
10 simultaneous activities are initiated to assess regional and national-level  
11 impacts, as well as to assess and take appropriate action in response to other  
12 potentials threats. Reinforcing the initial response to an incident, some Federal  
13 agencies may operate in the ICP as Federal first responders and participate in  
14 the Unified Command structure. Once the JFO is established, the JFO  
15 Coordination Group sets Federal operational priorities. The JFO provides  
16 resources in support of the Unified Command and incident management teams  
17 conducting on-scene operations through the State and local EOCs.

18  
19 Response activities include elevating the level of activation for the HSOC,  
20 including both the Operational Information and Intelligence and the Resource  
21 Management Branches. The NRCC and/or the RRCCs activate the  
22 appropriate ESFs as needed to mobilize assets and the deployment of  
23 resources to support the incident. The NRCC and/or the RRCCs facilitate the  
24 deployment and transportation of the ERT, and other teams, such as teams  
25 under the National Disaster Medical System, or Urban Search and Rescue  
26 teams. Other response actions include the establishment of the JFO and other  
27 field facilities, and providing a wide range of support for incident  
28 management, public health, and other community needs.

29  
30 Response actions include immediate law enforcement, fire, and medical  
31 service actions; emergency flood fighting; evacuations; transportation system  
32 detours; emergency public information; minimizing additional damage; urban  
33 search and rescue; the establishment of facilities for mass care; the provision  
34 of public health and medical services, food, ice, water, and other emergency  
35 essentials; debris clearance; the emergency restoration of critical  
36 infrastructure; control, containment and removal of environmental  
37 contamination; and protection of responder health and safety.

38  
39 During the response to a terrorist event, law enforcement actions to collect  
40 and preserve evidence and to apprehend perpetrators are critical. These  
41 actions take place simultaneously with response operations necessary to save  
42 lives and protect property, and are closely coordinated with the law  
43 enforcement effort to facilitate the collection of evidence without impacting  
44 ongoing life-saving operations.

45

1 In the context of a single incident, once immediate response missions and  
2 lifesaving activities conclude, the emphasis shifts from response to recovery  
3 operations and, if applicable, hazard mitigation. The JFO Planning Section  
4 develops a demobilization plan for the release of appropriate components.  
5

## 6 **6. Recovery Actions**

7

8 Recovery involves actions needed to help individuals and communities return  
9 to normal when feasible. The JFO is the central coordination point among  
10 Federal, State, local, and tribal agencies and voluntary organizations for  
11 delivering recovery assistance programs. The JFO Operations Section  
12 includes the Human Services Branch, the Infrastructure Support Branch, and  
13 the Community Recovery and Mitigation Branch. The Human Services and  
14 Infrastructure Support Branches of the JFO Operations Section assess State  
15 and local recovery needs at the outset of an incident and develop relevant  
16 timeframes for program delivery. These branches insure Federal agencies that  
17 have appropriate recovery assistance programs are notified of an incident and  
18 share relevant applicant and damage information with all involved agencies.  
19 The Human Services Branch also coordinates assistance programs to help  
20 individuals, families, and businesses meet basic needs and return to self-  
21 sufficiency. This branch also coordinates with volunteer organizations and is  
22 involved in donations management. The Human Services Branch also  
23 coordinates the need for and location of DRCs with local and tribal  
24 governments. Federal, State, local, tribal, voluntary, and nongovernmental  
25 organizations staff the DRCs, as needed, with knowledgeable personnel to  
26 provide recovery and mitigation program information, advice, counseling, and  
27 related technical assistance.  
28

29 The Infrastructure Support Branch of the JFO coordinates “public assistance  
30 programs” authorized by the *Stafford Act* to aid State and local governments  
31 and eligible private nonprofit organizations with the cost of emergency  
32 protective services and the repair or replacement of disaster-damaged public  
33 facilities and associated environmental restoration.  
34

35 The Community Recovery and Mitigation Branch works with the other  
36 Operations branches and State and local officials to assess the long-term  
37 impacts of an Incident of National Significance, define available resources,  
38 and facilitate the development of a course of action to most efficiently apply  
39 available resources to restore and revitalize the community.  
40

41 The above branches assist in identifying appropriate agency assistance  
42 programs to meet applicant needs, synchronizing assistance delivery, and  
43 encouraging incorporation of hazard mitigation measures where possible.  
44 Hazard mitigation measures are identified in concert with Congressionally  
45 mandated, locally developed plans. Hazard mitigation risk analysis, technical  
46 assistance to State and local governments, citizens, and business, and grant

1 assistance are included within the mitigation framework. Additionally, these  
2 branches track overall progress of the recovery effort, particularly noting  
3 potential program deficiencies and problem areas.  
4

5 Long-term environmental recovery may include cleanup and restoration of  
6 public facilities, businesses, and residences; re-establishment of habitats and  
7 prevention of subsequent damage to natural resources; protection of cultural  
8 or archeological sites; and protection of natural, cultural, and historical  
9 resources from intentional damage during other recovery operations.  
10

## 11 **7. Mitigation Actions**

12  
13 Hazard mitigation involves reducing or eliminating long-term risk to people  
14 and property from hazards and their side effects. The JFO is the central  
15 coordination point among Federal, State, local, and tribal agencies and  
16 voluntary organizations for beginning the process which leads to the delivery  
17 of mitigation assistance programs. The JFO's Community Recovery and  
18 Mitigation Branch is responsible for the delivery of all mitigation programs  
19 within the affected area, including hazard mitigation and grant programs for:

- 20 • loss reduction measures;
- 21 • delivery of loss reduction building science expertise;
- 22 • coordination of Federal flood insurance operations, integration of  
23 mitigation with other program efforts;
- 24 • conducting flood recovery mapping to permit expedited and accurate  
25 implementation of both recovery and mitigation programs;
- 26 • predictive modeling to protect critical assets;
- 27 • early documentation of losses avoided due to previous hazard  
28 mitigation measures; and
- 29 • community education and outreach necessary to foster loss reduction.  
30

31 The Community Recovery and Mitigation Branch works with the  
32 Infrastructure and Human Services Branches, and with State, local, and tribal  
33 officials to facilitate the development of a long-term recovery strategy.  
34

## 35 **8. Demobilization**

36  
37 When a centralized Federal coordination presence is no longer required in the  
38 affected area, the JFO Coordination Group implements the demobilization  
39 plan to transfer responsibilities and close out the JFO. After the closing of the  
40 JFO, long-term recovery program management and monitoring transitions to  
41 individual agencies' regional offices and/or headquarters, as appropriate.  
42

## 43 **9. Remedial Actions**

44  
45 DHS formally convenes interagency meetings called hotwashes to identify  
46 critical issues requiring headquarters-level attention, lessons learned, and best

1 practices associated with the Federal response to Incidents of National  
2 Significance. Hotwashes typically are conducted at major transition points  
3 over the course of the conduct of incident management operations. Identified  
4 issues are validated and promptly assigned to appropriate organizations for  
5 remediation, in accordance with DHS/EPR/FEMA's Remedial Action  
6 Management Program (RAMP). DHS/EPR/FEMA manages the RAMP and  
7 coordinates, monitors, and reports the status of Federal remediation actions for  
8 issues arising from Incidents of National Significance.

## 10 **10. After-Action Report**

11  
12 Following an incident, the JFO Coordination Group submits an after-action  
13 report to DHS Headquarters detailing operational successes, problems, and  
14 key issues affecting incident management. The report includes appropriate  
15 feedback from all Federal, State, local, tribal, nongovernmental and private  
16 sector partners participating in the incident. The Emergency Support Function  
17 Leaders Group (ESFLG) and the Regional Interagency Steering Committees  
18 (RISCs), the headquarters-level and regional-level interagency NRP  
19 preparedness organizations (described in section VI.A.1), use information  
20 from these reports to update plans and procedures as required.

21  
22 Each Federal agency involved should keep records of its activity to assist in  
23 preparing its own after-action report. The DHS Office of State and Local  
24 Government Coordination and Preparedness (SLGCP) has established and  
25 maintains the Lessons Learned Information Sharing system (formerly Ready-  
26 Net) as the national repository for reports and lessons learned. The NIMS  
27 Integration Center will support and contribute to this national system.

## 29 **B. NRP Operations under HSAS Threat Conditions**

### 31 **1. General**

32  
33 The Homeland Security Advisory System (HSAS), created by *HSPD-3*  
34 and administered by DHS/IAIP, is a comprehensive and effective means  
35 for disseminating information regarding the risk of terrorist attacks and  
36 coordinating appropriate response measures across jurisdictions and with  
37 the private sector. The HSAS is composed of two separate elements:  
38 threat products and threat conditions. Threat products include warning  
39 (advisories) and non-warning (information bulletins) products designed to  
40 inform Federal, State, local, tribal, and nongovernmental entities and  
41 private citizens of threat or incident information. The threat condition  
42 level provides a guide to assist government and private sector entities in  
43 initiating a set of standardized actions as a result of increased terrorist  
44 threat levels within the United States, and to inform the public on updated  
45 homeland security requirements. The raising of the threat condition  
46 generally is reserved for threats that are credible, corroborated, and

1 imminent. An elevated threat condition can be applied nationally or by  
2 region, industry, or potential target.  
3

4 During an increase in threat condition, DHS may notify, activate, and  
5 deploy *NRP* organizational elements in an effort to enhance the Nation's  
6 ability to prevent, prepare for, or respond to an attack. The decision to  
7 mobilize *NRP* organizational elements will be based on the nature and  
8 severity of the threat. In response to a heightened nationwide risk of  
9 attack, DHS may activate the national-level elements and place certain  
10 special teams on standby. For geographic-specific threats, DHS, in  
11 coordination with the FBI, may activate regional elements and deploy  
12 teams to the area.  
13

## 14 **2. Procedures/Guidelines**

### 15 **a. Threat Conditions Green (low risk) Through Yellow (elevated 16 condition)** 17

18 Under Threat Conditions Green through Yellow, the HSOC will  
19 maintain direct connectivity with the FBI SIOC regarding the terrorist  
20 threat, and maintain situational awareness through the continued  
21 monitoring of reported incidents.  
22

### 23 **b. Threat Condition Orange (high risk)** 24

25 Upon elevation to Threat Condition Orange, DHS activates the IIMG  
26 to review the threat information, coordinate interagency activity, and  
27 recommend additional precautions needed to prevent, prepare for, or  
28 respond to an attack. If the threat is elevated regionally or locally,  
29 DHS considers activating the appropriate RRCC(s) to coordinate with  
30 regional, State, and private sector entities and notify (or activate)  
31 regional resources (such as the ERT) as appropriate.  
32

### 33 **c. Threat Condition Red (severe risk)** 34

35 Upon elevation to Threat Condition Red, DHS fully activates the  
36 NRCC, activates the RRCCs in the designated threat locations,  
37 implements Continuity of Operations plans, and places other  
38 appropriate assets on the highest alert status. If the threat is elevated  
39 regionally or locally, the IIMG provides recommendations for the  
40 deployment of special teams to the area and establishment of a JFO.  
41 In the absence of a JFO, special teams deployed in response to a  
42 terrorist threat will operate in coordination with the FBI JOC.  
43  
44  
45  
46

## 1 VI. Ongoing Plan Management and Maintenance

### 2 3 A. Coordination

4  
5 The Federal Government uses the “preparedness organization” concept  
6 described in the *NIMS* for the ongoing management and maintenance of the  
7 *NRP*. These organizations typically include all agencies with a role in  
8 incident management and provide a forum for coordination of policy,  
9 planning, training, equipping, and other preparedness requirements.

10  
11 **1. Federal Headquarters Level.** The Homeland Security Council (HSC)  
12 Domestic Threat Reduction and Incident Management (DTRIM) Policy  
13 Coordination Committee (PCC) and the Emergency Support Function  
14 Leaders Group (ESFLG) are the primary Federal-level organizations for  
15 ongoing management and maintenance of the *NRP* and related activities.  
16 In providing sustained management and oversight of the *NRP*. These  
17 organizations will comply with preparedness guidelines and standards as  
18 identified in *HSPD-8*.

19  
20 **a. Domestic Threat Reduction and Incident Management Policy**  
21 **Coordination Committee:** The DTRIM PCC serves as the senior  
22 interagency policy oversight group for the *NRP* and related issues,  
23 providing an interagency forum for review of *NRP*-related plans,  
24 policy guidance, and issue resolution. (The DTRIM PCC replaces the  
25 *FRP* Catastrophic Disaster Response Group (CDRG) for ongoing  
26 management and maintenance of the *NRP* in these areas.)

27  
28 **b. Emergency Support Function Leaders Group:** The ESFLG serves  
29 as the senior interagency planning oversight group for operational  
30 issues related to the *NRP* and its ongoing management and  
31 maintenance. The ESFLG is comprised of representatives from each  
32 ESF as well as those organizations responsible for maintaining the  
33 *NRP* Support and Incident Annexes. The ESFLG provides a forum for  
34 developing supporting plans and procedures, as well as cross-  
35 coordination of functions. The ESFLG meets at least quarterly. In  
36 addition, coordinators of the ESF, Support, and Incident Annexes are  
37 responsible for conducting at least one meeting per year to review and  
38 update plans and procedures, incorporate lessons learned and best  
39 practices, and ensure functional coordination and continuous  
40 improvement of all *NRP* elements. DHS will develop a charter for the  
41 ESFLG further outlining its mission and responsibilities in this area.

42  
43 **c. Other Federal Preparedness Organizations:** Other existing  
44 interagency preparedness organizations generally are integrated  
45 through the ESF structure. For example, the National Response Team

1 (NRT) works in coordination with ESF #10 (Hazardous Materials  
2 Response) planning efforts.  
3

- 4 **2. Federal Regional Level.** At the Federal regional level, the Regional  
5 Interagency Steering Committees (RISCs) are responsible for multiagency  
6 coordination under the *NRP* on a steady-state basis. The RISCs support  
7 the national-level groups by coordinating issues and solutions that are  
8 unique to the region. RISCs also coordinate preparedness efforts with  
9 other regional-level preparedness organizations (such as the Regional  
10 Response Teams (RRTs)). At a minimum, the RISC is comprised of  
11 representatives from each State in the region and, where appropriate,  
12 regional-level representatives from ESF primary and support agencies.  
13 RISCs meet at least quarterly and provide an operational-level forum for  
14 regional planning, interagency information-sharing, and coordination.  
15 Each RISC includes an executive-level committee that meets at least twice  
16 yearly to provide executive-level guidance and oversight. DHS will  
17 publish a charter for the RISCs further describing their role and  
18 responsibilities.  
19
- 20 **3. State and Local Levels.** At the State and local levels, various  
21 preparedness organizations provide multiagency coordination functions.  
22

## 23 **B. Plan Maintenance**

24  
25 DHS/EPR/FEMA is the executive agent for *NRP* management and  
26 maintenance in coordination with the DTRIM PCC and the ESFLG. The *NRP*  
27 is updated periodically as required to incorporate new Presidential directives,  
28 legislative changes, and procedural changes based on lessons learned from  
29 exercises and actual events. This section establishes procedures for interim  
30 changes and full updates of the *NRP*.  
31

- 32 **1. Types of Changes.** Changes include additions of new or supplementary  
33 material and deletions. No proposed change should contradict or override  
34 authorities or other plans contained in statute, executive order, or  
35 regulation.  
36
- 37 **2. Coordination and Approval.** Any department or agency with assigned  
38 responsibilities under the *NRP* may propose a change to the plan. DHS is  
39 responsible for coordinating all proposed modifications to the *NRP* with  
40 primary and support agencies and other stakeholders, as required. DHS  
41 will coordinate review and approval for proposed modifications through  
42 the ESFLG and HSC as required.  
43
- 44 **3. Notice of Change.** After coordination has been accomplished, including  
45 receipt of the necessary signed approval supporting the final change  
46 language, DHS will issue an official Notice of Change.  
47

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

10  
11       **4. Distribution.** DHS will distribute Notices of Change to all participating  
12       agencies, DHS Headquarters and regional offices, and State emergency  
13       management offices. Notices of Change to other organizations will be  
14       provided upon request.

15  
16       **5. Reissuance of the *NRP*.** Working toward continuous improvement, DHS  
17       is responsible for coordinating full reviews and updates of the *NRP* every  
18       four years, or more frequently if the Secretary deems necessary. The  
19       review and update will consider lessons learned and best practices  
20       identified during exercises and responses to actual events and incorporate  
21       new information technologies. DHS will distribute revised *NRP*  
22       documents to the HSC for the purpose of interagency review and  
23       concurrence.

#### 24 25       **C. The *NIMS* Integration Center**

26  
27       In accordance with the *NIMS*, the *NIMS* Integration Center is responsible for  
28       facilitating the development and adoption of national-level standards,  
29       guidelines, and protocols related to *NIMS*. DHS/EPR/FEMA consults with  
30       the *NIMS* Integration Center in the maintenance of the *NRP* as appropriate.  
31

#### 32       **D. The *NRP* and National Preparedness**

33  
34       The *NRP* provides the basis for Federal department and agency compliance  
35       with *HSPD-8, National Preparedness*. *HSPD-8* directs the Secretary of  
36       Homeland Security to coordinate efforts to measure and improve national  
37       preparedness. For more information on national preparedness, please refer to  
38       the Unified National All-Hazards Preparedness Strategy (*due out September*  
39       *2004*). Preparedness tasks related to the *NRP*, and associated supplements, are  
40       summarized briefly below:

- 41  
42       • DHS develops a national domestic all-hazards preparedness goal, in  
43       coordination with other Federal departments and agencies; the Homeland  
44       Security Council; and preparedness organizations such as the ESFLG; and  
45       in consultation with State and local governments. The goal establishes a  
46       National Preparedness Assessment and Reporting System, which produces

1 an annual status report to the President regarding the Nation's level of  
2 preparedness.

- 3
- 4 • Appropriate Federal departments and agencies undertake actions to  
5 support the national preparedness goal, including adoption of quantifiable  
6 performance measurements in the areas of training, planning, equipment,  
7 and exercises for Federal preparedness. Performance measures are  
8 submitted to DHS for the National Preparedness Assessment and  
9 Reporting System.
  - 10
  - 11 • The annual report to the President includes, among other issues,  
12 information on the readiness of Federal civil response assets, including  
13 measures needed for adoption of *NIMS* principles and implementation of  
14 the *NRP*. Appropriate Federal departments and agencies are required to  
15 maintain specialized Federal assets, such as teams, stockpiles, and caches,  
16 at levels consistent with the national preparedness goal and make them  
17 available for response activities as set forth in the *NRP*.
  - 18
  - 19 • DHS develops and maintains a Federal response capability inventory, in  
20 coordination with other appropriate Federal departments and agencies, that  
21 include the performance parameters of the capability, the timeframe within  
22 which the capability can be brought to bear to an incident, and the  
23 readiness of such capability to manage domestic incidents. Owners  
24 (respective agencies) of Federal response capabilities are responsible for  
25 providing DHS with updated information to ensure inventory is current.
  - 26
  - 27 • DHS, in coordination with other appropriate Federal departments and  
28 agencies and in consultation with State and local governments, maintains a  
29 comprehensive National Training Program, a National Exercise Program,  
30 and a National Lessons Learned Information Sharing system (formerly  
31 Ready-Net) to meet the national preparedness goal. These programs and  
32 systems use the *NIMS* and include requirements to support the *NRP* as  
33 appropriate.
  - 34

#### 35 **E. *NRP*-Supporting Documents and Standards for Other Federal** 36 **Emergency Plans**

37  
38 The *NRP*, as the core plan for domestic incident management, provides the  
39 structures and processes for coordinating incident management activities for  
40 terrorist attacks, natural disasters, and other emergencies that meet the criteria  
41 established for Incidents of National Significance. Following the guidance  
42 provided in *HSPD-5*, the *NRP* incorporates existing Federal emergency and  
43 incident management plans (with appropriate modifications and revisions) as  
44 integrated components of the *NRP*, as supplements, or as supporting  
45 operational plans.  
46

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

11  
12 Incident management and emergency response plans must include, to the  
13 extent authorized by law:

- 14
- 15 ■ Principles and terminology of the *NIMS*;
- 16 ■ Reporting requirements of the *NRP*;
- 17 ■ Linkages to key *NRP* organizational elements (such as the IIMG, NRCC,  
18 RRCC, JFO, etc.); and
- 19 ■ Procedures for transitioning from localized incidents to Incidents of  
20 National Significance.

21  
22 The broader range of *NRP*-supporting documents includes strategic,  
23 operational, tactical, and incident-specific or hazard-specific contingency  
24 plans and procedures. Strategic plans are developed by headquarters-level  
25 entities based on long-range goals, objectives, and priorities. Operational-  
26 level plans merge the on-scene tactical concerns with overall strategic  
27 objectives. Tactical plans include detailed, specific actions and descriptions  
28 of resources required to manage an actual or potential incident. Contingency  
29 plans are based on specific scenarios and planning assumptions related to a  
30 geographic area or the projected impacts of an individual hazard. The  
31 following is a brief description of *NRP*-related documents:

- 32
- 33 **1. The National Incident Management System** provides a core set of  
34 doctrine, concepts, terminology, and organizational processes to enable  
35 effective, efficient, and collaborative incident management at all levels.  
36
- 37 **2. National Interagency Plans** are based either on statutory or regulatory  
38 authorities, and/or specific contingencies and types of incidents. These  
39 plans provide protocols for managing the preponderance of incidents that  
40 are likely to occur at all levels of government and that normally can be  
41 managed without the need for DHS coordination. These plans can be  
42 implemented independently or concurrently with the *NRP*.

43  
44 When the *NRP* is activated, these interagency plans are incorporated as  
45 supporting and/or operational plans. Examples of national interagency  
46 plans that are incorporated into the *NRP* include:

- 1
- 2
- 3
  - *National Oil and Hazardous Substances Pollution Contingency Plan;*
  - 4
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For purposes of full incorporation into the *NRP*, these plans will be referred to as *NRP* Supplements for the specific contingency or mission area that constitutes the main focus of such plans. A comprehensive listing of national interagency plans is included as Appendix 4 and provides a brief description of the purpose, scope, and roles and responsibilities of key agencies for each of these plans.

3. **Agency-Specific Plans** are created to manage single hazards or contingencies under the purview of the responsible department or agency. An example of an agency-specific plan is the Nuclear Regulatory Commission's *Incident Response Plan*.
4. **Operational Supplements** typically are detailed plans relating to specific incidents or events. Operational supplements routinely are developed to support NSSEs.
5. **Regional Plans** typically are operational supplements to national plans and provide region-specific procedures and guidance. Examples of regional plans include *Regional Contingency Plans (RCPs)* mandated by the *National Oil and Hazardous Substances Pollution Contingency Plan (NCP)* to organize oil and hazardous substance contamination response.
6. **State/Local/Tribal Emergency Operations Plans** are created to address a variety of hazards. Examples include:
  - State Emergency Operations Plans designed to support State emergency management functions.
  - Area Contingency Plans, developed at the direction of Federal On-Scene Coordinators in consultation with organizations at the State, regional, local, and tribal levels are designed to prevent, prepare for, respond to, and recover from oil and hazardous substance incidents.
  - Local Emergency Operations Plans created at the municipal level to complement State Emergency Operations Plans.
7. **State/Local/Tribal Multi-hazard Mitigation Plans** are developed by States, territories, tribes, and local communities to provide a framework for understanding vulnerability to and risk from hazards, and identifying

1 the pre-disaster and post-disaster mitigation measures to reduce the risk  
2 from those hazards. Multi-hazard Mitigation Planning requirements were  
3 established by Congress through the *Stafford Act*, as amended by the  
4 *Disaster Mitigation Act of 2000*.

- 5  
6 **8. Private Sector Plans** are developed by privately owned  
7 companies/corporations. Some planning efforts are mandated by statute  
8 (e.g., nuclear power plant operations), while others are developed to  
9 ensure business continuity.
- 10  
11 **9. Volunteer and Nongovernmental Organization Plans** are plans created  
12 to support local, State, regional and Federal emergency preparedness,  
13 response, and recovery operations. Plans include a continuous process of  
14 assessment, evaluation, and preparation to ensure that the necessary  
15 authorities, organization, resources, coordination, and operation  
16 procedures exist to provide effective services delivery to disaster clients as  
17 well as provide integration into planning efforts at all government levels.
- 18  
19 **10. International Plans** between the Federal Government and foreign  
20 countries typically deal with natural disasters, mass casualties, or pollution  
21 incidents.
- 22  
23 **11. Procedures** provide operational guidance for use by emergency teams and  
24 other personnel involved in conducting or supporting incident  
25 management operations. These documents fall into five basic categories:  
26
- 27     ▪ Overviews that provide a brief concept summary of an incident  
28       management function, team, or capability;
  - 29     ▪ Standard Operating Procedures (SOPs), Standard Operating  
30       Guidelines (SOGs), or Operations Manuals that provide a complete  
31       reference document, detailing the procedures for performing a single  
32       function (i.e., SOP/SOG) or a number of interdependent functions (i.e.,  
33       Operations Manual);
  - 34     ▪ Field Operations Guides (FOGs) or Handbooks that are produced as a  
35       durable pocket or desk guide, containing essential tactical information  
36       needed to perform specific assignments or functions;
  - 37     ▪ Point of Contact (POC) lists; and
  - 38     ▪ Job Aids such as checklists or other tools for job performance or job  
39       training.
- 40  
41  
42

**APPENDIX 1****GLOSSARY OF KEY TERMS**

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

- 7   ▪ *Agency*. A division of government with a specific function, that offers a particular  
8    kind of assistance. In ICS, agencies are defined as jurisdictional (having statutory  
9    responsibility for incident mitigation) or assisting and/or cooperating (providing  
10    resources and/or assistance).
- 11
- 12   ▪ *Agency Representative*. A person assigned by a primary, assisting, or cooperating  
13    Federal, State, local, or tribal government agency or private entity that has been  
14    delegated authority to make decisions affecting that agency's or organization's  
15    participation in incident management activities following appropriate consultation  
16    with the leadership of that agency.
- 17
- 18   ▪ *Area Command (Unified Area Command)*. An organization established (1) to oversee  
19    the management of multiple incidents that are each being handled by an ICS  
20    organization or (2) to oversee the management of large or multiple incidents to which  
21    several Incident Management Teams have been assigned. Area Command has the  
22    responsibility to set overall strategy and priorities, allocate critical resources  
23    according to priorities, ensure that incidents are properly managed, and ensure that  
24    objectives are met and strategies followed. Area Command becomes Unified Area  
25    Command when incidents are multijurisdictional. Area Command may be  
26    established at an Emergency Operations Center facility or at some location other than  
27    an Incident Command Post.
- 28
- 29   ▪ *Available Resources*. Resources assigned to an incident, checked in, and available for  
30    a mission assignment, normally located in a Staging Area.
- 31
- 32   ▪ *Awareness*. The continual process of collecting, analyzing, and disseminating  
33    intelligence, information, and knowledge to allow organizations and individuals to  
34    anticipate requirements and to react effectively.
- 35
- 36   ▪ *Casualty*. Any person who is declared dead or is missing, ill, or injured.
- 37
- 38   ▪ *Catastrophic Incident*. Any natural or manmade incident, including terrorism, which  
39    leaves extraordinary levels of mass casualties, damage, or disruption severely  
40    affecting the population, infrastructure, environment, economy, and government  
41    functions. A catastrophic event results in sustained national impacts over a prolonged  
42    period of time; exceeds resources normally available to Federal, State, local, tribal,  
43    and private sectors entities and significantly interrupts governmental operations and  
44    emergency services to such an extent that national security could be threatened.
- 45

- 1   ▪ *Chain of Command.* A series of command, control, executive, or management  
2   positions in hierarchical order of authority.  
3
- 4   ▪ *Civil Transportation Capacity.* The total quantity of privately owned transportation  
5   services, equipment, facilities, and systems from all transportation modes nationally  
6   or in a prescribed area or region.  
7
- 8   ▪ *Command Staff.* In an incident management organization, the Command Staff  
9   consists of the Incident Command and the special staff positions of Public  
10   Information Officer, Safety Officer, Liaison Officer, and other positions as required,  
11   who report directly to the Incident Commander. They may have an assistant or  
12   assistants, as needed.  
13
- 14   ▪ *Coastal Zone.* As defined by the *NCP*, means all U.S. waters subject to tide, U.S.  
15   waters of the Great Lakes, specified ports and harbors on inland rivers, waters of the  
16   contiguous zone, other water of the high seas subject to the *NCP*, and the land surface  
17   or land substrata, ground waters, and ambient air proximal to those waters. The term  
18   coastal zone delineates an area of Federal responsibility for response action. Precise  
19   boundaries are determined by EPA/USCG agreements and identified in Regional  
20   Contingency Plans.  
21
- 22   ▪ *Command Staff.* In an incident management organization, the Command Staff  
23   consists of the Incident Command and the special staff positions of Public  
24   Information Officer, Safety Officer, Liaison Officer, and other positions as required,  
25   who report directly to the Incident Commander. They may have an assistant or  
26   assistants, as needed.  
27
- 28   ▪ *Common Operating Picture (COP).* A broad view of the overall situation as reflected  
29   by situation reports, aerial photography, and other information or intelligence.  
30
- 31   ▪ *Community Recovery.* In the context of the *NRP* and its annexes, the process of  
32   assessing the effects of an Incident of National Significance, defining resources, and  
33   developing and implementing a course of action to restore and revitalize the  
34   socioeconomic and physical structure of a community.  
35
- 36   ▪ *Consequence Management.* Predominantly an emergency management function and  
37   included measures to protect public health and safety, restore essential government  
38   services, and provide emergency relief to governments, businesses, and individuals  
39   affected by the consequences of terrorism. The requirements of consequence  
40   management and crisis management are combined in the *NRP*. See also *Crisis*  
41   *Management*.  
42
- 43   ▪ *Contiguous Zone.* The zone of the high seas, established by the United States under  
44   Article 24 of the Convention on the Territorial Sea and Contiguous Zone, which is  
45   contiguous to the territorial sea and which extends 9 miles seaward from the outer  
46   limit of the territorial sea.

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- *Credible Threat.* A potential terrorist threat that, based on a threat assessment, is credible and likely to involve weapons of mass destruction.
- *Crisis Management.* Predominantly a law enforcement function and included measures to identify, acquire, and plan the use of resources needed to anticipate, prevent, and/or resolve a threat or act of terrorism. The requirements of consequence management and crisis management are combined in the *NRP*. See also *Consequence Management*.
- *Critical Infrastructure Coordinator.* Assigned by DHS/IAIP, the Critical Infrastructure Coordinator serves as the principal advisor to the JFO Coordination Group regarding all national- and regional-level Critical Infrastructure Sectors/Key Resources incident-related issues.
- *Cultural Resources.* Cultural items, as defined in section 2(3) of the *Native American Graves Protection and Repatriation Act* [25 U.S.C. § 3001(3)]; archeological resources, as that term is defined in section 3(1) of the *Archaeological Resources Protection Act of 1979* [16 U.S.C. § 470bb(1)]; or archeological artifacts and collections and associated records covered by section 79 of Title 36 of the *Code of Federal Regulations*.
- *Cyber.* Pertaining to computers and their support systems, such as servers, routers, and switches, that support critical infrastructure.
- *Defense Support to Civil Authorities (DSCA).* Refers to DOD support, including Federal military forces, DOD civilians and DOD contractor personnel, and DOD agencies and components, for domestic emergencies and for designated law enforcement and other activities.
- *Deputy.* A fully qualified individual who, in the absence of a superior, could be delegated the authority to manage a functional operation or perform a specific task. In some cases, a deputy could act as relief for a superior and therefore must be fully qualified in the position. Deputies can be assigned to the Incident Commander, General Staff, and Branch Directors.
- *Disaster.* See *Major Disaster*.
- *District Response Group.* Established in each DHS-USCG District, the District Response Group is primarily responsible for providing the On-Scene Commander technical assistance, personnel, and equipment during responses typically involving marine zones.
- *Emergency.* Absent a Presidentially declared emergency, any incident, human-caused or natural, that requires responsive action to protect life or property. Under the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, an emergency

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

- 5
- 6 ■ *Emergency Operations Center (EOC)*. The physical location at which the  
7 coordination of information and resources to support domestic incident management  
8 activities normally takes place. An EOC may be a temporary facility or may be  
9 located in a more central or permanently established facility, perhaps at a higher level  
10 of organization within a jurisdiction. EOCs may be organized by major functional  
11 disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g.,  
12 Federal, State, regional, county, city, tribe), or some combination thereof.
  - 13
  - 14 ■ *Emergency Operations Plan (EOP)*. The “steady-state” plan maintained by various  
15 jurisdictional levels for managing a wide variety of potential hazards.
  - 16
  - 17 ■ *Emergency Public Information*. Information that is disseminated primarily in  
18 anticipation of an emergency or during an emergency. In addition to providing  
19 situational information to the public, it also frequently provides directive actions  
20 required to be taken by the general public.
  - 21
  - 22 ■ *Emergency Response Provider*. Includes Federal, State, local, and tribal emergency  
23 public safety, law enforcement, emergency response, emergency medical (including  
24 hospital emergency facilities), and related personnel, agencies, and authorities. (See  
25 section 2(6), *Homeland Security Act of 2002, Public Law 107-296*, 116 Stat. 2135  
26 (2002).) Also known as emergency responder.
  - 27
  - 28 ■ *Emergency Support Function (ESF)*. A grouping of government and certain private  
29 sector capabilities into an organizational structure to provide the support, resources,  
30 program implementation, and services that are most likely to be needed to save lives,  
31 protect property and the environment, restore essential services and critical  
32 infrastructure, and help victims and communities return to normal, when feasible,  
33 following domestic incidents. The ESFs serve as the primary operational-level  
34 mechanism to provide assistance to State, local, and tribal governments or to Federal  
35 departments and agencies conducting missions of primary Federal responsibility.
  - 36
  - 37 ■ *Emergency Transportation Center*. A regionally operated center with transportation  
38 acquisition expertise and experience that is capable of supporting multiple regional  
39 disasters and Joint Field Offices and is in direct support of the ESF #1 regional team.
  - 40
  - 41 ■ *Environment*. Natural and cultural resources and historic properties as those terms  
42 are defined in this glossary and in relevant laws.
  - 43
  - 44 ■ *Environmental Response Team*. Established by EPA, the Environmental Response  
45 Team includes expertise in biology, chemistry, hydrology, geology, and engineering.  
46 The Environmental Response Team provides technical advice and assistance to the

1 On-Scene Coordinator for both planning and response to discharges and releases of  
2 oil and hazardous substances into or threatening the environment.

- 3
- 4 ▪ *Evacuation.* Organized, phased, and supervised withdrawal, dispersal, or removal of  
5 civilians from dangerous or potentially dangerous areas, and their reception and care  
6 in safe areas.  
7
  - 8 ▪ *Event.* A significant event or designated special event requiring security, such as  
9 inaugurations, State of the Union addresses, the Olympics, and international summit  
10 conferences.  
11
  - 12 ▪ *Facility Management.* Facility selection and acquisition, building services,  
13 information systems, communications, safety and health, and physical security.  
14
  - 15 ▪ *Federal.* Of or pertaining to the Federal Government of the United States of  
16 America.  
17
  - 18 ▪ *Federal Coordinating Officer (FCO).* The Federal officer who is appointed to  
19 manage Federal resource support activities related to *Stafford Act* disasters and  
20 emergencies. The FCO is responsible for directing and coordinating the timely  
21 delivery of Federal disaster assistance resources and programs to the affected State  
22 and local governments, individual victims, and the private sector.  
23
  - 24 ▪ *Federal On-Scene Coordinator (FOOSC or OSC).* The Federal official predesignated  
25 by the EPA or the USCG to coordinate and direct responses to oil and hazardous  
26 substances under the National Oil and Hazardous Substances Pollution Contingency  
27 Plan.  
28
  - 29 ▪ *Federal Response Coordinator (FRC).* The Federal official appointed to manage  
30 Federal resource support activities related to non-*Stafford Act* incidents. The FRC is  
31 responsible for coordinating support from other Federal departments and agencies  
32 using interagency agreements and memoranda of understanding.  
33
  - 34 ▪ *Federally Arranged Transportation Support.* The identification of available civil  
35 transportation capacity, and assistance in procuring such capacity, in support of  
36 Federal agencies, State, local and Tribal governmental entities, and voluntary  
37 organizations unable to obtain required services through normal procurement  
38 channels.  
39
  - 40 ▪ *First Responder.* Local police, fire, and emergency medical personnel who first  
41 arrive on the scene of an incident and take action to save lives, protect property, and  
42 meet basic human needs. First responders may include Federal, State, local, or tribal  
43 responders.  
44
  - 45 ▪ *Food and Nutrition Service (FNS) Disaster Task Force.* The *Food Security Act of*  
46 *1985 (Public Law 99-198)* requires the Secretary of Agriculture to establish a Disaster

1 Task Force to assist States in implementing and operating various disaster food  
2 programs. The FNS Disaster Task Force coordinates the FNS overall response to  
3 disasters and emergencies. It operates under the general direction of the  
4 Administrator of FNS. The FNS Disaster Task Force consists of the Administrator,  
5 Associate Administrators, Disaster Coordinator, Deputy Administrator for  
6 Management, Deputy Administrator for Consumer and Governmental Affairs,  
7 representatives from the food stamp and special nutrition programs, and  
8 representatives from regional office(s) affected by the disaster. The FNS Disaster  
9 Task Force expedites approval of disaster designation requests and policy  
10 clarifications. It also maintains liaison with DHS Headquarters.

- 11
- 12 ■ *Hazard*. Something that is potentially dangerous or harmful, often the root cause of  
13 an unwanted outcome.
- 14
- 15 ■ *Hazard Mitigation*. Any action taken to reduce exposure to, probability of, or  
16 potential loss from hazards. Measures may include zoning and building codes,  
17 floodplain buyouts, and analysis of hazard-related data to determine where it is safe to  
18 build or locate temporary facilities.
- 19
- 20 ■ *Hazardous Material*. A substance or material, including a hazardous  
21 substance, which has been determined by the Secretary of Transportation to be  
22 capable of posing an unreasonable risk to health, safety, and property when  
23 transported in commerce, and which has been so designated (see 49 CFR  
24 171.8). For the purpose of the *NRP*, the term is intended to include hazardous  
25 substances, pollutants, and contaminants as defined by the *NCP*.
- 26
- 27 ■ *Hazardous Substance*. As defined by the *NCP*, any substance designated  
28 pursuant to section 311(b)(2)(A) of the *Clean Water Act*; any element,  
29 compound, mixture, solution, or substance designated pursuant to section 102  
30 of the *Comprehensive Environmental Response, Compensation, and Liability*  
31 *Act (CERCLA)*; any hazardous waste having the characteristics identified  
32 under or listed pursuant to section 3001 of the *Solid Waste Disposal Act* (but  
33 not including any waste the regulation of which under the *Solid Waste*  
34 *Disposal Act (42 U.S.C. § 6901 et seq.)* has been suspended by Act of  
35 Congress); any toxic pollutant listed under section 307(a) of the *Clean Water*  
36 *Act*; any hazardous air pollutant listed under section 112 of the *Clean Air Act*  
37 *(42 U.S.C. § 7521 et seq.)*; and any imminently hazardous chemical substance  
38 or mixture with respect to which the EPA Administrator has taken action  
39 pursuant to section 7 of the *Toxic Substances Control Act (15 U.S.C. § 2601 et*  
40 *seq.)*.
- 41
- 42 ■ *Historic Property*. Any prehistoric or historic district, site, building, structure, or  
43 object included in or eligible for inclusion in the *National Register of Historic Places*,  
44 including artifacts, records, and remains which are related to such district, site,  
45 building, structure, or object [16 U.S.C. § 470(w)(5)].
- 46

- 1   ▪ *Incident.* An occurrence or event, natural or human-caused, that requires an  
2   emergency response to protect life or property. Incidents can, for example, include  
3   major disasters, emergencies, terrorist attacks, terrorist threats, wildland and urban  
4   fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents,  
5   earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public  
6   health and medical emergencies, and other occurrences requiring an emergency  
7   response.  
8
- 9   ▪ *Incident Action Plan.* An oral or written plan containing general objectives reflecting  
10   the overall strategy for managing an incident. It may include the identification of  
11   operational resources and assignments. It may also include attachments that provide  
12   direction and important information for management of the incident during one or  
13   more operational periods.  
14
- 15   ▪ *Incident Command Post (ICP).* The field location at which the primary tactical-level,  
16   on-scene incident command functions are performed. The ICP may be collocated  
17   with the incident base or other incident facilities and is normally identified by a green  
18   rotating or flashing light.  
19
- 20   ▪ *Incident Command System (ICS).* A standardized on-scene emergency management  
21   concept specifically designed to allow its user(s) to adopt an integrated organizational  
22   structure equal to the complexity and demands of single or multiple incidents without  
23   being hindered by jurisdictional boundaries. The national standard for ICS is  
24   provided by the *NIMS*.  
25
- 26   ▪ *Incident Commander (IC).* The individual responsible for all incident activities,  
27   including the development of strategies and tactics and the ordering and release of  
28   resources. The IC has overall authority and responsibility for conducting incident  
29   operations and is responsible for the management of all incident operations at the  
30   incident site.  
31
- 32   ▪ *Incident Management Team (IMT).* The Incident Commander and appropriate  
33   Command and General Staff personnel assigned to an incident.  
34
- 35   ▪ *Incident Mitigation.* Actions taken during an incident designed to minimize impacts  
36   or contain the damages to property or the environment.  
37
- 38   ▪ *Incident of National Significance.* An incident with high impact that requires a  
39   coordinated and effective response by Federal, State, local, tribal, and  
40   nongovernmental entities in order to save lives and minimize damage.  
41
- 42   ▪ *Information Officer.* See *Public Information Officer*.  
43
- 44   ▪ *Initial Actions.* The actions taken by those responders first to arrive at an incident  
45   site.  
46

- 1   ▪ *Initial Response.* Resources initially committed to an incident.  
2
- 3   ▪ *Inland Zone.* As defined in the *NCP*, the environment inland of the coastal zone  
4   excluding the Great Lakes and specified ports and harbors on the inland rivers. The  
5   term a “coastal zone” delineates an area of Federal responsibility for response action.  
6   Precise boundaries are determined by EPA/USCG agreements and identified in  
7   Regional Contingency Plans.  
8
- 9   ▪ *Insular Areas.* Non-State possessions of the United States. The Insular Areas include  
10   Guam, the Commonwealth of the Northern Mariana Islands (CNMI), American  
11   Samoa, the U.S. Virgin Islands, and the former World War II Trust Territories now  
12   known as the Republic of Palau, the Federated States of Micronesia, and the Republic  
13   of the Marshall Islands. These last three entities, known as Freely Associated States  
14   (FAS), are still connected with the United States through the Compact of Free  
15   Association.  
16
- 17   ▪ *Joint Field Office (JFO).* A temporary Federal facility established to provide a  
18   central point for Federal, State, local, and Tribal executives with responsibility for  
19   incident oversight, direction, and/or assistance to effectively coordinate protection,  
20   prevention, preparedness, response, and recovery actions. The JFO will combine the  
21   traditional functions of the FBI JOC, the FEMA DFO, and the JIC within a single  
22   Federal facility.  
23
- 24   ▪ *Joint Information Center (JIC).* A facility established to coordinate all incident-  
25   related public information activities on-scene. It is the central point of contact for all  
26   news media at the scene of the incident. Public information officials from all  
27   participating Federal agencies should collocate at the JIC. Public information  
28   officials from participating State, local, and tribal agencies and nongovernmental  
29   entities also may collocate at the JIC.  
30
- 31   ▪ *Joint Operations Center (JOC).* The JOC is the focal point for all investigative law  
32   enforcement activities during a terrorist or potential terrorist incident or any other  
33   significant criminal incident, and is managed by the FBI. The JOC integrates into the  
34   JFO when the NRP is activated.  
35
- 36   ▪ *Jurisdiction.* The range or sphere of authority. Public agencies have jurisdiction at  
37   an incident related to their legal responsibilities and authority for incident mitigation.  
38   Jurisdictional authority at an incident can be political or geographical (e.g., city,  
39   county, State, or Federal boundary lines) or functional (e.g., law enforcement, public  
40   health).  
41
- 42   ▪ *Liaison Officer.* An agency official sent to another agency to facilitate interagency  
43   communications and coordination.  
44
- 45   ▪ *Local Government.* A county, municipality, city, town, township, local public  
46   authority, school district, special district, intrastate district, council of governments

1 (regardless of whether the council of governments is incorporated as a nonprofit  
2 corporation under State law), regional or interstate government entity, or agency or  
3 instrumentality of a local government; an Indian tribe or authorized tribal  
4 organization or, in Alaska, a Native Village or Alaska Regional Native Corporation;  
5 or a rural community, unincorporated town or village, or other public entity. (As  
6 defined in section 2(10) of the *Homeland Security Act of 2002, Public Law 107-296,*  
7 *116 Stat. 2135, et seq. (2002).*)

- 8
- 9 ■ *Major Disaster.* As defined under the *Robert T. Stafford Disaster Relief and*  
10 *Emergency Assistance Act* (42 U.S.C. § 5122), a major disaster is any natural  
11 catastrophe (including any hurricane, tornado, storm, high water, wind-driven water,  
12 tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm,  
13 or drought) or, regardless of cause, any fire, flood, or explosion, in any part of the  
14 United States, which in the determination of the President causes damage of sufficient  
15 severity and magnitude to warrant major disaster assistance under this act to  
16 supplement the efforts and available resources of States, local governments, and  
17 disaster relief organizations in alleviating the damage, loss, hardship, or suffering  
18 caused thereby.
  - 19
  - 20 ■ *Materiel Management.* Requisitioning and sourcing (requirements processing);  
21 acquisition, asset visibility (resource tracking), receipt, storage, and handling; security  
22 and accountability; inventory, deployment, issue, and distribution; and recovery,  
23 reuse, and disposition.
  - 24
  - 25 ■ *Mitigation.* The activities designed to reduce or eliminate risks to persons or property  
26 or to lessen the actual or potential effects or consequences of an incident. Mitigation  
27 measures may be implemented prior to, during, or after an incident. Mitigation  
28 measures are often informed by lessons learned from prior incidents. Mitigation  
29 involves ongoing actions to reduce exposure to, probability of, or potential loss from  
30 hazards. Measures may include zoning and building codes, floodplain buyouts, and  
31 analysis of hazard-related data to determine where it is safe to build or locate  
32 temporary facilities. Mitigation can include efforts to educate governments,  
33 businesses, and the public on measures they can take to reduce loss and injury.
  - 34
  - 35 ■ *Mobilization.* The process and procedures used by all organizations—Federal, State,  
36 local, and tribal—for activating, assembling, and transporting all resources that have  
37 been requested to respond to or support an incident.
  - 38
  - 39 ■ *Multi-Jurisdictional Incident.* An incident requiring action from multiple agencies  
40 that each have jurisdiction to manage certain aspects of an incident. In ICS these  
41 incidents will be managed under Unified Command.
  - 42
  - 43 ■ *Mutual Aid Agreement.* Written agreement between agencies and/or jurisdictions that  
44 they will assist one another on request, by furnishing personnel, equipment, and/or  
45 expertise in a specified manner.
  - 46

- 1     ▪ *National*. Of a nationwide character, including the Federal, State, local, and tribal  
2     aspects of governance and polity.  
3
- 4     ▪ *National Disaster Medical System (NDMS)*. A cooperative, asset-sharing partnership  
5     between HHS, the Department of Veterans Affairs, DHS, and DOD. NDMS provides  
6     resources for meeting the continuity of care and mental health services requirements  
7     of ESF #8.  
8
- 9     ▪ *National Incident Management System (NIMS)*. A system mandated by *HSPD-5* that  
10    provides a consistent, nationwide approach for Federal, State, local, and tribal  
11    governments; the private sector; and nongovernmental organizations to work  
12    effectively and efficiently together to prepare for, respond to, and recover from  
13    domestic incidents, regardless of cause, size, or complexity. To provide for  
14    interoperability and compatibility among Federal, State, local, and tribal capabilities,  
15    the NIMS includes a core set of concepts, principles, and terminology. *HSPD-5*  
16    identifies these as the ICS; multiagency coordination systems; training; identification  
17    and management of resources (including systems for classifying types of resources);  
18    qualification and certification; and the collection, tracking, and reporting of incident  
19    information and incident resources.  
20
- 21    ▪ *National Interagency Coordination Center (NICC)*. The organization responsible for  
22    coordinating allocation of resources to one or more coordination centers or major  
23    fires within the Nation. Located in Boise, ID.  
24
- 25    ▪ *National Interagency Fire Center (NIFC)*. A facility located in Boise, ID, that is  
26    jointly operated by several Federal agencies and is dedicated to coordination,  
27    logistical support, and improved weather services in support of fire management  
28    operations throughout the United States.  
29
- 30    ▪ *Natural Resources*. Land, fish, wildlife, biota, and water. Water means salt and fresh  
31    water, surface and ground water, including water used for drinking, irrigation, and  
32    aquaculture.  
33
- 34    ▪ *National Response Center*. A national communications center for activities related to  
35    oil and hazardous substance response actions. The National Response Center, located  
36    at DHS-USCG Headquarters in Washington, DC, receives and relays notices of oil  
37    and hazardous substances releases to the appropriate Federal On-Scene Coordinator.  
38
- 39    ▪ *National Response System*. Pursuant to the *NCP*, it is the mechanism for coordinating  
40    response actions by all levels of government (40 CFR § 300.21).  
41
- 42    ▪ *National Response Team (NRT)*. The NRT, comprised of the 16 Federal agencies  
43    with major environmental and public health responsibilities, is the primary vehicle for  
44    coordinating Federal agency activities under the *NCP*. The NRT carries out national  
45    planning and response coordination and is the head of a highly organized Federal oil

1 and hazardous substance emergency response network. EPA serves as the NRT  
2 Chair, and the DHS-USCG serves as Vice Chair.

- 3
- 4 ■ *National Special Security Event (NSSE)*. Designated events, such as the summits of  
5 world leaders, meetings of international organizations, national political party  
6 conventions, major national or international sporting events, which by virtue of their  
7 political, economic, social, or religious significance, may be targets of terrorism or  
8 other criminal activity.  
9
  - 10 ■ *National Strike Force*. The National Strike Force consists of three strike teams  
11 established by the DHS/USCG on the Pacific, Atlantic, and Gulf coasts. The strike  
12 teams can provide advice and technical assistance for oil and hazardous substances  
13 removal, communications support, special equipment, and services.  
14
  - 15 ■ *On-Scene Coordinator (OSC)*. See *Federal On-Scene Coordinator*.  
16
  - 17 ■ *Nongovernmental Organization (NGO)*. An entity with an association that is based  
18 on interests of its members, individuals, or institutions and that is not created by a  
19 government, but may work cooperatively with government. Such organizations serve  
20 a public purpose, not a private benefit. Examples of NGOs include faith-based  
21 charity organizations and the American Red Cross.  
22
  - 23 ■ *Pollutant or Contaminant*: As defined in the *NCP*, includes, but is not limited to, any  
24 element, substance, compound, or mixture, including disease-causing agents, which  
25 after release into the environment and upon exposure, ingestion, inhalation, or  
26 assimilation into any organism, either directly from the environment or indirectly by  
27 ingestion through food chains, will or may reasonably be anticipated to cause death,  
28 disease, behavioral abnormalities, cancer, genetic mutation, physiological  
29 malfunctions or physical deformations, in such organisms or their offspring.  
30
  - 31 ■ *Preparedness*. The range of deliberate, critical tasks and activities necessary to build,  
32 sustain, and improve the operational capability to prevent, protect against, respond to,  
33 and recover from domestic incidents. Preparedness is a continuous process.  
34 Preparedness involves efforts at all levels of government and between government  
35 and private sector and nongovernmental organizations to identify threats, determine  
36 vulnerabilities, and identify required resources. Within the *NRP*, preparedness is  
37 operationally focused on those preparedness actions taken during an incident.  
38
  - 39 ■ *Prevention*. Actions to avoid an incident or to intervene to stop an incident from  
40 occurring. This involves actions to protect lives and property. It includes applying  
41 intelligence and other information to a range of activities that may include such  
42 countermeasures as deterrence operations; security operations; investigations to  
43 determine the full nature and source of the threat; public health and agricultural  
44 surveillance and testing; and law enforcement operations aimed at deterring,  
45 preempting, interdicting, or disrupting illegal activity and apprehending potential  
46 perpetrators.

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46
- *Principal Federal Official (PFO)*. The Federal official designated by the Secretary of Homeland Security to act as his/her representative locally to oversee, coordinate, and execute the Secretary's incident management responsibilities under *HSPD-5* for Incidents of National Significance.
  - *Private Sector*. Organizations and entities that are not part of any governmental structure. It includes for-profit and not-for-profit organizations, formal and informal structures, commerce and industry, and private voluntary organizations (PVOs).
  - *Public Information Officer (PIO)*. A member of the Command Staff responsible for interfacing with the public and media or with other agencies with incident-related information requirements.
  - *Radiological Emergency Response Teams (RERTs)*. Teams provided by EPA's Office of Indoor Air and Radiation to support and respond to incidents or sites containing radiological hazards. These teams provide expertise in radiation monitoring, radionuclide analyses, radiation health physics, and risk assessment. RERTs can provide both mobile and fixed laboratory support during a response.
  - *Recovery*. The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post-incident reporting; and development of initiatives to mitigate the effects of future incidents.
  - *Regional Emergency Transportation Coordinator*. A senior-level executive from a DOT operating administration who is pre-designated by DOT order to serve as the regional representative of the Secretary of Transportation for emergency transportation preparedness and response, including leadership of ESF #1. Depending upon the nature and extent of the disaster or major incident, the Secretary may designate another official in this capacity.
  - *Regional Response Teams (RRTs)*. Regional counterparts to the National Response Team, the RRTs comprise regional representatives of the Federal agencies on the NRT and representatives of each State within the region. The RRTs serve as planning and preparedness bodies before a response, and provide coordination and advice to the Federal On-Scene Coordinator during response actions.
  - *Resources*. Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.

- 1     ▪ *Response*. Activities that address the short-term, direct effects of an incident.  
2     Response includes immediate actions to save lives, protect property, and meet basic  
3     human needs. Response also includes the execution of emergency operations plans  
4     and of mitigation activities designed to limit the loss of life, personal injury, property  
5     damage, and other unfavorable outcomes. As indicated by the situation, response  
6     activities include applying intelligence and other information to lessen the effects or  
7     consequences of an incident; increased security operations; continuing investigations  
8     into the nature and source of the threat; ongoing public health and agricultural  
9     surveillance and testing processes; immunizations, isolation, or quarantine; and  
10    specific law enforcement operations aimed at preempting, interdicting, or disrupting  
11    illegal activity, and apprehending actual perpetrators and bringing them to justice.  
12
- 13    ▪ *Scientific Support Coordinator (SSC)*. Individual who, under the direction of the  
14    Federal On-Scene Coordinator, leads a team of scientists that provide scientific  
15    support for response operational decisions and for coordinating on-scene scientific  
16    activity. Generally, an SSC is provided by NOAA in coastal zones and by EPA in the  
17    inland zone.  
18
- 19    ▪ *Senior Federal Official (SFO)*. An individual representing a Federal department or  
20    agency with primary statutory responsibility for incident management. SFOs utilize  
21    existing authorities, expertise, and capabilities to aid in management of the incident  
22    working in coordination with other members of the JFO Coordination Group.  
23
- 24    ▪ *State*. Any State of the United States, the District of Columbia, the Commonwealth  
25    of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth  
26    of the Northern Mariana Islands, the Freely Associated States (namely the Republic  
27    of Palau, the Federated States of Micronesia, and the Republic of the Marshall  
28    Islands), and any possession of the United States. (As defined in section 2(14) of the  
29    *Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135, et seq. (2002).*)  
30
- 31    ▪ *Strategic*. Strategic elements of incident management are characterized by  
32    continuous, long-term, high-level planning by organizations headed by elected or  
33    other senior officials. These elements involve the adoption of long-range goals and  
34    objectives, the setting of priorities, the establishment of budgets and other fiscal  
35    decisions, policy development, and the application of measures of performance or  
36    effectiveness.  
37
- 38    ▪ *Supervisor of Salvage and Diving (SUPSALV)*. A salvage, search, and recovery  
39    operation established by the Department of Navy. SUPSALV has extensive  
40    experience to support response activities, including specialized salvage, firefighting,  
41    and petroleum, oil, and lubricants offloading. SUPSALV, when available, will  
42    provide equipment for training exercises to support national and regional contingency  
43    planning.  
44

- 1     ▪ *Terrorism.* Under 28 CFR § 0.85, terrorism includes the unlawful use of force and  
2     violence against persons or property to intimidate or coerce a government, the civilian  
3     population, or any segment thereof, in furtherance of political or social objectives.  
4
- 5     ▪ *Threat.* An indication of possible violence, harm, or danger.  
6
- 7     ▪ *Transportation Management.* Transportation prioritizing, ordering, sourcing, and  
8     acquisition; time-phasing plans; fleet management; and movement coordination and  
9     tracking.  
10
- 11    ▪ *Tribe.* Any Indian tribe, band, nation, or other organized group or community,  
12    including any Alaskan Native Village as defined in or established pursuant to the  
13    *Alaskan Native Claims Settlement Act (85 Stat. 688) [43 U.S.C.A. and 1601 et seq.]*,  
14    that is recognized as eligible for the special programs and services provided by the  
15    United States to Indians because of their status as Indians.  
16
- 17    ▪ *Unified Command.* An application of Incident Command System (ICS) used when  
18    there is more than one agency with incident jurisdiction. Agencies work together  
19    through the designated members of the Unified Command to establish their  
20    designated Incident Commanders at a single ICP and to establish a common set of  
21    objectives and strategies and a single Incident Action Plan.  
22
- 23    ▪ *United States.* When used in relation to section 311(a)(5) of the *Clean Water Act*,  
24    means the States, the District of Columbia, the Commonwealth of Puerto Rico, the  
25    Northern Mariana Islands, Guam, American Samoa, the U.S. Virgin Islands, and the  
26    Pacific Island Governments.  
27
- 28    ▪ *Urban Search and Rescue.* Operational activities that include locating, extricating,  
29    and providing on-site medical treatment to victims trapped in collapsed structures.  
30
- 31    ▪ *Volunteer.* Any individual accepted to perform services by the lead agency, which  
32    has authority to accept volunteer services when the individual performs services  
33    without promise, expectation, or receipt of compensation for services performed.  
34    (See, e.g., 16 U.S.C. § 742f(c) and 29 CFR § 553.101.)  
35
- 36    ▪ *Weapon of Mass Destruction (WMD).* As defined in Title 18, U.S.C. § 2332a: (A)  
37    any explosive, incendiary, or poison gas, bomb, grenade, rocket having a propellant  
38    charge of more than 4 ounces, or missile having an explosive or incendiary charge of  
39    more than one-quarter ounce, or mine or similar device; (B) any weapon that is  
40    designed or intended to cause death or serious bodily injury through the release,  
41    dissemination, or impact of toxic or poisonous chemicals or their precursors; (C) any  
42    weapon involving a disease organism; or (D) any weapon that is designed to release  
43    radiation or radioactivity at a level dangerous to human life.  
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**APPENDIX 2****LIST OF ACRONYMS**

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5	<b><i>AC</i></b>	Area Command
6	<b><i>ACP</i></b>	Area Contingency Plan
7	<b><i>AEOC</i></b>	APHIS Emergency Operations Center
8	<b><i>AID</i></b>	Agency for International Development
9	<b><i>ALC</i></b>	Agency Logistics Center
10	<b><i>APHIS</i></b>	Animal and Plant Health Inspection Service
11	<b><i>ARC</i></b>	American Red Cross
12	<b><i>ASIA</i></b>	Assistant Secretary for Indian Affairs (DOI)
13	<b><i>AS/PA</i></b>	Assistant Secretary for Public Affairs (DHS)
14	<b><i>ASPHEP</i></b>	Assistant Secretary for Public Health Emergency Preparedness
15	<b><i>AVIC</i></b>	Area Veterinarian In Charge
16	<b><i>BIA</i></b>	Bureau of Indian Affairs
17	<b><i>BSI</i></b>	Base Support Installation
18	<b><i>BTS</i></b>	Border and Transportation Security
19	<b><i>CAP</i></b>	Civil Air Patrol
20	<b><i>CAR</i></b>	Congressional Affairs Representative
21	<b><i>CBO</i></b>	Community-Based Organization
22	<b><i>CBRNE</i></b>	Chemical, Biological, Radiological, Nuclear, or High-Yield Explosive
23	<b><i>CDC</i></b>	Centers for Disease Control and Prevention
24	<b><i>CDRG</i></b>	Catastrophic Disaster Response Group
25	<b><i>CERCLA</i></b>	Comprehensive Environmental Response, Compensation, and Liability
26		Act
27	<b><i>CFO</i></b>	Chief Financial Officer
28	<b><i>CIA</i></b>	Central Intelligence Agency
29	<b><i>CII</i></b>	Critical Infrastructure Information
30	<b><i>CIIMG</i></b>	Cyber Interagency Incident Management Group
31	<b><i>CIP</i></b>	Critical Infrastructure Protection
32	<b><i>CIRES</i></b>	Catastrophic Incident Response Execution Schedule
33	<b><i>CLO</i></b>	Congressional Liaison Officer
34	<b><i>CMC</i></b>	Crisis Management Coordinator
35	<b><i>CNMI</i></b>	Commonwealth of the Northern Mariana Islands
36	<b><i>COADs</i></b>	Community Organizations Active in Disasters
37	<b><i>CONPLAN</i></b>	U.S. Government Interagency Domestic Terrorism Concept of
38		Operations Plan
39	<b><i>COP</i></b>	Common Operating Picture
40	<b><i>COTS</i></b>	Commercial-Off-the-Shelf
41	<b><i>CRO</i></b>	Congressional Relations Officer
42	<b><i>CT</i></b>	Counterterrorism
43	<b><i>DALO</i></b>	(NCS) Disaster Area Liaison Officer
44	<b><i>DCE</i></b>	Defense Coordinating Element
45	<b><i>DCO</i></b>	Defense Coordinating Officer
46	<b><i>DEST</i></b>	Domestic Emergency Support Team

1	<b><i>DFO</i></b>	Disaster Field Office
2	<b><i>DHS</i></b>	Department of Homeland Security
3	<b><i>DIA</i></b>	Defense Intelligence Agency
4	<b><i>DISC</i></b>	Disaster Information Systems Clearinghouse
5	<b><i>DMAT</i></b>	Disaster Medical Assistance Team
6	<b><i>DMORT</i></b>	Disaster Mortuary Operational Response Team
7	<b><i>DOC</i></b>	Department of Commerce
8	<b><i>DOD</i></b>	Department of Defense
9	<b><i>DOE</i></b>	Department of Energy
10	<b><i>DOI</i></b>	Department of Interior
11	<b><i>DOJ</i></b>	Department of Justice
12	<b><i>DOL</i></b>	Department of Labor
13	<b><i>DOS</i></b>	Department of State
14	<b><i>DOS-A/DCP</i></b>	Department of State, Office of Diplomatic Contingency Programs
15	<b><i>DOT</i></b>	Department of Transportation
16	<b><i>DPA</i></b>	Defense Production Act
17	<b><i>DRC</i></b>	Disaster Recovery Center
18	<b><i>DREC</i></b>	Deputy Regional Emergency Coordinator
19	<b><i>DRM</i></b>	Disaster Recovery Manager
20	<b><i>DSCA</i></b>	Defense Support to Civil Authorities
21	<b><i>DTRIM</i></b>	Domestic Threat Reduction and Incident Management
22	<b><i>DWI</i></b>	Disaster Welfare Information
23	<b><i>EAS</i></b>	Emergency Assistance Personnel or Emergency Alert System
24	<b><i>EC</i></b>	Emergency Coordinator
25	<b><i>ECS</i></b>	Emergency Communications Staff
26	<b><i>ED</i></b>	Department of Education
27	<b><i>EDA</i></b>	Economic Development Administration
28	<b><i>EI</i></b>	Essential Element of Information
29	<b><i>EMAC</i></b>	Emergency Management Assistance Compact
30	<b><i>EMS</i></b>	Emergency Medical Services
31	<b><i>EMTS</i></b>	Emergency Management of the Transportation System
32	<b><i>EOC</i></b>	Emergency Operations Center
33	<b><i>EOD</i></b>	Explosive Ordnance Disposal
34	<b><i>EOP</i></b>	Emergency Operations Plan
35	<b><i>EPA</i></b>	Environmental Protection Agency
36	<b><i>EPCRA</i></b>	Emergency Planning and Community Right-to-Know Act
37	<b><i>EPLO</i></b>	Emergency Preparedness Liaison Officer
38	<b><i>ERL</i></b>	Environmental Research Laboratories
39	<b><i>ERT</i></b>	Emergency Response Team
40	<b><i>ERT-A</i></b>	Emergency Response Team – Advance Element
41	<b><i>ERT-N</i></b>	National Emergency Response Team
42	<b><i>ERTO</i></b>	Evidence Response Team Operations Center
43	<b><i>ESA</i></b>	Economics and Statistics Administration
44	<b><i>ESF</i></b>	Emergency Support Function
45	<b><i>ESFLG</i></b>	Emergency Support Function Leaders Group
46	<b><i>EST</i></b>	Emergency Support Team

1	<b>ETC</b>	Emergency Transportation Center
2	<b>FAD</b>	Foreign Animal Disease
3	<b>FAS</b>	Freely Associated States
4	<b>FBI</b>	Federal Bureau of Investigation
5	<b>FCC</b>	Federal Communications Commission
6	<b>FCO</b>	Federal Coordinating Officer
7	<b>FCT</b>	Forward Coordinating Team
8	<b>FDA</b>	Food and Drug Administration
9	<b>FECC</b>	Federal Emergency Communications Coordinator
10	<b>FEMA</b>	Federal Emergency Management Agency
11	<b>FHwA</b>	Federal Highway Administration
12	<b>FICO</b>	Flood Insurance Claims Officer
13	<b>FIRESCOPE</b>	Firefighting Resources of California Organized for Potential
14		Emergencies
15	<b>FIRST</b>	Federal Incident Response Support Team
16	<b>FISMA</b>	Federal Information Systems Management Act
17	<b>FMC</b>	Federal Mobilization Center
18	<b>FMD</b>	Foot and Mouth Disease
19	<b>FNS</b>	Food and Nutrition Service
20	<b>FOC</b>	FEMA Operations Center
21	<b>FOG</b>	Field Operations Guide
22	<b>FOSC</b>	Federal On-Scene Commander or Federal On-Scene Coordinator
23	<b>FRC</b>	Federal Resource Coordinator
24	<b>FRERP</b>	Federal Radiological Emergency Response Plan
25	<b>FRMAC</b>	Federal Radiological Monitoring and Assessment Center
26	<b>FRP</b>	Federal Response Plan
27	<b>FRPCC</b>	Federal Radiological Preparedness Coordination Committee
28	<b>FSIS</b>	Food Safety and Inspection Service
29	<b>FSM</b>	Federated States of Micronesia
30	<b>GAR</b>	Governor's Authorized Representative
31	<b>GETS</b>	Government Emergency Telecommunications Service
32	<b>GIS</b>	Geographical Information System
33	<b>GOTS</b>	Government-Off-the-Shelf
34	<b>GSA</b>	General Services Administration
35	<b>HASP</b>	Health and Safety Plan
36	<b>HAZMAT</b>	Hazardous Material
37	<b>HAZWOPER</b>	Hazardous Waste Operations and Emergency Response Standard
38	<b>HMGP</b>	Hazard Mitigation Grant Program
39	<b>HHS</b>	Department of Health and Human Services
40	<b>HQ</b>	Headquarters
41	<b>HSAS</b>	Homeland Security Advisory System
42	<b>HSC</b>	Homeland Security Council
43	<b>HSIN</b>	Homeland Security Information Network
44	<b>HSOC</b>	Homeland Security Operations Center
45	<b>HSPD</b>	Homeland Security Presidential Directive
46	<b>HUD</b>	Department of Housing and Urban Development

1	<b>IA</b>	Interagency Agreement
2	<b>IAEA</b>	International Atomic Energy Agency
3	<b>IAIP</b>	Information Analysis and Infrastructure Protection
4	<b>IAP</b>	Incident Action Plan
5	<b>IC</b>	Incident Command
6	<b>ICC</b>	Increased Cost of Compliance
7	<b>ICD</b>	Infrastructure Coordination Division
8	<b>ICEPP</b>	Incident Communications Emergency Policy and Procedures
9	<b>ICES</b>	Incident Communications Emergency Supplement
10	<b>ICP</b>	Incident Command Post
11	<b>ICPACC</b>	Incident Communications Public Affairs Coordination Committee
12	<b>ICS</b>	Incident Command System
13	<b>IEA</b>	International Energy Agency
14	<b>IHS</b>	Indian Health Service
15	<b>IIMG</b>	Interagency Incident Management Group
16	<b>IMA</b>	Individual Mobilization Augmentee
17	<b>IMCS</b>	Incident Management Communications Systems
18	<b>IMT</b>	Incident Management Team
19	<b>IND</b>	Improvised Nuclear Device
20	<b>INRP</b>	Initial National Response Plan
21	<b>IOF</b>	Interim Operating Facility
22	<b>IRR</b>	Initial Response Resources
23	<b>ISAC</b>	Information Sharing and Analysis Center
24	<b>IST</b>	Incident Support Team
25	<b>IST-A</b>	Incident Support Team – Advance Element
26	<b>JDCC</b>	Joint Data Coordination Center
27	<b>JDOMS</b>	Joint Director of Military Support
28	<b>JFO</b>	Joint Field Office
29	<b>JFOCG</b>	Joint Field Office Coordination Group
30	<b>JIC</b>	Joint Information Center
31	<b>JIS</b>	Joint Information System
32	<b>JOC</b>	Joint Operations Center
33	<b>JTF</b>	Joint Task Force
34	<b>JTTF</b>	Joint Terrorism Task Force
35	<b>JTRB</b>	Joint Telecommunications Resource Board
36	<b>LC</b>	Logistics Center
37	<b>LE</b>	Law Enforcement
38	<b>LEOC</b>	Local Emergency Operations Center
39	<b>LEPC</b>	Local Emergency Planning Committee
40	<b>MAC</b>	Mapping and Analysis Center
41	<b>MAC Group</b>	Multiagency Coordinating Group
42	<b>MACS</b>	Multiagency Coordination System
43	<b>MATTS</b>	Mobile Air Transportable Telecommunications System
44	<b>MCC</b>	Movement Coordination Center
45	<b>MERRT</b>	Medical Emergency Radiological Response Team
46	<b>MERS</b>	Mobile Emergency Response Support

1	<b>MIACG</b>	Medical Interagency Coordination Group
2	<b>MOA</b>	Memorandum of Agreement
3	<b>MOU</b>	Memorandum of Understanding
4	<b>NASA</b>	National Aeronautics and Space Administration
5	<b>NBC</b>	Nuclear, Biological, and Chemical
6	<b>NCC</b>	National Coordinating Center (for Telecommunications)
7	<b>NCP</b>	National Oil and Hazardous Substances Pollution Contingency Plan
8	<b>NCR</b>	National Capital Region
9	<b>NCS</b>	National Communications System
10	<b>NCSD</b>	National Cyber Security Division
11	<b>NCSRM</b>	National Communications System Regional Manager
12	<b>NCSRS</b>	National Cyberspace Security Response System
13	<b>NDMS</b>	National Disaster Medical System
14	<b>NEOC</b>	National Emergency Operations Center
15	<b>NEP</b>	National Exercise Program
16	<b>NGO</b>	Nongovernmental Organization
17	<b>NIC</b>	National Incident Command
18	<b>NICC</b>	National Infrastructure Coordinating Center
19	<b>NICCL</b>	National Incident Communications Conference Line
20	<b>NIEHS</b>	National Institute for Environmental Health Science
21	<b>NIEOC</b>	National Interagency Emergency Operations Center
22	<b>NIFC</b>	National Interagency Fire Center
23	<b>NIH</b>	National Institutes of Health
24	<b>NIJ</b>	National Institute of Justice
25	<b>NIMS</b>	National Incident Management System
26	<b>NIPP</b>	National Infrastructure Protection Plan
27	<b>NIRT</b>	Nuclear Incident Response Team
28	<b>NIST</b>	National Institute of Standards and Technology
29	<b>NJTTF</b>	National Joint Terrorism Task Force
30	<b>NOAA</b>	National Oceanic and Atmospheric Administration
31	<b>NOC</b>	Negotiations Operations Center
32	<b>NOS</b>	National Ocean Service
33	<b>NPP</b>	National Protection Plan
34	<b>NRC</b>	National Response Center (USCG)
35	<b>NRC</b>	Nuclear Regulatory Commission
36	<b>NRCC</b>	National Resource Coordination Center
37	<b>NRCS</b>	Natural Resources Conservation Service
38	<b>NRP</b>	National Response Plan
39	<b>NRP-CIA</b>	Catastrophic Incident Annex to the National Response Plan
40	<b>NRP-CIS</b>	Catastrophic Incident Supplement to the National Response Plan
41	<b>NRS</b>	National Response System
42	<b>NRT</b>	National Response Team
43	<b>NSA</b>	National Security Agency
44	<b>NSC</b>	National Security Council
45	<b>NS/EP</b>	National Security/Emergency Preparedness (Telecommunications)
46	<b>NSSE</b>	National Special Security Event

1	<b><i>NTSP</i></b>	National Telecommunications Support Plan
2	<b><i>NVOAD</i></b>	National Voluntary Organizations Active in Disaster
3	<b><i>NWS</i></b>	National Weather Service
4	<b><i>OEM</i></b>	Office of Emergency Management
5	<b><i>OET</i></b>	Office of Emergency Transportation
6	<b><i>OHS</i></b>	Office of Homeland Security (USACE)
7	<b><i>OIG</i></b>	Office of the Inspector General
8	<b><i>OMB</i></b>	Office of Management and Budget
9	<b><i>OPA</i></b>	Office of Public Affairs (DHS)
10	<b><i>OPM</i></b>	Office of Personnel Management
11	<b><i>OPSEC</i></b>	Operational Security
12	<b><i>OSC</i></b>	On-Scene Coordinator
13	<b><i>OSHA</i></b>	Occupational Safety and Health Administration
14	<b><i>OSTP</i></b>	Office of Science Technology Policy
15	<b><i>OSWER</i></b>	Office of Solid Waste and Emergency Response
16	<b><i>PA</i></b>	Primary Agency, Public Assistance
17	<b><i>PAC</i></b>	Public Access Center
18	<b><i>PAO</i></b>	Public Affairs Officer
19	<b><i>PBS</i></b>	Public Building Service
20	<b><i>PCC</i></b>	Policy Coordinating Committee
21	<b><i>PDA</i></b>	Preliminary Damage Assessment
22	<b><i>PDD</i></b>	Presidential Decision Directive
23	<b><i>PEP</i></b>	Pre-positioned Equipment Program
24	<b><i>PFO</i></b>	Principal Federal Official
25	<b><i>PHS</i></b>	Public Health Service
26	<b><i>PIO</i></b>	Public Information Officer
27	<b><i>POC</i></b>	Point of Contact
28	<b><i>PPE</i></b>	Personal Protective Equipment
29	<b><i>PSO</i></b>	Private Sector Office
30	<b><i>RA</i></b>	Regional Administrator
31	<b><i>RAP</i></b>	Radiological Assistance Program (DOE)
32	<b><i>RCP</i></b>	Regional Contingency Plan
33	<b><i>RCRA</i></b>	Resource Conservation and Recovery Act
34	<b><i>RDD</i></b>	Radiological Dispersal Device
35	<b><i>REAC/TS</i></b>	Radiation Emergency Assistance Center/Training Site
36	<b><i>REC</i></b>	Regional Emergency Coordinator
37	<b><i>RECP</i></b>	Regional Emergency Communications Planner
38	<b><i>REPLO</i></b>	Regional Emergency Preparedness Liaison Officer
39	<b><i>RETCO</i></b>	Regional Emergency Transportation Coordinator
40	<b><i>RFA</i></b>	Request for Federal Assistance
41	<b><i>RIC</i></b>	Regional Incident Command
42	<b><i>RISC</i></b>	Regional Interagency Steering Committee
43	<b><i>RMI</i></b>	Republic of the Marshall Islands
44	<b><i>RRCC</i></b>	Regional Resource Coordination Center
45	<b><i>RRT</i></b>	Regional Response Team
46	<b><i>ROC</i></b>	Regional Operations Center

1	<b>ROSS</b>	Resource Ordering and Status System
2	<b>RST</b>	Regional Support Team
3	<b>RUS</b>	Rural Utilities Service
4	<b>S&amp;T</b>	Science and Technology Directorate
5	<b>SA</b>	Support Agency
6	<b>SAC</b>	Special Agent-in-Charge
7	<b>SBA</b>	Small Business Administration
8	<b>SCC</b>	Secretary's Command Center (HHS)
9	<b>SCO</b>	State Coordinating Officer
10	<b>SDO</b>	Standards Development Organization
11	<b>SEB</b>	State Emergency Board (USDA)
12	<b>SEOC</b>	State Emergency Operations Center
13	<b>SEPC</b>	State Emergency Planning Commission
14	<b>SERT</b>	Secretary's Emergency Response Team (HHS)
15	<b>SFLEO</b>	Senior Federal Law Enforcement Official
16	<b>SFO</b>	Senior Federal Official
17	<b>SHARES</b>	Shared Resources
18	<b>SIOC</b>	Strategic Information and Operations Center
19	<b>SITREP</b>	Situation Report
20	<b>SLGCP</b>	Office of State and Local Government Coordination and Preparedness
21	<b>SME</b>	Subject-Matter Expert
22	<b>SNS</b>	Strategic National Stockpile
23	<b>SO</b>	Safety Officer
24	<b>SOGs</b>	Standard Operating Guidelines
25	<b>SOPs</b>	Standard Operating Procedures
26	<b>SSA</b>	Sector-Specific Agency
27	<b>START</b>	Scientific and Technical Analysis and Response Team
28	<b>STOLS</b>	System to Locate Survivors
29	<b>TEPC</b>	Tribal Emergency Planning Commission
30	<b>TLC</b>	Territory Logistics Center
31	<b>TOC</b>	Tactical Operations Center
32	<b>TR</b>	Tribal Relations
33	<b>TREAS</b>	Department of Treasury
34	<b>TSA</b>	Transportation Security Administration
35	<b>TSC</b>	Terrorist Screening Center
36	<b>TSP</b>	Telecommunications Service Priority
37	<b>TTIC</b>	Terrorism Threat Integration Center
38	<b>TTPI</b>	Trust Territory of the Pacific Islands
39	<b>TVA</b>	Tennessee Valley Authority
40	<b>UAC</b>	Unified Area Command
41	<b>UC</b>	Unified Command
42	<b>UC/IC</b>	Unified Command/Incident Command
43	<b>UOC</b>	U.S. Army Corps of Engineers Operations Center
44	<b>US&amp;R</b>	Urban Search and Rescue
45	<b>USACE</b>	U.S. Army Corps of Engineers
46	<b>USCG</b>	U.S. Coast Guard

1	<b>USDA</b>	U.S. Department of Agriculture
2	<b>USFS</b>	U.S. Forest Service
3	<b>USGS</b>	U.S. Geological Survey
4	<b>USPS</b>	U.S. Postal Service
5	<b>USSS</b>	U.S. Secret Service
6	<b>USTRANSCOM</b>	U.S. Transportation Command
7	<b>VA</b>	Department of Veterans Affairs
8	<b>VAL</b>	Voluntary Agency Liaison
9	<b>VCT</b>	Volunteer Coordination Team
10	<b>VOADs</b>	Voluntary Organizations Active in Disasters
11	<b>VRC</b>	Volunteer Reception Center
12	<b>VS</b>	Veterinary Services
13	<b>WETP</b>	Worker Education and Training Program
14	<b>WMD</b>	Weapons of Mass Destruction
15	<b>WMD-CST</b>	Weapons of Mass Destruction Civil Support Team
16	<b>WMDO-IM</b>	Office of Weapons of Mass Destruction Operations and Incident
17		Management (DHS)
18	<b>WPS</b>	Wireless Priority Service
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## APPENDIX 3

### Authorities and References

The chief authorities that guide the structure, development, and implementation of the *NRP* are statutes, executive orders, and presidential directives. Congress has provided the broad statutory authority necessary for the *NRP*, and the President has issued executive orders and presidential directives to supply additional authority and policy direction to departments and agencies of the executive branch. Among the major statutes, orders, and directives relevant to the *NRP* are those summarized below.

#### A. Statutes

1. ***The Homeland Security Act of 2002***, Pub. Law 107-296, 116 Stat. 2135 (2002) (codified predominantly at 6 U.S.C. §§ 101-557 and in other scattered sections of the U.S.C.) established the Department of Homeland Security with the mandate and legal authority to protect the American people from the continuing threat of terrorism. In the act, Congress assigned DHS the primary missions to:

- Prevent terrorist attacks within the United States,
- Reduce the vulnerability of the United States to terrorism at home,
- Minimize the damage and assist in the recovery from any attacks that may occur, and
- Act as the focal point regarding natural and manmade crises and emergency planning.

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

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

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

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- b. Response to terrorist attacks, major disasters, and other emergencies. Executed through the Directorate of Emergency Preparedness and Response, this responsibility includes:
    - Consolidating existing Federal emergency response plans into a single, coordinated national response plan;
    - Building a comprehensive national incident management system to respond to such attacks and disasters;
    - Ensuring the effectiveness of emergency response providers to terrorist attacks, major disasters, and other emergencies;
    - Providing the Federal Government's response to terrorist attacks, major disasters, and emergencies, including managing such response; and
    - Coordinating Federal response resources in the event of a terrorist attack, major disaster, or emergency.
  
  - c. Coordination of homeland security programs with State and local government personnel, agencies, and authorities and with the private sector. Executed through the Office of State and Local Government Coordination and Preparedness, this responsibility includes:
    - Coordinating to ensure adequate planning, training, and exercise activities;
    - Coordinating and consolidating Federal Government communications and systems of communications; and
    - Distributing or coordinating the distribution of warnings and information.
  
  - d. Risk analysis and risk management. The DHS/IAIP has primary authority for risk analysis and risk management within DHS, although other DHS organizations—such as the U.S. Secret Service, the Office of State and Local Government Coordination and Preparedness, and the Border and Transportation Security Directorate—also engage in risk management. DHS/IAIP responsibilities include:
    - Analyzing and integrating information from all available sources to identify, assess, detect, and understand terrorist threats against the United States;
    - Carrying out comprehensive assessments of the vulnerabilities of the key resources and critical infrastructure, including risk assessments to determine the risks posed by particular types of terrorist attacks within the United States;
    - Identifying priorities for and recommending protective and support measures for such infrastructure by all concerned; and

- 1                   ▪ Developing a comprehensive national plan (the National
- 2                    Infrastructure Protection Plan (NIPP)) for securing critical
- 3                    infrastructure, such as power and telecommunications.
- 4

5           e. Preventing the entry of terrorists and the instruments of terrorism into

6            the United States. Executed through the Border and Transportation

7            Security Directorate, this responsibility includes:

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- 9                   ▪ Securing the borders, territorial waters, ports, terminals,
- 10                  waterways, and air, land, and sea transportation systems of the
- 11                  United States; and
- 12                  ▪ Carrying out immigration enforcement functions.
- 13

14   **2. The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 93**

15    **Pub. L. No. 288, 88 Stat. 143 (1974) (codified as amended at 42 U.S.C. §§**

16    **5121-5206, and scattered sections of 12 U.S.C., 16 U.S.C., 20 U.S.C., 26**

17    **U.S.C., 38 U.S.C. (2002))** establishes the programs and processes for the

18    Federal Government to provide disaster and emergency assistance to

19    States, local governments, tribal nations, individuals, and qualified private

20    nonprofit organizations. The provisions of the *Stafford Act* cover all

21    hazards including natural disasters and terrorist events. Relevant

22    provisions of the *Stafford Act* include a process for Governors to request

23    Federal disaster and emergency assistance from the President. The

24    President may declare a major disaster or emergency:

25

- 26                  ▪ If an event is beyond the combined response capabilities of the State
- 27                  and affected local governments; and
- 28                  ▪ If based on the findings of a joint Federal-State-local Preliminary
- 29                  Damage Assessment (PDA), the damages are of sufficient severity and
- 30                  magnitude to warrant assistance under the Act. (Note: In a particularly
- 31                  fast-moving or clearly devastating disaster, DHS/EPR/FEMA may
- 32                  defer the PDA process until after the declaration.)
- 33

- 34           a. If an emergency involves a subject area for which the Federal
- 35            Government exercises exclusive or preeminent responsibility and
- 36            authority, the President may unilaterally direct the provision of
- 37            emergency assistance under the *Stafford Act*. The Governor of the
- 38            affected State will be consulted if practicable.
- 39
- 40           b. DHS/EPR/FEMA can pre-deploy personnel and equipment in advance
- 41            of an imminent *Stafford Act* declaration to lessen or avert the effects of
- 42            a disaster and to improve the timeliness of disaster response.
- 43
- 44           c. During the immediate aftermath of an incident which may ultimately
- 45            qualify for assistance under the *Stafford Act*, the Governor of the State
- 46            in which such incident occurred may request the President to direct the

1 Secretary of Defense to utilize the resources of the Department of  
2 Defense for the purpose of performing on public and private lands any  
3 emergency work which is made necessary by such incident and which  
4 is essential for the preservation of life and property. If the President  
5 determines that such work is essential for the preservation of life and  
6 property, the President shall grant such request to the extent the  
7 President determines practical. Such emergency work may only be  
8 carried out for a period not to exceed 10 days.  
9

- 10 d. The *Stafford Act* directs appointment of a Federal Coordinating Officer  
11 (FCO) by the President. The FCO is designated by the Under  
12 Secretary for Emergency Preparedness and Response to coordinate the  
13 delivery of Federal assistance to the affected State, local, tribal  
14 governments, and disaster victims.  
15  
16 e. Under Section 402 and 502 of the Stafford Act, 42 U.S.C. § 5170a(1)  
17 and § 5192(a)(1) in a major disaster or emergency, respectively, the  
18 Secretary of Homeland Security (acting on authority delegated from  
19 the President), may request and/or direct any Federal agency, with or  
20 without reimbursement, to utilize its authorities and resources granted  
21 to it under Federal law (including personnel, equipment, supplies, and  
22 managerial, technical, and advisory services) in support of State and  
23 local assistance efforts.  
24  
25 f. Federal agencies must avoid duplicating resources and benefits for  
26 disaster victims. Disaster victims are responsible for repayment of  
27 Federal assistance duplicated by private insurance, or other Federal  
28 programs, or when they have been otherwise compensated for their  
29 disaster-related losses.  
30  
31 g. All authorities under the *Stafford Act* granted to the Secretary of  
32 Homeland Security in the Homeland Security Act have been  
33 redelegated to the Under Secretary of EPR through Delegation No.  
34 9000.1  
35

- 36 **3. The Public Health Security and Bioterrorism Preparedness and**  
37 **Response Act of 2002**, Pub. L. No. 107-188, 116 Stat. 294 (2002)(codified  
38 in scattered sections of 7 U.S.C., 18 U.S.C., 21 U.S.C., 29 U.S.C., 38  
39 U.S.C., 42 U.S.C., and 47 U.S.C. (2002)) is designed to improve the  
40 ability of the United States to prevent, prepare for, and respond to  
41 bioterrorism and other public health emergencies. Key provisions of the  
42 act, 42 U.S.C. § 247d and , § 300hh among others, address the  
43 development of a national preparedness plan designed to provide effective  
44 assistance to State and local governments in the event of bioterrorism or  
45 other public health emergencies; operation of the National Disaster  
46 Medical System to mobilize and address public health emergencies; grant

1 programs for the education and training of public health professionals and  
2 improving State, local, and hospital preparedness for and response to  
3 bioterrorism and other public health emergencies; streamlining and  
4 clarifying communicable disease quarantine provisions; enhancing  
5 controls on dangerous biological agents and toxins; and protecting the  
6 safety and security of food and drug supplies.  
7

- 8 **4. The *Defense Production Act of 1950*, 64 Stat. 798 (1950)(codified as**  
9 **amended by the *Defense Production Act Reauthorization of 2003*, Pub.**  
10 **L. 108-195, 117 Stat. 2892 (2003) at 50 U.S.C. app. §§ 2061-2170 (2002))**  
11 **are the primary authorities to ensure the timely availability of resources**  
12 **for national defense and civil emergency preparedness and response.**  
13 **Among other things, the DPA authorizes the President to demand that**  
14 **companies accept and give priority to government contracts that the**  
15 **President “deems necessary or appropriate to promote the national**  
16 **defense.” The DPA defines “national defense” to include critical**  
17 **infrastructure protection and restoration, as well as activities authorized by**  
18 **the emergency preparedness sections of the *Stafford Act*. Consequently,**  
19 **DPA authorities are available for activities and measures undertaken in**  
20 **preparation for, during, or following a natural disaster or accidental or**  
21 **man-caused event. The Department of Commerce has redelegated DPA**  
22 **authority under Executive Order 12919, *National Defense Industrial***  
23 ***Resource Preparedness*, June 7, 1994, as amended, to the Secretary of**  
24 **Homeland Security to place, and upon application, to authorize State and**  
25 **local governments to place, priority-rated contracts in support of Federal,**  
26 **State, and local emergency preparedness activities.**  
27
- 28 **5. The *Economy Act*, 31 U.S.C. §§ 1535-1536 (2002), authorizes Federal**  
29 **agencies to provide goods or services on a reimbursable basis to other**  
30 **Federal agencies when more specific statutory authority to do so does not**  
31 **exist.**  
32
- 33 **6. The *Posse Comitatus Act*, 18 U.S.C. § 1385 (2002), prohibits the use of**  
34 **the Army or the Air Force for law enforcement purposes, except as**  
35 **otherwise authorized by the Constitution or statute. This prohibition**  
36 **applies to Navy and Marine Corps personnel as a matter of DOD policy.**  
37 **The primary prohibition of the *Posse Comitatus Act* is against direct**  
38 **involvement by active duty military personnel (to include Reservists on**  
39 **active duty and National Guard personnel in Federal service) in traditional**  
40 **law enforcement activities (to include interdiction of vehicle, vessel,**  
41 **aircraft, or other similar activity; directing traffic; search or seizure; an**  
42 **arrest, apprehension, stop and frisk, or similar activity). (*Note exception***  
43 ***under the *Insurrection Statutes on page 108.*)*** Exceptions to the *Posse*  
44 ***Comitatus Act* are found at 10 U.S.C. §§ 331-335 (2002).**  
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7. **The *National Emergencies Act***, 50 U.S.C. §§ 1601-1651 (2003) establishes procedures for Presidential declaration and termination of national emergencies. The act requires the President to identify the specific provision of law under which he or she will act in dealing with a declared national emergency and contains a sunset provision requiring the President to renew a declaration of national emergency to prevent its automatic expiration. The Presidential declaration of a national emergency under the act is a prerequisite to exercising any special or extraordinary powers authorized by statute for use in the event of national emergency.
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8. **The *Comprehensive Environmental Response, Compensation, and Liability Act***, 42 U.S.C. §§ 9601-9675 (2002), and the ***Federal Water Pollution Control Act (Clean Water Act)***, 33 U.S.C. §§ 1251-1387 (2002), established broad Federal authority to respond to releases or threats of releases of hazardous substances and pollutants or contaminants that may present an imminent and substantial danger to public health or welfare and to discharges of oil. The ***National Oil and Hazardous Substances Pollution Contingency Plan***, 40 C.F.R. Part 300 (2003), was developed to ensure coordinated and integrated response by departments and agencies of the Federal Government to prevent, minimize, or mitigate a threat to public health or welfare posed by discharges of oil and releases of hazardous substances, pollutants, and contaminants.
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9. **The *Cooperative Forestry Assistance Act of 1978***, 16 U.S.C. §§2101-2114 (2002) authorizes the Secretary of Agriculture to assist in the prevention and control of rural fires, and to provide prompt assistance whenever a rural fire emergency overwhelms, or threatens to overwhelm, the firefighting capabilities of the affected State or rural area.
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10. **The *Communications Act of 1934***, 47 U.S.C. §§ 151-615b (2002), provides the Federal Communications Commission authority to grant special temporary authority on an expedited basis to operate radio frequency devices. It would serve as the basis for obtaining a temporary permit to establish a radio station to be run by a Federal agency and broadcast public service announcements during the immediate aftermath of an emergency or major disaster. 47 U.S.C. § 606 (2002) provides the authority for the NCS to engage in emergency response, restoration, and recovery of the telecommunications infrastructure.
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11. **The *Insurrection Act***, 10 U.S.C. §§ 331-335 (2002). Recognizing that the primary responsibility for protecting life and property and maintaining law and order in the civilian community is vested in State and local governments, the Insurrection Statutes authorize the President to direct the armed forces to enforce the law to suppress insurrections and domestic violence. Military forces may be used to restore order, prevent looting,

1 and engage in other law enforcement activities. Given this specific  
2 statutory authority, the *Posse Comitatus Act* does not apply to such civil  
3 disturbance missions.  
4

5 **12. The *Defense Against Weapons of Mass Destruction Act*, 50 U.S.C. §§**  
6 **2301- 2368 (2003), is intended to enhance the capability of the Federal**  
7 **Government to prevent and respond to terrorist incidents involving WMD.**  
8 **Congress has directed that DOD provide certain expert advice to Federal,**  
9 **State, and local agencies with regard to WMD, to include domestic**  
10 **terrorism rapid response teams, training in emergency response to the use**  
11 **or threat of use of WMD, and a program of testing and improving the**  
12 **response of civil agencies to biological and chemical emergencies.**  
13

14 **13. Emergencies Involving Chemical or Biological Weapons.** Pursuant to  
15 10 U.S.C. § 382 (2002), in response to an emergency involving biological  
16 or chemical WMD that is beyond the capabilities of civilian authorities to  
17 handle, the Attorney General may request DOD assistance directly.  
18 Assistance that may be provided includes monitoring, containing,  
19 disabling, and disposing of the weapon. Direct law enforcement  
20 assistance – such as conducting an arrest, searching or seizing evidence of  
21 criminal violations, or direct participation in the collection of intelligence  
22 for law enforcement purposes – is not authorized unless such assistance is  
23 necessary for the immediate protection of human life and civilian law  
24 enforcement officials are not capable of taking the action, and the action is  
25 otherwise authorized.  
26

27 **14. Emergencies Involving Nuclear Materials.** In emergencies involving  
28 nuclear materials, 18 U.S.C. § 831(e)(2002) authorizes the Attorney  
29 General to request DOD law enforcement assistance—including the  
30 authority to arrest and conduct searches, notwithstanding the prohibitions  
31 of the *Posse Comitatus Act*—when both the Attorney General and  
32 Secretary of Defense agree that an “emergency situation” exists and the  
33 Secretary of Defense determines that the requested assistance will not  
34 impede military readiness. An emergency situation is defined as a  
35 circumstance that poses a serious threat to the United States in which (1)  
36 enforcement of the law would be seriously impaired if the assistance were  
37 not provided, and (2) civilian law enforcement personnel are not capable  
38 of enforcing the law. In addition, the statute authorizes DOD personnel to  
39 engage in “such other activity as is incident to the enforcement of this  
40 section, or to the protection of persons or property from conduct that  
41 violates this section.”  
42

43 **15. Volunteer Services.** There are statutory exceptions to the general  
44 statutory prohibition against accepting voluntary services under 31 U.S.C.  
45 § 1342 (2002) that can be used to accept the assistance of volunteer  
46 workers. Such services may be accepted in “emergencies involving the

1 safety of human life or the protection of property.” Additionally,  
2 provisions of the *Stafford Act*, 42 U.S.C. §§ 5152(a), 5170a(2) (2002),  
3 authorize the President to use the personnel of private disaster relief  
4 organizations and to coordinate their activities.

5  
6 Under the *Congressional Charter of 1905*, 36 U.S.C. §§ 300101-300111  
7 (2002), the American Red Cross and its chapters are a single national  
8 corporation. The Charter mandates that the Red Cross maintain a system  
9 of domestic and international disaster relief. The U.S. Supreme Court has  
10 confirmed the legal status of the American Red Cross as a Federal  
11 instrumentality. The American Red Cross also qualifies as a nonprofit  
12 organization under section 501(c)(3) of the Internal Revenue code.

13  
14 **16. The *Public Health Service Act***, 42 U.S.C. §§ 201-300hh (2003) provides  
15 a general grant of authority for Federal-State cooperation and authorizes  
16 the Secretary of Health and Human Services to develop and take such  
17 action as may be necessary to implement a plan under which the  
18 personnel, equipment, medical supplies, and other resources of the Public  
19 Health Service and other agencies under the jurisdiction of the Secretary  
20 may be effectively used to control epidemics of any disease or condition  
21 and to meet other health emergencies and problems. 42 U.S.C. § 243  
22 (2003). The Secretary is further empowered to extend temporary  
23 assistance to States or localities to meet health emergencies. During an  
24 emergency proclaimed by the President, the President has broad authority  
25 to direct the services of the Public Health Service. 42 U.S.C. § 217 (2003).  
26 Under that section, the President is authorized to “utilize the [Public  
27 Health] Service to such extent and in such manner as shall in his judgment  
28 promote the public interest.” Additionally, under 42 U.S.C. § 264 (2003),  
29 the Surgeon General is authorized to make and enforce quarantine  
30 regulations “necessary to prevent the introduction, transmission, or spread  
31 of communicable diseases” from foreign countries into the States or  
32 possessions, or from one State or possession to another. The diseases for  
33 which a person may be subject to quarantine must be specified by the  
34 President through an Executive Order.

35  
36 **17. The *Veterans Affairs Emergency Preparedness Act of 2002***, Pub. L. No.  
37 107-287, 116 Stat. 2024 (2002)(amending and codifying various sections  
38 of 38 U.S.C.). 38 U.S.C. § 1785(2003) directs the Department of Veterans  
39 Affairs (VA) to establish four National Medical Emergency Preparedness  
40 Centers at VA medical centers to conduct biomedical research and  
41 develop health-care responses for nuclear, biological, and chemical (NBC)  
42 weapons exposures that may result from terrorist attacks. It directs the  
43 VA and DOD to develop training programs for current health-care  
44 personnel and those emergency/medical personnel in training in the  
45 containment of NBC attacks and treatment of casualties. It authorizes the  
46 Secretary of Veterans Affairs to furnish hospital care and medical services

1 to individuals responding to, involved in, or otherwise affected by a  
2 disaster or emergency during and immediately following a disaster or  
3 emergency declared by the President under the *Robert T. Stafford Disaster*  
4 *Relief and Emergency Assistance Act*, or a disaster or emergency in which  
5 the National Disaster Medical System is activated.  
6

7 **18. The *Atomic Energy Act of 1954***, 42 U.S.C. §§ 2011-2297 (2003), and the  
8 ***Energy Reorganization Act of 1974***, 5 U.S.C. §§ 5313-5316, 42 U.S.C.  
9 §§ 5801-5891 (2002) provide the statutory authority for both the  
10 Department of Energy (DOE) and the Nuclear Regulatory Commission  
11 (NRC), and the foundation for NRC regulation of the Nation's civilian use  
12 of byproduct, source, and special nuclear materials to ensure adequate  
13 protection of public health and safety, to promote the common defense and  
14 security, and to protect the environment.  
15

16 **19. The *Price-Anderson Amendments Act of 1988***, Pub. L. No.100-408, 102  
17 Stat. 1066 (1988)(amending the Atomic Energy Act of 1954 and codified  
18 at 42 U.S.C. §§ 2014, 2210, 2273, 2282a (2003)) provides for  
19 indemnification of governments and individuals affected by nuclear  
20 incidents.  
21

22 **20. Furnishing of Health-Care Services to Members of the Armed Forces**  
23 **During a War or National Emergency.** During and immediately  
24 following a period of war, or a period of national emergency declared by  
25 the President or the Congress that involves the use of the Armed Forces in  
26 armed conflict, 38 U.S.C. § 8111A (2002) provides that the Secretary of  
27 Veterans Affairs may furnish hospital care, nursing home care, and  
28 medical services to members of the Armed Forces on active duty. The  
29 Secretary may give a higher priority to the furnishing of care and services  
30 under this section than to the furnishing of care and services to any other  
31 group of persons eligible for care and services in medical facilities of the  
32 Department with the exception of veterans with service-connected  
33 disabilities.  
34

35 **21. The *Resource Conservation and Recovery Act of 1976***, 42 U.S.C. §§  
36 6901-6986 (2002), which was passed as an amendment of the Solid Waste  
37 Disposal Act of 1965, Pub. L. 89-272, 79 Stat. 997 (1965) gave the U.S.  
38 Environmental Protection Agency (EPA) the authority to control  
39 hazardous waste from "cradle-to-grave." This includes the generation,  
40 transportation, treatment, storage, and disposal of hazardous waste. RCRA  
41 also set forth a framework for the management of non-hazardous wastes.  
42

43 **22. The *Occupational Safety and Health Act***, 29 U.S.C. §§ 651-678 (2002))  
44 This Act assures safe and healthful working conditions for working men  
45 and women; by authorizing enforcement of the standards developed under  
46 the Act; by assisting and encouraging the States in their efforts to assure

1 safe and healthful working conditions; by providing for research,  
2 information, education, and training in the field of occupational safety and  
3 health; and for other purposes.  
4

5 **23. *Maritime Transportation Security Act***, Pub. L. No. 107-295, 116 Stat.  
6 2064 (2002) (codified at 46 U.S.C. §§ 70102-70117 and scattered sections  
7 of the U.S.C.) This Act requires sectors of the maritime industry to  
8 implement measures designed to protect America's ports and waterways  
9 from a terrorist attack.  
10

11 **24. *Flood Control and Coastal Emergencies***, § 33 U.S.C. 701n (2002)  
12 (commonly referred to as Public Law 84-99). This law authorizes the U.S.  
13 Army Corps of Engineers an emergency fund for preparation for  
14 emergency response to natural disasters, flood fighting and rescue  
15 operations, rehabilitation of flood control and hurricane protection  
16 structures, temporary restoration of essential public facilities and services,  
17 advance protective measures, and to provide emergency supplies of water.  
18 The Corps of Engineers receives funding for such activities under this  
19 authority from the Energy and Water Development Appropriation.  
20

21 **25. *Oil Pollution Act of 1990***, Pub. L. No. 101-380, 104 Stat. 484 (1990)  
22 (codified as amended at 33 U.S.C. §§ 1203, 1223, 1321, 2701-2761 and  
23 various other sections of the U.S.C. (2002)). The act improved the  
24 nation's ability to prevent and response to oil spills by establishing  
25 provisions that expand the Federal government's ability, and provide the  
26 money and personnel necessary to response to oil spills. The act also  
27 created the national Oil Spill Liability Trust Fund.  
28

29 **26. *Clean Air Act***, 42 U.S.C. § 7401 7671q (2002) and 40 C.F.R. § 80.73  
30 (2003). The U.S. Environmental Protection Agency (EPA) may  
31 temporarily permit a refiner, importer, or blender to distribute  
32 nonconforming gasoline in appropriate extreme or unusual circumstances  
33 (e.g., an Act of God) that could not have been avoided. EPA may seek  
34 DOE's advice on fuel supply situations when deciding whether to grant a  
35 request to distribute nonconforming gasoline.  
36

37 **27. *Public Utilities Regulatory Policies Act of 1978***, Pub. L. No. 95-617, 92  
38 Stat. 3117, (1978) (codified at scattered sections of 15 U.S.C., 16 U.S.C.,  
39 30 U.S.C., 42 U.S.C., 43 U.S.C.,(2002)) and ***Powerplant and Industrial***  
40 ***Fuel Use Act of 1978***, Pub. L. No. 95-620, 92 Stat. 3289 (1978)(codified  
41 as amended at 42 U.S.C. 8301-8484 (2002)). The President has authority  
42 to prohibit any powerplant or major fuel-burning installation from using  
43 natural gas or petroleum as a primary fuel during an emergency.  
44

45 **28. *Federal Power Act***, 16 U.S.C. §§ 791a-828c, 824a(c) (2002), 10 C.F.R. §  
46 205.370 (2003). The Secretary of Energy has authority in an emergency

1 to order temporary interconnections of facilities and/or the generation and  
2 delivery of electric power.

3  
4 **29. *Department of Energy Organization Act***, Pub. L. No. 95-91, 91 Stat. 567  
5 (1977)(codified predominately at 42 U.S.C. §§ 7101-7385o (2002)) and  
6 the ***Federal Power Act***, 16 U.S.C. §§ 791a-828c (2002), 10 CFR §§  
7 205.350, 205.353 (2003). DOE has authority to obtain current information  
8 regarding emergency situations on the electric supply systems in the  
9 United States.

10  
11 **30. *Department of Energy Organization Act***, Pub. L. No. 95-91, 91 Stat.  
12 567 (1977)(codified predominately at 42 U.S.C. §§ 7101-7385o (2002)),  
13 10 CFR §§ 205.350, 205.353 (2003) and the ***Federal Energy***  
14 ***Administration Act of 1974***, 15 U.S.C. §§ 761-790h (2002). DOE and the  
15 National Association of State Energy Officials (NASEO) have agreed that  
16 DOE will develop, maintain, and distribute a contact list of State and  
17 Federal individuals responsible for energy market assessment and energy  
18 emergency responses, and that the States will participate in the effort by  
19 providing timely assessments of energy markets to DOE and other States  
20 in the event of an energy supply disruption.

21  
22 **31. *Energy Policy and Conservation Act***, 42 U.S.C. §§ 6201-6422 (2002), as  
23 amended by the ***Energy Policy Act of 1992***, Pub. L. No. 102-486, 106  
24 Stat. 2776 (1992) (as amended and codified in scattered sections of the  
25 U.S.C.). The President may, in an emergency, order Federal buildings to  
26 close and/or conserve energy.

27  
28 **32. *Transportation of Hazardous Material***, 49 U.S.C. §§ 5101-5127 (2002).  
29 Improves the regulatory and enforcement authority of the Secretary of  
30 Transportation to provide adequate protection against the risks to life and  
31 property inherent in the transportation of hazardous material in commerce.

32  
33 **33. *Ports and Waterways Safety Act of 1978***, Pub. L. No. 95-474, 92 Stat.  
34 1471 (1978)(amending Pub. L. No. 92-340 and codified at 33 U.S.C. §§  
35 1222-1232 and 46 U.S.C. §§214, 391a (2002)). The Secretary of  
36 Transportation has authority to establish vessel traffic systems for ports,  
37 harbors, and other navigable waterways, and to control vessel traffic in  
38 areas determined to be hazardous (e.g., due to vessel congestion). In such  
39 emergency situations, DOE may be asked to advise the U.S. Coast Guard  
40 on "priority" vessel movements to expedite delivery of needed energy  
41 supplies.

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

1 in emergency circumstances defined in the Energy Policy and  
2 Conservation Act.

3  
4 **35. *Energy Policy and Conservation Act***, 42 U.S.C. §§ 6250c (2002). DOE  
5 is authorized to create and maintain a Northeast Home Heating Oil  
6 Reserve and the President is authorized to order a drawdown of the reserve  
7 in emergency circumstances defined in the Energy Policy and  
8 Conservation Act.

9  
10 **36. *Natural Gas Policy Act of 1978***, 15 U.S.C. §§ 3301-3432 (2002). DOE  
11 can order any interstate pipeline or local distribution company served by  
12 an interstate pipeline to allocate natural gas in order to assist in meeting  
13 the needs of high-priority consumers during a natural gas emergency.

14  
15 **37. *Powerplant and Industrial Fuel Use Act of 1978***, 42 U.S.C. §§ 8301-  
16 8484 (2002). The President has authority to allocate coal (and require the  
17 transportation of coal) for the use of any powerplant or major fuel-burning  
18 installation during an energy emergency.

19  
20 **38. *Low Income Home Energy Assistance Act of 1981***, 42 U.S.C. §§ 8621-  
21 8629 (2002). The Department of Health and Human Services (HHS) has  
22 discretionary funds available for distribution under the Low Income Home  
23 Energy Assistance Program (LIHEAP), according to the criteria that relate  
24 to the type of emergency that precipitates their need. DOE may advise  
25 HHS on the fuel supply situation for such emergency funding.

26  
27 **39. *The Small Business Act***, 15 U.S.C. §§ 631-651e (2002).

28  
29 **40. 28 C.F.R. § 0.85**, designates the FBI as the lead agency responsible for  
30 investigating all crimes for which it has primary or concurrent jurisdiction  
31 and which involve terrorist activities or acts in preparation of terrorist  
32 activities within the statutory jurisdiction of the United States. This would  
33 include the collection, coordination, analysis, management and  
34 dissemination of intelligence and criminal information as appropriate.

## 35 36 **B. Executive Orders**

37  
38 **1. Executive Order 12148**, 44 Fed. Reg. 43239 (1979), *as amended by*  
39 Exec. Order No. 12155, 44 Fed. Reg. 53071 (1979), designates DHS as  
40 the lead Federal agency for coordination and direction of Federal disaster  
41 relief, emergency assistance, and emergency preparedness. The order also  
42 delegates the President's relief and assistance authority under the *Stafford*  
43 *Act* to the Secretary of Homeland Security, with the exception of the  
44 declaration of a major disaster or emergency.

45

- 1           **2. Executive Order 12656**, 53 Fed. Reg. 47491 (1988), Assignment of  
2           Emergency Preparedness Responsibilities, assigns lead and support  
3           responsibilities to each of the Federal agencies for national security  
4           emergency preparedness. The amendment designates the Department of  
5           Homeland Security as the lead agency for coordinating programs and  
6           plans among all Federal departments and agencies.  
7
- 8           **3. Executive Order 12580**, 52 Fed. Reg. 2923 (1987), *as amended* by  
9           numerous Executive Orders, delegates to a number of Federal departments  
10          and agencies the authority and responsibility to implement certain  
11          provisions of CERCLA. The policy and procedures for implementing  
12          these provisions are spelled out in the *National Contingency Plan (NCP)*,  
13          and are overseen by the National Response Team (NRT).  
14
- 15          **4. Executive Order 12382**, 47 Fed. Reg. 40531 (1982), *as amended* by  
16          numerous Executive Orders, President's National Security  
17          Telecommunications Advisory Committee. This Order provides the  
18          President with technical information and advice on national security  
19          telecommunications policy. Up to 30 members from the  
20          telecommunications and information technology industries may hold seats  
21          on the NSTAC.  
22
- 23          **5. Executive Order 12472**, 49 Fed. Reg. 13471 (1984), *as amended* by  
24          Executive Order 13286, 68 Fed. Reg. 10619 (2003), Assignment of  
25          National Security and Emergency Preparedness Telecommunications  
26          Functions. This Order consolidated several directives covering NSEP  
27          telecommunications into a comprehensive document explaining the  
28          assignment of responsibilities to Federal agencies for coordinating the  
29          planning and provision of NSEP telecommunications. The fundamental  
30          NSEP objective is to ensure that the Federal Government has  
31          telecommunications services that will function under all conditions,  
32          including emergency situations.  
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- 34          **6. Executive Order 12742**, 56 Fed. Reg. 1079 (1991), *as amended* by  
35          Executive Order 13286, 68 Fed. Reg. 10619 (2003), National Security  
36          Industrial Responsiveness. This order states that The United States must  
37          have the capability to rapidly mobilize its resources in the interest of  
38          national security. Therefore, to achieve prompt delivery of articles,  
39          products, and materials to meet national security requirements, the  
40          Government may place orders and require priority performance of these  
41          orders.  
42
- 43          **7. Executive Order 13284**, 68 Fed. Reg. 4075 (2003), Amendment of  
44          Executive Orders, and Other Actions, in Connection With the  
45          Establishment of the Department of Homeland Security. This order

1 amended previous EO's in order to make provisions for the establishment  
2 of the Department of Homeland Security.

- 3
- 4 **8. Executive Order 13286**, 68 Fed. Reg. 10619 (2003), Amendment of  
5 Executive Orders, and Other Actions, in Connection With the Transfer of  
6 Certain Functions to the Secretary of Homeland Security. This EO  
7 reflects the transfer of certain functions to, and other responsibilities  
8 vested in, the Secretary of Homeland Security, as well as the transfer of  
9 certain agencies and agency components to the Department of Homeland  
10 Security, and the delegation of appropriate responsibilities to the Secretary  
11 of Homeland Security.
- 12
- 13 **9. Executive Order 12333**, 46 Fed. Reg. 59941 (1981), United States  
14 Intelligence Activities, designates the Department of Energy as part of the  
15 Intelligence Community. It further defines counterintelligence as  
16 information gathered and activities conducted to protect against espionage,  
17 sabotage, or assassinations conducted for or on behalf of foreign powers,  
18 organizations or persons, or international terrorist activities. This order  
19 specifically excludes personnel, physical, document, or communications  
20 security programs from the definition of counterintelligence.
- 21
- 22 **10. Executive Order 12919**, 59 Fed. Reg. 29625 (1994), National Defense  
23 Industrial Resources Preparedness. This order delegates authorities and  
24 addresses national defense industrial resource policies and programs under  
25 the Defense Production Act of 1950, as amended, except for the  
26 amendments to Title III of the Act in the Energy Security Act of 1980 and  
27 telecommunication authorities under Executive Order No. 12472, 49 Fed.  
28 Reg. 13471 (1984).
- 29
- 30 **11. Executive Order 12777**, 56 Fed. Reg. 54757 (1991), Implementation of  
31 Section 311 of the *Federal Water Pollution Control Act* of October 18,  
32 1972, as amended, and the *Oil Pollution Act of 1990*. Implemented  
33 section 311 of the FWPCA as amended by OPA 90.
- 34
- 35 **12. Executive Order 13295**, 68 Fed. Reg. 17255 (2003), Revised List of  
36 Quarantinable Communicable Diseases. Specifies certain communicable  
37 diseases for regulations providing for the apprehension, detention, or  
38 conditional release of individuals to prevent the introduction, transmission,  
39 or spread of suspected communicable diseases.
- 40
- 41 **13. Executive Order 12196**, 45 Fed. Reg. 12769, (1980), Occupational Safety  
42 and Health Programs for Federal Employees. This order sets the OSHA  
43 program guidelines for all agencies in the Executive Branch except  
44 military personnel and uniquely military equipment, systems, and  
45 operations.
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1           **C. Presidential Directives**  
2

- 3           **1. Presidential Decision Directive 39:** U.S. Policy on Counterterrorism,  
4           June 21, 1995, establishes policy to reduce the Nation's vulnerability to  
5           terrorism, deter and respond to terrorism, and strengthen capabilities to  
6           detect, prevent, defeat, and manage the consequences of terrorist use of  
7           WMD; and assigns agency responsibilities. Under *HSPD-5*, the U.S.  
8           government treats crisis management and consequence management as a  
9           single, integrated function, rather than as two separate functions.  
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- 11           **2. Presidential Decision Directive 62:** Combating Terrorism, May 22, 1998,  
12           reinforces the missions of Federal departments and agencies charged with  
13           roles in defeating terrorism.  
14
- 15           **3. Homeland Security Presidential Directive-1:** Organization and  
16           Operation of the Homeland Security Council, Oct. 29, 2001. This  
17           directive establishes policies for the creation of the Homeland Security  
18           Council (HSC), which shall ensure the coordination of all homeland  
19           security-related activities among executive departments and agencies and  
20           promote the effective development and implementation of all homeland  
21           security policies.  
22
- 23           **4. Homeland Security Presidential Directive-2:** Combating Terrorism  
24           Through Immigration Policies, Oct. 29, 2001. This directive mandates  
25           that, by November 1, 2001, the Attorney General shall create the Foreign  
26           Terrorist Tracking Task Force, with assistance from the Secretary of State,  
27           the Director of Central Intelligence, and other officers of the Government,  
28           as appropriate. The Task Force shall ensure that, to the maximum extent  
29           permitted by law, Federal agencies coordinate programs to accomplish the  
30           following: 1) deny entry into the United States of aliens associated with,  
31           suspected of being engaged in, or supporting terrorist activity; and 2)  
32           locate, detain, prosecute, or deport any such aliens already present in the  
33           United States.  
34
- 35           **5. Homeland Security Presidential Directive-3:** Homeland Security  
36           Advisory System, Mar. 11, 2002. This directive established policy for the  
37           creation of a Homeland Security Advisory System, which shall provide a  
38           comprehensive and effective means to disseminate information regarding  
39           the risk of terrorist acts to Federal, State, and local authorities and to the  
40           American people. Such a system would provide warnings in the form of a  
41           set of graduated "Threat Conditions" that would increase as the risk of the  
42           threat increases. At each Threat Condition, Federal departments and  
43           agencies would implement a corresponding set of "Protective Measures"  
44           to further reduce vulnerability or increase response capability during a  
45           period of heightened alert.  
46

- 1           **6. Homeland Security Presidential Directive-4:** National Strategy to  
2           Combat Weapons of Mass Destruction, Dec. 2002. Sets forth the National  
3           Strategy to Combat Weapons of Mass Destruction based on three principal  
4           pillars: (1) Counterproliferation to Combat WMD Use, (2) Strengthened  
5           Nonproliferation to Combat WMD Proliferation, and (3) Consequence  
6           Management to Respond to WMD Use. The three pillars of the U.S.  
7           national strategy to combat WMD are seamless elements of a  
8           comprehensive approach. Serving to integrate the pillars are four cross-  
9           cutting enabling functions that need to be pursued on a priority basis:  
10          intelligence collection and analysis on WMD, delivery systems, and  
11          related technologies; research and development to improve our ability to  
12          address evolving threats; bilateral and multilateral cooperation; and  
13          targeted strategies against hostile states and terrorists.  
14
- 15          **7. Homeland Security Presidential Directive – 5:** Management of  
16          Domestic Incidents, February 28, 2003, is intended to enhance the ability  
17          of the United States to manage domestic incidents by establishing a single,  
18          comprehensive national incident management system. In HSPD-5 the  
19          President designates the Secretary of Homeland Security as the Principal  
20          Federal Official for domestic incident management and empowers the  
21          Secretary to coordinate Federal resources used in response to or recovery  
22          from terrorist attacks, major disasters, or other emergencies in specific  
23          cases. The directive assigns specific responsibilities to the Attorney  
24          General, Secretary of Defense, Secretary of State, and the Assistants to the  
25          President for Homeland Security and National Security Affairs, and  
26          directs the heads of all Federal departments and agencies to provide their  
27          “full and prompt cooperation, resources, and support,” as appropriate and  
28          consistent with their own responsibilities for protecting national security,  
29          to the Secretary of Homeland Security, Attorney General, Secretary of  
30          Defense, and Secretary of State in the exercise of leadership  
31          responsibilities and missions assigned in *HSPD-5*. The directive also  
32          notes that it does not alter, or impede the ability to carry out, the  
33          authorities of Federal departments and agencies to perform their  
34          responsibilities under law.  
35
- 36          **8. Homeland Security Presidential Directive-6:** Integration and Use of  
37          Screening Information, Sept. 16, 2003. In order to protect against  
38          terrorism, this directive establishes the national policy to: (1) develop,  
39          integrate, and maintain thorough, accurate, and current information about  
40          individuals known or appropriately suspected to be or have been engaged  
41          in conduct constituting, in preparation for, in aid of, or related to terrorism  
42          (Terrorist Information); and (2) use that information as appropriate and to  
43          the full extent permitted by law to support (a) Federal, State, local,  
44          territorial, Tribal, foreign-government, and private-sector screening  
45          processes, and (b) diplomatic, military, intelligence, law enforcement,  
46          immigration, visa, and protective processes.

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

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

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

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

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

**APPENDIX 5**

**Overview of a Request for Federal Assistance under the *Stafford Act***

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

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

2. Immediately after a disaster, local jurisdictions respond using available resources and notify State response elements. As information emerges, they also assess the situation and State assistance if needed. The State reviews the situation, mobilizes State resources, and informs the DHS/EPR/FEMA Regional Office of actions taken. The Governor declares a state of emergency, activates the State emergency operations plan, and requests a Presidential disaster declaration. The State and DHS jointly conduct a Preliminary Damage Assessment to validate the State's request and determine the kind of Federal assistance needed.

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

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

5. A Federal Coordinating Officer (FCO), appointed by the DHS Secretary on behalf of the President, coordinates Federal support activities. The FCO works with the State Coordinating Officer to identify requirements. A Principal Federal Official (PFO) may also be designated as the Secretary's representative to coordinate overall Federal interagency efforts consistent with roles and responsibilities outlined in the NRP.

6. The ERT works with the affected State and conducts field operations from the JFO. ESF primary agencies assess the situation and identify requirements. Under DHS/EPR/FEMA mission assignments or their own authorities, agencies supply

goods and services to help the State respond effectively.

7. The Interagency Incident Management Group (IIMG), comprising representatives from Federal department and agencies, convenes at DHS HQ when needed to provide guidance and frame courses of action regarding various operational and policy issues. The HSOC supports the IIMG and coordinates with the JFO.

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

9. Teleregistration is activated and has a toll-free telephone number disaster victims can call to apply for assistance. A toll-free disaster helpline is established to answer common questions. One or more Disaster Recovery Centers (DRCs) may be opened where victims can obtain information about disaster assistance, advice, and counsel. The affected area is inspected to determine the extent of damage, and funds for approved assistance are obligated.

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

11. Throughout response and recovery, mitigation staff at the JFO examines ways to maximize mitigation measures. Hazard Mitigation Site Survey Teams contact local officials to identify potential projects and suggest which ones should be included in an early implementation strategy. The strategy, produced in cooperation with Federal, State, local, and tribal officials, focuses on viable opportunities to provide funds, technical assistance, and staff support to incorporate mitigation into the repair and replacement of damaged or destroyed housing and infrastructure.

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

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Figure 12: Overview of a Request for Federal Assistance under the Stafford Act

